



## IAPD Report

# ROBERT STEVEN PAWLOWSKI

CRD# 2776578

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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 STEVEN PAWLOWSKI (CRD# 2776578)

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 **05/25/2022**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	MORGAN STANLEY	CRD# 149777	04/08/2022
<b>IA</b>	MORGAN STANLEY	CRD# 149777	04/08/2022

### 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>IA</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	HUNTERSVILLE, NC	06/29/2009 - 04/10/2022
<b>B</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	HUNTERSVILLE, NC	05/08/2009 - 04/10/2022
<b>B</b>	CITIGROUP GLOBAL MARKETS INC.	7059	PURCHASE, NY	12/11/1998 - 05/28/2009

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?

**No**



## 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
	FINRA	General Securities Representative	Approved	04/08/2022
	FINRA	General Securities Sales Supervisor	Approved	04/08/2022
	NYSE American LLC	General Securities Representative	Approved	04/08/2022
	NYSE American LLC	General Securities Sales Supervisor	Approved	04/08/2022
	Nasdaq Stock Market	General Securities Representative	Approved	04/08/2022
	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	04/08/2022
	New York Stock Exchange	General Securities Representative	Approved	04/08/2022
	New York Stock Exchange	General Securities Sales Supervisor	Approved	04/08/2022
	Alabama	Agent	Approved	04/08/2022
	Alaska	Agent	Approved	04/08/2022
	Arizona	Agent	Approved	04/08/2022
	Arkansas	Agent	Approved	05/11/2022
	California	Agent	Approved	04/08/2022



## Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	04/08/2022
B	Connecticut	Agent	Approved	04/08/2022
B	Delaware	Agent	Approved	04/08/2022
B	District of Columbia	Agent	Approved	04/08/2022
B	Florida	Agent	Approved	04/08/2022
B	Georgia	Agent	Approved	04/08/2022
B	Hawaii	Agent	Approved	05/25/2022
B	Idaho	Agent	Approved	05/25/2022
B	Illinois	Agent	Approved	04/08/2022
B	Indiana	Agent	Approved	05/03/2022
B	Iowa	Agent	Approved	05/25/2022
B	Kansas	Agent	Approved	04/08/2022
B	Kentucky	Agent	Approved	05/25/2022
B	Louisiana	Agent	Approved	04/08/2022
B	Maine	Agent	Approved	04/08/2022
B	Maryland	Agent	Approved	04/08/2022
B	Massachusetts	Agent	Approved	04/08/2022
B	Michigan	Agent	Approved	05/25/2022
B	Minnesota	Agent	Approved	05/03/2022



## Qualifications

	Regulator	Registration	Status	Date
B	Mississippi	Agent	Approved	04/08/2022
B	Missouri	Agent	Approved	04/29/2022
B	Montana	Agent	Approved	05/03/2022
B	Nebraska	Agent	Approved	04/08/2022
B	Nevada	Agent	Approved	04/08/2022
B	New Hampshire	Agent	Approved	04/08/2022
B	New Jersey	Agent	Approved	04/08/2022
B	New Mexico	Agent	Approved	04/08/2022
B	New York	Agent	Approved	04/08/2022
B	North Carolina	Agent	Approved	04/08/2022
IA	North Carolina	Investment Adviser Representative	Approved	04/08/2022
B	North Dakota	Agent	Approved	05/03/2022
B	Ohio	Agent	Approved	04/08/2022
B	Oklahoma	Agent	Approved	05/25/2022
B	Oregon	Agent	Approved	04/08/2022
B	Pennsylvania	Agent	Approved	04/08/2022
B	Puerto Rico	Agent	Approved	05/03/2022
B	Rhode Island	Agent	Approved	04/08/2022
B	South Carolina	Agent	Approved	04/08/2022



## Qualifications

	Regulator	Registration	Status	Date
B	South Dakota	Agent	Approved	05/03/2022
B	Tennessee	Agent	Approved	04/08/2022
B	Texas	Agent	Approved	04/08/2022
IA	Texas	Investment Adviser Representative	Approved	04/08/2022
B	Utah	Agent	Approved	05/03/2022
B	Vermont	Agent	Approved	04/08/2022
B	Virgin Islands	Agent	Approved	05/25/2022
B	Virginia	Agent	Approved	04/08/2022
B	Washington	Agent	Approved	04/08/2022
B	West Virginia	Agent	Approved	05/25/2022
B	Wisconsin	Agent	Approved	04/08/2022
B	Wyoming	Agent	Approved	05/25/2022

## Branch Office Locations

**MORGAN STANLEY**  
17505 West Catawba Avenue  
Suite 300  
Cornelius, NC 28031





## 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 3 state securities law exams.**





#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	12/21/2011
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	12/06/2011

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Futures Managed Funds Examination (S31)	Series 31	02/14/2013
	General Securities Representative Examination (S7)	Series 7	09/04/1996

#### State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	11/15/2011
	Uniform Investment Adviser Law Examination (S65)	Series 65	09/26/1996
	Uniform Securities Agent State Law Examination (S63)	Series 63	09/12/1996

### 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	06/29/2009 - 04/10/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	HUNTERSVILLE, NC
B	05/08/2009 - 04/10/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	HUNTERSVILLE, NC
B	12/11/1998 - 05/28/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PURCHASE, NY
B	09/05/1996 - 12/10/1998	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
05/2022 - Present	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
04/2022 - Present	MORGAN STANLEY SMITH BARNEY LLC	BRANCH MANAGER, PRODUCING	Y	CORNELIUS, NC, United States
09/2009 - 04/2022	BANK OF AMERICA, N.A.	SENIOR FINANCIAL ADVISOR	Y	HUNTERSVILLE, NC, United States
05/2009 - 04/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	SENIOR FINANCIAL ADVISOR	Y	HUNTERSVILLE, NC, 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.



## End of Report

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