



## IAPD Report

# MIKE FRANCIS SMITH

CRD# 1397389

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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

### MIKE FRANCIS SMITH (CRD# 1397389)

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 **11/01/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	UBS FINANCIAL SERVICES INC.	CRD# 8174	10/17/2023
<b>IA</b>	UBS FINANCIAL SERVICES INC.	CRD# 8174	11/14/2023

### QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **8** 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>	ROCKEFELLER CAPITAL MANAGEMENT	291361	HAMILTON, NJ	10/28/2022 - 10/13/2023
<b>B</b>	ROCKEFELLER FINANCIAL LLC	291361	HAMILTON, NJ	10/25/2022 - 10/13/2023
<b>B</b>	UBS FINANCIAL SERVICES INC.	8174	RED BANK, NJ	07/26/2006 - 10/27/2022

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



## 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 **8** 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	10/17/2023
<b>B</b> BOX Exchange LLC	General Securities Sales Supervisor	Approved	10/17/2023
<b>B</b> BOX Exchange LLC	Registered Options Principal	Approved	10/17/2023
<b>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	10/17/2023
<b>B</b> Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	10/17/2023
<b>B</b> Cboe Exchange, Inc.	Registered Options Principal	Approved	10/17/2023
<b>B</b> FINRA	General Securities Representative	Approved	10/18/2023
<b>B</b> FINRA	General Securities Sales Supervisor	Approved	10/18/2023
<b>B</b> FINRA	Registered Options Principal	Approved	10/18/2023
<b>B</b> NYSE American LLC	General Securities Representative	Approved	10/17/2023
<b>B</b> NYSE American LLC	General Securities Sales Supervisor	Approved	10/17/2023
<b>B</b> NYSE American LLC	Registered Options Principal	Approved	10/17/2023
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	10/17/2023



### Qualifications

Regulator	Registration	Status	Date
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	10/17/2023
B NYSE Arca, Inc.	Registered Options Principal	Approved	10/17/2023
B NYSE Texas, Inc.	General Securities Representative	Approved	10/17/2023
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	10/17/2023
B Nasdaq ISE, LLC	General Securities Representative	Approved	10/17/2023
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/17/2023
B Nasdaq ISE, LLC	Registered Options Principal	Approved	10/17/2023
B Nasdaq PHLX LLC	General Securities Representative	Approved	10/17/2023
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	10/17/2023
B Nasdaq PHLX LLC	Registered Options Principal	Approved	10/17/2023
B Nasdaq Stock Market	General Securities Representative	Approved	10/17/2023
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	10/17/2023
B Nasdaq Stock Market	Registered Options Principal	Approved	10/17/2023
B New York Stock Exchange	General Securities Representative	Approved	10/17/2023
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/17/2023
B Connecticut	Agent	Approved	10/19/2023
B Maine	Agent	Approved	10/19/2023
B New Hampshire	Agent	Approved	10/23/2023
B New Jersey	Agent	Approved	10/18/2023



### Qualifications

Regulator	Registration	Status	Date
IA New Jersey	Investment Adviser Representative	Approved	11/14/2023
B New York	Agent	Approved	10/19/2023
B Pennsylvania	Agent	Approved	10/19/2023
B Rhode Island	Agent	Approved	10/19/2023
B Vermont	Agent	Approved	10/20/2023

### Branch Office Locations

**UBS FINANCIAL SERVICES INC.**  
Aberdeen, NJ







## 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 4 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 Registered Options Principal Examination (S4)	Series 4	11/23/1999
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	01/04/1998

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	10/30/2002
 General Securities Representative Examination (S7)	Series 7	12/15/1994

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	07/30/2002
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/03/1998



## 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	10/28/2022 - 10/13/2023	ROCKEFELLER CAPITAL MANAGEMENT	CRD# 291361	HAMILTON, NJ
B	10/25/2022 - 10/13/2023	ROCKEFELLER FINANCIAL LLC	CRD# 291361	HAMILTON, NJ
B	07/26/2006 - 10/27/2022	UBS FINANCIAL SERVICES INC.	CRD# 8174	RED BANK, NJ
IA	07/26/2006 - 10/27/2022	UBS FINANCIAL SERVICES INC.	CRD# 8174	RED BANK, NJ
IA	07/31/2002 - 07/20/2006	MORGAN STANLEY	CRD# 7556	RED BANK, NJ
B	04/13/2000 - 07/20/2006	MORGAN STANLEY DW INC.	CRD# 7556	RED BANK, NJ
B	09/07/1999 - 04/11/2000	FIRST MONTAUK SECURITIES CORP.	CRD# 13755	RED BANK, NJ
B	12/16/1994 - 09/22/1999	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, 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
10/2023 - Present	UBS Financial Services	Supervisory Officer	Y	Aberdeen, NJ, United States
10/2022 - 09/2023	ROCKEFELLER FINANCIAL LLC	VICE PRESIDENT	Y	HAMILTON, NJ, United States
07/2006 - 10/2022	UBS FINANCIAL SERVICES INC	Admin Manager. Supervisory Officer	Y	Manasquan, NJ, 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.

No information reported.



## 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

### 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:** Regulator

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:**

**Date Initiated:** 01/12/2009

**Docket/Case Number:** 2006005977002

**Employing firm when activity occurred which led to the regulatory action:** MORGAN STANLEY DW INC.

**Product Type:** No Product

**Allegations:** NASD RULES 2110 AND 3010: RESPONDENT FAILED TO ENFORCE HIS MEMBER FIRM' SUPERVISORY PROCEDURES CONCERNING THE REVIEW OF OUTGOING WRITTEN CORRESPONDENCE OF REGISTERED REPRESENTATIVES. THE PROCEDURES REQUIRED RESPONDENT TO REVIEW ALL OUTGOING CORRESPONDENCE TO ENSURE COMPLIANCE WITH THE FIRM'S GUIDELINES, WHICH SPECIFIED THAT COMMUNICATIONS WITH THE PUBLIC COULD NOT BE FALSE OR MISLEADING IN ANY WAY. IN ADDITION, ANY WRITTEN MATERIALS DISTRIBUTED TO TEN OR MORE INDIVIDUALS HAD TO BE PRE-APPROVED BY THE FIRM'S COMPLIANCE DEPARTMENT UNIT. RESPONDENT FAILED TO REVIEW A FORM LETTER COMPOSED BY HIS REPRESENTATIVE AND SENT TO MORE THAN TEN INDIVIDUALS. A PARTICULAR MAILING SENT BY THE REPRESENTATIVE TO A CUSTOMER CONTAINED AN ACCOUNT CHANGE APPLICATION FORM, WHICH WOULD HAVE MOVED THE CUSTOMER'S ACCOUNT TO THE REPRESENTATIVE'S NEW EMPLOYER. THE FORM LETTER, HOWEVER, CONTAINED A STATEMENT INDICATING THE ENCLOSED APPLICATION WAS PAPERWORK TO UPDATE THE CUSTOMER'S ACCOUNT. THIS STATEMENT



WAS UNWARRANTED OR MISLEADING IN THAT THE ENCLOSED FORM WOULD NOT UPDATE THE CUSTOMER'S ACCOUNT BUT ACTUALLY CHANGE THE MEMBER FIRM SERVICING THE CUSTOMER'S ACCOUNT. RESPONDENT SHOULD HAVE KNOWN THAT THE FORM LETTER WAS SENT TO MORE THAN TEN INDIVIDUALS AND FAILED TO HAVE IT REVIEWED BY THE FIRM'S COMPLIANCE DEPARTMENT UNIT.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

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

**Resolution Date:** 01/12/2009

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

**Regulator Statement** WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, RESPONDENT IS CENSURED AND FINED \$10,000. FINES PAID.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 01/12/2009

**Docket/Case Number:** 2006005977002

**Employing firm when activity occurred which led to the regulatory action:** MORGAN STANLEY DW INC.

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** NASD RULES 2110 AND 3010: RESPONDENT FAILED TO ENFORCE HIS MEMBER FIRM' SUPERVISORY PROCEDURES CONCERNING THE REVIEW OF OUTGOING WRITTEN CORRESPONDENCE OF REGISTERED REPRESENTATIVES. THE PROCEDURES REQUIRED RESPONDENT TO REVIEW ALL OUTGOING CORRESPONDENCE TO ENSURE COMPLIANCE WITH THE FIRM'S GUIDELINES, WHICH SPECIFIED THAT COMMUNICATIONS WITH THE PUBLIC COULD NOT BE FALSE OR MISLEADING IN ANY WAY. IN ADDITION, ANY WRITTEN MATERIALS DISTRIBUTED TO TEN OR MORE INDIVIDUALS HAD TO BE PRE-APPROVED BY THE FIRM'S COMPLIANCE DEPARTMENT UNIT. RESPONDENT FAILED TO REVIEW A FORM LETTER COMPOSED BY HIS REPRESENTATIVE AND SENT TO MORE THAN TEN INDIVIDUALS. A PARTICULAR MAILING SENT BY THE REPRESENTATIVE TO A CUSTOMER CONTAINED AN ACCOUNT CHANGE APPLICATION FORM, WHICH WOULD HAVE MOVED THE CUSTOMER'S ACCOUNT TO THE



REPRESENTATIVE'S NEW EMPLOYER. THE FORM LETTER, HOWEVER, CONTAINED A STATEMENT INDICATING THE ENCLOSED APPLICATION WAS PAPERWORK TO UPDATE THE CUSTOMER'S ACCOUNT. THIS STATEMENT WAS UNWARRANTED OR MISLEADING IN THAT THE ENCLOSED FORM WOULD NOT UPDATE THE CUSTOMER'S ACCOUNT BUT ACTUALLY CHANGE THE MEMBER FIRM SERVICING THE CUSTOMER'S ACCOUNT. RESPONDENT SHOULD HAVE KNOWN THAT THE FORM LETTER WAS SENT TO MORE THAN TEN INDIVIDUALS AND FAILED TO HAVE IT REVIEWED BY THE FIRM'S COMPLIANCE DEPARTMENT UNIT.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 01/12/2009

**Sanctions Ordered:** Censure  
Monetary/Fine \$10,000.00

**Other Sanctions Ordered:**

**Sanction Details:** WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS: THEREFORE, RESPONDENT IS CENSURED AND FINED \$10,000.



## End of Report

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