



## IAPD Report

# MICHAEL PETER DOUMANI

CRD# 71063

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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 PETER DOUMANI (CRD# 71063)

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 **04/08/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	MORGAN STANLEY	CRD# 149777	06/01/2009
<b>IA</b>	MORGAN STANLEY	CRD# 149777	06/01/2009

### QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **35** 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>	CITIGROUP GLOBAL MARKETS INC.	7059	LOS ANGELES, CA	07/27/2004 - 06/01/2009
<b>B</b>	CITIGROUP GLOBAL MARKETS INC.	7059	LOS ANGELES, CA	05/27/2000 - 06/01/2009
<b>B</b>	SCHRODER & CO. INC.	6112	NEW YORK, NY	03/08/1996 - 05/27/2000

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
Regulatory Event	1
Customer Dispute	2



## 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 **35** 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>B</b>	FINRA	General Securities Representative	Approved	06/01/2009
<b>B</b>	FINRA	Municipal Securities Principal	Approved	06/01/2009
<b>B</b>	FINRA	Municipal Securities Representative	Approved	06/01/2009
<b>B</b>	NYSE American LLC	General Securities Representative	Approved	06/17/2011
<b>B</b>	NYSE American LLC	Municipal Securities Principal	Approved	06/17/2011
<b>B</b>	NYSE American LLC	Municipal Securities Representative	Approved	06/17/2011
<b>B</b>	Nasdaq Stock Market	General Securities Representative	Approved	06/01/2009
<b>B</b>	New York Stock Exchange	General Securities Representative	Approved	06/01/2009
<b>B</b>	New York Stock Exchange	Municipal Securities Principal	Approved	06/26/2010
<b>B</b>	New York Stock Exchange	Municipal Securities Representative	Approved	06/26/2010
<b>B</b>	Arizona	Agent	Approved	12/05/2017
<b>B</b>	California	Agent	Approved	06/01/2009
<b>IA</b>	California	Investment Adviser Representative	Approved	06/01/2009



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Colorado	Agent	Approved	01/11/2010
<b>B</b> Connecticut	Agent	Approved	01/12/2023
<b>B</b> Delaware	Agent	Approved	12/10/2025
<b>B</b> Florida	Agent	Approved	06/01/2009
<b>B</b> Georgia	Agent	Approved	02/13/2015
<b>B</b> Hawaii	Agent	Approved	10/09/2014
<b>B</b> Idaho	Agent	Approved	08/10/2009
<b>B</b> Illinois	Agent	Approved	06/01/2009
<b>B</b> Iowa	Agent	Approved	11/29/2022
<b>B</b> Kentucky	Agent	Approved	12/11/2025
<b>B</b> Maryland	Agent	Approved	06/01/2009
<b>B</b> Massachusetts	Agent	Approved	06/01/2009
<b>B</b> Michigan	Agent	Approved	12/11/2025
<b>B</b> Montana	Agent	Approved	04/12/2021
<b>B</b> Nebraska	Agent	Approved	12/16/2025
<b>B</b> Nevada	Agent	Approved	04/08/2015
<b>B</b> New Hampshire	Agent	Approved	12/11/2025
<b>B</b> New Jersey	Agent	Approved	02/15/2023
<b>B</b> New Mexico	Agent	Approved	11/28/2022



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> New York	Agent	Approved	06/01/2009
<b>B</b> North Carolina	Agent	Approved	11/28/2022
<b>B</b> Ohio	Agent	Approved	11/27/2022
<b>B</b> Oregon	Agent	Approved	08/16/2013
<b>B</b> Pennsylvania	Agent	Approved	07/10/2024
<b>B</b> South Carolina	Agent	Approved	11/28/2022
<b>B</b> South Dakota	Agent	Approved	12/10/2025
<b>B</b> Tennessee	Agent	Approved	11/30/2022
<b>B</b> Texas	Agent	Approved	08/06/2018
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	03/03/2020
<b>B</b> Utah	Agent	Approved	02/01/2021
<b>B</b> Virginia	Agent	Approved	03/31/2025
<b>B</b> Washington	Agent	Approved	06/30/2022
<b>B</b> Wisconsin	Agent	Approved	06/01/2009
<b>B</b> Wyoming	Agent	Approved	03/04/2020

### Branch Office Locations

**MORGAN STANLEY**  
Bel Air, CA






## 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, 6 general industry/product exams, and 1 state securities law exam.**


#### Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	11/28/1988
 NYSE Branch Manager Examination (S12)	Series 12	12/08/1975
 Registered Principal Examination (S40)	Series 40	03/13/1975

#### General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 AMEX Put and Call Exam (PC)	PC	09/02/1977
 General Securities Principal Examination (S000)	Series 000	06/08/1966
 Registered Representative Examination (S1)	Series 1	06/08/1966

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/04/1990



## 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	07/27/2004 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	LOS ANGELES, CA
B	05/27/2000 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	LOS ANGELES, CA
B	03/08/1996 - 05/27/2000	SCHRODER & CO. INC.	CRD# 6112	NEW YORK, NY
B	07/09/1990 - 02/05/1996	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	08/08/1988 - 06/15/1990	DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION	CRD# 7560	JERSEY CITY, NJ
B	08/03/1983 - 08/02/1988	MORGAN, OLMSTEAD, KENNEDY & GARDNER INCORPORATED	CRD# 595	
B	06/08/1966 - 07/25/1983	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED	CRD# 76	
B	01/21/1974 - 06/09/1975	DANIEL REEVES & CO. INCORPORATED	CRD# 3144	
B	06/09/1966 - 02/21/1974	SHEARSON, HAMMILL & CO., INCORPORATED	CRD# 766	

### 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
01/2015 - Present	MORGAN STANLEY PRIVATE BANK, N.A.	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - Present	MORGAN STANLEY SMITH BARNEY LLC	FINANCIAL ADVISOR	Y	BEL AIR, 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.

\*393799 - Investment related Yes; Trustee/Co-Trustee (proprietor, partner, officer, director, employee, trustee, agent); March 2020; During business hours: 0; After business hours: 1; Estate Administration

\*535685 - Trust; Investment related: Yes; Napa, California; Trust; Trustee/Co-Trustee; 01/2023; During business hours: 1; After



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

business hours: 0;

\*555410 - MICHAEL AND PAIGE DOUMANI FOUNDATION; Investment related-No; LOS ANGELES, California; CHARITABLE GIVING; Officer (proprietor, partner, officer, director, employee, trustee, agent); 09/2016; During business hours: 0; After business hours: 1; Check Signing/Funds Disbursements, Investment Decisions/Advice



## 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
Regulatory Event	1
Customer Dispute	2

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 01/23/1979

**Docket/Case Number:** CA-741

**Employing firm when activity occurred which led to the regulatory action:** BATEMAN EICHLER, HILL RICARDS, INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Decision

**Resolution Date:** 12/27/1980

**Sanctions Ordered:** Censure  
Monetary/Fine \$1,500.00

**Other Sanctions Ordered:**

**Sanction Details:**



**Regulator Statement** COMPLAINT #CA-741 FILED 1-23-79 DIST 2S DECISION RENDERED 10-11-79 CENSURED 11-26-79 B/G REVIEW 11-28-80 B/G DECISION PENALTIES IMPOSED ARE MODIFIED CENSURED; FINED \$1,500 J & S 12-27-80 FINAL .. 1-14-81: FC #7821 PD. J&S. THE COMPLAINT CHARGED BATEMAN EICHLER, HILL RICHARDS, INC. AND DOUMANI WITH VIOLATION OF ARTICLE III, SECTIONS 1,2, AND 27 OF THE RULES OF FAIR PRACTICE BY FAILING TO ADEQUATELY SUPERVISE A FORMER ACCOUNT EXECUTIVE.

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**Reporting Source:** Firm  
**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.  
**Sanction(s) Sought:**  
**Other Sanction(s) Sought:**  
**Date Initiated:** 01/23/1979  
**Docket/Case Number:** CA-741  
**Employing firm when activity occurred which led to the regulatory action:** BATEMAN EICHLER, HILL RICARDS, INC.  
**Product Type:**  
**Other Product Type(s):**  
**Allegations:**  
**Current Status:** Final  
**Resolution:** Decision  
**Resolution Date:** 12/27/1980  
**Sanctions Ordered:** Censure  
Monetary/Fine \$1,500.00

**Other Sanctions Ordered:****Sanction Details:**

**Firm Statement** 8/13/83, U5 RECEIVED FROM BATEMAN EICHLER, HILL RICHARDS, INC. DISCLOSES A VOLUNTARY TERMINATION ON 7/25/83, ITEMS 13A AND 13B ANSWERED YES TO DISCLOSE A CENSURE AND FINE BY THE NASD IN COMPLAINT #CA-741 DATED 12/27/80. SEE DISC. FOR DETAILS.

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**Reporting Source:** Individual  
**Regulatory Action Initiated By:** NASD DISTRICT BUSINESS CONDUCT COMMITTEE  
**Sanction(s) Sought:**  
**Other Sanction(s) Sought:**  
**Date Initiated:** 01/23/1979  
**Docket/Case Number:** CA-741



<b>Employing firm when activity occurred which led to the regulatory action:</b>	BATEMAN EICHLER, HILL RICARDS, INC.
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	LACK OF SUPERVISION
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision
<b>Resolution Date:</b>	12/27/1980
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$1,500.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	CENSURE AND FINE
<b>Broker Statement</b>	COMPLAINT CHARGED THAT BATEMAN EICHLER AND MICHAEL DOUMANI WERE IN VIOLATION OF ARTICLE III, SECTIONS 1, 2 AND 27 OF THE NASD'S RULES OF FAIR PRACTICE BY FAILING TO ADEQUATELY SUPERVISE A FORMER ACCOUNT EXECUTIVE. (SEE ATTACHMENT)



## 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 2

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** CITIGROUP GLOBAL MARKETS, INC.

**Allegations:** CLIENT ALLEGED THAT THERE WERE TRADES MADE IN HER ACCOUNT WITHOUT HER AUTHORIZATION. DAMAGES UNSPECIFIED.

**Product Type:** Unit Investment Trust(s)

**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 12/12/2007

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/18/2008

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** CLAIM DENIED.

### Disclosure 2 of 2

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** CITIGROUP GLOBAL MARKETS, INC.

**Allegations:** CLAIMANTS ALLEGE THAT DURING : 8/20/03 THROUGH 8/31/07, THE FA RECOMMENDED UNSUITABLE INVESTMENTS. CLAIMANTS ALSO ALLEGE BREACH OF CONTRACT, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, FRAUD AND FAILURE TO SUPERVISE.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$400,000.00

### Customer Complaint Information

**Date Complaint Received:** 12/06/2007

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 01/15/2008



**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** FINRA #08-00073

**Date Notice/Process Served:** 01/15/2008

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 09/17/2008

**Monetary Compensation Amount:** \$90,000.00

**Individual Contribution Amount:** \$0.00



## End of Report

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