

BrokerCheck Report

JERRI KAY WENTZ

CRD# 1277833

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8



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.

JERRI K. WENTZ

CRD# 1277833

Currently employed by and registered with the following Firm(s):**IA MORGAN STANLEY**

7755 Montgomery Road
2Nd Floor
Cincinnati, OH 45236
CRD# 149777

Registered with this firm since: 01/15/2016

B MORGAN STANLEY

7755 Montgomery Road
2Nd Floor
Cincinnati, OH 45236
CRD# 149777

Registered with this firm since: 01/15/2016

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:

- 4 Self-Regulatory Organizations
- 25 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

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**

Registration History

This broker was previously registered with the following securities firm(s):**IA PNC INVESTMENTS**

CRD# 129052
PITTSBURGH, PA
06/2004 - 01/2016

B PNC INVESTMENTS

CRD# 129052
CINCINNATI, OH
06/2004 - 01/2016

B FIFTH THIRD SECURITIES, INC.

CRD# 628
CINCINNATI, OH
03/1999 - 07/2004

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 4 SROs and is licensed in 25 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **MORGAN STANLEY**

Main Office Address: **2000 WESTCHESTER AVENUE
PURCHASE, NY 10577-2530**

Firm CRD#: **149777**

SRO	Category	Status	Date
FINRA	General Securities Representative	Approved	01/15/2016
NYSE American LLC	General Securities Representative	Approved	01/15/2016
Nasdaq Stock Market	General Securities Representative	Approved	01/15/2016
New York Stock Exchange	General Securities Representative	Approved	01/15/2016

U.S. State/ Territory	Category	Status	Date
Arizona	Agent	Approved	06/09/2016
Arkansas	Agent	Approved	07/20/2017
California	Agent	Approved	04/26/2016
Colorado	Agent	Approved	01/15/2016
District of Columbia	Agent	Approved	04/26/2016
Florida	Agent	Approved	01/15/2016
Georgia	Agent	Approved	04/26/2016
Illinois	Agent	Approved	01/15/2016
Indiana	Agent	Approved	01/15/2016

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Kentucky	Agent	Approved	01/15/2016
B Maryland	Agent	Approved	06/08/2021
B Michigan	Agent	Approved	04/26/2016
B Nebraska	Agent	Approved	11/18/2025
B Nevada	Agent	Approved	06/22/2016
B New Jersey	Agent	Approved	06/17/2020
B New York	Agent	Approved	01/15/2016
B North Carolina	Agent	Approved	01/15/2016
B Ohio	Agent	Approved	01/15/2016
IA Ohio	Investment Adviser Representative	Approved	01/15/2016
B Pennsylvania	Agent	Approved	01/15/2016
B South Carolina	Agent	Approved	01/15/2016
B Tennessee	Agent	Approved	08/26/2021
B Texas	Agent	Approved	04/26/2016
IA Texas	Investment Adviser Representative	Restricted Approval	06/29/2016
B Virginia	Agent	Approved	01/15/2016
B Washington	Agent	Approved	01/15/2016
B West Virginia	Agent	Approved	09/22/2021

Branch Office Locations

MORGAN STANLEY
7755 Montgomery Road

Broker Qualifications



Employment 1 of 1, continued

2Nd Floor
Cincinnati, OH 45236

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	12/04/1991

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/14/1992
B Uniform Securities Agent State Law Examination	Series 63	12/13/1991

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
IA 06/2004 - 01/2016	PNC INVESTMENTS	129052	CINCINNATI, OH
B 06/2004 - 01/2016	PNC INVESTMENTS	129052	CINCINNATI, OH
B 03/1999 - 07/2004	FIFTH THIRD SECURITIES, INC.	628	CINCINNATI, OH
B 07/1997 - 03/1999	FIFTH THIRD SECURITIES, INC.	3155	CINCINNATI, OH
B 07/1993 - 07/1997	SMITH BARNEY INC.	7059	NEW YORK, NY
B 12/1991 - 07/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY

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
02/2016 - Present	MORGAN STANLEY PRIVATE BANK, N.A.	FINANCIAL ADVISOR ASSOCIATE	Y	NEW YORK, NY, United States
01/2016 - Present	MORGAN STANLEY	FINANCIAL ADVISOR	Y	CINCINNATI, OH, United States

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.

1. TWO RENTAL PROPERTIES, PART OWNER; CINCINNATI, OH; DURING BUSINESS HOURS- 0, AFTER BUSINESS HOURS- 0; START DATE 8/2003 & 3/2008

2. CRUMP LIFE INSURANCE, 4135 NORTH FRONT STREET, HARRISBURG, PA 17110. LIFE, LONG TERM CARE AND DISABILITY INSURANCE SALES AND MARKETING AGENT. NUMBER OF HOURS PER MONTH WILL VARY. SALES OF VARIABLE AND TRADITIONAL LIFE INSURANCE, LONG-TERM CARE AND DISABILITY INSURANCE TO PNC INVESTMENTS' CUSTOMERS. THERE IS AN AGREEMENT

Registration and Employment History



Other Business Activities, continued

BETWEEN CRUMP AND PNC INSURANCE SERVICES, LLC.

3. Rental Property; Cincinnati, OH; Rental; Investment related; Sole Proprietor / Owner / Partner; 05/2017; During business hours: 0; After business hours: 0

5. LLC to manage Real Estate; Non Investment Related; Fayetteville OH; Rental Property; Sole Proprietor / Owner / Partner; Aug/2007; During business hours: 0; After business hours: 1; none, husband manages it

6. *394350 - Wentz Design LLC; Investment related - Yes; Cincinnati, Ohio; Construction/Engineering; Partner (proprietor, partner, officer, director, employee, trustee, agent); Nov 2004; During business hours: 0; After business hours: 0.

*331631 - Wentz Properties I, LLC; Investment related: Yes; Cincinnati, Ohio; Rental Property; Partner (proprietor, partner, officer, director, employee, trustee, agent); 01/2016; During business hours: 0; After business hours: 0; my husband manages these properties. I am not compensated

End of Report



This page is intentionally left blank.