

## BrokerCheck Report

### JAMES JAY HALLMAN

CRD# 2158456

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**JAMES J. HALLMAN**

CRD# 2158456

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

1111 Coast Village Road  
Montecito, CA 93108  
CRD# 149777

Registered with this firm since: 04/21/2017

**B MORGAN STANLEY**

1111 Coast Village Road  
Montecito, CA 93108  
CRD# 149777

Registered with this firm since: 04/21/2017

## 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
- 32 U.S. states and territories

**This broker has passed:**

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

### Registration History

**This broker was previously registered with the following securities firm(s):****IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**

CRD# 7691  
NEW YORK, NY  
07/1997 - 04/2017

**B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**

CRD# 7691  
SANTA BARBARA, CA  
07/1991 - 04/2017

### 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 4 SROs and is licensed in 32 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
<b>B</b> FINRA	General Securities Representative	Approved	04/21/2017
<b>B</b> NYSE American LLC	General Securities Representative	Approved	04/21/2017
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	10/27/2023
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	04/21/2017

U.S. State/ Territory	Category	Status	Date
<b>B</b> Alabama	Agent	Approved	05/03/2017
<b>B</b> Arizona	Agent	Approved	04/21/2017
<b>B</b> California	Agent	Approved	04/21/2017
<b>IA</b> California	Investment Adviser Representative	Approved	04/21/2017
<b>B</b> Colorado	Agent	Approved	04/21/2017
<b>IA</b> Colorado	Investment Adviser Representative	Approved	02/08/2023
<b>B</b> Connecticut	Agent	Approved	06/28/2023
<b>B</b> Delaware	Agent	Approved	10/20/2023
<b>B</b> Florida	Agent	Approved	04/21/2017

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
<b>B</b>	Georgia	Agent	Approved	04/21/2017
<b>B</b>	Hawaii	Agent	Approved	12/11/2017
<b>B</b>	Idaho	Agent	Approved	11/27/2018
<b>B</b>	Indiana	Agent	Approved	04/21/2017
<b>B</b>	Louisiana	Agent	Approved	07/13/2021
<b>B</b>	Maine	Agent	Approved	04/21/2017
<b>B</b>	Maryland	Agent	Approved	11/25/2019
<b>B</b>	Massachusetts	Agent	Approved	10/07/2020
<b>B</b>	Michigan	Agent	Approved	10/20/2023
<b>B</b>	Mississippi	Agent	Approved	10/20/2023
<b>B</b>	Montana	Agent	Approved	04/21/2020
<b>B</b>	Nevada	Agent	Approved	04/21/2017
<b>B</b>	New Hampshire	Agent	Approved	10/20/2023
<b>B</b>	New Jersey	Agent	Approved	03/08/2022
<b>B</b>	New Mexico	Agent	Approved	04/21/2017
<b>B</b>	New York	Agent	Approved	04/21/2017
<b>B</b>	Oklahoma	Agent	Approved	10/20/2023
<b>B</b>	Oregon	Agent	Approved	07/15/2019
<b>B</b>	Pennsylvania	Agent	Approved	04/21/2017
<b>B</b>	Texas	Agent	Approved	04/21/2017
<b>IA</b>	Texas	Investment Adviser Representative	Restricted Approval	04/21/2017

## Broker Qualifications



### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Utah	Agent	Approved	10/20/2023
B Virgin Islands	Agent	Approved	04/21/2017
B Virginia	Agent	Approved	01/02/2024
B Washington	Agent	Approved	05/25/2021
B Wyoming	Agent	Approved	10/20/2023

### Branch Office Locations

**MORGAN STANLEY**  
1111 Coast Village Road  
Montecito, CA 93108

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## 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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
<span style="color: blue; border: 1px solid blue; border-radius: 50%; padding: 2px 5px;">B</span> General Securities Sales Supervisor - General Module Examination	Series 10	07/01/2005
<span style="color: blue; border: 1px solid blue; border-radius: 50%; padding: 2px 5px;">B</span> General Securities Sales Supervisor - Options Module Examination	Series 9	06/18/2005

#### General Industry/Product Exams

Exam	Category	Date
<span style="color: blue; border: 1px solid blue; border-radius: 50%; padding: 2px 5px;">B</span> Securities Industry Essentials Examination	SIE	10/01/2018
<span style="color: blue; border: 1px solid blue; border-radius: 50%; padding: 2px 5px;">B</span> Futures Managed Funds Examination	Series 31	03/05/2008
<span style="color: blue; border: 1px solid blue; border-radius: 50%; padding: 2px 5px;">B</span> General Securities Representative Examination	Series 7	07/10/1991

#### State Securities Law Exams

Exam	Category	Date
<span style="color: blue; border: 1px solid blue; border-radius: 50%; padding: 2px 5px;">IA</span> Uniform Investment Adviser Law Examination	Series 65	10/18/2007
<span style="color: blue; border: 1px solid blue; border-radius: 50%; padding: 2px 5px;">B</span> Uniform Securities Agent State Law Examination	Series 63	08/07/1991

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/](http://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 07/1997 - 04/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SANTA BARBARA, CA
B 07/1991 - 04/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SANTA BARBARA, CA

## 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
06/2017 - Present	Morgan Stanley Private Bank, National Association	Financial Advisor	Y	New York, NY, United States
04/2017 - Present	Morgan Stanley	Financial Advisor, SVP	Y	Montecito, CA, United States
05/1991 - 04/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	SENIOR FINANCIAL ADVISOR	Y	SANTA BARBARA, CA, 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. Rental Property (Three properties); Investment related; Sandpoint, ID; Owner, July/1995; During business hours: 0; After business hours: 1; Manage several rental properties

2. Beaver Farms LLC; Investment related: Yes; Kalispell, Montana; A holding LLC for an airplane; Sole owner(proprietor, partner, officer, director, employee, trustee, agent); Aug 2017; During business hours: 1; After business hours: 5; this is for my airplane that I personally own, I am the owner of the LLC and the funds are to maintain plane.

3. Fox Farms LLC; Investment related No; POST FALLS, ID; Second residence.; Sole Owner (proprietor, partner, officer, director, employee, trustee, agent); Aug 2017; During business hours: 1; After business hours: 5; This is my own LLC that created to maintain my farm. This is a family LLC.

## Registration and Employment History



### Other Business Activities, continued

4.20 W mason LLC; Investment related - Yes; Real estate; Manager (proprietor, partner, officer, director, employee, trustee, agent); 05/2017;  
During business hours: Nil; After business hours: 1

5.\*508959- Neal Park LLC; Investment related-Yes; Santa Barbara, California; Real Estate; Partner (proprietor, partner, officer, director, employee, trustee, agent); 08/2021; During business hours: 0; After business hours: 1; Investment Decisions/Advice

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## End of Report



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