IAPD Report

DARREN TODD HAMILTON

CRD# 2318158

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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

User Guidance

www.adviserinfo.sec.gov

Report Summary

DARREN TODD HAMILTON (CRD# 2318158)

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 **06/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	01/30/2013
IA	MORGAN STANLEY	CRD# 149777	02/20/2013

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **53** 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	SCOTTRADE, INC.	8206	CINCINNATI, OH	11/14/1995 - 08/18/2011
B	OLDE DISCOUNT CORPORATION	5979	DETROIT, MI	08/23/1993 - 11/20/1995
B	HIBBARD BROWN & CO., INC.	18246	NEW YORK, NY	02/18/1993 - 07/28/1993

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
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 **53** 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 Principal	Approved	01/30/2013
B	FINRA	General Securities Representative	Approved	01/30/2013
B	FINRA	Registered Options Principal	Approved	01/30/2013
B	FINRA	Municipal Securities Principal	Approved	03/20/2013
B	FINRA	Municipal Securities Representative	Approved	03/20/2013
B	FINRA	General Securities Sales Supervisor	Approved	06/29/2026
B	NYSE American LLC	General Securities Principal	Approved	01/30/2013
B	NYSE American LLC	General Securities Representative	Approved	01/30/2013
B	NYSE American LLC	Registered Options Principal	Approved	01/30/2013
B	NYSE American LLC	Municipal Securities Principal	Approved	03/20/2013
B	NYSE American LLC	Municipal Securities Representative	Approved	03/20/2013
B	NYSE American LLC	General Securities Sales Supervisor	Approved	06/29/2026
B	Nasdaq Stock Market	General Securities Principal	Approved	01/30/2013

Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq Stock Market	General Securities Representative	Approved	01/30/2013
B	Nasdaq Stock Market	Registered Options Principal	Approved	01/30/2013
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	06/29/2026
B	New York Stock Exchange	General Securities Principal	Approved	01/30/2013
B	New York Stock Exchange	General Securities Representative	Approved	01/30/2013
B	New York Stock Exchange	Municipal Securities Principal	Approved	03/20/2013
B	New York Stock Exchange	Municipal Securities Representative	Approved	03/20/2013
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	06/29/2026
B	Alabama	Agent	Approved	05/13/2019
B	Alaska	Agent	Approved	05/08/2019
B	Arizona	Agent	Approved	05/08/2019
B	Arkansas	Agent	Approved	05/16/2019
B	California	Agent	Approved	05/08/2019
B	Colorado	Agent	Approved	05/09/2019
B	Connecticut	Agent	Approved	05/08/2019
B	Delaware	Agent	Approved	05/15/2019
B	District of Columbia	Agent	Approved	05/08/2019
B	Florida	Agent	Approved	05/09/2019
B	Georgia	Agent	Approved	05/13/2019

Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	06/14/2019
B	Idaho	Agent	Approved	05/09/2019
B	Illinois	Agent	Approved	06/10/2019
B	Indiana	Agent	Approved	05/09/2019
B	Iowa	Agent	Approved	05/08/2019
B	Kansas	Agent	Approved	05/13/2019
B	Kentucky	Agent	Approved	05/09/2019
B	Louisiana	Agent	Approved	05/08/2019
B	Maine	Agent	Approved	05/09/2019
B	Maryland	Agent	Approved	05/16/2019
B	Massachusetts	Agent	Approved	06/29/2026
B	Michigan	Agent	Approved	05/13/2019
B	Minnesota	Agent	Approved	05/09/2019
B	Mississippi	Agent	Approved	05/09/2019
B	Missouri	Agent	Approved	05/10/2019
B	Montana	Agent	Approved	05/09/2019
B	Nebraska	Agent	Approved	05/09/2019
B	Nevada	Agent	Approved	05/15/2019
B	New Hampshire	Agent	Approved	05/13/2019

Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	05/09/2019
B	New Mexico	Agent	Approved	05/09/2019
B	New York	Agent	Approved	05/08/2019
B	North Carolina	Agent	Approved	05/15/2019
B	North Dakota	Agent	Approved	05/20/2019
B	Ohio	Agent	Approved	05/08/2019
B	Oklahoma	Agent	Approved	05/09/2019
B	Oregon	Agent	Approved	05/08/2019
B	Pennsylvania	Agent	Approved	05/09/2019
B	Puerto Rico	Agent	Approved	05/16/2019
B	Rhode Island	Agent	Approved	05/16/2019
B	South Carolina	Agent	Approved	05/19/2019
B	South Dakota	Agent	Approved	05/14/2019
B	Tennessee	Agent	Approved	05/09/2019
B	Texas	Agent	Approved	05/09/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	05/09/2019
B	Utah	Agent	Approved	01/31/2013
IA	Utah	Investment Adviser Representative	Approved	02/20/2013

Qualifications

	Regulator	Registration	Status	Date
B	Vermont	Agent	Approved	06/05/2019
B	Virgin Islands	Agent	Approved	05/14/2019
B	Virginia	Agent	Approved	05/09/2019
B	Washington	Agent	Approved	05/08/2019
B	West Virginia	Agent	Approved	05/21/2019
B	Wisconsin	Agent	Approved	05/10/2019
B	Wyoming	Agent	Approved	05/09/2019

Branch Office Locations

MORGAN STANLEY
680 WEST 10000 SOUTH
SOUTH JORDAN, UT 84095

MORGAN STANLEY
Midvale, UT

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 5 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	06/29/2026
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	06/29/2026
B	Municipal Securities Principal Examination (S53)	Series 53	03/19/2013
B	Registered Options Principal Examination (S4)	Series 4	05/01/2001
B	General Securities Principal Examination (S24)	Series 24	02/14/1996

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	10/31/2013
B	General Securities Representative Examination (S7)	Series 7	02/11/1993

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	02/19/2013
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/18/1993

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	11/14/1995 - 08/18/2011	SCOTTRADE, INC.	CRD# 8206	CINCINNATI, OH
B	08/23/1993 - 11/20/1995	OLDE DISCOUNT CORPORATION	CRD# 5979	DETROIT, MI
B	02/18/1993 - 07/28/1993	HIBBARD BROWN & CO., INC.	CRD# 18246	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
01/2013 - Present	MORGAN STANLEY	RISK MANAGEMENT	Y	SOUTH JORDAN, UT, 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
Termination	1

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:	SCOTTRADE, INC.
Termination Type:	Discharged
Termination Date:	07/25/2011
Allegations:	THE ASSOCIATE WAS TERMINATED FOR VIOLATING COMPANY POLICIES BY: (1) FAILING TO DISCLOSE HIS INTEREST IN THE ACCOUNT(S) OF A SCOTTRADE CUSTOMER WHO WAS NOT AN IMMEDIATE FAMILY MEMBER BUT WHOM HE HAD A PERSONAL RELATIONSHIP AND (2) FAILING TO DISCLOSE THAT HE WAS EXERCISING DISCRETION OVER THIS SCOTTRADE CUSTOMER ACCOUNT(S) WITHOUT HAVING A TRADE AUTHORIZATION ON FILE.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	SCOTTRADE, INC.
Termination Type:	Discharged
Termination Date:	07/25/2011
Allegations:	SCOTTRADE STATED I VIOLATED THE FOLLOWING COMPANY POLICIES BY: (1) FAILING TO DISCLOSE INTEREST IN THE ACCOUNT(S) OF A SCOTTRADE CUSTOMER WHO WAS NOT AN IMMEDIATE FAMILY MEMBER BUT WHOM I HAD PERSONAL RELATIONSHIP AND (2) FAILING TO DISCLOSE THAT I WAS EXERCISING DISCRETION OVER THIS SCOTTRADE CUSTOMER ACCOUNT(S) WITHOUT HAIVNG A TRADING AUTHORIZATION ON FILE.
Product Type:	No Product

Broker Statement	THE SCOTTRADE CUSTOMER ACCOUNT(S) WAS OWNED BY MY FIANCÉE WHO HAD BEEN A SCOTTRADE CUSTOMER SINCE 1998 AND MY FIANCÉE SINCE AUGUST 2009. IN AUGUST 2010, SHE ASKED ME FOR THE FORMS TO PERMIT ME ACCESS TO ENTER TRANSACTIONS ONLINE. THE SCOTTRADE FORM TITLED, ACCOUNT LINKING TRADING AUTHORIZATION WITH RIGHTS OF DISTRIBUTION WAS SIGNED AND SUBMITTED TO SCOTTRADE'S NEW ACCOUNT DEPARTMENT FOR PROCESSING SEPTEMBER 2010. AT NO TIME DID I RECEIVE ANY CORRESPONDENCES FROM SCOTTRADE'S NEW ACCOUNT DEPARTMENT OR COMPLIANCE DEPARTMENT STATING THAT THIS PAPERWORK WAS NOT ACCEPTED NOR NEEDED FURTHER APPROVAL. FURTHERMORE, NO TRANSACTIONS WERE PERFORMED PRIOR TO SUBMITTING THE SIGNED PAPERWORK AND SINCE THE ACCOUNTS WERE "LINKED" GRANTING ME TRADING AUTHORIZATION, I BELIEVED I HAD CORRECTLY FOLLOWED PROCEDURES. AFTER NEARLY A YEAR, I RECEIVED A PHONE CALL FROM THREE SCOTTRADE ASSOCIATES QUESTIONING MY RELATIONSHIP TO THE SCOTTRADE CUSTOMER. I COOPERATIVELY ANSWERED THEIR QUESTIONS REGARDING OUR RELATIONSHIP. I FURTHER EXPLAINED THAT A TRADING AUTHORIZATION FORM WAS COMPLETED AND SUBMITTED AS OF SEPTEMBER 2010. THE ASSOCIATE ASKED IF I HAD I COPY OF THIS PAPERWORK, AND I IMMEDIATELY FAXED A COPY WHILE WE WERE STILL ON THE PHONE CALL. THE SCOTTRADE ASSOCIATE CONFIRMED RECEIPT OF MY FAX, THANKED ME FOR MY COOPERATION AND STATED I WAS TEMPORARILY SUSPENDED. A WEEK LATER, I RECEIVED A CALL FROM A SCOTTRADE CORPORATE ASSOCIATE STATING I WAS TERMINATED FOR VIOLATING COMPANY POLICIES.

End of Report

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