BrokerCheck Report

Michael T Pinto

CRD# 2636320

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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.
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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.

Michael T. Pinto

CRD# 2636320

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

MORGAN STANLEY DISTRIBUTION, INC.
1585 Broadway
New York, NY 10036
CRD# 30344
Registered with this firm since: 07/15/2026

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:

- 1 Self-Regulatory Organization
- 0 U.S. states and territories

This broker has passed:

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

Registration History

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

ALLIANZ GLOBAL INVESTORS DISTRIBUTORS LLC
CRD# 25567
NEW YORK, NY
04/2019 - 02/2023

MORGAN STANLEY
CRD# 149777
PURCHASE, NY
10/2018 - 03/2019

MORGAN STANLEY & CO. LLC
CRD# 8209
NEW YORK, NY
12/2017 - 03/2019

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Customer Dispute	1

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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 1 SRO and is licensed in 0 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **MORGAN STANLEY DISTRIBUTION, INC.**

Main Office Address: **1585 BROADWAY**
NEW YORK, NY 10036

Firm CRD#: **30344**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	07/15/2026
B	FINRA	Operations Professional	Approved	07/15/2026

Branch Office Locations

MORGAN STANLEY DISTRIBUTION, INC.
1585 Broadway
New York, NY 10036

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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 1 principal/supervisory exam, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam		Category	Date
B	Financial and Operations Principal Examination	Series 27	11/23/2021

General Industry/Product Exams

Exam		Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Operations Professional Examination	Series 99	12/12/2017
B	Limited Representative-Equity Trader Exam	Series 55	05/11/1999
B	General Securities Representative Examination	Series 7	07/18/1995

State Securities Law Exams

Exam		Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	07/25/1995

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/.

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Broker Qualifications

Professional Designations

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 04/2019 - 02/2023	ALLIANZ GLOBAL INVESTORS DISTRIBUTORS LLC	25567	NEW YORK, NY
B 10/2018 - 03/2019	MORGAN STANLEY	149777	PURCHASE, NY
B 12/2017 - 03/2019	MORGAN STANLEY & CO. LLC	8209	NEW YORK, NY
B 07/1999 - 07/2002	NDB CAPITAL MARKETS, LP	7172	NEW YORK, NY
B 02/1997 - 04/1997	CAPITAL INTERNATIONAL SECURITIES GROUP, INC.	29771	MIAMI, FL
B 04/1996 - 02/1997	TEXAS CAPITAL SECURITIES, INC.	25564	HOUSTON, TX
B 09/1995 - 04/1996	GLOBAL STRATEGIES GROUP, INC.	27414	NEW YORK, NY
B 07/1995 - 10/1995	A. R. BARON & CO., INC.	29285	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
02/2026 - Present	MORGAN STANLEY DISTRIBUTION, INC.	Executive Director,Finance	Y	New York, NY, United States
06/2025 - 02/2026	Unemployment	Unemployment	N	NEW YORK, NY, United States
02/2023 - 06/2025	Voya Investment Management	Vice President / FP&A	Y	New York, NY, United States
03/2019 - 02/2023	Allianz Global Investors Distributors LLC	Registered Representative	Y	New York, NY, United States
03/2019 - 02/2023	Allianz Global Investors US Holdings LLC	VP, Senior Accountant	Y	New York, NY, United States

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Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
10/2018 - 03/2019	MORGAN STANLEY	VICE PRESIDENT, FINANCE	Y	NEW YORK, NY, United States
03/2017 - 03/2019	MORGNA STANLEY SERVICES GROUP, INC	VICE PRESIDENT, FINANCE	Y	NEW YORK, NY, United States
11/2004 - 03/2019	MORGAN STANLEY & CO., LLC	VICE PRESIDENT, FINANCE	Y	NEW YORK, NY, 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.

No information reported.

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Disclosure Events

What you should know about reported disclosure events:

1. 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.

2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
   -
4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Customer Dispute	0	1	N/A

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Disclosure Event Details

When evaluating this information, please keep in mind that a discloure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker'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:	03/16/1998
Docket/Case Number:	C07980016
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	06/01/1998
Sanctions Ordered:	Censure Monetary/Fine $6,000.00

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Suspension

Other Sanctions Ordered:

Sanction Details:

Regulator Statement

COMPLAINT NO. C07980016 FILED MARCH 16, 1998 BY DISTRICT NO. 7 AGAINST RESPONDENT MICHAEL T. PINTO ALLEGING VIOLATIONS OF NASD
RULE 2110 IN THAT HE EFFECTED OR CAUSED TO BE EFFECTED UNAUTHORIZED TRANSACTIONS IN THE SECURITIES ACCOUNT OF A PUBLIC
CUSTOMER; AND, SETTLED A CUSTOMER COMPLAINT WITHOUT THE KNOWLEDGE OR AUTHORIZATION OF HIS EMPLOYER/MEMBER FIRM.

ON JUNE 1, 1998, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT PINTO WAS ISSUED; THEREFORE, HE IS CENSURED, FINED $6,000, AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 5 BUSINESS
DAYS. THE COLLECTION EFFORTS OF THE FINE WILL BE SUSPENDED UNTIL SUCH TIME AS HE REAPPLIES FOR REGISTRATION.

THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON JULY 20, 1998 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS JULY 24, 1998.

****
4/21/99CW PER FINES & COSTS (FINANCE DEPARTMENT) MR. PINTO HAS NOT YET MADE A PAYMENT TOWARD HIS FINE. PLEASE CONTACT ZITA TEPIE OR JULIE LOBENDINO AT X3705 IN THE FINANCE DEPARTMENT FOR MORE INFORMATION.
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Reporting Source: Broker

Regulatory Action Initiated By: PETE HENDRICK/CENSURE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/16/1998

Docket/Case Number: C07980016

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Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	UNAUTHORIZED TRADE
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	06/01/1998
Sanctions Ordered:	Censure Monetary/Fine $6,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	FINE OF $6,000 AND 5 BUSINESS DAYS SUSPENSION.
Broker Statement	THERE WAS A TRADE IN MR HENDRICKS ACCOUNT THAT WAS IN ERROR BY THE TIME THE STOCK WAS SOLD OUT A $987 DEBIT REMAINED BECAUSE THE STOCK PRICE HAD FALLEN.

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Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: POINT TEXAS CAPITAL

Allegations: LOSS OF 100% OF CUSTOMER INVESTED FUNDS

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 03/11/1997

Complaint Pending? No

Status: Settled

Status Date: 06/01/1997

Settlement Amount: $25,000.00

Individual Contribution Amount:

Firm Statement REVIEW BY MGT TO DETERMINE COUNTS OF ACTION.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: POINT TEXAS CAPITAL

Allegations: MISUSE OF AN IRA ACCOUNT / TRADING ON MARGIN

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 03/11/1997

Complaint Pending? No

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Status:	Settled
Status Date:	06/01/1997
Settlement Amount:	$25,000.00
Individual Contribution Amount:	
Broker Statement	CLIENT SETTLED FOR THE AMOUNT OF 25,000 WITH THE FIRM MR WOODARD HAD OPENED AN INDIVIDUAL ACCOUNT WHICH WAS THEN TRANSFERRED TO AN IRA ACCOUNT AT WHICH POINT TEXAS CAPITAL WAS SUPPOSED TO GET THE SHARES IN THAT ACCOUNT OFF MARGIN. THE SHARES WERE NEVER SUPPOSED TO BE ON MARGIN IN AN IRA BUT THE FIRM NEVER TOOK THEM OFF MARGIN & THE STOCK HAD DECLINED.

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End of Report

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