



IAPD Report

CHRISTOPHER JAMES CONROY

CRD# 1481945

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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

CHRISTOPHER JAMES CONROY (CRD# 1481945)

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 **05/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	09/24/2004
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	01/05/2009

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **24** 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	CREDIT SUISSE FIRST BOSTON LLC	816	NEW YORK, NY	01/17/2003 - 10/27/2004
B	DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION	7560	JERSEY CITY, NJ	12/15/1995 - 01/17/2003
B	SMITH BARNEY INC.	7059	NEW YORK, NY	07/31/1993 - 12/18/1995

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	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 **24** 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	09/24/2004
B FINRA	General Securities Representative	Approved	09/24/2004
B NYSE American LLC	General Securities Representative	Approved	09/24/2004
B NYSE Arca, Inc.	General Securities Representative	Approved	09/24/2004
B NYSE Texas, Inc.	General Securities Representative	Approved	07/13/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	01/23/2008
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/24/2004
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B New York Stock Exchange	General Securities Representative	Approved	09/24/2004
B Alabama	Agent	Approved	01/23/2025
B California	Agent	Approved	09/24/2004
B Colorado	Agent	Approved	03/26/2012



Qualifications

Regulator	Registration	Status	Date
B Connecticut	Agent	Approved	09/24/2004
B Delaware	Agent	Approved	01/26/2026
B Florida	Agent	Approved	09/24/2004
IA Florida	Investment Adviser Representative	Approved	06/06/2023
B Hawaii	Agent	Approved	09/16/2025
B Indiana	Agent	Approved	07/02/2025
B Maryland	Agent	Approved	09/24/2004
B Massachusetts	Agent	Approved	03/26/2025
B Missouri	Agent	Approved	09/24/2004
B New Hampshire	Agent	Approved	05/18/2026
B New Jersey	Agent	Approved	09/24/2004
IA New Jersey	Investment Adviser Representative	Approved	01/05/2009
B New York	Agent	Approved	09/24/2004
IA New York	Investment Adviser Representative	Approved	11/30/2021
B North Carolina	Agent	Approved	05/04/2022
B Ohio	Agent	Approved	11/15/2019
B Pennsylvania	Agent	Approved	09/24/2004
B Rhode Island	Agent	Approved	06/21/2022
B South Carolina	Agent	Approved	01/03/2025



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	09/18/2017
B Texas	Agent	Approved	09/24/2004
IA Texas	Investment Adviser Representative	Restricted Approval	11/04/2013
B Utah	Agent	Approved	02/10/2022
B Vermont	Agent	Approved	09/30/2021
B Virginia	Agent	Approved	09/24/2004

Branch Office Locations

UBS FINANCIAL SERVICES INC.
500 CAMPUS DRIVE
2ND FLOOR
FLORHAM PARK, NJ 07932



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
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General Securities Representative Examination (S7)	Series 7	03/15/1986
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	11/29/2021
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Uniform Securities Agent State Law Examination (S63)	Series 63	05/13/1986
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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
B	01/17/2003 - 10/27/2004	CREDIT SUISSE FIRST BOSTON LLC	CRD# 816	NEW YORK, NY
B	12/15/1995 - 01/17/2003	DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION	CRD# 7560	JERSEY CITY, NJ
B	07/31/1993 - 12/18/1995	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	01/15/1992 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	08/18/1986 - 01/22/1992	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	NEW YORK, NY
B	03/19/1986 - 08/25/1986	LIDLAW ADAMS & PECK INC.	CRD# 1481	

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
09/2004 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	NEW YORK, 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.

Netflix " Little Brother" Movie ShootNetflix Movie ProductionNetflix Productions LLC 10 Basin Drive Suite 130KearnyNJUnited States07032Start date-7/28/2025



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	3

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:	Other: N/A
Date Initiated:	11/28/2016
Docket/Case Number:	2015047589801
Employing firm when activity occurred which led to the regulatory action:	UBS Financial Services Inc.
Product Type:	Other: unspecified securities
Allegations:	Without admitting or denying the findings, Conroy consented to the sanctions and to the entry of findings that he exercised discretion in a customer's accounts without obtaining prior written authorization from the customer or written approval of the accounts as discretionary from his member firm. The findings stated that Conroy regularly discussed investment strategies with the customer, and while the customer authorized the initial purchase of the securities, Conroy exercised his discretion in executing subsequent purchases in those same securities on dates when he had not spoken with the customer.
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:	11/28/2016
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: any and all capacities
Duration: 10 business days
Start Date: 12/19/2016
End Date: 01/03/2017

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 12/09/2016
Was any portion of penalty waived? No

Amount Waived:

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Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Suspension
Date Initiated: 11/28/2016
Docket/Case Number: 2015047589801



Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES INC.
Product Type:	Other: UNSPECIFIED SECURITIES
Allegations:	Exercising discretion in one customer account without the customer's written authorization.
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:	11/28/2016
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	Any and all capacities
Duration:	10 business days
Start Date:	12/19/2016
End Date:	01/03/2017
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	12/09/2016
Was any portion of penalty waived?	No
Amount Waived:	



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: 2006 to 2015 Authorized representative of clients alleged unauthorized trading in the accounts.
Product Type:	Other: Direct Investments
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Estimated to be in excess of \$5,000
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:	07/24/2015
Complaint Pending?	No
Status:	Settled
Status Date:	10/02/2015
Settlement Amount:	\$67,573.10
Individual Contribution Amount:	\$0.00

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	CLAIMANT, A CONNECTICUT REAL ESTATE BROKER, ALLEGES UNSUITABLE INVESTMENT RECOMMENDATIONS AND UNAUTHORIZED TRADES.
Product Type:	Other: STRUCTURED PRODUCTS
Alleged Damages:	\$185,218.00
Is this an oral complaint?	No



Is this a written complaint? Yes
**Is this an arbitration/CFTC
reparation or civil litigation?** Yes
**Arbitration/Reparation forum
or court name and location:** FINRA
Docket/Case #: 09-05124
**Filing date of
arbitration/CFTC reparation
or civil litigation:** 09/08/2009

Customer Complaint Information

Date Complaint Received: 09/08/2009
Complaint Pending? No
Status: Settled
Status Date: 08/26/2010
Settlement Amount: \$72,500.00
**Individual Contribution
Amount:** \$0.00

Disclosure 3 of 3

Reporting Source: Regulator
**Employing firm when
activities occurred which led
to the complaint:** SMITH BARNEY, INC
Allegations: CHURNING; UNAUTHORIZED TRADING; MISREPRESENTATION; OMISSION
OF FACTS
Product Type: Other
Other Product Type(s): STOCK
Alleged Damages: \$17,600.00

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** NASD - CASE #93-00098
Date Notice/Process Served: 01/13/1993
Arbitration Pending? No
Disposition: Award
Disposition Date: 08/30/1993
Disposition Detail: RESPONDENT IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO
CLAIMANT THE SUM OF \$1,600.

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: SMITH BARNEY, INC

Allegations: UNSUITABILITY, DAMAGES AGAINST HIS BROKER WERE UNDER \$5,000.00. DAMAGES AGAINST THE OTHER BROKER [OTHER FIRM EMPLOYEE] WERE OVER \$5,000.00.

Product Type:

Alleged Damages: \$0.00

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.; 93-00098

Date Notice/Process Served: 01/13/1993

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 09/01/1993

Monetary Compensation Amount: \$5,000.00

Individual Contribution Amount: \$1,600.00

Broker Statement

THE ARBITRATION FOUND CONROY JOINTLY & SEVERALLY LIABLE TO [CUSTOMER] FOR \$1,600.00. [OTHER FIRM EMPLOYEE] WAS JOINTLY & SEVERALLY LIABLE FOR \$3,400.00 ALTHOUGH THE STATEMENT OF CLAIM MADE BROAD AND SWEEPING ALLEGATIONS, AT THE HEARING IT WAS CLEAR THAT THE ONLY ALLEGATIONS AGAINST CONROY CONCERNED THE SUITABILITY OF TRADES HE RECOMMENDED. ALL TRADES WERE IN FACT SUITABLE, CONSIDERING THE FACT THAT [CUSTOMER] HAD FIVE OTHER ACCOUNTS AT OTHER FIRMS, SOME OF WHICH HE ACTIVELY TRADED SPECULATIVE ISSUES.



End of Report

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