



IAPD Report

ROBERT PAUL BARBERIS

CRD# 1772762

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

ROBERT PAUL BARBERIS (CRD# 1772762)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **05/25/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	05/13/2021
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	05/13/2021

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **20** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	MORGAN STANLEY	149777	ALBANY, NY	05/14/2020 - 05/24/2021
B	MORGAN STANLEY	149777	ALBANY, NY	06/01/2009 - 05/24/2021
B	CITIGROUP GLOBAL MARKETS INC.	7059	ALBANY, NY	07/31/1993 - 06/01/2009

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	3
Termination	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **20** jurisdiction(s) and 11 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS**
Main Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103-2205
Firm ID#: 19616

Regulator	Registration	Status	Date
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/13/2021
B Cboe Exchange, Inc.	General Securities Representative	Approved	05/13/2021
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	05/13/2021
B FINRA	General Securities Representative	Approved	05/13/2021
B FINRA	General Securities Sales Supervisor	Approved	05/13/2021
B NYSE American LLC	General Securities Representative	Approved	05/13/2021
B NYSE American LLC	General Securities Sales Supervisor	Approved	05/13/2021
B NYSE Arca, Inc.	General Securities Representative	Approved	05/13/2021
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	05/13/2021
B NYSE Texas, Inc.	General Securities Representative	Approved	05/13/2021
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	05/13/2021
B Nasdaq GEMX, LLC	General Securities Representative	Approved	05/13/2021
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	05/13/2021



Qualifications

Regulator	Registration	Status	Date
B Nasdaq ISE, LLC	General Securities Representative	Approved	05/13/2021
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	05/13/2021
B Nasdaq PHLX LLC	General Securities Representative	Approved	05/13/2021
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	05/13/2021
B Nasdaq Stock Market	General Securities Representative	Approved	05/13/2021
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	05/13/2021
B New York Stock Exchange	General Securities Representative	Approved	05/13/2021
B New York Stock Exchange	General Securities Sales Supervisor	Approved	05/13/2021
B California	Agent	Approved	05/13/2021
B Colorado	Agent	Approved	05/13/2021
B Connecticut	Agent	Approved	05/27/2026
B Florida	Agent	Approved	05/13/2021
B Iowa	Agent	Approved	05/13/2021
B Kentucky	Agent	Approved	05/13/2021
B Maryland	Agent	Approved	05/13/2021
B Massachusetts	Agent	Approved	05/13/2021
B New Jersey	Agent	Approved	05/13/2021
B New Mexico	Agent	Approved	01/10/2025
B New York	Agent	Approved	05/13/2021



Qualifications

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	09/06/2021
B North Carolina	Agent	Approved	05/13/2021
B Pennsylvania	Agent	Approved	05/13/2021
B Puerto Rico	Agent	Approved	05/13/2021
B Rhode Island	Agent	Approved	05/12/2023
B South Carolina	Agent	Approved	05/13/2021
B South Dakota	Agent	Approved	02/06/2025
B Texas	Agent	Approved	05/13/2021
IA Texas	Investment Adviser Representative	Approved	05/13/2021
B Virginia	Agent	Approved	05/13/2021
B Washington	Agent	Approved	05/13/2021

Branch Office Locations

WELLS FARGO ADVISORS
4 TOWER PL
FL 9
ALBANY, NY 12203

WELLS FARGO ADVISORS
SCOTIA, NY





Qualifications

PASSED INDUSTRY EXAMS




This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	04/27/2007
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	02/12/2007

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	11/02/1991
 General Securities Representative Examination (S7)	Series 7	12/12/1987

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	10/01/2021
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/22/1987

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	05/14/2020 - 05/24/2021	MORGAN STANLEY	CRD# 149777	ALBANY, NY
B	06/01/2009 - 05/24/2021	MORGAN STANLEY	CRD# 149777	ALBANY, NY
B	07/31/1993 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ALBANY, NY
B	11/02/1988 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	12/16/1987 - 10/17/1988	BLINDER, ROBINSON & CO., INC.	CRD# 5096	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2021 - Present	WELLS FARGO CLEARING SERVICES, LLC.	REGISTERED REP	Y	ALBANY, NY, United States
01/2015 - 05/2021	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

CO-TRUSTEE FOR MOTHER'S TRUST, INV RELATED, SCOTIA, NY, START: 6/10/2021, 1 HR/MONTH, LESS THAN 1 HR DURING TRADING.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	3
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 10/06/2022

Docket/Case Number: 2021071531701

Employing firm when activity occurred which led to the regulatory action: MORGAN STANLEY SMITH BARNEY LLC

Product Type: No Product

Allegations: Without admitting or denying the findings, Barberis consented to the sanctions and to the entry of findings that he caused his member firm to maintain inaccurate books and records by changing the representative code for trades, causing the trade confirmations to show an inaccurate representative code. The findings stated that Barberis entered into an agreement through which he agreed to service certain customer accounts, including executing trades for those accounts, under joint representative codes that he shared with a retired representative. The agreement set forth what percentages of the commissions Barberis and the retired representative would earn on trades placed using the joint representative codes. Although the firm's system correctly prepopulated the trades with the applicable joint representative codes, Barberis entered the transactions under his personal representative code. Barberis negligently failed to verify whether the transactions at issue were subject to the joint production agreement. As a result, the firm's trade confirmations inaccurately reflected Barberis' personal representative code instead



of the joint representative code that Barberis shared with the retired representative. Barberis' actions resulted in his receiving higher commissions from the trades than what he was entitled to receive pursuant to the agreement. The firm has since reimbursed the retired representative.

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

10/06/2022

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	One Month
Start Date:	11/07/2022
End Date:	12/06/2022

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$2,500.00
Portion Levied against individual:	\$2,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	10/11/2022
Was any portion of penalty waived?	No

Amount Waived:

.....

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	10/06/2022
Docket/Case Number:	2021071531701
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY SMITH BARNEY LLC



Product Type:	No Product
Allegations:	Without admitting or denying the findings, Barberis consented to the sanctions and to the entry of findings that he caused his member firm to maintain inaccurate books and records by changing the representative code for trades, causing the trade confirmations to show an inaccurate representative code. The findings stated that Barberis entered into an agreement through which he agreed to service certain customer accounts, including executing trades for those accounts, under joint representative codes that he shared with a retired representative. The agreement set forth what percentages of the commissions Barberis and the retired representative would earn on trades placed using the joint representative codes. Although the firm's system correctly prepopulated the trades with the applicable joint representative codes, Barberis entered the transactions under his personal representative code. Barberis negligently failed to verify whether the transactions at issue were subject to the joint production agreement. As a result, the firm's trade confirmations inaccurately reflected Barberis' personal representative code instead of the joint representative code that Barberis shared with the retired representative. Barberis' actions resulted in his receiving higher commissions from the trades than what he was entitled to receive pursuant to the agreement. The firm has since reimbursed the retired representative.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/06/2022
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	One Month
Start Date:	11/07/2022
End Date:	12/06/2022
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$2,500.00
Portion Levied against individual:	\$2,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No



Amount Waived:



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: FIRST MONTAUK SECURITIES CORP.

Allegations: SUITABILITY; CHURNING; OTHER; BRCH OF FIDUCIARY DT

Product Type:

Alleged Damages: \$1,324,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #96-00909

Date Notice/Process Served: 04/19/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/02/1998

Disposition Detail: PENDING
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FIRST MONTAUK SECURITIES CORP.

Allegations: VIOLATIONS OF RICO, FRAUD, BREACH OF CONTRACT, VIOLATIONS OF FEDERAL SECURITIES LAWS, BREACH OF FIDUCIARY DUTY, NEGLIGENCE.

Product Type:

Alleged Damages: \$1,324,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:



**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** National Assoc. of Securities Dealers; 96-00909

Date Notice/Process Served: 04/19/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/02/1998

**Monetary Compensation
Amount:** \$20,000.00

**Individual Contribution
Amount:**

Broker Statement SETTLED \$20,000.00 ALL CLAIMS AGAINST MR
BARBERIS WERE DISMISSED
CONTACT WILLIAM HOHAUSER 816-7294

Disclosure 2 of 3

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:**

Allegations: ALLEGED UNAUTHORIZED/UNSUITABLE TRADING IN
THE DECENDENT'S ACCOUNT. THE ESTATE SOUGHT RECOVERY OF
APPROXIMATELY \$200,000.00 IN LOSSES.

Product Type:

Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

**Individual Contribution
Amount:**

Civil Litigation Information

Court Details: 4520-95

Date Notice/Process Served: 10/25/1995

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/17/1997

Monetary Compensation \$125,000.00

**Amount:****Individual Contribution
Amount:****Broker Statement**SETTLEMENT OF \$125,000.00. CONTACT PERSON:
WILLIAM HOHAUSER (212) 816-7294
Not Provided**Disclosure 3 of 3****Reporting Source:**

Regulator

**Employing firm when
activities occurred which led
to the complaint:****Allegations:**BRCH OF FIDUCIARY DT; ACCOUNT RELATED-BREACH OF CONTRACT;
ACCOUNT RELATED-NEGLIGENCE; SUITABILITY**Product Type:**

Other

Other Product Type(s):

STOCK

Alleged Damages:

\$202,248.00

Arbitration Information**Arbitration/Reparation Claim
filed with and Docket/Case
No.:**

NASD - CASE #94-05493

Date Notice/Process Served:

12/20/1994

Arbitration Pending?

No

Disposition:

Award

Disposition Date:

05/05/1997

Disposition Detail:RESPONDENT IS JOINTLY AND SEVERALLY LIABLE AND SHALL PAY TO
CLAIMANT \$42,500.**Reporting Source:**

Individual

**Employing firm when
activities occurred which led
to the complaint:****Allegations:**UNAUTHORIZED/UNSUITABLE TRADING; SOUGHT
\$207,000 IN DAMAGES.**Product Type:****Alleged Damages:**

\$207,000.00

Customer Complaint Information**Date Complaint Received:****Complaint Pending?**

No

Status:

Arbitration/Reparation

Status Date:**Settlement Amount:**



**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** National Association of Securities Dealers, Inc.; 94-05493

Date Notice/Process Served: 01/12/1995

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 05/05/1997

**Monetary Compensation
Amount:** \$50,000.00

**Individual Contribution
Amount:**

Broker Statement CLAIMANT AWARDED \$50,000 IN DAMAGES.
PLEASE TELEPHONE WILLIAM HOHAUSER AT (212)
816-7294 WITH QUESTIONS.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: MSSB
Termination Type: Voluntary Resignation
Termination Date: 05/06/2021
Allegations: Allegations that the representative submitted transactions under production numbers that were inconsistent with agreement with another representative resulting in a shortfall of revenue credited to the other representative. No client impact
Product Type: No Product

Reporting Source: Individual
Firm Name: MORGAN STANLEY
Termination Type: Voluntary Resignation
Termination Date: 05/06/2021
Allegations: Allegations that the representative submitted transactions under production numbers that were inconsistent with agreement with another representative resulting in a shortfall of revenue credited to the other representative. No client impact
Product Type: No Product



End of Report

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