IAPD Report

SCOTT ANDREW HARTMAN

CRD# 2463459

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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

SCOTT ANDREW HARTMAN (CRD# 2463459)

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 **09/25/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	09/29/2022
IA	MORGAN STANLEY	CRD# 149777	09/29/2022

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **32** 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	UBS FINANCIAL SERVICES INC.	8174	NORTHBROOK, IL	01/26/2012 - 10/10/2022
IA	UBS FINANCIAL SERVICES INC.	8174	NORTHBROOK, IL	01/26/2012 - 10/10/2022
B	MORGAN STANLEY SMITH BARNEY	149777	RIVERWOODS, IL	06/01/2009 - 02/06/2012

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
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 **32** 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	09/29/2022
B	FINRA	General Securities Sales Supervisor	Approved	09/29/2022
B	NYSE American LLC	General Securities Representative	Approved	09/29/2022
B	NYSE American LLC	General Securities Sales Supervisor	Approved	09/29/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	09/29/2022
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	09/29/2022
B	New York Stock Exchange	General Securities Representative	Approved	09/29/2022
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	09/29/2022
B	Arizona	Agent	Approved	09/29/2022
B	California	Agent	Approved	09/29/2022
B	Colorado	Agent	Approved	10/04/2022
B	Connecticut	Agent	Approved	09/29/2022
B	District of Columbia	Agent	Approved	09/29/2022

Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	09/29/2022
IA	Florida	Investment Adviser Representative	Approved	04/21/2023
B	Georgia	Agent	Approved	05/11/2023
B	Illinois	Agent	Approved	09/30/2022
IA	Illinois	Investment Adviser Representative	Approved	09/30/2022
B	Indiana	Agent	Approved	10/03/2022
B	Kentucky	Agent	Approved	09/29/2022
B	Maine	Agent	Approved	09/29/2022
B	Maryland	Agent	Approved	09/29/2022
B	Massachusetts	Agent	Approved	12/21/2022
B	Michigan	Agent	Approved	09/29/2022
B	Minnesota	Agent	Approved	10/10/2022
B	Missouri	Agent	Approved	09/29/2022
B	Montana	Agent	Approved	09/29/2022
B	Nevada	Agent	Approved	09/29/2022
B	New Jersey	Agent	Approved	09/29/2022
B	New York	Agent	Approved	09/29/2022
B	North Carolina	Agent	Approved	09/29/2022
B	Ohio	Agent	Approved	09/29/2022

Qualifications

	Regulator	Registration	Status	Date
B	Oregon	Agent	Approved	09/29/2022
B	Pennsylvania	Agent	Approved	09/29/2022
B	South Carolina	Agent	Approved	09/29/2022
B	South Dakota	Agent	Approved	09/29/2022
B	Tennessee	Agent	Approved	09/29/2022
B	Texas	Agent	Approved	09/29/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	09/29/2022
B	Utah	Agent	Approved	09/29/2022
B	Virginia	Agent	Approved	10/01/2022
B	Washington	Agent	Approved	09/29/2022
B	Wisconsin	Agent	Approved	09/29/2022

Branch Office Locations

MORGAN STANLEY
Fort Myers, FL

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
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	02/13/1996

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	04/05/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/02/2001
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/14/1994

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	01/26/2012 - 10/10/2022	UBS FINANCIAL SERVICES INC.	CRD# 8174	NORTHBROOK, IL
IA	01/26/2012 - 10/10/2022	UBS FINANCIAL SERVICES INC.	CRD# 8174	NORTHBROOK, IL
B	06/01/2009 - 02/06/2012	MORGAN STANLEY SMITH BARNEY	CRD# 149777	RIVERWOODS, IL
IA	06/01/2009 - 02/06/2012	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	RIVERWOODS, IL
B	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	RIVERWOODS, IL
IA	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	RIVERWOODS, IL
IA	09/01/2006 - 04/02/2007	MORGAN STANLEY	CRD# 7556	RIVERWOODS, IL
B	09/01/2006 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	RIVERWOODS, IL
IA	06/25/2003 - 09/07/2006	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	NORTHBROOK, IL
B	06/24/2003 - 09/07/2006	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	NORTHBROOK, IL
IA	03/10/2003 - 06/25/2003	RSM MCGLADREY, INC.	CRD# 111221	BUFFALO GROVE, IL
B	04/07/1994 - 06/24/2003	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	DETROIT, MI

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
10/2022 - Present	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
09/2022 - Present	MORGAN STANLEY SMITH BARNEY LLC	FINANCIAL ADVISOR	Y	DEERFIELD, IL, United States
01/2012 - 09/2022	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	NORTHBROOK, IL, United States

Registration & Employment History

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
Customer Dispute	2

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:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	[Time Frame: March 12, 2020 - March 16, 2020] Counsel alleges failure to follow instructions and unauthorized trading as client states he was placed into all equities when he asked to liquidate the equities in his account and move those proceeds into three existing funds.
Product Type:	Other: Managed Wrap Accounts In House Money Manger
Alleged Damages:	$99,485.78
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:	03/16/2022
Complaint Pending?	No
Status:	Denied
Status Date:	04/04/2022
Settlement Amount:	
Individual Contribution Amount:	

Broker Statement We dispute the allegations of unauthorized trades placed due to the account being enrolled in a Discretionary Portfolio Management Program, which provided the advisor with abilities to trade the client's account at their own discretion per written consent from the client. Prior to trade placement, the advisor secured approximately four years' worth of liquid insured investments as part of the client's plan; having foresight of potential market volatility stemming from COVID pandemic on the horizon. On trade date, UBS operations directed the advisor to discuss purchases with the client, who chose to retain transactions due to initial profits produced. Client then retracted decision on the next business day during a market sell off and liquidated said positions. Following these trades, the client continued their financial relationship with UBS and the advisor under the same Discretionary Portfolio Management Program for another five months and is now resurfacing allegations after two years and multiple market cycles.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: H&R BLOCK FINANCIAL ADVISORS, INC.

Allegations: UNSUITABILITY IN CONNECTION WITH MAY 01, 2001 PURCHASE OF 39446 NUVEEN NASDAQ 100 G&T 5/00 UNIT INVESTMENT TRUST @ 7.6054. CUSTOMER DID NOT SPECIFY DAMAGE AMOUNT HOWEVER A GOOD FAITH DETERMINATION HAS BEEN MADE THAT AT THE TIME CUSTOMER WROTE LETTER THE LOSS WAS APPROXIMATELY $19500.

Product Type: Unit Investment Trust(s)

Alleged Damages: $19,500.00

Customer Complaint Information

Date Complaint Received: 02/04/2002

Complaint Pending? No

Status: Closed/No Action

Status Date: 02/19/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement CUSTOMER RECEIVED PROSPECTUS BEFORE PURCHASING THE INVESTMENT. HE WAS FULLY AWARE OF THE CHARACTERISTICS AND FEES. BASED ON THE CUTOMER'S STATED OBJECTIVES, THE INVESTMENT WAS SUITABLE AND THE FIRM DETERMINED THERE WAS NO WRONGDOING.

End of Report

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