

## Direct Owners/Executive Officers

**Organization CRD Number: 8209**

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

**Organization SEC Number: 8-15869**

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

[View IA Record](#)

Full Legal Name	Domestic, Foreign, Individual	Status	Date Status Acquired	Ownership Code	Control person	Public Reporting Company	CRD#, EIN, SSN, IRS#
WIPF, THOMAS GEORGE	Individual	DIRECTOR	07/2012	Less than 5%	Y	N	<a href="#">1559273</a>
STERN, MICHAEL A	Individual	DIRECTOR	02/2015	Less than 5%	Y	N	<a href="#">4939073</a>
ASSOMULL, MOHIT ASHOK	Individual	DIRECTOR	02/2013	Less than 5%	Y	N	<a href="#">3103550</a>
MORGAN STANLEY DOMESTIC HOLDINGS INC.	Domestic Entity	MEMBER	05/2011	75% or more	Y	N	20-8764829
BHAIMIA, ISMAIL OMAR	Individual	DIRECTOR	05/2019	Less than 5%	Y	N	<a href="#">6264162</a>
FAULKNER, JOHN H	Individual	GENERAL COUNSEL AND SECRETARY	06/2009	Less than 5%	Y	N	<a href="#">2454537</a>
LYNN, GARY MICHAEL	Individual	PRINCIPAL FINANCIAL OFFICER	01/2017	Less than 5%	Y	N	<a href="#">2162411</a>
BERKE, MATTHEW EVAN	Individual	CHAIRMAN, PRESIDENT, CHIEF EXECUTIVE OFFICER, AND DIRECTOR	11/2018	Less than 5%	Y	N	<a href="#">2524594</a>
DUNLEAVY, KEVIN BRIAN	Individual	TEXAS DESIGNATED PRINCIPAL	02/2016	Less than 5%	Y	N	<a href="#">1009268</a>
SMALLMAN, THOMAS E	Individual	CHIEF COMPLIANCE OFFICER	04/2021	Less than 5%	Y	N	<a href="#">4272758</a>
HIRSHORN, WILLIAM DAVID	Individual	PRINCIPAL OPERATIONS OFFICER	11/2022	Less than 5%	Y	N	<a href="#">1564223</a>