



IAPD Report

JOHN MARK RINKER

CRD# 1223235

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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

JOHN MARK RINKER (CRD# 1223235)

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 **09/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	01/01/1991
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	01/01/1991

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	ROTAN MOSLE INC.	727	LOCATION	08/18/1989 - 01/01/1991
B	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ	01/17/1984 - 09/01/1989

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
Customer Dispute	3



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
	BOX Exchange LLC	General Securities Representative	Approved	05/16/2012
	Cboe Exchange, Inc.	General Securities Representative	Approved	03/03/1991
	FINRA	General Securities Representative	Approved	01/01/1991
	NYSE American LLC	General Securities Representative	Approved	01/01/1991
	NYSE Arca, Inc.	General Securities Representative	Approved	10/11/1992
	NYSE Texas, Inc.	General Securities Representative	Approved	07/13/2022
	Nasdaq ISE, LLC	General Securities Representative	Approved	01/25/2008
	Nasdaq PHLX LLC	General Securities Representative	Approved	10/16/1993
	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
	New York Stock Exchange	General Securities Representative	Approved	01/01/1991
	Arizona	Agent	Approved	01/01/1991
	Arkansas	Agent	Approved	05/19/2023
	California	Agent	Approved	01/01/1991



Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	11/28/2023
B	Connecticut	Agent	Approved	02/15/2012
B	District of Columbia	Agent	Approved	09/06/2024
B	Florida	Agent	Approved	03/05/1996
B	Georgia	Agent	Approved	06/13/2025
B	Indiana	Agent	Approved	06/08/2023
B	Massachusetts	Agent	Approved	10/21/2020
B	Mississippi	Agent	Approved	07/23/2024
B	Missouri	Agent	Approved	02/11/2020
B	New Mexico	Agent	Approved	05/16/2017
B	New York	Agent	Approved	05/13/1991
B	North Carolina	Agent	Approved	09/21/2006
IA	North Carolina	Investment Adviser Representative	Approved	06/13/2024
B	Oklahoma	Agent	Approved	07/24/2024
B	Pennsylvania	Agent	Approved	01/01/1991
B	South Carolina	Agent	Approved	07/15/2004
B	Tennessee	Agent	Approved	04/08/2024
B	Texas	Agent	Approved	01/01/1991
IA	Texas	Investment Adviser Representative	Approved	01/01/1991



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	09/12/2025
B Virginia	Agent	Approved	07/07/2022
B Washington	Agent	Approved	03/30/2021

Branch Office Locations

UBS FINANCIAL SERVICES INC.
401 W 4th Street
SUITE 3100
AUSTIN, TX 78701

UBS FINANCIAL SERVICES INC.
AUSTIN, TX

UBS FINANCIAL SERVICES INC.
Fairview, NC



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	12/17/1983

State Securities Law Exams

Exam	Category	Date
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	Uniform Investment Adviser Law Examination (S65)	Series 65	05/14/1993
	Uniform Securities Agent State Law Examination (S63)	Series 63	01/09/1984

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	08/18/1989 - 01/01/1991	ROTAN MOSLE INC.	CRD# 727	
B	01/17/1984 - 09/01/1989	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ

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
01/2003 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	AUSTIN, TX, 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.

LIFE WELL LIVED / 120 WEST 8TH ST GEORGETOWN, TEXAS 78628 / PARTNERSHIP / FOOD, BEVERAGES & TOBACCO / DIETARY SUPPLEMENT DRINK / PARTNER / SIGNING PARTNER, REPRESENT COMPANY / START DATE 07/15/2012 / 1 - 2 HRS PER WEEK.



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
Customer Dispute	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	TIME FRAME: FEBRUARY 16, 2000 THRU JUNE 11, 2009 CLIENT ALLEGES THAT HE WAS TOLD THE TAX FREE MONEY-MARKET FUND (AUCTION RATE SECURITIES) WAS LIQUID AND IDENTICAL TO A REGULAR MONEY MARKET FUND IN EVERY OTHER WAY EXCEPT THE INTEREST WAS NOT TAXABLE.
Product Type:	Other: AUCTION RATE SECURITIES
Alleged Damages:	\$25,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/11/2009
Complaint Pending?	No
Status:	Settled
Status Date:	03/29/2010
Settlement Amount:	\$7,500.00



Individual Contribution Amount: \$0.00

Broker Statement THE COMPLAINT AROSE BECAUSE OF UNPRECEDENTED MARKET EVENTS THAT CAUSED THE BREAKDOWN OF LIQUIDITY IN THE MARKET FOR AUCTION RATE SECURITIES IN 2008. CLIENT PURCHASED ARS IN APPROXIMATELY 2000 AND TRANSFERRED THEM AWAY IN 2001. CLIENT SOLD THE ARS UNDER PAR AFTER THE AUCTIONS FAILED IN 2008 AND UBS AGREED TO PAY THE CLIENT THE LOSS OF \$7,500. THE SETTLEMENT WAS NOT BASED ON THE MERITS OF THE CLIENTS' SPECIFIC CONCERNS OR ANY FINDING OF FAULT OR WRONGDOING BY THE NAMED REPRESENTATIVE. THE NAMED REPRESENTATIVE WAS NOT A PARTY TO AND DID NOT AGREE TO OR PARTICIPATE IN THE SETTLEMENT. THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CLIENT AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE SETTLEMENT AMOUNT. THE CLIENTS CONCERNS WERE ONLY OVER THE LOSS OF LIQUIDITY IN 2008 AND NOT ABOUT THE CONDUCT OF THE NAMED REPRESENTATIVE.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS PAINWEBBER INC.

Allegations: IN THIS NYSE ARBITRATION, TWO COUPLES MAKE VAGUE SALES PRACTICE ALLEGATIONS AGAINST MR. RINKER AND UBS PAINWEBBER. THE ALLEGATIONS APPEAR TO FOCUS ON MR. RINKER'S ALLEGED FAILURE TO TAKE PROFITS IN THEIR ACCOUNTS AND DIVERSIFY THEIR ACCOUNTS IN 2000 AFTER THE MARKETS BEGAN TO DECLINE FROM THEIR RECENT HIGHS.

Product Type: Equity - OTC

Alleged Damages: \$5,000,000.00

Customer Complaint Information

Date Complaint Received: 07/03/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/03/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE - DOCKET # 2001-009183

Date Notice/Process Served: 07/03/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/19/2002



Monetary Compensation Amount: \$192,500.00

Individual Contribution Amount: \$0.00

Broker Statement CLIENTS' ASSETS WERE DIVERSIFIED BETWEEN STOCKS, BONDS AND CASH. DURING THE VOLATILE MARKETS OF 2000, ADDITIONAL DEFENSIVE MEASURES WERE RECOMMENDED AND TAKEN TO FURTHER PROTECT AND DIVERSIFY THEIR ASSET ALLOCATION. -- REGULAR COMMUNICATIONS AND PORTFOLIO REVIEWS WERE CONDUCTED TO UPDATE CLIENTS ON THE MARKET CONDITIONS. CLIENTS ALSO HAD DAILY ACCESS TO BOTH ASSET VALUES AND PORTFOLIO ALLOCATIONS IN THEIR ACCOUNTS VIA UBS PAINWEBBER ONLINE ACCOUNT SERVICES AS WELL AS MONTHLY STATEMENTS.

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PAINWEBBER

Allegations: BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, BREACH OF OBLIGATION OF GOOD FAITH & FAIR DEALING, VIOLATIONS MT SECURITIES ACT; VIOLATIONS OF 1933 AND 1934 SEC ACTS

Product Type:

Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Disposition: Settled

Disposition Date: 09/30/1988

Broker Statement PAINWEBBER PAID THE CLIENT \$20,000.00 AS PART OF A NO-FAULT SETTLEMENT
CLIENT ACCUMULATED SIZABLE LONG TERM CAPITAL GAIN IN A UNIT TRUST PORTFOLIO OF CORPORATE PREFERRED STOCKS.
BROKER SUGGESTED CLIENT TAKE PROFITS UNDER CURRENT TAX CODE AND BEFORE
NEW 1987 TAX CODE ELIMINATED LONG TERM CAPITAL GAINS FOR CORPORATIONS CLIENT SOLD POSITION THEN SUED PAINWEBBER TO RE-INSTATE ORIGINAL POSITION. PAINWEBBER SETTLED MATTER AS NO FAULT SETTLEMENT



End of Report

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