IAPD Report

James PATRICK Hart

CRD# 1449332

Section Title — Page(s)

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

James PATRICK Hart (CRD# 1449332)

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	02/02/2024
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	02/02/2024

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **28** 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	ALBANY, NY	12/03/2010 - 02/12/2024
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	ALBANY, NY	12/03/2010 - 02/12/2024
B	MORGAN STANLEY SMITH BARNEY	149777	ALBANY, NY	06/01/2009 - 12/17/2010

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 **28** 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	02/02/2024
B	Cboe Exchange, Inc.	General Securities Representative	Approved	02/02/2024
B	FINRA	General Securities Representative	Approved	02/02/2024
B	NYSE American LLC	General Securities Representative	Approved	02/02/2024
B	NYSE Arca, Inc.	General Securities Representative	Approved	02/02/2024
B	NYSE Texas, Inc.	General Securities Representative	Approved	02/02/2024
B	Nasdaq ISE, LLC	General Securities Representative	Approved	02/02/2024
B	Nasdaq PHLX LLC	General Securities Representative	Approved	02/02/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	02/02/2024
B	New York Stock Exchange	General Securities Representative	Approved	02/02/2024
B	Alabama	Agent	Approved	02/12/2024
B	Arizona	Agent	Approved	02/02/2024
B	California	Agent	Approved	02/02/2024

Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	02/02/2024
B	Connecticut	Agent	Approved	02/02/2024
B	Delaware	Agent	Approved	02/15/2024
B	District of Columbia	Agent	Approved	02/02/2024
B	Florida	Agent	Approved	02/02/2024
B	Georgia	Agent	Approved	02/02/2024
B	Illinois	Agent	Approved	02/02/2024
B	Indiana	Agent	Approved	03/06/2024
B	Maryland	Agent	Approved	02/02/2024
B	Massachusetts	Agent	Approved	02/02/2024
B	Michigan	Agent	Approved	02/02/2024
B	Nevada	Agent	Approved	02/02/2024
B	New Jersey	Agent	Approved	02/02/2024
IA	New Jersey	Investment Adviser Representative	Approved	02/02/2024
B	New York	Agent	Approved	02/02/2024
IA	New York	Investment Adviser Representative	Approved	02/02/2024
B	North Carolina	Agent	Approved	02/02/2024
B	Ohio	Agent	Approved	03/17/2025
B	Pennsylvania	Agent	Approved	02/02/2024

Qualifications

	Regulator	Registration	Status	Date
B	Puerto Rico	Agent	Approved	09/18/2024
B	Rhode Island	Agent	Approved	02/02/2024
B	South Carolina	Agent	Approved	02/22/2024
B	Tennessee	Agent	Approved	02/02/2024
B	Texas	Agent	Approved	02/02/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	02/02/2024
B	Utah	Agent	Approved	02/23/2024
B	Vermont	Agent	Approved	02/02/2024
B	Washington	Agent	Approved	02/02/2024

Branch Office Locations

UBS FINANCIAL SERVICES INC.
8 Southwoods Blvd Suite 207
ALBANY, NY 12211

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
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	01/18/1986

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/09/1993
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/05/1986

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	12/03/2010 - 02/12/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	ALBANY, NY
IA	12/03/2010 - 02/12/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	ALBANY, NY
B	06/01/2009 - 12/17/2010	MORGAN STANLEY SMITH BARNEY	CRD# 149777	ALBANY, NY
IA	06/01/2009 - 12/17/2010	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	ALBANY, NY
B	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	ALBANY, NY
IA	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	ALBANY, NY
IA	01/13/2006 - 04/02/2007	MORGAN STANLEY	CRD# 7556	ALBANY, NY
B	01/13/2006 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	ALBANY, NY
IA	07/02/2002 - 01/20/2006	WACHOVIA SECURITIES, LLC	CRD# 19616	ALBANY, NY
B	08/05/2000 - 01/20/2006	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
B	07/12/1996 - 08/05/2000	FIRST ALBANY CORPORATION	CRD# 298	NEW YORK, NY
B	03/02/1993 - 06/20/1996	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	11/09/1990 - 03/16/1993	LEHMAN BROTHERS INC.	CRD# 7506	
B	10/26/1987 - 03/16/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	03/14/1989 - 12/04/1990	OPPENHEIMER & CO., INC.	CRD# 630	NEW YORK, NY
B	01/21/1986 - 10/28/1987	E. F. HUTTON & COMPANY INC	CRD# 235	

Registration & Employment History

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
02/2024 - Present	UBS Financial Services, Inc	Financial Advisor	Y	Albany, NY, United States
07/2011 - 02/2024	Bank of America, N.A.	Senior Financial Advisor	Y	ALBANY, NY, United States
12/2010 - 02/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	SENIOR FINANCIAL ADVISOR	Y	ALBANY, NY, 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.

ALBANY CITY ROCKS (BOYS AND GIRLS BASKETBALL CLUB), Non Profit Youth Sports and Mentoring programUnited States, Officer, I have been the President of Organization since its inception 30 years ago, start date-3/1/1994

I*42180
For profit or not for profit: For-Profit Organization
Name of outside business organization: MNM Holdings llc
Investment related: N
Address of business:
Albany, New York 12207
Nature of business: LLC,
Position, title, association: General Partner,
Start date of relationship: 5/26/2011
Number of hours devoted: 1 hour(s) Monthly
Number of hours devoted during trading hours: 0
Duties: LLC used to buy Commercial building

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.

User Guidance

www.adviserinfo.sec.gov

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:	Regulator
Regulatory Action Initiated By:	IDAHO DEPARTMENT OF FINANCE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/19/1994
Docket/Case Number:	1994-7-6+6
Employing firm when activity occurred which led to the regulatory action:	PRUDENTIAL SECURITIES INCORPORATED
Product Type:	
Other Product Type(s):	
Allegations:	OFFER OF SECURITIES WHILE NOT PROPERLY LICENSED
Current Status:	Final
Resolution:	Order
Resolution Date:	09/19/1994
Sanctions Ordered:	Monetary/Fine $1,000.00
Other Sanctions Ordered:	
Sanction Details:	AGREEMENT AND ORDERED ENTERED COINCIDENT WITH ORDER 1992-7-48 ENTERED WITH PRUDENTIAL SECURITIES INC. HART 1)

	ADMITTED TO A VIOLATION OF THE IDAHO REGISTRATION REQUIREMENTS AND 2) PAID A $1000 FINE.
Regulator Statement	CONTACT: JIM BURNS - 208/334-3684

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF IDAHO
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/19/1994
Docket/Case Number:	1994-7-6+6
Employing firm when activity occurred which led to the regulatory action:	PRUDENTIAL SECURITIES INCORPORATED
Product Type:	No Product
Other Product Type(s):	
Allegations:	THE ONLY ALLEGATIONS WERE THAT I SOLICITED THE INVESTMENT RELATIONSHIP IN A STATE THAT I WAS NOT REGISTERED IN. NO SECURITIES WERE EVER PURCHASED OR RECOMMENDED.
Current Status:	Final
Resolution:	Order
Resolution Date:	09/19/1994
Sanctions Ordered:	Monetary/Fine $1,000.00
Other Sanctions Ordered:	
Sanction Details:	PAID $1000 FINE TO DEPT OF FINANCE-STATE OF IDAHO
Broker Statement	NOT PROVIDED

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:	Regulator
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES LLC.
Allegations:	UNSUITABILITY, NEGLIGENCE, MISREPRESENTATION AND OMISSIONS, BREACH OF CONTRACT, CHURNING
Product Type:	Mutual Fund(s)
Alleged Damages:	$156,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #03-05384
Date Notice/Process Served:	07/22/2003
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	09/27/2004
Disposition Detail:	RESPONDENT IS JOINTLY AND SEVERALLY LIABLE TO AND SHALL PAY TO CLAIMANTS COMPENSATORY DAMAGES IN THE AMOUNT OF $61,071 PLUS INTEREST.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, INC.
Allegations:	NEW JERSEY RESIDENTS HAVE COMPLAINED THAT THEIR FUNDS WERE UNSUITABLY INVESTED IN STOCKS FROM MARCH 2000 THROUGH 2002. THEY ALSO CLAIM THAT THEIR ACCOUNT WAS EXCESSIVELY TRADED AND THAT THE RECOMMENDATION THAT THEY USE MARGIN WAS UNSUITABLE. THEY HAVE CLAIMED FINANCIAL DAMAGES OF $156,000.
Product Type:	Equity - OTC
Alleged Damages:	$156,000.00

Customer Complaint Information

Date Complaint Received:	05/29/2003
Complaint Pending?	No
Status:	Arbitration/Reparation

Status Date:	07/28/2003
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASDR CASE # 03-05384
Date Notice/Process Served:	07/28/2003
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	10/01/2004
Monetary Compensation Amount:	$61,071.00
Individual Contribution Amount:	$0.00
Broker Statement	ARBITRATION ALLEGATIONS: CLIENTS ALLEGE UNSUITABLE AND EXCESSIVE TRADING OF EQUITIES ON MARGIN. AWARD TO CLAIMANTS IN THE AMOUNT OF $61,070 PLUS POST-JUDGMENT INTEREST AT 8%.

End of Report

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