



IAPD Report

CHARLES J RAHN

CRD# 5604831

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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

CHARLES J RAHN (CRD# 5604831)

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 **07/07/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	06/17/2022
IA	MORGAN STANLEY	CRD# 149777	06/17/2022

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	FIFTH THIRD SECURITIES, INC.	628	WAUCONDA, IL	02/08/2011 - 06/13/2022
IA	FIFTH THIRD SECURITIES, INC.	628	WAUCONDA, IL	02/08/2011 - 06/13/2022
B	LPL FINANCIAL CORPORATION	6413	MUNDELEIN, IL	11/02/2010 - 11/15/2010

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 Principal	Approved	06/17/2022
	FINRA	General Securities Representative	Approved	06/17/2022
	FINRA	General Securities Sales Supervisor	Approved	07/20/2022
	NYSE American LLC	General Securities Principal	Approved	06/17/2022
	NYSE American LLC	General Securities Representative	Approved	06/17/2022
	NYSE American LLC	General Securities Sales Supervisor	Approved	07/20/2022
	Nasdaq Stock Market	General Securities Principal	Approved	06/17/2022
	Nasdaq Stock Market	General Securities Representative	Approved	06/17/2022
	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/20/2022
	New York Stock Exchange	General Securities Principal	Approved	06/17/2022
	New York Stock Exchange	General Securities Representative	Approved	06/17/2022
	New York Stock Exchange	General Securities Sales Supervisor	Approved	07/20/2022
	Alabama	Agent	Approved	06/27/2022



Qualifications

	Regulator	Registration	Status	Date
B	Alaska	Agent	Approved	06/27/2022
B	Arizona	Agent	Approved	06/27/2022
B	Arkansas	Agent	Approved	06/27/2022
B	California	Agent	Approved	06/27/2022
B	Colorado	Agent	Approved	06/27/2022
B	Connecticut	Agent	Approved	06/27/2022
B	Delaware	Agent	Approved	06/27/2022
B	District of Columbia	Agent	Approved	06/27/2022
B	Florida	Agent	Approved	06/27/2022
B	Georgia	Agent	Approved	06/27/2022
B	Hawaii	Agent	Approved	06/27/2022
B	Idaho	Agent	Approved	06/27/2022
B	Illinois	Agent	Approved	06/17/2022
IA	Illinois	Investment Adviser Representative	Approved	06/17/2022
B	Indiana	Agent	Approved	06/27/2022
B	Iowa	Agent	Approved	06/27/2022
B	Kansas	Agent	Approved	06/27/2022
B	Kentucky	Agent	Approved	06/27/2022
B	Louisiana	Agent	Approved	06/27/2022



Qualifications

	Regulator	Registration	Status	Date
B	Maine	Agent	Approved	06/27/2022
B	Maryland	Agent	Approved	06/27/2022
B	Massachusetts	Agent	Approved	06/27/2022
B	Michigan	Agent	Approved	06/27/2022
B	Minnesota	Agent	Approved	06/27/2022
B	Mississippi	Agent	Approved	06/27/2022
B	Missouri	Agent	Approved	06/27/2022
B	Montana	Agent	Approved	06/27/2022
B	Nebraska	Agent	Approved	06/27/2022
B	Nevada	Agent	Approved	06/27/2022
B	New Hampshire	Agent	Approved	06/27/2022
B	New Jersey	Agent	Approved	06/27/2022
B	New Mexico	Agent	Approved	06/27/2022
B	New York	Agent	Approved	06/27/2022
B	North Carolina	Agent	Approved	06/27/2022
B	North Dakota	Agent	Approved	06/27/2022
B	Ohio	Agent	Approved	06/28/2022
B	Oklahoma	Agent	Approved	06/27/2022
B	Oregon	Agent	Approved	06/27/2022



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	06/27/2022
B Puerto Rico	Agent	Approved	06/27/2022
B Rhode Island	Agent	Approved	06/27/2022
B South Carolina	Agent	Approved	06/27/2022
B South Dakota	Agent	Approved	06/27/2022
B Tennessee	Agent	Approved	06/27/2022
B Texas	Agent	Approved	06/27/2022
IA Texas	Investment Adviser Representative	Restricted Approval	07/11/2022
B Utah	Agent	Approved	06/27/2022
B Vermont	Agent	Approved	06/27/2022
B Virgin Islands	Agent	Approved	06/27/2022
B Virginia	Agent	Approved	06/27/2022
B Washington	Agent	Approved	06/27/2022
B West Virginia	Agent	Approved	06/27/2022
B Wisconsin	Agent	Approved	06/27/2022
B Wyoming	Agent	Approved	06/27/2022

Branch Office Locations

MORGAN STANLEY
111 South Pfingsten Road
Suite 200



Qualifications

Deerfield, IL 60015



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 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	07/20/2022
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	07/05/2022
B	General Securities Principal Examination (S24)	Series 24	10/22/2019

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	01/27/2009

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/02/2009



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
B	02/08/2011 - 06/13/2022	FIFTH THIRD SECURITIES, INC.	CRD# 628	WAUCONDA, IL
IA	02/08/2011 - 06/13/2022	FIFTH THIRD SECURITIES, INC.	CRD# 628	WAUCONDA, IL
B	11/02/2010 - 11/15/2010	LPL FINANCIAL CORPORATION	CRD# 6413	MUNDELEIN, IL
IA	11/02/2010 - 11/15/2010	LPL FINANCIAL CORPORATION	CRD# 6413	MUNDELEIN, IL
IA	03/03/2009 - 11/10/2010	UVEST FINANCIAL SERVICES GROUP, INC.	CRD# 13787	GURNEE, IL
B	01/28/2009 - 11/10/2010	UVEST FINANCIAL SERVICES GROUP, INC.	CRD# 13787	GURNEE, IL

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
06/2022 - Present	MORGAN STANLEY SMITH BARNEY LLC	SERVICE MANAGER	Y	DEERFIELD, IL, United States
01/2011 - 06/2022	FIFTH THIRD SECURITIES	REGISTERED REP	Y	GURNEE, IL, United States
11/2010 - 06/2022	FIFTH THIRD	PERSONAL BANKER	N	GURNEE, 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.

General Board member of a Homeowners Association. I am not listed on any banking or investment accounts.



End of Report

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