



## IAPD Report

# BARRY ALLEN SCHWARTZ

CRD# 1022377

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### BARRY ALLEN SCHWARTZ (CRD# 1022377)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **05/28/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	UBS FINANCIAL SERVICES INC.	CRD# 8174	06/12/2013
<b>IA</b>	UBS FINANCIAL SERVICES INC.	CRD# 8174	06/12/2013

### QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **23** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

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

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

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>IA</b>	ALLIANCEBERNSTEIN L.P.	108477	MIAMI, FL	08/21/2008 - 06/20/2013
<b>B</b>	SANFORD C. BERNSTEIN & CO., LLC	104474	MIAMI, FL	06/09/2008 - 06/20/2013
<b>B</b>	NATIONWIDE INVESTMENT SERVICES CORPORATION	7110	COLUMBUS, OH	04/05/1999 - 08/01/2006

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	2



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **23** jurisdiction(s) and **10** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**

Main Address: 1200 HARBOR BOULEVARD  
WEEHAWKEN, NJ 07086

Firm ID#: 8174

Regulator	Registration	Status	Date
<b>B</b> BOX Exchange LLC	General Securities Representative	Approved	06/12/2013
<b>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	06/12/2013
<b>B</b> FINRA	General Securities Representative	Approved	06/12/2013
<b>B</b> NYSE American LLC	General Securities Representative	Approved	06/12/2013
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	06/12/2013
<b>B</b> NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	Approved	06/12/2013
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	06/12/2013
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	06/12/2013
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	06/12/2013
<b>B</b> Alabama	Agent	Approved	01/05/2022
<b>B</b> California	Agent	Approved	05/20/2015
<b>B</b> Colorado	Agent	Approved	06/12/2013



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Delaware	Agent	Approved	03/23/2023
<b>B</b> Florida	Agent	Approved	06/12/2013
<b>IA</b> Florida	Investment Adviser Representative	Approved	07/11/2013
<b>IA</b> Georgia	Investment Adviser Representative	Approved	06/12/2013
<b>B</b> Georgia	Agent	Approved	09/18/2015
<b>B</b> Illinois	Agent	Approved	03/23/2022
<b>B</b> Indiana	Agent	Approved	11/26/2019
<b>B</b> Louisiana	Agent	Approved	10/05/2020
<b>B</b> Maryland	Agent	Approved	01/06/2022
<b>B</b> Massachusetts	Agent	Approved	03/24/2016
<b>B</b> Michigan	Agent	Approved	06/12/2013
<b>B</b> Mississippi	Agent	Approved	01/06/2022
<b>IA</b> New Jersey	Investment Adviser Representative	Approved	06/18/2013
<b>B</b> New Jersey	Agent	Approved	10/09/2019
<b>B</b> New York	Agent	Approved	07/09/2015
<b>B</b> North Carolina	Agent	Approved	02/09/2015
<b>B</b> Ohio	Agent	Approved	06/12/2013
<b>B</b> Oregon	Agent	Approved	05/18/2025
<b>B</b> South Carolina	Agent	Approved	04/08/2024



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Texas	Agent	Approved	11/19/2020
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	01/10/2022
<b>B</b> Utah	Agent	Approved	03/13/2024
<b>B</b> Virgin Islands	Agent	Approved	05/13/2025
<b>B</b> Virginia	Agent	Approved	01/12/2016

### Branch Office Locations

**UBS FINANCIAL SERVICES INC.**  
100 S.E. 2ND STREET  
25th  
MIAMI, FL 33131

**UBS FINANCIAL SERVICES INC.**  
1800 NORTH MILITARY TRAIL  
SUITE 300  
BOCA RATON, FL 33431

**UBS FINANCIAL SERVICES INC.**  
Delray Beach, FL



## Qualifications

### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	03/01/1984

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Futures Managed Funds Examination (S31)	Series 31	08/01/2008
	General Securities Representative Examination (S7)	Series 7	06/18/1983

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	08/14/2008
	Uniform Securities Agent State Law Examination (S63)	Series 63	01/23/1989

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



### Registration & Employment History

#### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	08/21/2008 - 06/20/2013	ALLIANCEBERNSTEIN L.P.	CRD# 108477	MIAMI, FL
B	06/09/2008 - 06/20/2013	SANFORD C. BERNSTEIN & CO., LLC	CRD# 104474	MIAMI, FL
B	04/05/1999 - 08/01/2006	NATIONWIDE INVESTMENT SERVICES CORPORATION	CRD# 7110	COLUMBUS, OH
B	09/07/1994 - 12/10/1998	MFI INVESTMENTS CORP.	CRD# 2864	BRYAN, OH
B	01/24/1990 - 09/07/1994	INVESTMENT MANAGEMENT & RESEARCH, INC	CRD# 6694	ST. PETERSBURG, FL
B	11/19/1989 - 01/30/1990	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	11/02/1988 - 11/19/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	
B	06/24/1983 - 11/05/1988	SOUTHMARK FINANCIAL SERVICES, INC.	CRD# 6518	
B	06/24/1983 - 12/16/1983	AMERICAN CAPITAL FINANCIAL SERVICES, INC.	CRD# 146	
B	06/24/1983 - 11/25/1983	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	

#### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2013 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	MIAMI, FL, United States

#### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

Name of Business- Delaire Country Club. / Address- Delray Beach, FL 33445 / Investment Related- NO / Nature- Residential country club. Provides recreational and dining services / Role- Member of Board of directors / Duty- Member of Board of directors / Start Date- 3/13/2024 / Time Required- NO



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

Congregation B'nai Israel , Boca Raton United States , Religious organization Other Religious organization Reform Jewish Congregation , President of the Board of Trustees. Run monthly Board and Executive Board meetings. Meet as needed with the Executive Director and Clergy ,Start date 7/1/2025



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	2

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FLORIDA
<b>Sanction(s) Sought:</b>	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	07/03/2013
<b>Docket/Case Number:</b>	0267-SR-06/13
<b>URL for Regulatory Action:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	ALLIANCEBERSTEIN L.P.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	UNREGISTERED INVESTMENT ADVISORY BUSINESS
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	07/03/2013



**Sanctions Ordered:** Cease and Desist  
Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$22,500.00

**Portion Levied against individual:** \$22,500.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 07/03/2013

**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement** ON 7/3/2013, THE OFFICE OF FINANCIAL REGULATION ("OFFICE") ENTERED A FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT IN THE MATTER OF BARRY ALLEN SCHWARTZ. MR. SCHWARTZ NEITHER ADMITTED NOR DENIED THE FINDINGS BUT CONSENTED TO THE ENTRY OF FINDINGS BY THE OFFICE. THE OFFICE FOUND THAT MR. SCHWARTZ ENGAGED IN INVESTMENT ADVISORY BUSINESS FROM OFFICES WITHIN THIS STATE WITHOUT THE BENEFIT OF LAWFUL REGISTRATION IN THE STATE OF FLORIDA PURSUANT TO SECTION 517.12(4), F.S. MR. SCHWARTZ AGREED TO CEASE AND DESIST FROM ANY AND ALL VIOLATIONS OF CHAPTER 517, F.S. AND TO PAY AN ADMINISTRATIVE FINE OF \$22,500.

.....

**Reporting Source:** Individual

**Regulatory Action Initiated By:** FLORIDA

**Sanction(s) Sought:** Cease and Desist  
Civil and Administrative Penalty(ies)/Fine(s)

**Date Initiated:** 07/03/2013

**Docket/Case Number:** 0267-SR-06/13

**Employing firm when activity occurred which led to the regulatory action:** ALLIANCEBERSTEIN L.P.

**Product Type:** No Product

**Allegations:** UNREGISTERED INVESTMENT ADVISORY BUSINESS

**Current Status:** Final

**Resolution:** Order

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No



<b>Resolution Date:</b>	07/03/2013
<b>Sanctions Ordered:</b>	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$22,500.00
<b>Portion Levied against individual:</b>	\$22,500.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	07/03/2013
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	



## Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

### Disclosure 1 of 2

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC.

**Allegations:** Time frame: January 2021 to February 2022

Allegations: Claimants allege unsuitability and overconcentration of certain investments, and that such investments resulted in principal losses. Claimants further allege misrepresentation with respect to the handling of Claimants' investment accounts.

**Product Type:** Other: Equities and Alternative Investments

**Alleged Damages:** \$1,000,000.00

**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 Arbitration

**Docket/Case #:** 23-03449

**Filing date of arbitration/CFTC reparation or civil litigation:** 12/05/2023

## Customer Complaint Information

**Date Complaint Received:** 12/05/2023

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 05/23/2025

**Settlement Amount:** \$150,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** I disagree with every aspect of the complaint. I worked closely with the client in developing an asset allocation that would address his needs. I received the proper acknowledgements and authorizations to move forward with the investments that were recommended.

### Disclosure 2 of 2



**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** INVESTMENT MANAGEMENT & RESEARCH, INC

**Allegations:** SUITABILITY; OMISSION OF FACTS; ACCOUNT RELATED - FAILURE TO SUPERVISE

**Product Type:**

**Alleged Damages:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD - CASE #97-01477

**Date Notice/Process Served:** 05/05/1997

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 01/30/1998

**Disposition Detail:** CLOSED - PARTIES SETTLED THRU MEDIATION  
\*\* SETTLED THRU MEDIATION \*\*

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** INVESTMENT MANAGEMENT & RESEARCH, INC

**Allegations:** CLIENT CLAIMS DAMAGES IN EXCESS OF \$38,000.00 FOR UNSUITABLE INVESTMENTS IN LIMITED PARTNERSHIPS. ALSO CLAIMS MISREPRESENTATION AND BREACH OF FIDUCIARY DUTY.

**Product Type:**

**Alleged Damages:**

**Customer Complaint Information**

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 01/30/1998

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; 97-01477

**Date Notice/Process Served:** 05/05/1997

**Arbitration Pending?** No



**Disposition:** Settled  
**Disposition Date:** 01/30/1998  
**Firm Statement** Not Provided  
CLAIM INVOLVES PARTNERSHIP INVESTMENTS MADE PRIOR  
TO REGISTERED REPRESENTATIVE JOINING INVESTMENT MANAGEMENT &  
RESEARCH, INC.

---

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** INVESTMENT MANAGEMENT & RESEARCH, INC  
**Allegations:** SOLD UNSUITABLE INVESTMENTS  
**Product Type:** Direct Investment(s) - DPP & LP Interest(s)  
**Alleged Damages:** \$14,000.00

### Customer Complaint Information

**Date Complaint Received:** 05/05/1997  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:** 01/30/1998  
**Settlement Amount:** \$14,000.00  
**Individual Contribution Amount:** \$14,000.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; 97-01477  
**Date Notice/Process Served:** 05/05/1997  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 01/30/1998  
**Monetary Compensation Amount:** \$14,000.00  
**Individual Contribution Amount:** \$14,000.00  
**Broker Statement** PAYMENT OF \$14,000 MADE TO [CUSTOMER]  
NOT PROVIDED



## End of Report

This page is intentionally left blank.