

BrokerCheck Report

MICHAEL EDWARD BAUMER

CRD# 4446092

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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

**MICHAEL E. BAUMER**

CRD# 4446092

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

IA MORGAN STANLEY
 555 California Street
 PWM
 San Francisco, CA 94104
 CRD# 149777
 Registered with this firm since: 06/01/2009

B MORGAN STANLEY
 555 California Street
 PWM
 San Francisco, CA 94104
 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
- 39 U.S. states and territories

This broker has passed:

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

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

- IA CITIGROUP GLOBAL MARKETS INC.**
 CRD# 7059
 NEW YORK, NY
 09/2008 - 06/2009
- B CITIGROUP GLOBAL MARKETS INC.**
 CRD# 7059
 SAN FRANCISCO, CA
 09/2008 - 06/2009
- IA MORGAN STANLEY & CO. INCORPORATED**
 CRD# 8209
 NEW YORK, NY
 04/2007 - 09/2008

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**



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 39 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	NYSE American LLC	General Securities Representative	Approved	06/17/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	06/01/2009
B	New York Stock Exchange	General Securities Representative	Approved	06/01/2009

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	06/01/2009
B	California	Agent	Approved	06/01/2009
IA	California	Investment Adviser Representative	Approved	06/01/2009
B	Colorado	Agent	Approved	06/01/2009
B	Connecticut	Agent	Approved	06/01/2009
B	Delaware	Agent	Approved	01/29/2016
B	District of Columbia	Agent	Approved	08/24/2015
B	Florida	Agent	Approved	05/07/2012
B	Georgia	Agent	Approved	02/04/2016



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Hawaii	Agent	Approved	05/07/2012
B	Idaho	Agent	Approved	06/07/2017
B	Illinois	Agent	Approved	05/07/2012
B	Indiana	Agent	Approved	04/05/2019
B	Kansas	Agent	Approved	01/12/2017
B	Louisiana	Agent	Approved	05/07/2012
B	Maryland	Agent	Approved	10/29/2014
B	Massachusetts	Agent	Approved	05/07/2012
B	Michigan	Agent	Approved	06/01/2009
B	Minnesota	Agent	Approved	08/10/2016
B	Montana	Agent	Approved	06/28/2016
B	Nevada	Agent	Approved	05/07/2012
B	New Hampshire	Agent	Approved	01/16/2019
B	New Jersey	Agent	Approved	03/18/2019
B	New Mexico	Agent	Approved	06/01/2009
B	New York	Agent	Approved	06/01/2009
B	North Carolina	Agent	Approved	06/01/2009
B	Ohio	Agent	Approved	06/01/2009
B	Oklahoma	Agent	Approved	02/24/2023
B	Oregon	Agent	Approved	06/01/2009
B	Pennsylvania	Agent	Approved	06/01/2009



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Rhode Island	Agent	Approved	10/22/2018
B	South Carolina	Agent	Approved	03/24/2021
B	South Dakota	Agent	Approved	06/14/2021
B	Tennessee	Agent	Approved	03/05/2014
B	Texas	Agent	Approved	06/01/2009
IA	Texas	Investment Adviser Representative	Restricted Approval	04/23/2020
B	Utah	Agent	Approved	05/19/2014
B	Vermont	Agent	Approved	07/02/2018
B	Virginia	Agent	Approved	06/01/2009
B	Washington	Agent	Approved	06/01/2009
B	Wisconsin	Agent	Approved	05/07/2012

Branch Office Locations

MORGAN STANLEY
 555 California Street
 PWM
 San Francisco, CA 94104



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, 3 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 Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	11/27/2001
B General Securities Representative Examination	Series 7	11/20/2001

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	12/18/2001

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 09/2008 - 06/2009	CITIGROUP GLOBAL MARKETS INC.	7059	SAN FRANCISCO, CA
B 09/2008 - 06/2009	CITIGROUP GLOBAL MARKETS INC.	7059	SAN FRANCISCO, CA
B 04/2007 - 09/2008	MORGAN STANLEY & CO. INCORPORATED	8209	OAKLAND, CA
IA 04/2007 - 09/2008	MORGAN STANLEY & CO. INCORPORATED	8209	OAKLAND, CA
IA 01/2002 - 04/2007	MORGAN STANLEY	7556	OAKLAND, CA
B 11/2001 - 04/2007	MORGAN STANLEY DW INC.	7556	OAKLAND, CA

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
06/2009 - Present	MORGAN STANLEY SMITH BARNEY	Mass Transfer	Y	SAN FRANCISCO, CA, United States
09/2008 - Present	CITIGROUP GLOBAL MARKETS, INC.	FA	Y	SAN FRANCISCO, CA, 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.

Business- terrapin inc- 1.0 hours during and after business- family own structure trust- effective 04/2015 2.188 Foxtail Pine, LLC;Big Sky, MT Invt related;CFO; Sole Proprietor / Owner / Partner; 08/2016;DB Hrs:0;AB Hrs:0 3.3620 Woodside LLC;Woodside, CA;Invt related;CFO; Owner/Partner;12/2016;DB Hrs:0; AB Hrs:0 4. *319231- Art Love, LLC;Invt related;CA; CFO;Jan 2016. 5.Terrapin Pacific LLC; New York, NY; Invt related; CFO; Owner/Partner; 01/2016; DB Hrs: 0; AB Hrs: 0 6. Terrapin Indian LLC; Redwood City, CA; Invt related; CFO; Owner/Partner;

Registration and Employment History



Other Business Activities, continued

01/2016; DB Hrs: 0; AB Hrs: 0 7. Santa Cruz Coastal LLC; Santa Cruz, CA; Invt related; CFO; Owner/Partner; 01/2016; DB Hrs: 0; AB Hrs: 0 8. Driftwood LLC; Indianapolis, IN; Invt related; CFO; Owner/Partner; 10/2016; DB Hrs: 0; AB Hrs: 0 9. 3 Coconuts LLC; Invt related: No; Fresno, CA; CFO (signer); Dec 2017; 10. 3 Palms LLC; Invt related: No; Fresno, CA;; CFO (Signer); Dec 2017; My client, Nick Woodman (also my Cousin), is purchasing a home in Hawaii. Similar to his other LLC's, the entity is being formed for anonymity and liability reasons. 11. 250A Pheasant Tail LLC; Invt related Yes; California; Business / Company; CFO ; Aug 2018; DB Hrs: 1; AB Hrs: 0 14. 7 Lakewood Drive LLC; Invt related No; Nature of the business; Officer ; Apr 2019 15. *384843 - Think It, Inc (A Montana Corporation); Invt related; Kalispell, MT; Employment; Director and President; Dec 2019*242958 - Terrapin, Inc; Invt related - No; Business / Company; CFOApr 2015. . *334279 - Bounty, LLC; Invt related Yes; Big Sky, MT; Real Estate; CFO; December 2017; DB Hrs: 0.01; AB Hrs: 0; Signer. 18. *334281 - Tahiti, LLC; Invt related Yes; Big Sky, MT; Real Estate; CFO; December 2017; DB Hrs: 0.01; AB Hrs: 0; Signer. 19. *319227 - Car Love, LLC; Invt related; Big Sky, MT; Officer ; Jun 2016; DB Hrs: 1; AB Hrs: 0. *406474 - Moonjack Ranch LLC; NotInvt related; Fresno, CA; Real Estate; Officer; Jul2020; 0.1hrs;CFO. *406479 - Moonjack North LLC; Invt related;Fresno,CA; Real Estate; Officer; Jul2020; 0.01hrs; CFO. 20. *406483 - Moonjack South LLC; Invt related;Fresno,CA; Real Estate; Officer; Jul2020; 0.01hrs;CFO. 21. *418579 - Trust; Investment related - Yes; Belgrade, Montana; Trust; Trustee/Co-Trustee;12/2020; During business hours: 0; After business hours: 1 *505767: Trust ; Invt related : Yes ; La Jolla ;California;Trust ; Trustee/Co-Trustee; 6/2022; DB Hrs :1 ; AB Hrs :0 *506609:Trust ; Invt related : Yes ; La Jolla ; California ; Trust ; Trustee/Co-Trustee; 6/2022; DB Hrs : 1 AB Hrs : 0 *506617 - Trust; Invt related Yes; La Jolla, California; Trust; Trustee/Co-Trustee; 06/2022; DB Hrs: 1; AB Hrs: 0 *508223- 7101 Metro LLC; Invt related- Yes; Palm Beach ,Florida; Real Estate;Member 06/2022;DB Hrs:0;AB Hrs: 1; Administrative*512575 - Rental Property; Invt related: Yes; Kalispell, Montana; Real Estate; Officer; 07/2022; DB Hrs: 0; AB Hrs: 1; Signor *523740 - Trust; Investment related: Yes; Lafayette, California; Trust; Trustee/Co-Trustee; 08/2022; DB Hrs: 0; AB Hrs: 20; *504479- Trust ; Investment related-Yes; 06/2022; La Jolla; California; DB hrs: 2; AB Hrs: 0*530391- Trust; Investment related-Yes; Lafayette, California;11/2022; During business hours: 1; After business hours: 0; *542687 - 17 Rainbow Point, LLC; Investment related No; Kalispell, Montana; Real Estate; Officer ; 02/2023 ; During business hours: 0; After business hours: 1; Signer.

End of Report



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