



IAPD Report

JAMES W O'KEEFE

CRD# 1803868

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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

JAMES W O'KEEFE (CRD# 1803868)

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 **11/14/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	06/01/2009
IA	MORGAN STANLEY	CRD# 149777	06/22/2021

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **14** 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
B	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY	08/06/2001 - 06/01/2009
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	01/02/1990 - 08/07/2001
B	WADDELL & REED, INC.	866	NEW YORK, NY	06/20/1988 - 10/12/1988

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
Criminal	1
Customer Dispute	4



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 **14** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MORGAN STANLEY**
Main Address: 2000 WESTCHESTER AVENUE
PURCHASE, NY 10577-2530
Firm ID#: 149777

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/01/2009
B	FINRA	General Securities Sales Supervisor	Approved	06/01/2009
B	NYSE American LLC	General Securities Representative	Approved	06/17/2011
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	06/01/2009
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	06/01/2009
B	New York Stock Exchange	General Securities Representative	Approved	06/01/2009
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	California	Agent	Approved	06/01/2009
B	Connecticut	Agent	Approved	06/01/2009
B	District of Columbia	Agent	Approved	06/01/2009
B	Florida	Agent	Approved	06/01/2009
B	Maryland	Agent	Approved	11/30/2012



Qualifications

Regulator	Registration	Status	Date
B Massachusetts	Agent	Approved	06/01/2009
B Nevada	Agent	Approved	09/14/2017
B New Jersey	Agent	Approved	06/01/2009
B New York	Agent	Approved	06/01/2009
IA New York	Investment Adviser Representative	Approved	06/22/2021
B North Carolina	Agent	Approved	11/14/2024
B Ohio	Agent	Approved	11/19/2020
B Oklahoma	Agent	Approved	06/01/2009
B Virginia	Agent	Approved	07/15/2011
B Wisconsin	Agent	Approved	02/07/2013

Branch Office Locations

MORGAN STANLEY
One Penn Plaza
43rd Floor
New York, NY 10119



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 3 principal/supervisory exams, 2 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	01/02/2023
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	12/22/1998

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	02/20/1988

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	11/15/1994
Uniform Securities Agent State Law Examination (S63)	Series 63	01/31/1990

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
B	08/06/2001 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	01/02/1990 - 08/07/2001	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	06/20/1988 - 10/12/1988	WADDELL & REED, INC.	CRD# 866	
B	02/24/1988 - 03/17/1988	THOMAS JAMES ASSOCIATES, INC.	CRD# 15609	

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
12/2023 - Present	MORGAN STANLEY SMITH BARNEY LLC	REGISTERED CSA (FARS)	Y	NEW YORK, NY, United States
01/2015 - 12/2023	MORGAN STANLEY PRIVATE BANK, N.A.	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - 12/2023	MORGAN STANLEY SMITH BARNEY LLC	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.

No information reported.



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
Criminal	1
Customer Dispute	4

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	ALBANY, NEW YORK POLICE DEPARTMENT N/A
Charge Date:	04/30/1988
Charge Details:	ARRESTED BY THE ALBANY POLICE DEPARTMENT FOR A CLASS E FELONY OF DRIVING WHILE INTOXICATED
Felony?	
Current Status:	Final
Status Date:	06/09/1988
Disposition Details:	I PLEADED GUILTY TO A MISDEMEANOR. DWI RESTITUTION WAS PAYMENT OF A \$500 FINE AND THREE YEARS PROBATION.
Broker Statement	Not Provided



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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY
Allegations:	CLIENT'S ATTORNEY ALLEGES, INTER ALIA, THAT THE STOCKS PURCHASED IN THE CLIENT'S ACCOUNTS WERE UNSUITABLE. 2001-2015
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$450,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/12/2015
Complaint Pending?	No
Status:	Denied
Status Date:	08/07/2015
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY SMITH BARNEY
Allegations:	CLIENT'S ATTORNEY ALLEGES UNSUITABILITY, INTER ALIA, WITH RESPECT TO INVESTMENTS - OCTOBER 2007 - SEPTEMBER 2014.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED
Is this an oral complaint?	No



Is this a written complaint? Yes

Is this an arbitration/CFTC
reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 09/24/2014

Complaint Pending? No

Status: Denied

Status Date: 02/13/2015

Settlement Amount: \$0.00

Individual Contribution
Amount: \$0.00

Disclosure 3 of 4

Reporting Source: Firm

Employing firm when
activities occurred which led
to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Allegations: CUSTOMERS ALLEGE UNSUITABLE INVESTMENTS AND CHURNING.

Product Type: Equity - OTC

Other Product Type(s): EQUITY-LISTED

Alleged Damages: \$320,000.00

Customer Complaint Information

Date Complaint Received: 03/07/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/07/2002

Settlement Amount:

Individual Contribution
Amount:

Arbitration Information

Arbitration/Reparation Claim
filed with and Docket/Case
No.: NYSE DOCKET NO. 2002-009970

Date Notice/Process Served: 03/07/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/14/2006

Monetary Compensation
Amount: \$19,999.00

Individual Contribution
Amount: \$0.00



Firm Statement THIS MATTER IS CURRENTLY UNDER INVESTIGATION.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MERRILL LYNCH
Allegations: CUSTOMERS ALLEGE UNSUITABLE INVESTMENTS AND CHURNING
Product Type: Equity - OTC
Other Product Type(s): EQUITIES
Alleged Damages: \$320,000.00

Customer Complaint Information

Date Complaint Received: 03/07/2002
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 03/07/2002
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE DOCKET NO. 2002-009970
Date Notice/Process Served: 03/07/2002
Arbitration Pending? No
Disposition: Settled
Disposition Date: 06/14/2006
Monetary Compensation Amount: \$19,999.00
Individual Contribution Amount: \$0.00

Broker Statement ALL ALLEGATIONS AGAINST JIM O'KEEFE WERE WITHDRAWN BY THE CUSTOMER PARTY. MERRILL LYNCH DECIDED TO SETTLE INSTEAD OF INCURRING COST OF LITIGATION. MR. O'KEEFE IS NOT RESPONSIBLE FOR PAYING ANY OF THE SETTLEMENT. JIM O'KEEFE CONTINUES TO MAINTAIN THAT ALL ALLEGATIONS AGAINST HIM ARE FALSE.

Disclosure 4 of 4

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint:
Allegations: CUSTOMER ALLEGES HER ACCOUNT WAS CHURNED. CLAIMED DAMAGES \$140,000.00.



Product Type:

Alleged Damages: \$140,000.00

Customer Complaint Information

Date Complaint Received: 11/01/1992

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$20,000.00

Individual Contribution Amount:

Broker Statement SETTLED FOR \$20,000.00.
MATTER SETTLED TO AVOID COSTS AND UNCERTAINTY OF LITIGATION.



End of Report

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