

BrokerCheck Report

SCOTT DANIAL SWAYLIK

CRD# 2936324

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 6
Registration and Employment History	8 - 9
Disclosure Events	10



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.

SCOTT D. SWAYLIK

CRD# 2936324

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

IA MORGAN STANLEY
 45 NORTH STREET
 HYANNIS, MA 02601
 CRD# 149777
 Registered with this firm since: 05/13/2020

B MORGAN STANLEY
 45 NORTH STREET
 HYANNIS, MA 02601
 CRD# 149777
 Registered with this firm since: 06/01/2009

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
- 53 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):**

- B MORGAN STANLEY & CO. INCORPORATED**
 CRD# 8209
 HYANNIS, MA
 04/2007 - 06/2009
- B MORGAN STANLEY DW INC.**
 CRD# 7556
 HYANNIS, MA
 05/1998 - 04/2007
- B AMERICAN EXPRESS FINANCIAL ADVISORS INC.**
 CRD# 6363
 MINNEAPOLIS, MN
 11/1997 - 05/1998

**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
Customer Dispute	2



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 53 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	FINRA	General Securities Representative	Approved	06/01/2009
B	FINRA	General Securities Sales Supervisor	Approved	06/01/2009
B	NYSE American LLC	General Securities Representative	Approved	06/17/2011
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	06/01/2009
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	06/01/2009
B	New York Stock Exchange	General Securities Representative	Approved	06/01/2009
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	12/23/2015
B	Alaska	Agent	Approved	08/08/2022
B	Arizona	Agent	Approved	10/13/2017
B	Arkansas	Agent	Approved	04/28/2011
B	California	Agent	Approved	06/01/2009

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	11/12/2009
B	Connecticut	Agent	Approved	06/01/2009
B	Delaware	Agent	Approved	09/12/2017
B	District of Columbia	Agent	Approved	06/29/2011
B	Florida	Agent	Approved	06/01/2009
B	Georgia	Agent	Approved	08/31/2017
B	Hawaii	Agent	Approved	08/31/2022
B	Idaho	Agent	Approved	11/18/2022
B	Illinois	Agent	Approved	01/23/2013
B	Indiana	Agent	Approved	04/19/2017
B	Iowa	Agent	Approved	09/15/2022
B	Kansas	Agent	Approved	11/21/2022
B	Kentucky	Agent	Approved	12/21/2022
B	Louisiana	Agent	Approved	11/04/2022
B	Maine	Agent	Approved	06/01/2009
B	Maryland	Agent	Approved	09/13/2012
B	Massachusetts	Agent	Approved	06/01/2009
B	Michigan	Agent	Approved	09/19/2022
B	Minnesota	Agent	Approved	02/15/2019
B	Mississippi	Agent	Approved	06/09/2017
B	Missouri	Agent	Approved	08/25/2021

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Montana	Agent	Approved	09/07/2021
B	Nebraska	Agent	Approved	02/20/2019
B	Nevada	Agent	Approved	02/21/2019
B	New Hampshire	Agent	Approved	06/01/2009
B	New Jersey	Agent	Approved	06/01/2009
B	New Mexico	Agent	Approved	02/18/2019
B	New York	Agent	Approved	06/01/2009
B	North Carolina	Agent	Approved	06/29/2011
B	North Dakota	Agent	Approved	02/19/2019
B	Ohio	Agent	Approved	09/27/2022
B	Oklahoma	Agent	Approved	11/30/2022
B	Oregon	Agent	Approved	01/12/2016
B	Pennsylvania	Agent	Approved	08/24/2015
B	Puerto Rico	Agent	Approved	03/04/2019
B	Rhode Island	Agent	Approved	06/01/2009
B	South Carolina	Agent	Approved	01/05/2010
B	South Dakota	Agent	Approved	01/12/2011
B	Tennessee	Agent	Approved	11/08/2018
B	Texas	Agent	Approved	09/21/2011
IA	Texas	Investment Adviser Representative	Restricted Approval	05/13/2020
B	Utah	Agent	Approved	04/28/2017

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Vermont	Agent	Approved	08/05/2014
B	Virgin Islands	Agent	Approved	10/17/2022
B	Virginia	Agent	Approved	01/23/2013
B	Washington	Agent	Approved	01/14/2010
B	West Virginia	Agent	Approved	02/02/2017
B	Wisconsin	Agent	Approved	01/26/2010
B	Wyoming	Agent	Approved	11/21/2022

Branch Office Locations

MORGAN STANLEY
45 NORTH STREET
HYANNIS, MA 02601



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
B General Securities Sales Supervisor - General Module Examination	Series 10	01/22/2002
B General Securities Sales Supervisor - Options Module Examination	Series 9	11/13/2001

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	06/26/1998
B General Securities Representative Examination	Series 7	11/04/1997

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	06/02/1998
B Uniform Securities Agent State Law Examination	Series 63	10/06/1997

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 02/2010 - 12/2010	MORGAN STANLEY SMITH BARNEY LLC	149777	PURCHASE, NY
B 04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	HYANNIS, MA
B 05/1998 - 04/2007	MORGAN STANLEY DW INC.	7556	HYANNIS, MA
B 11/1997 - 05/1998	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
B 11/1997 - 05/1998	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN

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
01/2015 - Present	MORGAN STANLEY PRIVATE BANK, N.A.	BRANCH MANAGER, PRODUCING	Y	NEW YORK, NY, United States
06/2009 - Present	MORGAN STANLEY SMITH BARNEY LLC	BRANCH MANAGER, PRODUCING	Y	HYANNIS, MA, 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 WAREHOUSE UNITS; RENTING; SANDWICH, MA; LANDLORD; NO TIME SPENT AFTER BUSINESS OR DURING BUSINESS; 02/2014

3. First Nichol LLP; Investment related; Industrial rental properties; Co Partner (proprietor, partner, officer, director, employee, trustee, agent); Mar 2018; During business hours: 0; After business hours: 0

4. Warehouse rental properties; Investment related; Rental; Co-Owner (proprietor, partner, officer, director, employee, trustee, agent); Nov 2018;

Registration and Employment History



Other Business Activities, continued

During business hours: 0; After business hours: 0

5.*512964- 381 Old Falmouth Rd Condominium Trust; Investment related-No; Marstons Mills, Massachusetts; Industrial warehouse HOA board; Board Member (proprietor, partner, officer, director, employee, trustee, agent); 08/2022; During business hours: 0; After business hours: 1; Annual meeting, approval of monthly financials, helping/advising of upkeep and betterment of common areas

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
Customer Dispute	0	2	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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.

Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY SMITH BARNEY LLC
Allegations:	Swaylik was named in a customer complaint that asserted the following causes of action: breach of fiduciary duty; violation of FINRA Rule 2111 - suitability, FINRA Rule 2010 - high standards of commercial honor, FINRA Rule 3110 - failure to supervise, and M.G.L. c. 93A, s. 9 - unfair and deceptive business practices; common law fraud; negligent misrepresentation; common law negligent supervision; respondeat superior; and vicarious liability.
Product Type:	Other: unspecified securities
Alleged Damages:	\$1,716,211.48

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #20-03416
Date Notice/Process Served:	10/01/2020
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	02/01/2022
Disposition Detail:	Swaylik is jointly and severally liable for and shall pay to Claimant the sum of \$150,000.00 in compensatory damages.



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MSSB

Allegations: Claimant alleges, inter alia, unsuitability with respect to investments - Oct, 2012 - Dec, 2019

Product Type: Other: Non-Broker-Dealer Affiliate Product

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Unspecified

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 01/22/2020

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 10/06/2020

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 20-03416

Date Notice/Process Served: 10/06/2020

Arbitration Pending? No



Disposition:	Award to Customer
Disposition Date:	01/31/2022
Monetary Compensation Amount:	\$150,000.00
Individual Contribution Amount:	\$0.00



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:	Regulator
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY DW INC.
Allegations:	CLAIMANTS ASSERTED THE FOLLOWING CAUSES OF ACTION: BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, DECEIT, TORTIOUS MALPRACTICE, UNSUITABLE TRADING, FAILURE TO DIVERSIFY, MISREPRESENTATIONS, NEGLIGENCE, AND MISMANAGEMENT. THE CAUSES OF ACTION RELATE TO THE OVER-CONCENTRATION IN IMPROPERLY RISKY SECURITIES AND EXCESSIVE TRADING ON MARGIN FOCUSED ON HIGH-TECH AND TELECOM STOCKS.
Product Type:	Other
Other Product Type(s):	RISKY SECURITIES AND EXCESSIVE TRADING ON MARGIN FOCUSED ON HIGH-TECH AND TELECOM STOCKS
Alleged Damages:	\$390,000.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #05-01396
Date Notice/Process Served:	03/15/2005
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	03/20/2007
Disposition Detail:	STIPULATED AWARD ISSUED: ON OR ABOUT JANUARY 6, 2006, THE PARTIES AGREED TO SETTLE THE MATTER FOR A MUTUALLY AGREED UPON SUM. CLAIMANTS' CLAIMS ARE DISMISSED WITH PREJUDICE IN THEIR ENTIRETY.

Reporting Source:	Broker
--------------------------	--------



Employing firm when activities occurred which led to the complaint:

MSDW

Allegations:

CUSTOMERS ALLEGE THEY SUFFERED DAMAGES TO THE TUNE OF APPROXIMATELY \$390,000 AS A RESULT OF THE UNSUITABLE AND UNAUTHORIZED TRADES ON THE PART OF MORGAN STANLEY FINANCIAL ADVISOR SCOTT SWAYLIK. A STATEMENT OF CLAIM WAS FILED AND WE INTERPOSED AN ANSWER ON BEHALF OF THE FIRM AND THE FA.

Product Type:

Other

Other Product Type(s):

EQUITIES

Alleged Damages:

\$390,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending?

No

Status:

Arbitration/Reparation

Status Date:

03/21/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:

NASD 05-01396

Date Notice/Process Served:

03/21/2005

Arbitration Pending?

No

Disposition:

Settled

Disposition Date:

03/06/2006

Monetary Compensation Amount:

\$80,000.00

Individual Contribution Amount:

\$0.00

Broker Statement

THE FINRA ARBITRATION PANEL MADE A RECOMMENDATION FOR EXPUNGEMENT OF THIS MATTER PURSUANT TO RULE 2130.

End of Report



This page is intentionally left blank.