



IAPD Report

maria im

CRD# 6297982

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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

maria im (CRD# 6297982)

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 **03/01/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	05/08/2020
IA	MORGAN STANLEY	CRD# 149777	05/08/2020

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **44** 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
IA	D.A. DAVIDSON & CO.	199	LOS ANGELES, CA	05/30/2017 - 04/27/2020
B	D.A. DAVIDSON & CO.	199	LOS ANGELES, CA	10/19/2016 - 04/27/2020

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 **44** 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	05/08/2020
B	NYSE American LLC	General Securities Representative	Approved	05/08/2020
B	Nasdaq Stock Market	General Securities Representative	Approved	05/08/2020
B	New York Stock Exchange	General Securities Representative	Approved	05/08/2020
B	Arizona	Agent	Approved	06/05/2020
B	California	Agent	Approved	05/08/2020
IA	California	Investment Adviser Representative	Approved	05/08/2020
B	Colorado	Agent	Approved	06/05/2020
B	Connecticut	Agent	Approved	06/05/2020
B	Delaware	Agent	Approved	06/05/2020
B	District of Columbia	Agent	Approved	06/05/2020
B	Florida	Agent	Approved	06/05/2020
B	Georgia	Agent	Approved	06/05/2020



Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	06/05/2020
B	Idaho	Agent	Approved	06/05/2020
B	Illinois	Agent	Approved	12/03/2020
B	Indiana	Agent	Approved	06/05/2020
B	Iowa	Agent	Approved	06/05/2020
B	Kansas	Agent	Approved	04/12/2021
B	Kentucky	Agent	Approved	01/28/2022
B	Louisiana	Agent	Approved	07/30/2021
B	Maine	Agent	Approved	06/05/2020
B	Maryland	Agent	Approved	06/05/2020
B	Massachusetts	Agent	Approved	06/05/2020
B	Michigan	Agent	Approved	01/28/2022
B	Minnesota	Agent	Approved	12/03/2020
B	Missouri	Agent	Approved	12/03/2020
B	Montana	Agent	Approved	06/05/2020
B	Nebraska	Agent	Approved	06/05/2020
B	Nevada	Agent	Approved	06/05/2020
B	New Hampshire	Agent	Approved	12/03/2020
B	New Jersey	Agent	Approved	06/05/2020



Qualifications

	Regulator	Registration	Status	Date
B	New Mexico	Agent	Approved	11/30/2021
B	New York	Agent	Approved	06/05/2020
B	North Carolina	Agent	Approved	06/05/2020
B	Ohio	Agent	Approved	04/13/2021
B	Oklahoma	Agent	Approved	11/30/2021
B	Oregon	Agent	Approved	06/05/2020
B	Pennsylvania	Agent	Approved	06/05/2020
B	South Carolina	Agent	Approved	06/05/2020
B	South Dakota	Agent	Approved	12/03/2020
B	Tennessee	Agent	Approved	06/05/2020
B	Texas	Agent	Approved	06/05/2020
IA	Texas	Investment Adviser Representative	Approved	06/10/2020
B	Utah	Agent	Approved	06/05/2020
B	Virginia	Agent	Approved	06/05/2020
B	Washington	Agent	Approved	06/05/2020
B	West Virginia	Agent	Approved	11/30/2021
B	Wisconsin	Agent	Approved	06/08/2020
B	Wyoming	Agent	Approved	06/05/2020



Qualifications

Branch Office Locations

MORGAN STANLEY

100 Wilshire Boulevard
Suite 1900
Santa Monica, CA 90401



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 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

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	10/19/2016

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	05/26/2017



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	05/30/2017 - 04/27/2020	D.A. DAVIDSON & CO.	CRD# 199	LOS ANGELES, CA
B	10/19/2016 - 04/27/2020	D.A. DAVIDSON & CO.	CRD# 199	LOS ANGELES, CA

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
04/2020 - Present	MORGAN STANLEY	Sr Registered CSA	Y	Santa Monica, CA, United States
09/2015 - 04/2020	D.A. Davidson & Co.	Registered Client Associate	Y	Los Angeles, CA, United States
02/2014 - 09/2015	Merrill Lynch, Pierce, Fenner & Smith Inc.	Client Associate	Y	Beverly Hills, CA, 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.

- 1) ArtsbyMari; non-investment related; Los Angeles, CA; Hand drawn greeting cards; Owner; starting 10/1/2018; 6 hr/mo and no time during securities trading hours; hand draw and sale of greeting cards on a website.
- 2) Sunset Club; non-investment related; Los Angeles, CA; Social Club; Secretary's Assistant; starting 10/01/2019; approx 1 hr/mo; no time devoted during securities trading hours; send out meeting announcements.



End of Report

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