User Guidance

www.adviserinfo.sec.gov

IAPD Report

MARK EMERSON MATTHEWS

CRD# 1069430

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

MARK EMERSON MATTHEWS (CRD# 1069430)

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 **12/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	01/28/1995
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	01/28/1995

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **18** 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	KIDDER, PEABODY & CO. INCORPORATED	7613	NEW YORK, NY	10/09/1984 - 01/28/1995
B	PAINEWEBBER INCORPORATED	8174	NEW YORK, NY	03/15/1983 - 10/26/1984
B	MARTIN NELSON & CO., INC.	2903	NEW YORK, NY	11/24/1982 - 03/28/1983

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	1

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 **18** jurisdiction(s) and 1**0** 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	BOX Exchange LLC	General Securities Representative	Approved	05/16/2012
B	Cboe Exchange, Inc.	General Securities Representative	Approved	01/28/1995
B	FINRA	General Securities Representative	Approved	01/28/1995
B	NYSE American LLC	General Securities Representative	Approved	01/28/1995
B	NYSE Arca, Inc.	General Securities Representative	Approved	01/28/1995
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/13/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/28/2008
B	Nasdaq PHLX LLC	General Securities Representative	Approved	01/28/1995
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	01/28/1995
B	Alaska	Agent	Approved	01/28/1995
B	Arizona	Agent	Approved	01/28/1995
B	California	Agent	Approved	01/28/1995

Qualifications

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	06/28/2024
B	Connecticut	Agent	Approved	10/28/2010
B	Florida	Agent	Approved	10/08/2020
B	Idaho	Agent	Approved	02/17/2009
B	Illinois	Agent	Approved	08/06/2015
B	Iowa	Agent	Approved	06/23/1998
B	Maine	Agent	Approved	08/07/2025
B	Michigan	Agent	Approved	08/05/2008
B	Montana	Agent	Approved	07/27/2021
B	New York	Agent	Approved	12/05/1996
B	Oregon	Agent	Approved	01/28/1995
B	Tennessee	Agent	Approved	08/27/2010
B	Texas	Agent	Approved	02/04/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	01/28/1995
B	Utah	Agent	Approved	08/31/1998
B	Washington	Agent	Approved	01/28/1995
IA	Washington	Investment Adviser Representative	Approved	05/22/1995
B	Wisconsin	Agent	Approved	11/12/2021

Qualifications

Branch Office Locations

UBS FINANCIAL SERVICES INC.
925 Fourth Avenue
31st & 32nd Floor
SEATTLE, WA 98104

UBS FINANCIAL SERVICES INC.
La Quinta, CA

UBS FINANCIAL SERVICES INC.
Mercer Island, WA

UBS FINANCIAL SERVICES INC.
225 108th Avenue NE
Suite 800
Bellevue, WA 98004

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	12/07/2005
B	General Securities Representative Examination (S7)	Series 7	11/20/1982

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/24/1992
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/08/1982

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	10/09/1984 - 01/28/1995	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	NEW YORK, NY
B	03/15/1983 - 10/26/1984	PAINEWEBBER INCORPORATED	CRD# 8174	
B	11/24/1982 - 03/28/1983	MARTIN NELSON & CO., INC.	CRD# 2903	

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
01/1995 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	SEATTLE, WA, 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.

1. SOCCER REFEREE. MERCER ISL., WA, 98040.
NOT INVESTMENT RELATED. BUSINESS - REFEREE SOCCER GAMES. NO TITLE. SOLE PRACTICIAN.
START DATE - 05/01/1990. 4.5 HOURS/WEEK.
APRIL THRU OCTOBER. DUTIES - REFEREE SOCCER GAMES. 2. SKI MASTERS SKI SCHOOL. ISSAQUAH, WA 98029.
NOT INVESTMENT RELATED.
BUSINESS - SKI INSTRUCTOR. TITLE - TRAINING DIRECTOR. START DATE - 01/07/1989.
4 HRS/DAY - 1 DAY/WEEK DURING DEC, JAN & FEB. DUTIES - TEACH OTHER INSTRUCTORS HOW TO BE BETTER TEACHERS DURING DECEMBER AND TEACH STUDENTS DURING JAN. & FEB.

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	1

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

Reporting Source:	Firm
Regulatory Action Initiated By:	CHICAGO BOARD OF OPTION EXCHANGE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	11/05/1985
Docket/Case Number:	85-0080
Employing firm when activity occurred which led to the regulatory action:	PAINEWEBBER
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	11/05/1985
Sanctions Ordered:	Censure
Other Sanctions Ordered:	
Sanction Details:	

Reporting Source:	Individual
Regulatory Action Initiated By:	CBOE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	11/05/1985
Docket/Case Number:	85-0080
Employing firm when activity occurred which led to the regulatory action:	PAINEWEBBER
Product Type:	
Other Product Type(s):	
Allegations:	UNDER THE RULES OF THE OPTIONS BOARD 4.1 & 9.10(C) THE OPTIONS TRANSACTION INVOLVING 50 DATA GENERAL 55 CALL OPTIONS WAS RULED UNAUTHORIZED & EXCESSIVE IN SIZE.
Current Status:	Final
Resolution:	Decision
Resolution Date:	11/05/1985
Sanctions Ordered:	Censure
Other Sanctions Ordered:	
Sanction Details:	CENSURED
Broker Statement	CENSURED

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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PAINE, WEBBER, JACKSON & CURTIS, INC.
Allegations:	
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Litigation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	U.S. DISTRICT; WESTERN DISTRICT OF WA, SEATTLE; C85-1237
Date Notice/Process Served:	10/23/1984
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	05/22/1986
Monetary Compensation Amount:	$12,500.00
Individual Contribution Amount:	$0.00
Firm Statement	CIVIL ACTION NO. C85-1237, FILED IN THE UNITED STATES DISTRICT COURT, WESTERN DISTRICT OF WASHINGTON AT SEATTLE. DER SPORTSMANN, INC. v. PAINE, WEBBER, JACKSON & CURTIS, INCORPORATED, MARK MATTHEWS AND [THIRD PARTY]. THE COMPLAINT ALLEGES SECURITIES LAW VIOLATION, FRAUD, UNAUTHORIZED TRADING, AND UNSPECIFIED DAMAGES IN CONNECTION WITH PLAINTIFF'S SECURITIES ACCOUNT. ON OR ABOUT AUGUST 10, 1984, WITHOUT ANY PRIOR WARNING OR NOTICE, PLAINTIFF RECEIVED A TELEPHONE CALL FROM MATTHEWS, EXPRESSING AN APOLOGY FOR HAVING JUST LOST APPROXIMATELY $6,000 ON HIS ACCOUNT. MATTHEWS EXPLAINED THAT HE HAD ATTEMPTED TO OBTAIN PLAINTIFF'S PERMISSION TO TAKE CERTAIN ACTION INVOLVING PLAINTIFF'S ACCOUNT, BUT HAD PROCEEDED

ON HIS OWN WHEN UNABLE TO CONTACT PLAINTIFF. SINCE MATTHEWS' TELEPHONE CALL TO PLAINTIFF, HE HAS BEEN REMOVED AS AN EMPLOYEE OF PAINE, WEBBER. SINCE AUGUST 10, 1984, PLAINTIFF HAS REPEATEDLY ASKED PAINE, WEBBER FOR ALL DOCUMENTS CONCERNING PAINE WEBBER'S AUTHORITY TO TAKE ACTIONS INVOLVING PLAINTIFF'S ACCOUNT WITHOUT PLAINTIFF'S PERMISSION. TO DATE, PAINE WEBBER HAS NEITHER PRODUCED ANY DOCUMENTS NOR GIVEN ANY EXPLANATION OF MATTHEWS' OR ITS ACTIONS. AT LEAST FROM AUGUST THROUGH SEPTEMBER, 1984, PLAINTIFF'S ACCOUNT UNDERWENT HEAVY AND/OR EXCESSIVE TRADING. MERELY FOR THE TRANSACTIONS ON A SINGLE DAY, ON OR ABOUT AUGUST 10, 1984, WHICH RESULTED IN THE APPROXIMATELY $6,000 LOSS TO PLAINTIFF, MATTHEWS AND PAINE, WEBBER CHARGED COMMISSIONS IN EXCESS OF $1,000. FROM AUGUST THROUGH SEPTEMBER, 1984, MATTHEWS AND PAINE, WEBBER ABUSED THE CONFIDENCE ENTRUSTED TO THEM BY HANDLING PLAINTIFF'S ACCOUNT IN A MANNER CONTRARY TO PLAINTIFF'S NEEDS AND INSTRUCTIONS, NAMELY BY: (1) PARTICIPATING IN UNAUTHORIZED AND/OR EXCESSIVE TRADING OF SECURITIES UNDER PLAINTIFF'S ACCOUNT; (2) FAILING TO PRESERVE THE INVESTMENT NATURE, CHARACTER AND VALUE OF PLAINTIFF'S ACCOUNT; (3) FALSELY MISLEADING*See FAQ #1*

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PAINE, WEBBER, JACKSON & CURTIS, INC.

Allegations: ALLEGED UNAUTHORIZED TRADING. PLAINTIFF DEMANDED JUDGMENT FOR DAMAGES IN AN AMOUNT NOT LESS THAN $10,000, TOGETHER WITH INTEREST, COSTS AND REASONABLE ATTORNEYS' FEES; AND FOR AN AWARD OF TREBLE DAMAGES.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: U.S. DISTRICT; WESTERN DISTRICT OF WA, SEATTLE; C85-1237

Date Notice/Process Served: 10/23/1984

Litigation Pending? No

Disposition: Settled

Disposition Date: 05/22/1986

Monetary Compensation Amount:	$12,500.00
Individual Contribution Amount:	$0.00
Broker Statement	PAINE WEBBER SETTLED THE MATTER FOR $12,500 ON MA 22, 1986. ON APRIL 30,1 986, THE COURT ISSUED AND ORDER OF DISMISSAL WITH PREJUDICE. PAINEWEBBER DROPPED ACTION/SETTLEMENT AGAINST MR. MATTHEWS ON JANUARY 8, 1988; THEREFORE, MR. MATTHEWS DID NOT CONTRIBUTE TO THE SETTLEMENT. CUSTOMER HAD A HISTORY OF AGGRESSIVE TRADING ACTIVITY AND INVOLVED HIMSELF IN AN OPTION TRADE HE LATER CLAIMED WAS UNAUTHORIZED. PAINEWEBBER EVENTUALLY SETTLED THE MATTER WITH CUSTOMER FOR LOSSES PLUS INTEREST AND ALL ATTORNEY FEES. CUSTOMER'S SUIT WAS DROPPED. PAINE WEBBER THEN ATTEMPTED TO COLLECT ONE HALF OF ALL SETTLEMENT COSTS FROM MYSELF. THIS ACTION WAS DROPPED.

End of Report

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