



IAPD Report

CHRISTOPHER CHARLES SHERMAN

CRD# 2233839

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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

CHRISTOPHER CHARLES SHERMAN (CRD# 2233839)

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 **03/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	04/26/2024
IA	MORGAN STANLEY	CRD# 149777	04/26/2024

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **52** 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	TRUIST ADVISORY SERVICES, INC.	283390	MELBOURNE, FL	06/15/2017 - 04/29/2024
B	TRUIST INVESTMENT SERVICES, INC.	17499	WEST MELBOURNE, FL	06/16/2014 - 04/29/2024
IA	SUNTRUST INVESTMENT SERVICES, INC.	17499	WEST MELBOURNE, FL	06/17/2014 - 01/27/2017

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	2



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 **52** 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	04/26/2024
B NYSE American LLC	General Securities Representative	Approved	04/26/2024
B Nasdaq Stock Market	General Securities Representative	Approved	04/26/2024
B New York Stock Exchange	General Securities Representative	Approved	04/26/2024
B Alabama	Agent	Approved	04/30/2024
B Alaska	Agent	Approved	02/23/2026
B Arizona	Agent	Approved	03/02/2026
B Arkansas	Agent	Approved	03/03/2026
B California	Agent	Approved	04/26/2024
B Colorado	Agent	Approved	04/30/2024
B Connecticut	Agent	Approved	02/13/2026
B Delaware	Agent	Approved	02/13/2026
B District of Columbia	Agent	Approved	03/19/2026



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	04/26/2024
IA Florida	Investment Adviser Representative	Approved	04/29/2024
B Georgia	Agent	Approved	04/29/2024
B Hawaii	Agent	Approved	05/22/2026
B Idaho	Agent	Approved	03/20/2026
B Illinois	Agent	Approved	03/19/2026
B Indiana	Agent	Approved	02/16/2026
B Iowa	Agent	Approved	03/12/2026
B Kansas	Agent	Approved	02/13/2026
B Kentucky	Agent	Approved	09/12/2025
B Louisiana	Agent	Approved	04/26/2024
B Maine	Agent	Approved	03/19/2026
B Maryland	Agent	Approved	04/26/2024
B Massachusetts	Agent	Approved	03/04/2026
B Michigan	Agent	Approved	03/06/2026
B Minnesota	Agent	Approved	03/19/2026
B Mississippi	Agent	Approved	02/23/2026
B Missouri	Agent	Approved	03/05/2026
B Montana	Agent	Approved	04/26/2024



Qualifications

	Regulator	Registration	Status	Date
B	Nebraska	Agent	Approved	02/13/2026
B	Nevada	Agent	Approved	02/17/2026
B	New Hampshire	Agent	Approved	02/17/2026
B	New Jersey	Agent	Approved	02/13/2026
B	New Mexico	Agent	Approved	03/19/2026
B	New York	Agent	Approved	04/26/2024
B	North Carolina	Agent	Approved	04/26/2024
B	North Dakota	Agent	Approved	02/20/2026
B	Ohio	Agent	Approved	03/18/2026
B	Oklahoma	Agent	Approved	02/17/2026
B	Oregon	Agent	Approved	02/24/2026
B	Pennsylvania	Agent	Approved	03/18/2026
B	Puerto Rico	Agent	Approved	03/06/2026
B	Rhode Island	Agent	Approved	02/13/2026
B	South Carolina	Agent	Approved	02/17/2026
B	South Dakota	Agent	Approved	02/17/2026
B	Tennessee	Agent	Approved	04/26/2024
B	Texas	Agent	Approved	04/26/2024
IA	Texas	Investment Adviser Representative	Restricted	04/26/2024



Qualifications

Regulator	Registration	Status	Date
		Approval	
B Utah	Agent	Approved	03/19/2026
B Vermont	Agent	Approved	02/13/2026
B Virginia	Agent	Approved	04/26/2024
B Washington	Agent	Approved	03/19/2026
B West Virginia	Agent	Approved	04/26/2024
B Wisconsin	Agent	Approved	02/18/2026
B Wyoming	Agent	Approved	02/17/2026

Branch Office Locations

MORGAN STANLEY
8150 NORTH WICKHAM ROAD
MELBOURNE, FL 32940



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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	10/25/2002
 General Securities Representative Examination (S7)	Series 7	06/08/1992

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	06/03/1996
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/15/1992

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	06/15/2017 - 04/29/2024	TRUIST ADVISORY SERVICES, INC.	CRD# 283390	MELBOURNE, FL
B	06/16/2014 - 04/29/2024	TRUIST INVESTMENT SERVICES, INC.	CRD# 17499	WEST MELBOURNE, FL
IA	06/17/2014 - 01/27/2017	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	WEST MELBOURNE, FL
IA	08/26/2010 - 06/18/2014	WELLS FARGO ADVISORS, LLC	CRD# 19616	VIERA, FL
B	08/13/2010 - 06/18/2014	WELLS FARGO ADVISORS, LLC	CRD# 19616	VIERA, FL
B	06/01/2009 - 08/23/2010	MORGAN STANLEY SMITH BARNEY	CRD# 149777	MELBOURNE, FL
IA	06/01/2009 - 08/23/2010	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	MELBOURNE, FL
B	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	MELBOURNE, FL
IA	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	MELBOURNE, FL
IA	08/24/2001 - 04/02/2007	MORGAN STANLEY	CRD# 7556	MELBOURNE, FL
B	08/24/2001 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	MELBOURNE, FL
B	06/10/1992 - 10/26/2001	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

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
05/2024 - Present	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
04/2024 - Present	MORGAN STANLEY SMITH BARNEY LLC	FINANCIAL ADVISOR	Y	MELBOURNE, FL, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2021 - 04/2024	TRUIST ADVISORY SERVICES, INC.	FINANCIAL ADVISOR	Y	MELBOURNE, FL, United States
02/2021 - 04/2024	TRUIST INVESTMENT SERVICES, INC.	FINANCIAL ADVISOR	Y	MELBOURNE, FL, United States
04/2017 - 02/2021	SUNTRUST ADVISORY SERVICES, INC.	ADVISOR	Y	ATLANTA, GA, United States
06/2014 - 02/2021	SUNTRUST INVESTMENT SERVICES, INC.	FINANCIAL ADVISOR	Y	ATLANTA, GA, United States
08/2016 - 09/2016	SUNTRUST ADVISORY SERVICES	INVESTMENT ADVISORY REPRESENTATIVE	Y	ATLANTA, GA, 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
Regulatory Event	1
Customer Dispute	2

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:	Florida Office of Financial Regulation
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	04/05/2017
Docket/Case Number:	68276-S
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Wells Fargo Advisors, LLC
Product Type:	No Product
Allegations:	N/A
Current Status:	Final
Resolution:	Order
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:	04/05/2017
Sanctions Ordered:	Cease and Desist



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

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$6,000.00

Portion Levied against individual: \$6,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 04/05/2017

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement On 4/5/2017, the Office of Financial Regulation entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Christopher Charles Sherman. Mr. Sherman admits to and consents to the entry of the findings by the Office. The Office found that Christopher Charles Sherman violated rules by failing to notify his employing broker dealer firm of a regulatory inquiry by the Office of Financial Regulation in the manner required by the firm. Mr. Sherman agreed to pay an administrative fine of \$6,000.

Reporting Source: Individual

Regulatory Action Initiated By: FLORIDA OFFICE OF FINANCIAL REGULATION

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 04/05/2017

Docket/Case Number: 68276-S

Employing firm when activity occurred which led to the regulatory action: WELLS FARGO ADVISORS,LLC

Product Type: No Product

Allegations: N/A

Current Status: Final

Resolution: Order

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: 04/05/2017

Sanctions Ordered: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)



Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$6,000.00

Portion Levied against individual: \$6,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 04/05/2017

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

On 04/5/2017, the Office of Financial Regulation entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Christopher Charles Sherman. Mr. Sherman admits to and consents to the entry of the findings by this office. The agreement provided the Christopher Charles Sherman violated rules by failing to notify his employing broke dealer firm of a regulatory inquiry by the Office of Financial Regulation in the manner required by the firm. While Mr. Sherman notified his employer, he admittedly did not do so in the exact manner required by the relevant WSP. Mr. Sherman, in an effort to expeditiously resolve the matter, agreed to pay an administrative fine of \$6,000.



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 2

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: Wells Fargo Advisors, LLC

Allegations: Christopher Sherman was a subject of the customers' complaint against his member firm that asserted the following causes of action: violation of FINRA Rule 2010 (Standards of Commercial Honor and Principles of Trade), FINRA Rule 2111 (Suitability); FINRA Rule 2020 (using manipulative, deceptive, or other fraudulent methods to effect a transaction in or induce the purchase or sale of a security); FINRA Rule 3110 (Supervision); misrepresentation or failing to disclose material facts concerning an investment; guaranteeing customers that they will not lose money on a particular securities transaction; negligence; and breach of contract.

Product Type: CD

Alleged Damages: \$32,550.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: FINRA - CASE #18-02123

Date Notice/Process Served: 06/01/2018

Arbitration Pending? No

Disposition: Award

Disposition Date: 01/14/2019

Disposition Detail: Christopher Sherman was a Subject Of the customers' complaint alleging Sherman and his member firm caused sales practice violations. Sherman's member firm is liable for and shall pay to Claimants the sum of \$4,000 in compensatory damages. FINRA Office of Dispute Resolution shall retain the \$600.00 filing fee that Claimants deposited previously. Sherman's member firm is liable for and shall pay to Claimants the sum of \$600.00 to reimburse Claimants for the filing fee previously paid to FINRA Office of Dispute Resolution. All other relief requests are denied.

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Wells Fargo Advisors

Allegations: Claimants allege that in 2014, FA made unsuitable recommendation and misrepresented the purchasing of Brokerage Certificate of Deposits.

Product Type: CD



Alleged Damages: \$32,500.00

Is this an oral complaint? No

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 18-02123

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 06/22/2018

Customer Complaint Information

Date Complaint Received: 06/22/2018

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 01/14/2019

Settlement Amount: \$4,000.00

**Individual Contribution
Amount:** \$0.00

Firm Statement The Panel awarded the Claimants \$4,000.00 as well as \$600.00 for the cost of the Arbitration.

Reporting Source: Individual

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

Allegations: Claimants allege that in 2014 FA made unsuitable recommendation and misrepresented the purchasing of Brokerage Certificate of Deposits

Product Type: CD

Alleged Damages: \$32,500.00

Is this an oral complaint? No

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 18-02123

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 06/22/2018

Customer Complaint Information



Date Complaint Received: 06/22/2018
Complaint Pending? No
Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date: 01/14/2019
Settlement Amount: \$4,000.00
Individual Contribution Amount: \$0.00
Broker Statement THE PANEL AWARDED THE CLAIMANTS \$4000.00 AS WELL AS \$600.00 FOR THE COST OF THE ARBITRATION.

Disclosure 2 of 2

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: WELLS FARGO ADVISORS, LLC
Allegations: PERSON FILING THE COMPLAINT IS ONE OF TWO TRUSTEES ON HIS MOTHER'S TRUST ACCOUNT. CLAIMS THAT THE INVESTMENTS ARE INAPPROPRIATE FOR HIS MOTHER'S INVESTEMENT OBJECTIVE AND AGE. (1/1/13-12/12/13)
Product Type: Mutual Fund
Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): DAMAGES UNSPECIFIED BUT HAVE BEEN DETERMINED TO BE \$5,000.00 OR MORE.
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: 12/12/2013
Complaint Pending? No
Status: Denied
Status Date: 02/12/2014
Settlement Amount:
Individual Contribution Amount:



End of Report

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