

BrokerCheck Report

RYAN CHARLES LEWIS

CRD# 2944017

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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)



RYAN C. LEWIS

CRD# 2944017

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

B MORGAN STANLEY
 101 Park Avenue
 24Th Floor
 New York, NY 10178
 CRD# 149777
 Registered with this firm since: 06/01/2009

IA MORGAN STANLEY
 101 Park Avenue
 24Th Floor
 New York, NY 10178
 CRD# 149777
 Registered with this firm since: 05/15/2020

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:

- 3 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 CITIGROUP GLOBAL MARKETS INC.**
 CRD# 7059
 NEW YORK, NY
 12/2006 - 06/2009
- IA TD AMERITRADE, INC.**
 CRD# 7870
 OMAHA, NE
 06/2004 - 12/2006
- B TD AMERITRADE, INC.**
 CRD# 7870
 NEW YORK, NY
 11/1998 - 12/2006

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 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 Principal	Approved	06/01/2009
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 Principal	Approved	06/17/2011
B	NYSE American LLC	General Securities Representative	Approved	06/17/2011
B	NYSE American LLC	Securities Manager	Approved	06/17/2011
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq Stock Market	General Securities Principal	Approved	06/01/2009
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	Securities Manager	Approved	06/01/2009
B	New York Stock Exchange	General Securities Principal	Approved	06/26/2010
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	11/18/2010
B	Alaska	Agent	Approved	11/12/2010
B	Arizona	Agent	Approved	03/12/2012
B	Arkansas	Agent	Approved	11/15/2010
B	California	Agent	Approved	06/01/2009
B	Colorado	Agent	Approved	06/01/2009
IA	Colorado	Investment Adviser Representative	Approved	03/17/2023
B	Connecticut	Agent	Approved	06/01/2009
IA	Connecticut	Investment Adviser Representative	Approved	02/16/2022
B	Delaware	Agent	Approved	06/01/2009
B	District of Columbia	Agent	Approved	06/01/2009
B	Florida	Agent	Approved	06/01/2009
B	Georgia	Agent	Approved	06/01/2009
B	Hawaii	Agent	Approved	06/01/2009
B	Idaho	Agent	Approved	11/16/2010
B	Illinois	Agent	Approved	06/01/2009
B	Indiana	Agent	Approved	06/01/2009
B	Iowa	Agent	Approved	11/12/2010
B	Kansas	Agent	Approved	11/19/2010
B	Kentucky	Agent	Approved	06/01/2009
B	Louisiana	Agent	Approved	11/12/2010



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Maine	Agent	Approved	06/01/2009
B	Maryland	Agent	Approved	06/01/2009
B	Massachusetts	Agent	Approved	06/01/2009
B	Michigan	Agent	Approved	03/12/2012
B	Minnesota	Agent	Approved	11/12/2010
B	Mississippi	Agent	Approved	11/24/2010
B	Missouri	Agent	Approved	06/01/2009
B	Montana	Agent	Approved	06/18/2009
B	Nebraska	Agent	Approved	11/16/2010
B	Nevada	Agent	Approved	06/18/2009
B	New Hampshire	Agent	Approved	06/01/2009
B	New Jersey	Agent	Approved	06/01/2009
B	New Mexico	Agent	Approved	06/01/2009
B	New York	Agent	Approved	06/01/2009
IA	New York	Investment Adviser Representative	Approved	06/16/2021
B	North Carolina	Agent	Approved	06/01/2009
B	North Dakota	Agent	Approved	11/15/2010
B	Ohio	Agent	Approved	06/01/2009
B	Oklahoma	Agent	Approved	11/15/2010
B	Oregon	Agent	Approved	11/10/2010
B	Pennsylvania	Agent	Approved	06/01/2009



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Puerto Rico	Agent	Approved	06/01/2009
B	Rhode Island	Agent	Approved	06/01/2009
B	South Carolina	Agent	Approved	06/01/2009
B	South Dakota	Agent	Approved	06/01/2009
B	Tennessee	Agent	Approved	11/12/2010
B	Texas	Agent	Approved	06/01/2009
IA	Texas	Investment Adviser Representative	Restricted Approval	05/15/2020
B	Utah	Agent	Approved	11/16/2010
B	Vermont	Agent	Approved	06/01/2009
B	Virgin Islands	Agent	Approved	11/12/2010
B	Virginia	Agent	Approved	06/01/2009
B	Washington	Agent	Approved	06/01/2009
B	West Virginia	Agent	Approved	06/01/2009
B	Wisconsin	Agent	Approved	05/05/2010
B	Wyoming	Agent	Approved	11/10/2010

Branch Office Locations

MORGAN STANLEY
 101 Park Avenue
 24th Floor
 New York, NY 10178

MORGAN STANLEY
 4240 Spruce Way
 Vail, CO 81657

Broker Qualifications



Employment 1 of 1, continued



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 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	06/30/2001
B General Securities Sales Supervisor - General Module Examination	Series 10	12/08/1999
B General Securities Sales Supervisor - Options Module Examination	Series 9	11/24/1999

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	11/30/2007
B General Securities Representative Examination	Series 7	10/26/1998

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	07/23/2001
B Uniform Securities Agent State Law Examination	Series 63	11/20/1998

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 12/2006 - 06/2009	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
IA 06/2004 - 12/2006	TD AMERITRADE, INC.	7870	NEW YORK, NY
B 11/1998 - 12/2006	TD AMERITRADE, INC.	7870	NEW YORK, NY

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	NEW YORK, NY, United States
12/2006 - Present	CITIGROUP GLOBAL MARKETS INC.	PRODUCING SALES MGR	Y	NEW YORK, 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.

LEWIS CAPITAL MANAGEMENT LLC
 30 CAMDEN PLACE, NEW HYDE PARK, NY 11040
 PERSONAL CORP
 NON-INVESTMENT RELATED
 SALE OWNER AND DIRECTOR
 THIS WOULD BE FOR TAX PURPOSES AND LIABILITY
 30 HOURS A MONTH/ZERO DURING TRADING HOURS

PACE UNIVERSITY



Registration and Employment History

Other Business Activities, continued

1 MARTINE AVE, ROOM 530 WHITE PLAINS NY 10606
SCHOOL
NON-INVESTMENT RELATED
CFP TEACHER
START DATE: 10/04
12 HOURS A MONTH/ZERO HOURS DURING TRADING HOURS
\$2000 PER CLASS

CCMI
88 MIDDLE STREET, GENEVA, NY 14456
MANUFACTURING FIRM
NON-INVESTMENT RELATED
CHIEF FINANCIAL OFFICER
LOOK OVER BOOKS, HELP WITH MERGERS, HELP PAY DOWN DEBT
START DATE: NOVEMBER 1, 2004
QUARTERLY MEETING
ZERO HOURS DURING TRADING HOURS
\$1,000 PER HOUR
SMALL FIRM, NON-PUBLIC

End of Report



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