



## IAPD Report

# ERIC ANDREW WITTENBERG

CRD# 1552330

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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

### ERIC ANDREW WITTENBERG (CRD# 1552330)

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 **05/15/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	UBS FINANCIAL SERVICES INC.	CRD# 8174	11/20/2015
<b>IA</b>	UBS FINANCIAL SERVICES INC.	CRD# 8174	11/20/2015

### QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **35** 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>	CREDIT SUISSE SECURITIES (USA) LLC	816	NEW YORK, NY	05/06/2010 - 12/17/2015
<b>B</b>	CREDIT SUISSE SECURITIES (USA) LLC	816	NEW YORK, NY	12/07/2007 - 12/17/2015
<b>B</b>	WACHOVIA SECURITIES, LLC	19616	NEW YORK, NY	11/27/2002 - 12/10/2007

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
Customer Dispute	5



## 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 **35** 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	11/20/2015
<b>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	11/20/2015
<b>B</b> FINRA	General Securities Representative	Approved	11/20/2015
<b>B</b> NYSE American LLC	General Securities Representative	Approved	11/20/2015
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	11/20/2015
<b>B</b> NYSE Texas, Inc.	General Securities Representative	Approved	08/03/2022
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	Approved	11/20/2015
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	11/20/2015
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	11/20/2015
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	11/20/2015
<b>B</b> Alabama	Agent	Approved	11/20/2015
<b>B</b> Arizona	Agent	Approved	11/20/2015
<b>B</b> California	Agent	Approved	11/23/2015



## Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	11/02/2020
B	Connecticut	Agent	Approved	11/20/2015
B	Delaware	Agent	Approved	01/04/2016
B	District of Columbia	Agent	Approved	03/02/2021
B	Florida	Agent	Approved	11/20/2015
B	Georgia	Agent	Approved	05/14/2021
B	Idaho	Agent	Approved	09/26/2018
B	Illinois	Agent	Approved	11/23/2015
B	Louisiana	Agent	Approved	09/10/2020
B	Maryland	Agent	Approved	11/20/2015
B	Massachusetts	Agent	Approved	11/20/2015
B	Minnesota	Agent	Approved	09/10/2021
B	Missouri	Agent	Approved	07/15/2020
B	Nevada	Agent	Approved	01/06/2016
B	New Hampshire	Agent	Approved	09/19/2025
B	New Jersey	Agent	Approved	11/20/2015
IA	New Jersey	Investment Adviser Representative	Approved	11/20/2015
B	New Mexico	Agent	Approved	05/16/2025
B	New York	Agent	Approved	11/20/2015



### Qualifications

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	11/30/2021
B North Carolina	Agent	Approved	11/20/2015
B Ohio	Agent	Approved	01/07/2021
B Oregon	Agent	Approved	05/24/2026
B Pennsylvania	Agent	Approved	11/20/2015
B Rhode Island	Agent	Approved	12/24/2020
B South Carolina	Agent	Approved	12/22/2015
B South Dakota	Agent	Approved	11/20/2015
B Tennessee	Agent	Approved	11/20/2015
B Texas	Agent	Approved	11/20/2015
IA Texas	Investment Adviser Representative	Restricted Approval	11/20/2015
B Utah	Agent	Approved	06/24/2021
B Vermont	Agent	Approved	08/09/2021
B Virginia	Agent	Approved	05/22/2017
B Washington	Agent	Approved	04/14/2021
B Wisconsin	Agent	Approved	04/16/2020

#### Branch Office Locations

**UBS FINANCIAL SERVICES INC.**  
1285 Avenue of the Americas  
Floor 15 thru 18  
New York, NY 10019



## Qualifications

**UBS FINANCIAL SERVICES INC.**  
Mount Kisco, NY



## 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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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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<b>B</b> Futures Managed Funds Examination (S31)	Series 31	05/08/2002
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<b>B</b> General Securities Representative Examination (S7)	Series 7	07/16/1988
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#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	11/29/2021
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<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	06/21/2010
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<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	07/25/1988
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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	05/06/2010 - 12/17/2015	CREDIT SUISSE SECURITIES (USA) LLC	CRD# 816	NEW YORK, NY
B	12/07/2007 - 12/17/2015	CREDIT SUISSE SECURITIES (USA) LLC	CRD# 816	NEW YORK, NY
B	11/27/2002 - 12/10/2007	WACHOVIA SECURITIES, LLC	CRD# 19616	NEW YORK, NY
B	01/10/1997 - 12/09/2002	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	03/31/1992 - 02/03/1997	OPPENHEIMER & CO., INC.	CRD# 630	NEW YORK, NY
B	02/06/1989 - 04/22/1992	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	NEW YORK, NY
B	08/11/1988 - 02/13/1989	ADVEST, INC.	CRD# 10	

### 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
11/2015 - 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.

DESTILERIA CANECA, 2320 N MIAMI AVENUE, MIAMI, FL 33127, NON-INVESTMENT RELATED, START DATE: 04/2013, NATURE OF THE BUSINESS: DISTILLATION OF PREMIUM SPIRITS, ROLE IN ORGANISATION: DIRECTOR/ADVISORY BOARD MEMBER, 10 HRS PER MONTH, 0 HRS DURING SECURITIES TRADING HOURS, DESCRIPTION OF DUTIES: ADVISORY BOARD MEMBER FOR DEVELOPMENT OF PREMIUM SPIRITS BRANDS INCLUDING MIAMI CLUB RUM, PROVIDING FEEDBACK, GENERAL BUSINESS RECOMMENDATION AND OBSERVATIONS WITH THE GOAL OF ENHANCING PRODUCT SALES AND DISTRIBUTION

Specialty Equipment Market Association, Diamond Bar CA United States-91765, Association (e.g. Trade or Industry, Sport), Transport, The Specialty Equipment Market Association (SEMA) serves as a leading voice for the worldwide car culture, representing over 7,000 member companies that create, buy, sell, and use specialty-automotive parts that make vehicles more unique, attractive, convenient, safer, fun, and even like new again, Member of the Investment CommitteeThe entity utilizes an institutional consultant to oversee the investment portfolio. The Investment Committee meets quarterly to review the portfolio and



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

approve any recommendations of the consultant, start date-5/27/2025.



## 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
Customer Dispute	5

### 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 5

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	UBS FINANCIAL SERVICES INC.
<b>Allegations:</b>	Time frame: 2016-2019 Allegations: Claimant's counsel alleges unsuitability and misrepresentation with respect to recommendations to invest in and hold an options overlay strategy.
<b>Product Type:</b>	Other: In-house Wrap Fee
<b>Alleged Damages:</b>	\$1,000,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA Arbitration
<b>Docket/Case #:</b>	24-02098
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	10/04/2024

### Customer Complaint Information

<b>Date Complaint Received:</b>	10/04/2024
<b>Complaint Pending?</b>	No



**Status:** Denied

**Status Date:** 02/05/2026

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** I deny these allegations as I believe them to be false. This complaint came from a high net worth client who is an experienced financial professional. The options strategy at issue was discussed with the client who was made fully aware of the strategy's potential for volatility and the types of market environments that could lead to greater downside volatility. After the client's review, he made the decision that he understood and liked the strategy and chose to participate. The client was kept fully abreast of developments as more challenging market environments manifested, including through periodic portfolio reviews. The client also knew the option strategy team and discussed with them the nature and risks of the strategy. The client was comfortable with a higher risk strategy as a component of his overall portfolio.

#### Disclosure 2 of 5

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** UBS Financial Services, Inc.

**Allegations:** Eric Wittenberg was a subject of the customer's complaint against his member firm that asserted the following causes of action: negligence; negligent misrepresentations and omissions; breach of fiduciary duty; fraud; breach of contract; negligent supervision; and violation of Pennsylvania's Unfair Trade Practices and Consumer Protection Law.

**Product Type:** Other: Unspecified securities

**Alleged Damages:** \$1,154,088.00

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [FINRA - CASE #22-01799](#)

**Date Notice/Process Served:** 08/10/2022

**Arbitration Pending?** No

**Disposition:** Award

**Disposition Date:** 02/26/2024

**Disposition Detail:** Eric Wittenberg was a Subject of the customer's complaint alleging Wittenberg and his member firm caused sales practice violations. Wittenberg's member firm is liable for and shall pay to Claimants the sum of \$425,000.00 in compensatory damages.

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC.



**Allegations:** Time frame: December 2015  
Allegations: Claimant's counsel alleges unsuitability and misrepresentation with respect to recommendations to invest in and hold an options overlay strategy.

**Product Type:** Other: In-house Wrap Fee

**Alleged Damages:** \$1,500,000.00

**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 Arbitration

**Docket/Case #:** 22-01799

**Filing date of arbitration/CFTC reparation or civil litigation:** 08/15/2022

### Customer Complaint Information

**Date Complaint Received:** 08/15/2022

**Complaint Pending?** No

**Status:** Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

**Status Date:** 02/26/2024

**Settlement Amount:** \$425,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement**

This complaint related solely to a former client's loss in a proprietary UBS investment strategy. I was not personally named as a party to the arbitration nor found liable in any way. It appears on my record only because my name appeared in the text of the complaint since I was the client's advisor. In fact, I was only one member of a team that handled this account. The client's attorney specifically stated that I did not commit any sales practice violations. I gave these clients excellent service and did nothing improper. My representations regarding the strategy consisted of firm approved statements. Once the client enrolled in the strategy trading in the account was controlled entirely by the strategy's managers, not me. Also, these clients had invested in this same strategy at their prior brokerage without complaint - presumably because the market was generally favorable to the strategy at that time. I provided these clients with the same high level of service I have provided all my clients through my 35 year career in the financial services industry. The client was ultimately awarded less than 10% of the total damages they claimed and I was not asked to contribute to the award.

### Disclosure 3 of 5

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** UBS Financial Services Inc.

**Allegations:** Spring 2016 - Present



**Product Type:** Allegations: Claimant's counsel alleges unsuitability and misrepresentation with respect to recommendations to invest in and hold an options overlay strategy.

**Alleged Damages:** Other: IN House-Wrap Fee

**Alleged Damages Amount:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** \$500,000-\$1,000,000

**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 Arbitration

**Docket/Case #:** 20-03553

**Filing date of arbitration/CFTC reparation or civil litigation:** 10/22/2020

### Customer Complaint Information

**Date Complaint Received:** 10/22/2020

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 08/10/2022

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** This arbitration claim was denied in its entirety by a unanimous panel of three FINRA arbitrators after they heard all the evidence, including my sworn testimony. As the arbitrators found, the allegations were baseless. Contrary to the client's after the fact allegations, the investment strategy at issue was never positioned as low risk. The risks of the strategy were clearly explained and communicated both verbally and in writing to the client. I was not named as a party to the arbitration, but under FINRA rules this claim against UBS nonetheless has to be reflected on my record. I am gratified that the arbitrators concurred with my belief that this client was treated fairly and respectfully.

### Disclosure 4 of 5

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** SALOMON SMITH BARNEY

**Allegations:** THE CLIENT ALLEGED THAT HE IS OVERWEIGHTED IN TECHNOLOGY STOCKS AND QUESTIONS WHY HE IS NOT MORE DIVERSIFIED. 1997-2002. ALLEGED DAMAGES UNSPECIFIED.

**Product Type:** Equity - OTC



**Other Product Type(s):** EQUITY - LISTED

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 03/08/2002

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 09/13/2002

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** CLAIM DENIED.

### Disclosure 5 of 5

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** SALOMON SMITH BARNEY INC.

**Allegations:** ALLEGATION OF FAILURE TO TRADE BROKERAGE JACCOUNT PURSUANT TO CUSTOMER'S INVESTMENT OBJECTIVES. IN A LETTER DATED JANUARY 29, 2001, CUSTOMER STATED THAT THE TRADING IN THE ACCOUNT "WAS ALL PART OF THE GAME PLAN WE DISCUSSED AT INCEPTION." ACCORDINGLY, WE CONSIDER THIS MATTER CLOSED.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Other Product Type(s):** EQUITIES-OTC

**Alleged Damages:** \$265,000.00

### Customer Complaint Information

**Date Complaint Received:** 01/11/2001

**Complaint Pending?** No

**Status:** Withdrawn

**Status Date:** 01/29/2001

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** THE ACCOUNT WHICH IS A MANAGED ACCOUNT HAS BEEN CONSISTENT WITH THE INVESTMENT OBJECTIVES OF THE CLIENT. THE ACCOUNT HAS ALSO BEEN PROFITABLE AND CUSTOMER REMAINS A CLIENT AND HIS INVESTMENT OBJECTIVES HAVE NOT CHANGED.



## End of Report

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