



IAPD Report

MICHAEL MONATLIK

CRD# 705932

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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

MICHAEL MONATLIK (CRD# 705932)

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 **11/13/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	12/06/2019
IA	MORGAN STANLEY	CRD# 149777	12/06/2019

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **41** 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	BEVERLY HILLS, CA	03/30/2011 - 01/06/2020
IA	UBS FINANCIAL SERVICES INC.	8174	BEVERLY HILLS, CA	03/30/2011 - 01/06/2020
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	BEVERLY HILLS, CA	07/05/2005 - 03/31/2011

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
Criminal	1
Customer Dispute	4



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 **41** 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	12/06/2019
B NYSE American LLC	General Securities Representative	Approved	12/06/2019
B Nasdaq Stock Market	General Securities Representative	Approved	12/06/2019
B New York Stock Exchange	General Securities Representative	Approved	12/06/2019
B Arizona	Agent	Approved	12/06/2019
B California	Agent	Approved	12/06/2019
IA California	Investment Adviser Representative	Approved	12/09/2019
B Colorado	Agent	Approved	02/27/2020
B Connecticut	Agent	Approved	12/04/2024
B Delaware	Agent	Approved	06/09/2023
B District of Columbia	Agent	Approved	10/15/2020
B Florida	Agent	Approved	12/06/2019
B Georgia	Agent	Approved	12/06/2019



Qualifications

Regulator	Registration	Status	Date
B Hawaii	Agent	Approved	04/09/2020
B Idaho	Agent	Approved	12/06/2019
B Illinois	Agent	Approved	12/06/2019
B Indiana	Agent	Approved	06/13/2022
B Iowa	Agent	Approved	06/08/2023
B Kansas	Agent	Approved	02/05/2025
B Kentucky	Agent	Approved	12/13/2021
B Louisiana	Agent	Approved	01/07/2020
B Maryland	Agent	Approved	12/09/2019
B Massachusetts	Agent	Approved	01/21/2020
B Michigan	Agent	Approved	06/07/2023
B Minnesota	Agent	Approved	06/06/2023
B Montana	Agent	Approved	12/04/2024
B Nebraska	Agent	Approved	11/22/2023
B Nevada	Agent	Approved	12/06/2019
B New Jersey	Agent	Approved	12/06/2019
B New Mexico	Agent	Approved	12/06/2019
B New York	Agent	Approved	12/06/2019
B North Carolina	Agent	Approved	12/05/2024



Qualifications

Regulator	Registration	Status	Date
B Ohio	Agent	Approved	12/06/2019
B Oklahoma	Agent	Approved	12/04/2024
B Oregon	Agent	Approved	01/10/2020
B Pennsylvania	Agent	Approved	06/06/2023
B Puerto Rico	Agent	Approved	06/14/2023
B South Carolina	Agent	Approved	11/19/2025
B South Dakota	Agent	Approved	12/03/2020
B Tennessee	Agent	Approved	05/20/2020
B Texas	Agent	Approved	12/06/2019
IA Texas	Investment Adviser Representative	Restricted Approval	12/06/2019
B Utah	Agent	Approved	04/27/2022
B Virgin Islands	Agent	Approved	07/02/2021
B Virginia	Agent	Approved	10/13/2020
B Washington	Agent	Approved	11/30/2020
B Wisconsin	Agent	Approved	12/05/2024

Branch Office Locations

MORGAN STANLEY
9665 Wilshire Boulevard
Suite 600
Beverly Hills, CA 90212



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
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	03/15/1980
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State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	12/03/1981
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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	03/30/2011 - 01/06/2020	UBS FINANCIAL SERVICES INC.	CRD# 8174	BEVERLY HILLS, CA
IA	03/30/2011 - 01/06/2020	UBS FINANCIAL SERVICES INC.	CRD# 8174	BEVERLY HILLS, CA
B	07/05/2005 - 03/31/2011	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	BEVERLY HILLS, CA
IA	07/05/2005 - 03/31/2011	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	BEVERLY HILLS, CA
IA	01/24/2001 - 07/06/2005	MORGAN STANLEY	CRD# 7556	BEVERLY HLS, CA
B	04/24/1999 - 07/06/2005	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	01/27/1986 - 03/29/1999	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	07/28/1983 - 02/11/1986	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	
B	03/20/1980 - 02/01/1984	MUNICICORP OF CALIFORNIA	CRD# 7184	

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
01/2020 - Present	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
12/2019 - Present	MORGAN STANLEY SMITH BARNEY LLC	FINANCIAL ADVISOR	Y	BEVERLY HILLS, CA, United States
03/2011 - 12/2019	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	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. PAUL LIGHT TRUST / TRUST / 19647 MAYALL STREET NORTHRIDGE, CA 91324 / TRUSTEE / NON PROFIT / WILL YOU



Registration & Employment History



OTHER BUSINESS ACTIVITIES

HAVE AUTHORITY TO MAKE INVESTMENT DECISIONS FOR THE COMPANY? NO / START DATE 03/13/1991 - 03/31/2012 / 2 HRS PER MONTH.

2. *409762 - Pevi LLP; Investment related - Yes; Encino, California; Real Estate; Partner (proprietor, partner, officer, director, employee, trustee, agent); 09/2009; During business hours: 0; After business hours: 02;



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
Criminal	1
Customer Dispute	4

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	COUNTY COURT OF THE STATE OF NEW YORK COUNTY OF NASSAU INNDICTMENT NUMBER 36049
Charge Date:	02/27/1973
Charge Details:	CRIMINAL CHARGE OF SALE OF DANGEROUS DRUGS-FELONY CHARGE. 4 COUNTS.PLEAD GUILTY TO MISDEMEANOR POSSESSION OF DANGEROUS DRUGS.
Felony?	Yes
Current Status:	Final
Status Date:	03/10/1973
Disposition Details:	PLED GUILTY TO MISDEMEANOR CHARGE OF POSSESSION OF DANGEROUS DRUGS.PAID A FINE OF \$100.00



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 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: UBS Financial Services Inc.

Allegations: Michael Monatlik was a subject of a customer's complaint against his member firm that asserted the following causes of action: unsuitable investments and investment strategy; breach of duty to provide information; failure to supervise; vicarious liability; breach of contract; violations of securities regulatory rules; common law claims, including intentional and negligent misrepresentations of material fact, self-dealing, unjust enrichment, breach of duty of good faith and fair dealing, negligence, intentional, fraudulent and/or gross negligence and reckless disregard; violations of the California Corporate Securities Law of 1968; breach of fiduciary duty; elder abuse; fraud; misrepresentation/non-disclosures; omission of facts; and violation of Blue Sky Laws.

Product Type: Debt-Corporate
Debt-Government
Direct Investment-DPP & LP Interests

Alleged Damages: \$50,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: FINRA - CASE #18-00730

Date Notice/Process Served: 02/22/2018

Arbitration Pending? No

Disposition: Award

Disposition Date: 08/10/2018

Disposition Detail: Michael Monatlik was a Subject Of the customer's complaint alleging Michael Monatlik and his member firm caused sales practice violations. Michael Monatlik's member firm is liable for and shall pay to Claimant \$28,950.50, plus interest, in compensatory damages. Respondent is liable for and shall pay to Claimant \$600.00 to reimburse Claimant for the filing fee previously paid to FINRA Office of Dispute Resolution.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS Financial Services Inc.

Allegations: Time frame:
May 2011 - February 2018
Allegations:



Claimant alleges that the Financial Advisor recommended unsuitable investments in Puerto Rican municipal bonds and master limited partnerships and misrepresented their risks.

Product Type: Other: Municipal bonds and master limited partnerships.

Alleged Damages: \$50,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 18-00730

Filing date of arbitration/CFTC reparation or civil litigation: 03/22/2018

Customer Complaint Information

Date Complaint Received: 03/22/2018

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 08/09/2018

Settlement Amount: \$37,379.03

Individual Contribution Amount: \$0.00

Disclosure 2 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS Financial Services Inc.

Allegations: Time Frame: April 11, 2013 to September 28, 2017
What were the allegations against the individual?
The client's son who has authority alleges that the Financial Advisor made unauthorized transactions. He further alleges the transactions were not suitable based on their advanced age, lack of sophistication and limited asset base. The alleged damages are estimated to exceed \$5,000.00.

Product Type: Other: Municipal Bonds

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Estimated to be in excess of 5k

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: 01/27/2018

Complaint Pending? No

Status: Settled

Status Date: 07/05/2018

Settlement Amount: \$47,800.00

Individual Contribution
Amount: \$0.00

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: MORGAN STANLEY DW INC.

Allegations: CUSTOMER ALLEGES THAT FINANCIAL ADVISOR MADE UNSUITABLE INVESTMENTS AND FAILED TO FOLLOW INSTRUCTIONS ON OR ABOUT NOVEMBER 2004.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$10,500.00

Customer Complaint Information

Date Complaint Received: 04/05/2005

Complaint Pending? No

Status: Denied

Status Date: 05/10/2005

Settlement Amount: \$0.00

Individual Contribution
Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: MORGAN STANLEY DW INC.

Allegations: CLIENTS ALLEGE MISREPRESENTATION, SUITABILITY VIOLATIONS, NEGLIGENCE & FAILURE TO SUPERVISE.

Product Type: Equity - OTC

Alleged Damages: \$89,141.00

Customer Complaint Information



Date Complaint Received: 06/06/2002
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 12/15/2004

Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO. 02-10327

Date Notice/Process Served: 06/06/2002
Arbitration Pending? No
Disposition: Settled
Disposition Date: 12/15/2004

Monetary Compensation Amount: \$24,999.99
Individual Contribution Amount: \$0.00

Broker Statement MR. MONATLIK STRONGLY DENIES ANY WRONGDOING. MATTER WAS SETTLED BY MORGAN STANLEY PURELY TO AVOID COSTS AND UNCERTAINTY OF LITIGATION.



End of Report

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