

BrokerCheck Report

VINCENT MICHAEL MAGEE

CRD# 2720508

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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:

- o 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
- o 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.](http://www.finra.org)

VINCENT M. MAGEE

CRD# 2720508

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

928 NORTH COLLIER BOULEVARD
 MARCO ISLAND, FL 34145
 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
- 27 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):****MORGAN STANLEY & CO. INCORPORATED**

CRD# 8209
 NAPLES, FL
 11/2008 - 06/2009

RAYMOND JAMES & ASSOCIATES, INC.

CRD# 705
 MARCO ISLAND, FL
 12/1998 - 12/2008

A. G. EDWARDS & SONS, INC.

CRD# 4
 ST. LOUIS, MO
 09/1996 - 12/1998

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	7

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at <https://www.adviserinfo.sec.gov>



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 27 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
FINRA	General Securities Representative	APPROVED	06/01/2009
NYSE American LLC	General Securities Representative	APPROVED	06/17/2011
Nasdaq Stock Market	General Securities Representative	APPROVED	06/01/2009
New York Stock Exchange	General Securities Representative	APPROVED	06/01/2009

U.S. State/ Territory	Category	Status	Date	U.S. State/ Territory	Category	Status	Date
Alabama	Agent	APPROVED	09/13/2011	Kentucky	Agent	APPROVED	12/08/2010
Arkansas	Agent	APPROVED	02/19/2015	Maryland	Agent	APPROVED	11/17/2014
California	Agent	APPROVED	06/01/2009	Massachusetts	Agent	APPROVED	07/24/2009
Colorado	Agent	APPROVED	11/17/2014	Michigan	Agent	APPROVED	06/24/2014
Connecticut	Agent	APPROVED	06/01/2009	Minnesota	Agent	APPROVED	09/22/2014
Delaware	Agent	APPROVED	05/15/2017	New Jersey	Agent	APPROVED	06/24/2009
Florida	Agent	APPROVED	06/01/2009	New York	Agent	APPROVED	06/01/2009
Georgia	Agent	APPROVED	06/01/2009	North Carolina	Agent	APPROVED	06/01/2009
Illinois	Agent	APPROVED	06/01/2009	Ohio	Agent	APPROVED	06/01/2009
Indiana	Agent	APPROVED	01/18/2011	Oklahoma	Agent	APPROVED	03/03/2015
Iowa	Agent	APPROVED	09/18/2014	Oregon	Agent	APPROVED	02/06/2017



Broker Qualifications

Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
Texas	Agent	APPROVED	06/01/2009
Virginia	Agent	APPROVED	09/27/2011
Washington	Agent	APPROVED	08/14/2014
Wisconsin	Agent	APPROVED	11/14/2014
Wyoming	Agent	APPROVED	08/19/2014

Branch Office Locations

MORGAN STANLEY
928 NORTH COLLIER BOULEVARD
MARCO ISLAND, FL 34145



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.

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
General Securities Representative Examination	Series 7	07/31/1996
Futures Managed Funds Examination	Series 31	06/17/2009

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	08/20/1996

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
11/2008 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	NAPLES, FL
12/1998 - 12/2008	RAYMOND JAMES & ASSOCIATES, INC.	705	MARCO ISLAND, FL
09/1996 - 12/1998	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO
08/1996 - 09/1996	J.W. BARCLAY & CO., INC.	23350	WOODBIDGE, NJ

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 Dates	Employer Name	Employer Location
01/2015 - Present	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIAT	NEW YORK, NY
06/2009 - Present	MORGAN STANLEY	NAPLES, FL
11/2008 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	NAPLES, FL
12/1998 - 11/2008	RAYMOND JAMES & ASSOCIATES, INC.	MARCO ISLAND, FL

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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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	1	6	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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES & ASSOCIATES, INC.
Allegations:	BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, NEGLIGENCE, GROSS NEGLIGENCE, SUITABILITY, MISREPRESENTATION, VIOLATION OF RESPONDEAT SUPERIOR. ALLEGED TIME FRAME: 3/28/06 - 8/31/10.
Product Type:	No Product
Alleged Damages:	\$679,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA DISPUTE RESOLUTION, BOCA RATON, FL
Docket/Case #:	11-01988
Filing date of arbitration/CFTC reparation or civil litigation:	05/17/2011



Customer Complaint Information

Date Complaint Received: 06/01/2011
Complaint Pending? No
Status: Settled
Status Date: 01/05/2012
Settlement Amount: \$82,500.00
Individual Contribution Amount: \$0.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES INC.

Allegations: BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, NEGLIGENCE, GROSS NEGLIGENCE, SUITABILITY, MISREPRESENTATION, VIOLATION OF RESPONDEAT SUPERIOR. ALLEGED TIME FRAME: 3/28/06-8/31/10.

Product Type: No Product
Alleged Damages: \$679,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA DISPUTE RESOLUTION, BOCA RATON, FL

Docket/Case #: 11-01988
Filing date of arbitration/CFTC reparation or civil litigation: 05/17/2011

Customer Complaint Information

Date Complaint Received: 06/01/2011
Complaint Pending? No



Status: Settled
Status Date: 01/05/2012
Settlement Amount: \$82,500.00
Individual Contribution Amount: \$0.00
Broker Statement

FA STATES THE FOLLOWING, "THE CLIENT SPENT THE MONETARY PORTION OF HER INHERITANCE AND WAS LEFT WITH A LARGE ESTATE TAX BILL BEFORE MEETING ME OR BECOMING A CLIENT. AGAINST MY ADVICE AND THAT OF HER CPA, THE CLIENT OBTAINED MORTGAGES FROM A THIRD PARTY RATHER THAN SELL INHERITED PROPERTIES. ALLEGED LOSSES APPARENTLY RELATE TO THE DROP IN THE VALUE OF THE INHERITED HOUSE. I DENY ANY WRONGDOING AND WAS NEVER CONSULTED BEFORE THE SETTLEMENT NOR ASKED TO CONTRIBUTE."



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 5

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MSSB
Allegations:	Client alleges the purchase of a variable annuity on August 18, 2017 was unauthorized. Damages unspecified.
Product Type:	Annuity-Variable
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:	01/18/2018
Complaint Pending?	No
Status:	Denied
Status Date:	03/27/2018
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 5

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

Allegations: CLIENT ALLEGES UNAUTHORIZED TRADING ON 6/17/2105. DAMAGES UNSPECIFIED.

Product Type: Mutual Fund

Alleged Damages: \$0.00

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: 10/28/2015

Complaint Pending? No

Status: Denied

Status Date: 12/03/2015

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 5

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY & CO. INCORPORATED

Allegations: CLIENTS ALLEGE, INTER ALIA, FINANCIAL ADVISOR MADE UNAUTHORIZED AND UNSUITABLE INVESTMENTS IN THEIR ACCOUNT FROM FEBRUARY 6, 2009 UNTIL THE PRESENT.

Product Type: Mutual Fund(s)

Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 03/12/2009



Complaint Pending? No
Status: Denied
Status Date: 05/13/2009
Settlement Amount:
Individual Contribution Amount:

Disclosure 4 of 5

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC.
Allegations: UNAUTHORIZED TRADES - DATES OF ACTIVITY ARE 6/8/06 THRU 8/19/08. NO SPECIFIC DOLLAR AMOUNT ALLEGED - FIRM ESTIMATES IN EXCESS OF \$5,000.
Product Type: Debt - Government
Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 12/16/2008
Complaint Pending? No
Status: Denied
Status Date: 02/04/2009
Settlement Amount:
Individual Contribution Amount:

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC.
Allegations: UNAUTHORIZED TRADES - DATES OF ACTIVITY ARE 6/8/06 THRU 8/19/08. NO SPECIFIC DOLLAR AMOUNT ALLEGED - FIRM ESTIMATES IN EXCESS OF



\$5,000.

Product Type: Debt - Government**Alleged Damages:** \$0.00**Customer Complaint Information****Date Complaint Received:** 12/16/2008**Complaint Pending?** No**Status:** Denied**Status Date:** 02/04/2009**Settlement Amount:****Individual Contribution Amount:****Disclosure 5 of 5****Reporting Source:** Broker**Employing firm when activities occurred which led to the complaint:** RAYMOND JAMES & ASSOCIATES, INC.**Allegations:** **UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR \$10,000 OR MORE** SUITABILITY - CLIENT CLAIMS REP RECOMMENDED HIGH RISK PORTFOLIO. PRODUCT IS EQUITY-OTC**Product Type:** Equity - OTC**Alleged Damages:** \$500,000.00**Customer Complaint Information****Date Complaint Received:** 12/01/2003**Complaint Pending?** No**Status:** Denied**Status Date:** 12/18/2003**Settlement Amount:****Individual Contribution Amount:**



Broker Statement

FIRM DENIED CLAIM ON APPROX. 12/18/03



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES & ASSOCIATES, INC.
Allegations:	MISREPRESENTATION ALLEGED. CLIENTS FEEL MISLED.. SAID THEY WERE ASSURED THEY WOULD NOT LOSE MONEY & THEY DON'T WANT RISKS.
Product Type:	Mutual Fund(s)
Other Product Type(s):	CORPORATE BONDS
Alleged Damages:	\$6,000.00

Customer Complaint Information

Date Complaint Received:	06/29/2000
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

End of Report



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