IAPD Report

JOHN ROBERT LYNN

CRD# 1516835

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 ROBERT LYNN (CRD# 1516835)

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 **02/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	11/02/1987
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	09/19/2002

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **22** 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	TURNER & SELLHORN SECURITIES, INC.	16963	LOCATION	07/08/1986 - 11/04/1987

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 **22** 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	05/16/2012
B	Cboe Exchange, Inc.	General Securities Representative	Approved	03/03/1991
B	FINRA	Government Securities Representative	Approved	11/02/1987
B	FINRA	Invest. Co and Variable Contracts	Approved	11/02/1987
B	FINRA	General Securities Representative	Approved	12/22/1987
B	NYSE American LLC	General Securities Representative	Approved	04/03/1988
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/11/1992
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/13/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/25/2008
B	Nasdaq PHLX LLC	General Securities Representative	Approved	10/16/1993
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	12/22/1987
B	Alabama	Agent	Approved	05/03/1988

Qualifications

	Regulator	Registration	Status	Date
B	Arkansas	Agent	Approved	11/02/1987
B	California	Agent	Approved	09/15/2016
B	Colorado	Agent	Approved	01/07/2002
B	Florida	Agent	Approved	11/02/1987
B	Georgia	Agent	Approved	11/02/1987
B	Idaho	Agent	Approved	07/10/2020
B	Illinois	Agent	Approved	12/18/2025
B	Iowa	Agent	Approved	04/20/2022
B	Louisiana	Agent	Approved	03/08/1993
B	Maryland	Agent	Approved	02/28/1997
B	Massachusetts	Agent	Approved	11/26/2012
B	Minnesota	Agent	Approved	07/24/2017
B	Mississippi	Agent	Approved	11/02/1987
B	New York	Agent	Approved	05/30/1996
B	North Carolina	Agent	Approved	11/05/2008
B	Pennsylvania	Agent	Approved	02/01/2024
B	South Carolina	Agent	Approved	07/26/2024
B	Tennessee	Agent	Approved	11/02/1987
IA	Tennessee	Investment Adviser Representative	Approved	02/02/2004

Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	09/17/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	09/19/2002
B	Virginia	Agent	Approved	01/21/2009
B	Washington	Agent	Approved	12/17/2025

Branch Office Locations

UBS FINANCIAL SERVICES INC.
1717 WEST MASSEY ROAD
MEMPHIS, TN 38120

UBS FINANCIAL SERVICES INC.
6070 POPLAR AVENUE
SUITE 400
MEMPHIS, TN 38119

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, 5 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Government Securities Representative Examination (S72)	Series 72	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	12/19/1987
B	Non-Member General Securities Examination (S2)	Series 2	01/29/1987
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/18/1986

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/20/1986

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	07/08/1986 - 11/04/1987	TURNER & SELLHORN SECURITIES, INC.	CRD# 16963	

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
11/1987 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	MEMPHIS, TN, 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.

1) 3220 Central Avenue/3220 Central Avenue, memphis/shelby,tennessee,38111,US? investment related?:yes/Real estate/renting property to uni. of memphis students/Proprietor / owner/Start date:3/10/2021/Time reqd during working hours?: no

2) 424 South Reese Street, Memphis, TN 38111/424 South Reese Street,Memphis/Shelby,tennessee,38111 US/Investment realted?: yes/Real Estate,Rental unit for University students/rent the property to students/Proprietor / owner/Start Date: 3/10/2021/Time reqd during working hours?: no

3) Rental Property; 275 Central Avenue, Memphis, Tennessee; Proprietor / owner; Start date: 5/11/2022

4) 3652 Poplar Ave. Memphis, TN 38111rental property, owner, rent the property, start date-3/10/2021

5)3634 Cowden St. Memphis, TN 38111, The property will be rented, Proprietor / owner, My wife and I will rent the property out hopefully to students attending the Uni. of Memphis, start date-3/10/2021

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	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:	TENN. DEPT. OF COMMERCE & INSURANCE, SECURITIES DIVISION.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/18/1991
Docket/Case Number:	12.06-A-87-0561J
Employing firm when activity occurred which led to the regulatory action:	TURNER & SELLHORN SECURITIES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	THE DIVISON ALLEGED LYNN ENGAGED IN DISHONEST AND UNETHICAL BUSINESS PRACTICES WHILE AN AGENT OF TURNER AND SELLHORN SECURITIES. THE DIVISION SPECIFICALLY ALLEGED LYNN ENGAGED IN EXCESSIVE AND UNSUITABLE TRADING IN HIS CUSTOMERS ACCOUNTS. LYNN DENIED ALL OF THE DIVISION'S ALLEGATIONS AND SOUGHT RECOVERY OF COSTS AND ATTORNEY FEES FROM THE DIVISION.
Current Status:	Final
Resolution:	Dismissed
Resolution Date:	07/26/1991

Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	THE PARTIES ENTERED INTO A CONSENT ORDER WHICH DISMISSED THE DIVISION'S COMPLAINT WITH PREJUDICE TO THE DIVISION AND ORDERED LYNN TO BE DIRECTLY SUPERVISED ON ALL HIS TRADES COMMENCING FEBURARY 5, 1991 AND ENDING NOVEMBER 4, 1991. LYNN NEITHER ADMITTED NOR DENIED THE FINDINGS OF FACT OR CONCLUSIONS OF LAW CONTAINED IN THE CONSENT ORDER.
Regulator Statement	Not Provided

Reporting Source:	Individual
Regulatory Action Initiated By:	TENN DEPT. OF COMMERCE & INSURANCE SEC. DIVISION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/18/1991
Docket/Case Number:	12.06-A-87-0561J
Employing firm when activity occurred which led to the regulatory action:	TURNER & SELLHORN SECURITIES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	THE DIVISION ALLEGED LYNN ENGAGED IN DISHONEST AND UNETHICAL BUSINESS PRACTICES WHILE AN AGENT OF TURNER & SELLHORN SECURITIES. THE DIVISION SPECIFICALLY ALLEGED LYNN ENGAGED IN EXCESSIVE AND UNSUITABLE TRADING IN HIS CUSTOMERS ACCOUNTS. LYNN DENIED ALL OF THE DIVISION'S ALLEGATIONS AND SOUGHT RECOVERY OF COSTS AND ATTORNEY FEES FROM THE DIVISION.
Current Status:	Final
Resolution:	Dismissed
Resolution Date:	07/26/1991
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	THE PARTIES ENTERED INTO A CONSENT ORDER WHICH DISMISSED THE DIVISIONS COMPLAINT WITH PREJUDICE TO THE DIVISION AND ORDERED LYNN TO BE DIRECTLY SUPERVISED ON ALL HIS TRADES COMMENCING FEB 5, 1991 AND ENDING NOV. 4, 1991. LYNN NEITHER ADMITTED NOR DENIED THE FINDING OF FACT OR CONCLUSIONS OF LAW CONTAINED IN THE CONSENT ORDER.
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:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	CLIENT ALLEGES MISREPRESENTATION, UNAUTHORIZED TRADING AND FAILURE TO FOLLOW INSTRUCTIONS.
Product Type:	Equity - OTC
Alleged Damages:	$7,500.00

Customer Complaint Information

Date Complaint Received:	09/06/2005
Complaint Pending?	No
Status:	Denied
Status Date:	04/26/2007
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	AFTER FULL DISCLOSURE, ORDERS WERE ENTERED/EXECUTED BASED ON CLIENT INSTRUCTIONS. CLIENT CHANGED MIND AND TRADE CORRECTION WAS PROCESSED ACCORDING TO FIRM POLICY. PLEASE ARCHIVE

End of Report

This page is intentionally left blank.

