IAPD Report

CHAD EDWARD HENRY

CRD# 4534292

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

CHAD EDWARD HENRY (CRD# 4534292)

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 **05/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	04/16/2026
IA	MORGAN STANLEY	CRD# 149777	04/16/2026

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **19** 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	OAKBROOK TERRACE, IL	02/16/2021 - 04/27/2026
IA	UBS FINANCIAL SERVICES INC.	8174	OAKBROOK TERRACE, IL	02/16/2021 - 04/27/2026
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	Saint Charles, IL	04/25/2016 - 02/25/2021

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 **19** 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	04/16/2026
B	FINRA	General Securities Sales Supervisor	Approved	04/16/2026
B	NYSE American LLC	General Securities Representative	Approved	04/16/2026
B	NYSE American LLC	General Securities Sales Supervisor	Approved	04/16/2026
B	Nasdaq Stock Market	General Securities Representative	Approved	04/16/2026
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	04/16/2026
B	New York Stock Exchange	General Securities Representative	Approved	04/16/2026
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	04/16/2026
B	Arizona	Agent	Approved	04/16/2026
B	Arkansas	Agent	Approved	04/16/2026
B	California	Agent	Approved	04/16/2026
B	Colorado	Agent	Approved	05/20/2026
B	Florida	Agent	Approved	05/05/2026

Qualifications

	Regulator	Registration	Status	Date
B	Georgia	Agent	Approved	04/16/2026
B	Idaho	Agent	Approved	05/06/2026
B	Illinois	Agent	Approved	04/16/2026
IA	Illinois	Investment Adviser Representative	Approved	05/04/2026
B	Maryland	Agent	Approved	05/13/2026
B	Massachusetts	Agent	Approved	05/20/2026
B	Michigan	Agent	Approved	04/16/2026
B	Minnesota	Agent	Approved	05/04/2026
B	Missouri	Agent	Approved	04/16/2026
B	Nevada	Agent	Approved	04/16/2026
B	Oklahoma	Agent	Approved	05/11/2026
B	Pennsylvania	Agent	Approved	04/16/2026
B	South Carolina	Agent	Approved	04/16/2026
B	Texas	Agent	Approved	04/16/2026
IA	Texas	Investment Adviser Representative	Restricted Approval	04/16/2026
B	Wisconsin	Agent	Approved	04/16/2026

Branch Office Locations

MORGAN STANLEY
2211 York Road
Suite 100
Oak Brook, IL 60523

 Report about CHAD EDWARD HENRY.

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, 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	09/14/2009
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	08/25/2009

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	07/08/2002

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/05/2006
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/11/2002

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

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	02/16/2021 - 04/27/2026	UBS FINANCIAL SERVICES INC.	CRD# 8174	OAKBROOK TERRACE,
IA	02/16/2021 - 04/27/2026	UBS FINANCIAL SERVICES INC.	CRD# 8174	OAKBROOK TERRACE,
IA	04/25/2016 - 02/25/2021	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	Saint Charles, IL
B	04/15/2016 - 02/25/2021	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	Saint Charles, IL
B	06/15/2011 - 04/15/2016	SIGMA FINANCIAL CORPORATION	CRD# 14303	Sycamore, IL
IA	06/15/2011 - 04/15/2016	SPC	CRD# 110692	SYCAMORE, IL
B	11/07/2008 - 05/26/2011	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	ROCKFORD, IL
IA	11/07/2008 - 05/26/2011	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	ROCKFORD, IL
IA	01/06/2006 - 11/10/2008	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	ST. CHARLES, IL
B	08/26/2005 - 11/10/2008	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	ST. CHARLES, IL
B	07/09/2002 - 08/31/2005	EDWARD JONES	CRD# 250	ST. LOUIS, MO

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
05/2026 - Present	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
04/2026 - Present	MORGAN STANLEY SMITH BARNEY LLC	FINANCIAL ADVISOR	Y	OAK BROOK, IL, United States
02/2021 - 04/2026	UBS FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	NAPERVILLE, IL, United States
07/2017 - 02/2021	FORTHRIGHT FP / GOOD ALTERNATIVES	NON-VARIABLE INSURANCE	Y	SYCAMORE, IL, United States
12/2016 - 02/2021	FORTHRIGHT FINANCIAL PLANNING / ALT STRATEGIES GROUP	AGENT	Y	SYCAMORE, IL, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
	GROUP			
12/2016 - 02/2021	FORTHRIGHT FINANCIAL PLANNING / CAPITAS	AGENT	Y	ST. CHARLES, IL, United States
12/2016 - 02/2021	FORTHRIGHT FINANCIAL PLANNING / MVP	AGENT	Y	SYCAMORE, IL, United States
04/2016 - 02/2021	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC.	INVESTMENT ADVISER REP	Y	SYCAMORE, IL, United States
04/2016 - 02/2021	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	SYCAMORE, IL, United States
10/2015 - 02/2021	FORTHRIGHT FINANCIAL PLANNING LLC	OWNER OF SUPPORT COMPANY	N	SYCAMORE, IL, 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.

*690700- National Association of Active Investment Manager; Investment related: Yes; Littleton, Colorado; Education:Investment/Finance/Banking; Board Member (proprietor, partner, officer, director, employee, trustee, agent); 04/2026; During business hours: 0; After business hours: 1; Administrative

End of Report

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