

BrokerCheck Report

MICHAEL JAMES NOTTER

CRD# 349575

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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.

**MICHAEL J. NOTTER**

CRD# 349575

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

IA MORGAN STANLEY
 1200 Franklin Avenue
 2Nd Floor
 Garden City, NY 11530
 CRD# 149777
 Registered with this firm since: 05/18/2020

B MORGAN STANLEY
 1200 Franklin Avenue
 2Nd Floor
 Garden City, NY 11530
 CRD# 149777
 Registered with this firm since: 07/19/2013

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:**

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

This broker has passed:

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

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

- IA UBS FINANCIAL SERVICES INC.**
 CRD# 8174
 WEEHAWKEN, NJ
 08/2012 - 07/2013
- B UBS FINANCIAL SERVICES INC.**
 CRD# 8174
 UNIONDALE, NY
 05/2000 - 07/2013
- B PRUDENTIAL SECURITIES INCORPORATED**
 CRD# 7471
 NEW YORK, NY
 01/1980 - 06/2000

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	4



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 34 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	07/19/2013
B	NYSE American LLC	General Securities Representative	Approved	07/19/2013
B	Nasdaq Stock Market	General Securities Representative	Approved	07/19/2013
B	New York Stock Exchange	General Securities Representative	Approved	07/19/2013

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	01/04/2019
B	California	Agent	Approved	07/22/2013
B	Colorado	Agent	Approved	07/19/2013
B	Connecticut	Agent	Approved	07/23/2013
B	Delaware	Agent	Approved	07/19/2013
B	District of Columbia	Agent	Approved	07/19/2013
B	Florida	Agent	Approved	07/19/2013
B	Georgia	Agent	Approved	07/19/2013
B	Illinois	Agent	Approved	07/19/2013

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Iowa	Agent	Approved	09/13/2013
B	Kansas	Agent	Approved	07/19/2013
B	Kentucky	Agent	Approved	08/13/2013
B	Maine	Agent	Approved	07/22/2013
B	Maryland	Agent	Approved	07/19/2013
B	Massachusetts	Agent	Approved	07/19/2013
B	Michigan	Agent	Approved	07/19/2013
B	Minnesota	Agent	Approved	07/19/2013
B	Montana	Agent	Approved	07/22/2013
B	Nevada	Agent	Approved	09/13/2013
B	New Hampshire	Agent	Approved	07/19/2013
B	New Jersey	Agent	Approved	07/19/2013
B	New York	Agent	Approved	07/19/2013
IA	New York	Investment Adviser Representative	Approved	06/16/2021
B	North Carolina	Agent	Approved	07/19/2013
B	Ohio	Agent	Approved	10/25/2017
B	Pennsylvania	Agent	Approved	07/19/2013
B	Rhode Island	Agent	Approved	07/19/2013
B	South Carolina	Agent	Approved	07/19/2013
B	Tennessee	Agent	Approved	02/28/2017
B	Texas	Agent	Approved	07/19/2013

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	05/18/2020
B	Vermont	Agent	Approved	07/19/2013
B	Virginia	Agent	Approved	07/19/2013
B	Washington	Agent	Approved	07/19/2013
B	Wisconsin	Agent	Approved	07/19/2013
B	Wyoming	Agent	Approved	07/19/2013

Branch Office Locations

MORGAN STANLEY
 1200 Franklin Avenue
 2Nd Floor
 Garden City, NY 11530

MORGAN STANLEY
 Port Washington, NY



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, 4 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 General Securities Representative Examination	Series 7TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Principal Examination	Series 000	01/04/1973
B Registered Representative Examination	Series 1	01/04/1973

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	11/04/1992
B Uniform Securities Agent State Law Examination	Series 63	07/27/1983

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 08/2012 - 07/2013	UBS FINANCIAL SERVICES INC.	8174	UNIONDALE, NY
B 05/2000 - 07/2013	UBS FINANCIAL SERVICES INC.	8174	UNIONDALE, NY
B 01/1980 - 06/2000	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 03/1978 - 02/1980	DEAN WITTER REYNOLDS INC.	7556	
B 08/1975 - 03/1978	BUTCHER & SINGER INC.	6517	
B 01/1973 - 09/1975	EDWARDS & HANLY	6554	

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, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
07/2013 - Present	MORGAN STANLEY	FINANCIAL ADVISOR	Y	GARDEN CITY, 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.

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	4	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 - 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 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES IN
Allegations:	TIME FRAME: JULY 8, 2008 TO MARCH 16, 2009 THE CLIENT ALLEGES HIS FINANCIAL ADVISOR NEVER TOLD HIM THAT HE WAS PURCHASING AN ANNUITY FOR HIS ACCOUNT. THE CLIENT FURTHER ALLEGES THAT HIS FINANCIAL ADVISOR ASSURED HIM THAT HIS INVESTMENT WOULD DOUBLE IN TEN YEARS. THE ALLEGED DAMAGES ARE IN EXCESS OF \$5,000.00.
Product Type:	Other: ANNUNITES
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	THE ALLEGED DAMAGES ARE IN EXCESS OF \$5,000.00.
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: 09/16/2009



Complaint Pending?	No
Status:	Settled
Status Date:	05/03/2010
Settlement Amount:	\$9,622.04
Individual Contribution Amount:	\$0.00
Broker Statement	THE CLIENT AND I HAD NUMEROUS DISCUSSIONS CONCERNING THE PROS AND CONS OF PURCHASING AN ANNUITY. HE WAS VERY COMFORTABLE WITH HIS PURCHASE OF THE ANNUITY UNTIL THE INVESTMENT VALUE DECLINED. IN OUR DISCUSSIONS, THE CLIENT HAD 2 MAIN OBJECTIVES; 1. TO PROTECT HIS DAUGHTER, IF HE PASSED AWAY 2. PROVIDE HIM WITH INCOME IF HE NEEDED IT IN RETIREMENT. HE WAS SATISFIED THAT THE JACKSON ANNUITY MET HIS OBJECTIVES WHEN HE SIGNED THE ANNUITY PAPERWORK.

Disclosure 2 of 3

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES, INC.
Allegations:	SUITABILITY; CHURNING; OTHER
Product Type:	
Alleged Damages:	\$254,533.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	UNKNOWN - CASE #93-00809
Date Notice/Process Served:	03/30/1993
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/02/1994
Disposition Detail:	CASE CLOSED, SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND



SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS
 WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
 ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS
 WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES, INC.

Allegations: CLIENT ALLEGES UNSUITABILITY IN CONNECTION
 WITH THE PURCHASE OF SEVERAL LIMITED PARTNERSHIPS. ALLEGED
 DAMAGES ARE \$254,533.00

Product Type:

Alleged Damages: \$254,533.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 93-00809

Date Notice/Process Served: 03/30/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/02/1994

Monetary Compensation Amount: \$12,818.55



Individual Contribution Amount: \$0.00

Broker Statement CASE WAS SETTLED WITH THE FOLLOWING TERMS: THE LIMITED PARTNERSHIPS IN [CUSTOMER'S] ACCOUNT WERE TO BE SOLD AND PRUDENTIAL WAS TO PAY THE DIFFERENCE BETWEEN THE ORIGINAL PURCHASE PRICE (\$75,000.00) AND PROCEEDS OF SALE (EST. \$60,000.00). THE EXACT AMOUNT WAS \$12,818.55. MR. NOTTER WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT. THE INVESTMENT VEHICLES IN QUESTION ARE FIRM RECOMMENDED LIMITED PARTNERSHIPS WHICH I WAS TOLD WERE SUITABLE FOR THIS CLIENT. THE PROBLEM IS WITH THE PRODUCT NOT WITH THE FINANCIAL ADVISOR.

Disclosure 3 of 3

Reporting Source: Broker

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

Allegations: CLAIMANTS ARE ALLEGING MISREPRESENTATION IN CONNECTION WITH THEIR 1987/1988 INVESTMENTS IN PB ENERGY INCOME (\$25,000 [CUSTOMER], \$5,000-[OTHER CUSTOMER NAMED]); VMS MORTGAGE (\$15,000-[CUSTOMER]); (\$15,000-[OTHER CUSTOMER NAMED]) ALLEGES DAMAGES IN EXCESSOF \$90,000

Product Type: Other: N/A

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

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

Status Date: 02/22/1993

Settlement Amount:

Individual Contribution Amount:



Arbitration Information

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

FINRA

Docket/Case #:

13-136-00142-93

Date Notice/Process Served:

02/22/1993

Arbitration Pending?

No

Disposition:

Settled

Disposition Date:

03/18/1994

Monetary Compensation Amount:

\$36,500.00

Individual Contribution Amount:

\$0.00

Broker Statement

WITHOUT ADMITTING LIABILITY, PSI SETTLED THE CASE FOR \$36,500.00
THE CLIENT'S OBJECTION WAS TO THE LIMITED PARTNERSHIPS, WHICH WERE APPROVED BY PRU (BACHE) SECURITIES AS
SUITABLE FOR THE CLIENT'S OBJECTIVES AND WERE WELL WITHIN THE PARAMETERS OF HIS INVESTMENT OBJECTIVES. I WAS NOT ASKED BY PRUDENTIAL SECURITIES TO CONTRIBUTE TO THIS SETTLEMENT. THE ENTIRE AMOUNT WAS PAID FOR BY THE FIRM.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source: Firm

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

Allegations: CUSTOMER ALLEGES INAPPROPRIATE MUTUAL FUND CLASS SHARES UPON HER AGE, RISK TOLERANCE, TIME HORIZON AND INVESTMENT OBJECTIVES.

Product Type: Mutual Fund(s)

Alleged Damages: \$250,000.00

Customer Complaint Information

Date Complaint Received: 02/18/2003

Complaint Pending? No

Status: Denied

Status Date: 04/14/2003

Settlement Amount:

Individual Contribution Amount:

Firm Statement THIS MATTER WAS DENIED BY PSI

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: UBS PAINEWEBBER INC./ PRUDENTIAL (PSI)

Allegations: CLIENT ALLEGES FINANCIAL ADVISOR RECOMMENDED UNSUITABLE INVESTMENTS AND INAPPROPRIATE MUTUAL FUND CLASS SHARES.

Product Type: Mutual Fund(s)



Other Product Type(s): OTC EQUITY

Alleged Damages: \$250,000.00

Customer Complaint Information

Date Complaint Received: 11/26/2002

Complaint Pending? No

Status: Denied

Status Date: 02/14/2003

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement CUSTOMER WAS INVOLVED IN ALL DECISIONS REGARDING INVESTMENTS
IN HER ACCOUNT. HER ALLEGATIONS ARE TOTALLY WITHOUT MERIT.
BOTH UBS AND PSI DENIED THE COMPLAINT.

End of Report



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