

BrokerCheck Report

CRAIG LAMBERT MASSEY

CRD# 1267853

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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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**CRAIG L. MASSEY**

CRD# 1267853

Currently employed by and registered with the following Firm(s):

IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 800 CAPITOL ST
 PBIG - HOUSTON II
 HOUSTON, TX 77002
 CRD# 7691
 Registered with this firm since: 04/19/2013

B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 800 CAPITOL ST
 PBIG - HOUSTON II
 HOUSTON, TX 77002
 CRD# 7691
 Registered with this firm since: 04/19/2013

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 6 Self-Regulatory Organizations
- 36 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- IA MORGAN STANLEY**
 CRD# 149777
 PURCHASE, NY
 06/2009 - 05/2013
- B MORGAN STANLEY**
 CRD# 149777
 HOUSTON, TX
 06/2009 - 05/2013
- IA MORGAN STANLEY & CO. INCORPORATED**
 CRD# 8209
 NEW YORK, NY
 04/2007 - 06/2009

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 6 SROs and is licensed in 36 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**

Main Office Address: **ONE BRYANT PARK
NEW YORK, NY 10036**

Firm CRD#: **7691**

	SRO	Category	Status	Date
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	05/14/2014
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/14/2014
B	Cboe Exchange, Inc.	General Securities Representative	Approved	04/19/2013
B	FINRA	General Securities Representative	Approved	04/19/2013
B	Nasdaq Stock Market	General Securities Representative	Approved	04/19/2013
B	New York Stock Exchange	General Securities Representative	Approved	04/19/2013

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	04/19/2013
B	Alaska	Agent	Approved	07/11/2017
B	Arizona	Agent	Approved	10/23/2020
B	Arkansas	Agent	Approved	01/24/2018
B	California	Agent	Approved	04/19/2013
B	Colorado	Agent	Approved	08/01/2016
B	Connecticut	Agent	Approved	09/20/2022

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Delaware	Agent	Approved	12/03/2020
B	District of Columbia	Agent	Approved	09/20/2022
B	Florida	Agent	Approved	04/19/2013
B	Georgia	Agent	Approved	01/07/2016
B	Idaho	Agent	Approved	10/23/2020
B	Illinois	Agent	Approved	12/15/2021
B	Indiana	Agent	Approved	01/04/2023
B	Louisiana	Agent	Approved	04/19/2013
B	Massachusetts	Agent	Approved	08/01/2016
B	Michigan	Agent	Approved	11/03/2020
B	Mississippi	Agent	Approved	05/19/2025
B	Missouri	Agent	Approved	02/12/2019
B	Montana	Agent	Approved	11/01/2023
B	Nevada	Agent	Approved	07/07/2020
B	New Hampshire	Agent	Approved	10/08/2018
B	New Jersey	Agent	Approved	09/14/2021
B	New York	Agent	Approved	04/19/2013
B	North Carolina	Agent	Approved	04/19/2013
B	Ohio	Agent	Approved	10/03/2021
B	Oklahoma	Agent	Approved	04/19/2013
B	Oregon	Agent	Approved	04/19/2013



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Puerto Rico	Agent	Approved	11/10/2022
B	Rhode Island	Agent	Approved	10/22/2020
B	South Carolina	Agent	Approved	08/01/2016
B	Tennessee	Agent	Approved	04/19/2013
B	Texas	Agent	Approved	04/19/2013
IA	Texas	Investment Adviser Representative	Approved	04/19/2013
B	Utah	Agent	Approved	06/22/2015
B	Virginia	Agent	Approved	04/19/2013
B	Washington	Agent	Approved	04/25/2019

Branch Office Locations

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 800 CAPITOL ST
 PBIG - HOUSTON II
 HOUSTON, TX 77002



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Direct Participation Programs Principal Examination	Series 39	08/30/1984

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	02/09/2005
B General Securities Representative Examination	Series 7	04/07/1994
B Direct Participation Programs Representative Examination	Series 22	06/21/1984

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	04/11/1995
B Uniform Securities Agent State Law Examination	Series 63	06/11/1984

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 06/2009 - 05/2013	MORGAN STANLEY	149777	HOUSTON, TX
IA 06/2009 - 05/2013	MORGAN STANLEY	149777	HOUSTON, TX
B 04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	HOUSTON, TX
IA 04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	HOUSTON, TX
IA 11/1998 - 04/2007	MORGAN STANLEY	7556	HOUSTON, TX
B 11/1998 - 04/2007	MORGAN STANLEY DW INC.	7556	HOUSTON, TX
B 07/1994 - 12/1998	CIBC OPPENHEIMER CORP.	630	NEW YORK, NY
B 12/1992 - 07/1994	MML INVESTORS SERVICES, INC.	10409	SPRINGFIELD, MA
B 11/1984 - 12/1990	PEREGRINE SECURITIES CORPORATION	15562	
B 09/1988 - 10/1989	BALLANTRAE SECURITIES, INC.	23014	
B 08/1984 - 02/1985	THE DEERING MASSEY GROUP	14430	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
04/2013 - Present	BANK OF AMERICA, N.A.	MANAGING DIRECTOR-WEALTH MANAG	Y	HOUSTON, TX, United States
04/2013 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	MANAGING DIRECTOR-WEALTH MANAG	Y	HOUSTON, TX, United States



Registration and Employment History

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

*PBK JOINT VENTURE. LIMITED PARTNER WITH 628 HIGHWAY 3 LTD. *MEMBER WITH THE AMERICAN DIABETES ASSOCIATION.*MK RESOURCE PARTNERS, LP LEASE PROPERTY, PARTICIAPTE IN DRILLING.*FOR-PROFIT ORG; CAPM INVESTMENTS LTD; INVESTMENT RELATED: Y; ADDRESS: HOUSTON, TEXAS 77019; POSITION, TITLE, ASSOCIATION: OWNER; START DATE: 3/1/2000; HOURS DEVOTED: 1 HR MTHLY; HOURS DEVOTED DURING TRADING HOURS: 0; DUTIES: ESTATE PLANNING INV LP.*FOR-PROFIT ORG; NAME: MASSI MANAGEMENT CORPORATION; INVESTMENT RELATED: Y; ADDRESS OF BUSINESS: HOUSTON, TEXAS 77019; NATURE OF BUSINESS: CORPORATION; POSITION, TITLE, ASSOCIATION: OWNER; START DATE OF RELATIONSHIP: 3/1/2000; HOURS DEVOTED: 3 HRS MTHLY; HOURS DEVOTED DURING TRADING HOURS: 0; DUTIES: PRESIDENT AND SOLE SHAREHOLDER, GP OF CAPM INVS. LTD.*FOR PROFIT ORG; GEORGES - MASSEY FAMILY PARTNERS LP; INVESTMENT RELATED: Y; ADDRESS: HOUSTON, TEXAS 77019; NATURE OF BUS: LIMITED PARTNERSHIP; POSITION: GENERAL PARTNER; START DATE OF RELATIONSHIP: 10/20/1997; HOURS DEVOTED: 10 HRS ANNUALLY; HOURS DEVOTED DURING TRADING HOURS: 0; DUTIES: OWNS ASSET TO BENEFIT CHILDREN.*FOR PROFIT ORG; FAMILY TRUST; INVESTMENT RELATED: Y; ADDRESS OF BUSINESS: HOUSTON, TEXAS 77251; POSITION, TITLE, ASSOCIATION: TRUSTEE; START DATE: 12/16/2012; HOURS DEVOTED: 1 HR ANNUALLY; HOURS DEVOTED DURING TRADING HOURS: 0; DUTIES: STANDING IN AS TRUSTEE UNTIL CHILD TURNS 18*FOR PROFIT ORG; FAMILY TRUST; INVESTMENT RELATED: Y; ADDRESS OF BUSINESS: HOUSTON, TEXAS 77257; NATURE OF BUSINESS: TRUST; POSITION, TITLE, ASSOCIATION: TRUSTEE; START DATE OF RELATIONSHIP: 12/17/2012; HOURS DEVOTED: 1 HR ANNUALLY; HOURS DEVOTED DURING TRADING HOURS: 0; DUTIES: STEP IN UNTIL CHILD TURNS 18 I*113097; Non-Profit Organization; Name: Art League Houston - Texas Artists Today 2; Investment related: No; Address: Houston, Texas 77006 Position: Consultant; Start date: 4/28/2018; Hours devoted: 10 hrs Mthly; Hours devoted during trading hours: 0; Duties: Entity is a non profit to support artists - the book is a project of the charity to empower artists I*455809For profit or not for profit: Entity For Profit Name of outside business organization: McHeadley Society Investment related: No Address of business: Houston, TX Position: Owner, Start date of relationship: 8/1/2023 Hours devoted: 1 hr Yearly Hours devoted during trading hours: 0 Duties: Member - run a golf tournament every two years. I* 1022421 Entity Type: For Profit Name: Massey Art Park LLC Investment related: No Address: Houston, TX, 77089Nature of business: Limited Liability Company Position, title, association: General Partner/Managing Member Start date of relationship: 02/01/2021Number of hours devoted: 2 monthly Number of hours devoted during trading hours: 0 Duties: The is a real estate property in Houston that is owned by my three daughters Trusts and my entity CAPM Investments, LTD and its GP Massi Managment Corp which is disclosed in AIM and I own 100%.i have a professional third party company fixing the property it will be rented long term. There are no members outside my family with any ownership .I*: 2132284Entity Type: Entity For Profit Name of OBA: River Oaks Country ClubAddress:Houston,TX77019Investment Related: No Position: Board Member, Director Employee Start Date: 05/01/2025 Hours:1hr mthly Hours during trading:0 Duties: Board member of the Country Club. I would attend about 10 board meetings over a three year period and likely oversee the wine committee. I*: 2477303 Entity Type: Charitable Name of OBA: The Afrofuturism Impulse, A. M. - Art Book Address: Houston, Texas, 77277 Investment Related: No Position Loan Holder Employee Start Date: 06/01/2025Number of Hours: 2 hrs mthly Number of Hours during trading: 0 Duties: I will loan the entity funds for the book, with no profit expectation. the cost will be approx \$150,000. I get my money back from CAPM Inv. Ltd then the profits go to the artist and the head editor writer, head of Religious studies at Rice Univ.

End of Report



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