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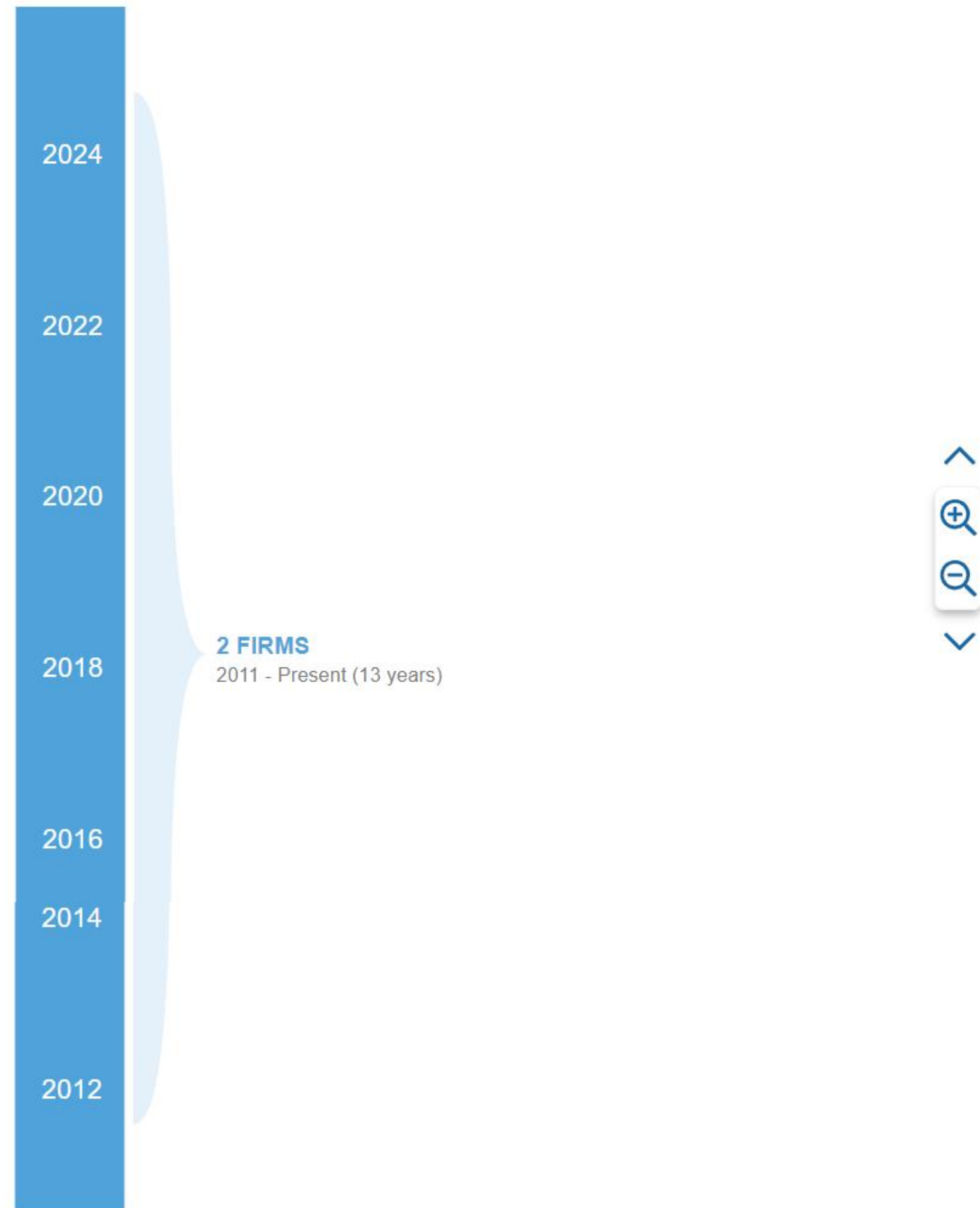
CRD#: 5924805

- B** Broker Regulated by FINRA
- IA** Investment Adviser

MORGAN STANLEY
CRD#: 149777
Ten Pointe Drive
Suite 400
Brea, CA 92821

0 Disclosures	13 Years of Experience 1 Firm	3 Exams Passed	37 State Licenses
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Registration History



Examination(s)

State Securities Law Exam		
B IA	Series 66 - Uniform Combined State Law Examination	Aug 4, 2011
General Industry/Products Exam		
B	SIE - Securities Industry Essentials Examination	Oct 1, 2018
B	Series 7 - General Securities Representative Examination	Jul 5, 2011

Additional information including this individual's professional designations is available in the Detailed Report.

License(s)

State Registrations

B Alaska	B Montana
B Arizona	B Nevada
B Arkansas	B New Mexico
B California	B New York
IA California	B North Carolina
B Colorado	B North Dakota
B Connecticut	B Ohio
B Delaware	B Oklahoma
B Florida	B Oregon
B Georgia	B Pennsylvania
B Hawaii	B South Carolina
B Idaho	B Texas
B Illinois	IA Texas
B Indiana	B Utah
B Kentucky	B Virginia
B Maryland	B Washington
B Massachusetts	B Wisconsin
B Michigan	B Wyoming
B Missouri	

SRO Registrations

B FINRA
B NYSE American LLC
B Nasdaq Stock Market
B New York Stock Exchange

Not all jurisdictions require IAR registration or may have an exemption from registration.

Current Registration(s)

B MORGAN STANLEY (CRD#:149777)	<ul style="list-style-type: none"> Ten Pointe Drive Suite 400, Brea, CA 92821 Registered with this firm since 7/6/2011
IA MORGAN STANLEY (CRD#:149777)	<ul style="list-style-type: none"> Ten Pointe Drive Suite 400, Brea, CA 92821 Registered with this firm since 8/5/2011

Additional Information

The content of this summary, and the available detailed report, is governed by FINRA Rule 8312, and is primarily based on information filed on uniform registration forms. Rule 8312, amendments to the rule and notices related to U.S. Securities and Exchange Commission approval orders, can be viewed [here](#).

State regulators are governed by their public records laws (not FINRA Rule 8312), and may provide information not in BrokerCheck, including information no longer required to be reported or updated on uniform registration forms due, for example, to its age or final disposition. You may [contact your state regulator](#) to request this additional information.

[Click here](#) for more information about how to check on an investment professional.

B Broker

A brokerage firm, also called a broker-dealer, is in the business of buying and selling securities – stocks, bonds, mutual funds, and certain other investment products – on behalf of its customer (as broker), for its own bank (dealer), or both.

Individuals who work for broker-dealers - the sales personnel are commonly referred to as brokers.

IA Investment Adviser

An investment adviser is paid for providing advice about securities to clients. In addition, some investment advisers manage investment portfolios and offer financial planning services.

It is common for a financial professional to act as both a broker and an investment adviser. Because of this, we include investment advisers on BrokerCheck, and provide links to the SEC's Investment Adviser Public Disclosure (IAPD) website so you can research further.

PR Previously Registered

A Previously Registered broker or brokerage firm is not currently licensed to act as a broker (buying and selling securities on behalf of customers) or as an investment adviser (providing advice about securities to clients). They may still be able to offer other investment-related services if properly licensed to do so. [Click here](#) to learn more.

Disclosures

Disclosures can be customer complaints or arbitrations, regulatory actions, employment terminations, bankruptcy filings and certain civil or criminal proceedings that they were a part of.