BrokerCheck Report

Catherine Liu

CRD# 7750357

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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.

Catherine Liu

CRD# 7750357

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

B **MORGAN STANLEY & CO. LLC**
1585 BROADWAY
NEW YORK, NY 10036
CRD# 8209
Registered with this firm since: 09/13/2023

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:

- 29 Self-Regulatory Organizations
- 53 U.S. states and territories

This broker has passed:

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

Registration History

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

No information reported.

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**

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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 29 SROs and is licensed in 53 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **MORGAN STANLEY & CO. LLC**

Main Office Address: **1585 BROADWAY**
NEW YORK, NY 10036-8293

Firm CRD#: **8209**

	SRO	Category	Status	Date
B	24X National Exchange LLC	General Securities Representative	Approved	10/31/2025
B	BOX Exchange LLC	General Securities Representative	Approved	09/13/2023
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	09/13/2023
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	09/13/2023
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	09/13/2023
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	09/13/2023
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	09/13/2023
B	Cboe Exchange, Inc.	General Securities Representative	Approved	09/13/2023
B	FINRA	General Securities Representative	Approved	09/13/2023
B	Investors' Exchange LLC	General Securities Representative	Approved	09/13/2023
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	09/13/2023
B	MEMX LLC	General Securities Representative	Approved	09/13/2023
B	MIAX Emerald, LLC	General Securities Representative	Approved	09/13/2023
B	MIAX PEARL, LLC	General Securities Representative	Approved	09/13/2023
B	MIAX Sapphire	General Securities Representative	Approved	08/27/2024

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Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	MX2 LLC	General Securities Representative	Approved	09/12/2026
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	09/13/2023
B	NYSE American LLC	General Securities Representative	Approved	09/13/2023
B	NYSE Arca, Inc.	General Securities Representative	Approved	09/13/2023
B	NYSE National, Inc.	General Securities Representative	Approved	09/13/2023
B	NYSE Texas, Inc.	General Securities Representative	Approved	09/13/2023
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	09/13/2023
B	Nasdaq ISE, LLC	General Securities Representative	Approved	09/13/2023
B	Nasdaq MRX, LLC	General Securities Representative	Approved	09/13/2023
B	Nasdaq PHLX LLC	General Securities Representative	Approved	09/13/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	09/13/2023
B	Nasdaq Texas, LLC	General Securities Representative	Approved	09/13/2023
B	New York Stock Exchange	General Securities Representative	Approved	09/13/2023
B	Texas Stock Exchange LLC	General Securities Representative	Approved	07/02/2026

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	09/18/2023
B	Alaska	Agent	Approved	09/18/2023
B	Arizona	Agent	Approved	09/18/2023
B	Arkansas	Agent	Approved	09/18/2023
B	California	Agent	Approved	09/18/2023

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Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	09/13/2023
B	Connecticut	Agent	Approved	09/18/2023
B	Delaware	Agent	Approved	09/18/2023
B	District of Columbia	Agent	Approved	09/13/2023
B	Florida	Agent	Approved	09/13/2023
B	Georgia	Agent	Approved	09/18/2023
B	Hawaii	Agent	Approved	09/18/2023
B	Idaho	Agent	Approved	09/18/2023
B	Illinois	Agent	Approved	09/18/2023
B	Indiana	Agent	Approved	09/18/2023
B	Iowa	Agent	Approved	09/18/2023
B	Kansas	Agent	Approved	09/18/2023
B	Kentucky	Agent	Approved	09/18/2023
B	Louisiana	Agent	Approved	09/13/2023
B	Maine	Agent	Approved	09/18/2023
B	Maryland	Agent	Approved	09/13/2023
B	Massachusetts	Agent	Approved	09/18/2023
B	Michigan	Agent	Approved	09/18/2023
B	Minnesota	Agent	Approved	09/18/2023
B	Mississippi	Agent	Approved	09/18/2023
B	Missouri	Agent	Approved	09/18/2023

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Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Montana	Agent	Approved	09/18/2023
B	Nebraska	Agent	Approved	09/18/2023
B	Nevada	Agent	Approved	09/18/2023
B	New Hampshire	Agent	Approved	09/18/2023
B	New Jersey	Agent	Approved	09/18/2023
B	New Mexico	Agent	Approved	09/18/2023
B	New York	Agent	Approved	09/18/2023
B	North Carolina	Agent	Approved	09/18/2023
B	North Dakota	Agent	Approved	09/18/2023
B	Ohio	Agent	Approved	09/18/2023
B	Oklahoma	Agent	Approved	09/18/2023
B	Oregon	Agent	Approved	09/18/2023
B	Pennsylvania	Agent	Approved	09/18/2023
B	Puerto Rico	Agent	Approved	09/13/2023
B	Rhode Island	Agent	Approved	09/18/2023
B	South Carolina	Agent	Approved	09/18/2023
B	South Dakota	Agent	Approved	09/18/2023
B	Tennessee	Agent	Approved	09/18/2023
B	Texas	Agent	Approved	09/18/2023
B	Utah	Agent	Approved	09/18/2023
B	Vermont	Agent	Approved	09/18/2023

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Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Virgin Islands	Agent	Approved	09/18/2023
B	Virginia	Agent	Approved	09/18/2023
B	Washington	Agent	Approved	09/18/2023
B	West Virginia	Agent	Approved	09/18/2023
B	Wisconsin	Agent	Approved	09/18/2023
B	Wyoming	Agent	Approved	09/18/2023

Branch Office Locations

MORGAN STANLEY & CO. LLC
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 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam		Category	Date
	No information reported.		

General Industry/Product Exams

Exam		Category	Date
B	General Securities Representative Examination	Series 7TO	09/13/2023
B	Securities Industry Essentials Examination	SIE	08/01/2023

State Securities Law Exams

Exam		Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	09/18/2023

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
No information reported.			

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
06/2023 - Present	MORGAN STANLEY & CO. LLC	Assoc 3 (Prgm), Research	Y	New York, NY, United States
07/2021 - 06/2023	Kroll Bond Rating Agency	Associate	N	Jamaica, NY, United States
08/2015 - 07/2021	Trepp	Associate Manager	N	Jamaica, 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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End of Report

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