



IAPD Report

ROBERT PAUL GOLDSTEIN JR

CRD# 1349953

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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

ROBERT PAUL GOLDSTEIN JR (CRD# 1349953)

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 **01/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	11/14/2008
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	11/18/2008

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **30** 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
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	ALPHARETTA, GA	10/13/2001 - 11/17/2008
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	ALPHARETTA, GA	10/04/2001 - 11/17/2008
B	SALOMON SMITH BARNEY INC.	7059	NEW YORK, NY	04/07/1993 - 10/04/2001

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	4



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 **30** 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 BOX Exchange LLC	General Securities Representative	Approved	05/16/2012
B Cboe Exchange, Inc.	General Securities Representative	Approved	11/14/2008
B FINRA	General Securities Representative	Approved	11/14/2008
B NYSE American LLC	General Securities Representative	Approved	11/14/2008
B NYSE Arca, Inc.	General Securities Representative	Approved	11/14/2008
B NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	11/14/2008
B Nasdaq PHLX LLC	General Securities Representative	Approved	11/14/2008
B Nasdaq Stock Market	General Securities Representative	Approved	11/14/2008
B New York Stock Exchange	General Securities Representative	Approved	11/14/2008
B Alabama	Agent	Approved	11/14/2008
B Arizona	Agent	Approved	02/19/2020
B Arkansas	Agent	Approved	02/19/2020



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	11/17/2008
B Colorado	Agent	Approved	02/20/2020
B Delaware	Agent	Approved	06/23/2010
B District of Columbia	Agent	Approved	11/05/2009
B Florida	Agent	Approved	11/19/2008
B Georgia	Agent	Approved	11/18/2008
IA Georgia	Investment Adviser Representative	Approved	11/18/2008
B Illinois	Agent	Approved	01/08/2015
B Indiana	Agent	Approved	05/15/2019
B Louisiana	Agent	Approved	08/18/2020
B Maryland	Agent	Approved	11/14/2008
B Massachusetts	Agent	Approved	11/19/2008
B Michigan	Agent	Approved	03/31/2009
B Minnesota	Agent	Approved	11/14/2008
B Mississippi	Agent	Approved	02/19/2020
B New Jersey	Agent	Approved	11/14/2008
B New Mexico	Agent	Approved	05/06/2024
B New York	Agent	Approved	11/14/2008
B North Carolina	Agent	Approved	11/14/2008



Qualifications

Regulator	Registration	Status	Date
B Ohio	Agent	Approved	11/14/2008
B Oregon	Agent	Approved	02/24/2020
B Pennsylvania	Agent	Approved	11/14/2008
B Rhode Island	Agent	Approved	11/14/2008
B South Carolina	Agent	Approved	11/26/2008
B Tennessee	Agent	Approved	04/08/2009
B Texas	Agent	Approved	11/25/2008
IA Texas	Investment Adviser Representative	Restricted Approval	11/25/2008
B Virginia	Agent	Approved	11/14/2008
B Washington	Agent	Approved	09/18/2018

Branch Office Locations

UBS FINANCIAL SERVICES INC.
600 NORTHPARK TOWN CENTER
1200 ABERNATHY ROAD SUITE 1850
ATLANTA, GA 30328

UBS FINANCIAL SERVICES INC.
Atlanta, GA



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 3 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
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 National Commodity Futures Examination (S3)	Series 3	10/11/1988
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 General Securities Representative Examination (S7)	Series 7	03/16/1985
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State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	07/28/2017
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 Uniform Investment Adviser Law Examination (S65)	Series 65	11/16/1992
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 Uniform Securities Agent State Law Examination (S63)	Series 63	03/27/1985
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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	10/13/2001 - 11/17/2008	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	ALPHARETTA, GA
B	10/04/2001 - 11/17/2008	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	ALPHARETTA, GA
B	04/07/1993 - 10/04/2001	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	03/19/1985 - 03/29/1993	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY

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
11/2008 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	ATLANTA, GA, 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.

YOESHI ROBERTS, INC. / 2101 STEPHENS WALK DUNWOODY,GA 30338 / COMPANY/ ENTERTAINMENT/MUSIC / MUSIC / LLC / MANAGEMENT / START DATE 08/02/2010 .



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	4

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: Individual

Regulatory Action Initiated By: THE COMMONWEALTH OF MASSACHUSETTS

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 05/04/1992

Docket/Case Number: Unknown

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: STATE OF MASSACHUSETTS REQUIRED SPECIFIC CONDITIONS TO BE FOLLOWED BY FIRM, MY SUPERVISOR AND MYSELF IN ORDER TO BE APPROVED FOR REGISTRATION IN THAT STATE

Current Status: Final

Resolution: Consent

Resolution Date: 05/20/1992

Sanctions Ordered: Suspension

Other Sanctions Ordered:

Sanction Details: FIRM, BRANCH MANAGER (OR HIS DULY ASSIGNED



AUTHORIZED DESIGNEE) AGREED TO CONDITIONS SET FORTH BY COMMONWEALTH OF MASSACHUSETTS-THAT IS "NOT TO ACT IN A SUPERVISORY CAPACITY OR HAVE ANY MANAGERIAL RESPONSIBILITIES FOR APPROXIMATELY ONE YEAR."

Broker Statement

PLS. REVIEW Q-8-C FOR ADDTL. INFO. CONCERNING Q-E5. IT SHOULD REMAIN AS A "YES" ANSWER, DUE TO ABOVE RESTRICTION.



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 4

Reporting Source: Individual

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

Allegations: CUSTOMER ALLEGED UNAUTHORIZED, UNSUITABLE AND EXCESSIVE INVESTMENT MOSTLY IN MUTUAL FUNDS. RESULTING IN ALLEGED DAMAGES OF \$50,000. MOST TRANSACTION WERE ATTRIBUTED TO A FORMER WHO HAD RETIRED.

Product Type:

Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received: 08/07/1990

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN CONVERSION; 91-00734

Date Notice/Process Served:

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/01/1992

Monetary Compensation Amount: \$18,000.00

Individual Contribution Amount:

Broker Statement

THE FIRM SETTLED FOR \$18,000.
I WAS INTRODUCED TO THESE CLIENTS BY THE PREVIOUSLY MENTIONED BROKER (NOW RETIRED) AT AN ANNUITY SEMINAR. THEY SUGGESTED THAT ANNUITIES WOULD NOT PROVIDE A HIGH ENOUGH LEVEL OF RETURN. WHEN OTHER BROKER RETIRED ACCOUNT



WAS MOSTLY INVESTED IN GLOBAL BOND FUNDS. ALL TRADES WERE APPROVED BY THE CLIENT. WHEN [CUSTOMER] DIED. THE ESTATE SUED. PRUDENTIAL DECIDED THAT ALTHOUGH IT APPEARED THE CLIENT HAD NO CASE, IT WAS TOO RISKY TO FIGHT IT IN ARBITRAITON, AND THEY DECIDED TO SETTLE.

Disclosure 2 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: EXCESSIVE TRANSACTIONS AND DAMAGES OF \$27,500.

Product Type:

Alleged Damages: \$27,500.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 94-00788

Date Notice/Process Served: 02/15/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/01/1994

Monetary Compensation Amount: \$41,750.00

Individual Contribution Amount: \$20,875.00

Firm Statement SETTLED FOR \$41,750, GOLDSTEIN PAID HALF Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:



Allegations: EXCESSIVE TRANSACTIONS AND DAMAGES OF \$27,500

Product Type:

Alleged Damages: \$27,500.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 94-00788

Date Notice/Process Served: 02/15/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/01/1994

Monetary Compensation Amount: \$41,750.00

Individual Contribution Amount: \$20,875.00

Broker Statement

SETTLED FOR \$41,750 - GOLDSTEIN PAID HALF THE INITIAL MEETING WITH [CUSTOMER] INDICATED HIS DESIRE TO TRADE IN SPECULATIVE STRATEGIES AND IDEAS WITH MONEY HE WOULD NOT NEED ACCESS TO ON SHORT TERM BASIS. HE STATED THAT DUE TO EXTENSIVE TRAVELING HE WOULD BE DIFFICULT TO REACH, SO HE SIGNED A LIMITED POWER OF ATTORNEY GIVING ME FULL TRADING AUTHORITY. THE FIRST YEAR THERE WAS LITTLE CHANGE IN THE ACCOUNT & NO CONTACT FROM [CUSTOMER]. IN DECEMBER, PRIOR TO THE GULF WAR, I WROTE [CUSTOMER] ASKING HIM TO CONTACT ME FOR A REVIEW OF HIS ACCT. I RECEIVED NO RESPONSE. DUE TO MY FEELINGS ABOUT THE MARKET I HAD [CUSTOMER'S] IN SHORT POSITIONS. THE U.S. ATTACKED IRAQ, THE MARKET WENT UP. [CUSTOMER] LOST ABOUT \$20,000. FOLLOWING YEAR STILL UNABLE TO REACH [CUSTOMER] - WITHOUT MY KNOWLEDGE OR INPUT, PRUDENTIAL SETTLED CASE FOR \$41,750.

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:



Allegations: CUSTOMER ALLEGED UNSUITABLE TRADES. NO SPECIFIC DAMAGES WERE ALLEGED.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 02/01/1991

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$17,000.00

Individual Contribution Amount:

Broker Statement

FIRM SETTLED FOR \$17,000.
CLIENT HAD COMPLAINED TO ME ABOUT LOW RETURN ON FIXED INCOME INVESTMENTS AND ASKED FOR ALTERNATIVES. I EXPLAINED DIFFERENT EQUITY INVESTMENTS AND THE RISKS IN EACH. SHE DECIDED TO INVEST IN THE STOCK MARKET. AFTER SOME OF THE TRDES DIDN'T WORK OUT. SHE DECIDED THAT SHE DIDN'T REALLY UNDERSTAND THAT SHE COULD LOSE MONEY, AND COMPLAINED. BECAUSE THIS WAS HER FIRST STOCK INVESTMENT. THE FIRM DECIDED TO SETTLE.

Disclosure 4 of 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: PRUDENTIAL-BACHE SECURITIES INC.

Allegations: MISREPRESENTATION, UNSUITABILITY

Product Type: Other

Other Product Type(s): UNKNOWN TYPE OF SECURITIES

Alleged Damages: \$200,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #90-00069](#)

Date Notice/Process Served: 01/03/1990

Arbitration Pending? No

Disposition: Award

Disposition Date: 04/12/1991

Disposition Detail: RESPONDENTS PRUDENTIAL BACHE SECURITIES INC. AND ROBERT GOLDSTEIN JR., ARE JOINTLY AND SEVERALLY LIABLE AND SHALL PAY TO THE CLAIMANT THE SUM OF \$77,000.00.

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

Allegations: CUSTOMER ALLEGED THAT SHE WAS NOT TOLD ABOUT THE RISKS OF SHORT SELLING OR MARGIN AND THAT SUCH TRADES WERE UNSUITABLE. ALLEGED DAMAGES IN EXCESS OF \$200,000.

Product Type:

Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 90-0069

Date Notice/Process Served: 01/18/1990

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 04/12/1991

Monetary Compensation Amount: \$92,000.00

Individual Contribution Amount:

Broker Statement

WAS SETTLED IN ARBTIRATION FOR \$77,000 PLUS \$15,000 IN ATTORNEY'S FEES. HIGH NET WORTH INVESTOR, ALWAYS INVESTED IN LARGE AMOUNTS IN THE PAST. EXPLAINED UNLIMITED RISK AND HOW MARGIN WORKED. SHORT 10,000 SHARES OF FANNIE MAE. AFTER IT WENT UP AND SHE WAS OFFERED THAT OPTION OF GETTING OUT SHE DECIDED TO SHORT 10,000 MORE SHARES. THE REASON FOR THE ARBITRAITON SETTLEMENT WAS THAT SHE WAS OFFERED MANY OPPORTUNITIES TO GET OUT OF THE POSITION AT LOWEWR LEVELS OF LOSS AND DECIDED TO TAKE FURTHER RISK BY STAYING IN THE POSITION.



End of Report

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