



IAPD Report

PETER BURGESS FORD

CRD# 1710753

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7
Disclosure Information	8

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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

PETER BURGESS FORD (CRD# 1710753)

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 **01/31/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	07/21/1987
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	02/10/1988

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
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No information reported.

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	10



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 BOX Exchange LLC	General Securities Representative	Approved	05/16/2012
B BOX Exchange LLC	General Securities Sales Supervisor	Approved	05/18/2020
B Cboe Exchange, Inc.	General Securities Representative	Approved	03/03/1991
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	10/14/1993
B FINRA	General Securities Representative	Approved	07/21/1987
B FINRA	General Securities Sales Supervisor	Approved	10/14/1993
B NYSE American LLC	General Securities Representative	Approved	04/03/1988
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B NYSE Arca, Inc.	General Securities Representative	Approved	10/11/1992
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	10/14/1993
B NYSE Texas, Inc.	General Securities Representative	Approved	07/13/2022
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	07/13/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	01/23/2008



Qualifications

Regulator	Registration	Status	Date
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq PHLX LLC	General Securities Representative	Approved	10/16/1993
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	07/30/1996
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B New York Stock Exchange	General Securities Representative	Approved	08/31/1987
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B Arizona	Agent	Approved	09/28/1992
B California	Agent	Approved	11/04/1987
B Colorado	Agent	Approved	11/23/1990
IA Colorado	Investment Adviser Representative	Approved	09/03/2009
B Connecticut	Agent	Approved	07/22/1987
B Delaware	Agent	Approved	10/31/2000
B District of Columbia	Agent	Approved	10/17/2023
B Florida	Agent	Approved	02/10/1988
IA Florida	Investment Adviser Representative	Approved	02/10/1988
B Georgia	Agent	Approved	05/09/1995
B Hawaii	Agent	Approved	07/14/2021
B Idaho	Agent	Approved	09/29/2023



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	01/10/1994
B Indiana	Agent	Approved	08/02/2024
B Iowa	Agent	Approved	10/03/2023
B Kansas	Agent	Approved	03/01/2024
B Louisiana	Agent	Approved	09/03/2024
B Maine	Agent	Approved	10/04/2023
B Maryland	Agent	Approved	11/02/1994
B Massachusetts	Agent	Approved	07/26/1994
B Michigan	Agent	Approved	06/26/2000
B Missouri	Agent	Approved	02/27/2025
B Nevada	Agent	Approved	09/04/2024
B New Hampshire	Agent	Approved	09/19/2024
B New Jersey	Agent	Approved	12/08/1993
B New Mexico	Agent	Approved	09/29/2023
B New York	Agent	Approved	08/10/1987
B North Carolina	Agent	Approved	08/17/1987
B Ohio	Agent	Approved	04/20/2020
B Oregon	Agent	Approved	12/10/1999
B Pennsylvania	Agent	Approved	06/23/1993



Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	11/17/2021
B Tennessee	Agent	Approved	08/18/1989
B Texas	Agent	Approved	11/18/1996
IA Texas	Investment Adviser Representative	Restricted Approval	03/30/2015
B Vermont	Agent	Approved	09/29/2023
B Virginia	Agent	Approved	01/11/1994
B Washington	Agent	Approved	06/20/2000

Branch Office Locations

UBS FINANCIAL SERVICES INC.
Vero Beach, FL



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 3 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
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	09/13/1993

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
National Commodity Futures Examination (S3)	Series 3	10/06/1993
General Securities Representative Examination (S7)	Series 7	07/18/1987

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	10/05/1994
Uniform Securities Agent State Law Examination (S63)	Series 63	08/07/1987

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:

No information reported.

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
07/2013 - Present	UBS FINANCIAL SERVICES INC	BRANCH MANAGER	Y	BOULDER, CO, 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.

OWN RENTAL PROPERTY 3 FAMILY HOME IN BRIDGEPORT CT PURCHASED 4-86 FOR INVESTMENT 8



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	10

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:	Individual
Regulatory Action Initiated By:	FLORIDA DEPARTMENT OF FINANCIAL SERVICES
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	03/06/2008
Docket/Case Number:	CASE #835340
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	THE DEPARTMENT ALLEGES THAT THE REGISTRANT HAD NOT COMPLIED WITH THE STATE'S INSURANCE LICENSE CONTINUING EDUCATION REQUIREMENTS REQUIRED BY SECTION 626.2815 OF THE FLORIDA STATUTES AND RULE 69B-228.220, FLORIDA ADMINISTRATIVE CODE, FOR THE COMPLIANCE PERIOD ENDING DECEMBER 31, 2007.
Current Status:	Final
Resolution:	Stipulation and Consent
Resolution Date:	03/11/2008
Sanctions Ordered:	Monetary/Fine \$250.00
Other Sanctions Ordered:	REGISTRANT MUST EARN THE NECESSARY HOURS TO FULFILL



CONTINUING EDUCATION REQUIREMENT WITHIN 120 DAYS OF ISSUANCE OF THE CONSENT ORDER.

Sanction Details:

CONTINUING EDUCATION REQUIREMENTS HAVE BEEN MET AS OF THE DATE OF THIS FILING AND THE FINE WAS PAID ON MARCH 11, 2008.

Broker Statement

THIS SANCTION WAS A RESULT OF AN ADMINISTRATIVE OVERSIGHT RELATING TO ELIGIBLE COURSES REQUIRED AND HOURS NEEDED FOR COMPLETION. I COMPLETED THE REQUIRED CONTINUING EDUCATION REQUIREMENTS IMMEDIATELY UPON BEING NOTIFIED AND STEPS HAVE BEEN TAKEN TO PREVENT THIS FROM HAPPENING AGAIN.



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 10

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	CLAIMANT ALLEGES UNSUITABILITY AND OMISSIONS IN CONNECTION WITH THE SALE OF STRUCTURED PRODUCTS. TIME FRAME: 2007-2009
Product Type:	Other: STRUCTURED PRODUCTS
Alleged Damages:	\$35,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	11-04188
Filing date of arbitration/CFTC reparation or civil litigation:	11/21/2011

Customer Complaint Information

Date Complaint Received:	11/21/2011
Complaint Pending?	No
Status:	Settled
Status Date:	09/06/2012
Settlement Amount:	\$19,500.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 10

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	CLAIMANT ALLEGES THAT IN 2007 AND 2008, MISREPRESENTATIONS WERE MADE IN CONNECTION WITH SALE OF STRUCTURED PRODUCTS. NO SPECIFIC ALLEGATIONS W/R/T THE CONDUCT OF BOM FORD IN SUPPORT OF "FAILURE TO SUPERVISE" CLAIM.



Product Type: Other: STRUCTURED PRODUCTS

Alleged Damages: \$54,500.00

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 #: 11-02480

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 07/05/2011

Customer Complaint Information

Date Complaint Received: 07/05/2011

Complaint Pending? No

Status: Settled

Status Date: 09/11/2012

Settlement Amount: \$60,000.00

**Individual Contribution
Amount:** \$0.00

Disclosure 3 of 10

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** UBS FINANCIAL SERVICES INC/ 43115415-2010-103

Allegations: CLAIMANT ALLEGES THAT IN 2007 AND 2008, MISREPRESENTATIONS WERE MADE IN CONNECTION OF SALE OF STRUCTURED PRODUCTS ISSUED BY LEHMAN BROTHERS. NO SPECIFIC ALLEGATIONS W/R/T THE CONDUCT OF BOM FORD IN SUPPORT OF "FAILURE TO SUPERVISE" CLAIM.

Product Type: Other: STRUCTURED PRODUCTS

Alleged Damages: \$90,000.00

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

Docket/Case #: 10-04639

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 11/01/2010

**Customer Complaint Information****Date Complaint Received:** 11/01/2010**Complaint Pending?** No**Status:** Settled**Status Date:** 07/17/2012**Settlement Amount:** \$67,563.00**Individual Contribution Amount:** \$0.00**Broker Statement**

I WAS NOT A NAMED RESPONDENT IN THIS ACTION AND NO DAMAGES ARE SOUGHT AGAINST ME PERSONALLY RELATED TO ANY ACTIONS TAKEN BY ME IN CONNECTION WITH THE INVESTMENTS AT ISSUE. THIS SETTLEMENT DOES NOT REFLECT ANY ACKNOWLEDGEMENT OR ADMISSION OF ANY LIABILITY OR MISCONDUCT ON MY PART WHATSOEVER. I WAS NOT ASKED TO PERSONALLY CONTRIBUTE ANY AMOUNT TOWARDS THE SETTLEMENT OF THIS CASE. UBS RESOLVED THIS ISSUE SOLELY FOR BUSINESS REASONS TO AVOID POTENTIAL COST AND UNCERTAINTIES OF THE ARBITRATION FORUM.

Disclosure 4 of 10**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC. /43115415-2010-104**Allegations:** CLAIMANT ALLEGES THAT IN MARCH 2008, MISREPRESENTATIONS WERE MADE IN CONNECTION OF SALE OF STRUCTURED PRODUCTS ISSUED BY LEHMAN BROTHERS. NO SPECIFIC ALLEGATIONS W/R/T THE CONDUCT OF BOM FORD IN SUPPORT OF "FAILURE TO SUPERVISE" CLAIM.**Product Type:** Other: STRUCTURED PRODUCTS**Alleged Damages:** \$40,000.00**Is this an oral complaint?** No**Is this a written complaint?** No**Is this an arbitration/CFTC reparation or civil litigation?** Yes**Arbitration/Reparation forum or court name and location:** FINRA**Docket/Case #:** 10-04637**Filing date of arbitration/CFTC reparation or civil litigation:** 11/02/2010**Customer Complaint Information****Date Complaint Received:** 11/02/2010**Complaint Pending?** No**Status:** Settled**Status Date:** 06/03/2011



Settlement Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Disclosure 5 of 10

Reporting Source: Individual

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

Allegations: THE COMPLAINT AROSE OUT OF THE SALE OF AN AUCTION RATE SECURITY (ARS) THAT WAS MADE PRIOR TO THE WIDESPREAD ILLIQUIDITY IN THE ARS MARKET THAT OCCURRED IN FEBRUARY 2008.

Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): THE CUSTOMER DID NOT MAKE A CLAIM FOR COMPENSATORY DAMAGES AND/OR DAMAGES WERE DETERMINED TO BE LESS THAN \$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: 07/02/2008

Complaint Pending? No

Status: Settled

Status Date: 12/23/2008

Settlement Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Broker Statement THE COMPLAINT AROSE IN CONNECTION WITH THE INDUSTRY WIDE BREAKDOWN OF THE LIQUIDITY IN THE MARKET FOR AUCTION RATE SECURITIES ("ARS"). THE FIRM AGREED TO REPURCHASE THE ARS SECURITIES AT ISSUE AT PAR VALUE FROM THE CLIENT PURSUANT TO A GLOBAL REPURCHASE AGREEMENT IT ENTERED INTO WITH SEVERAL REGULATORY BODIES. THIS WAS NOT A SETTLEMENT OF A DISPUTE BETWEEN THE CLIENT AND THE REPRESENTATIVE AND WAS NOT BASED ON THE MERITS OF THE CLIENT'S SPECIFIC CONCERNS OR ANY FINDING OF FAULT OR WRONGDOING BY THE NAMED REPRESENTATIVE. THE NAMED REPRESENTATIVE WAS NOT A PARTY TO, AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND THE RELEVANT REGULATORY BODIES. THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CLIENT AND THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE SETTLEMENT AMOUNT. THE LISTED "SETTLEMENT AMOUNT" REPRESENTS ONLY THE GROSS INITIAL PAR VALUE OF THE ARS POSITION AND DOES NOT TAKE INTO ACCOUNT THE ACTUAL VALUE OF THE ARS POSITION AT THE TIME THE FIRM RECEIVED IT BACK FROM THE CLIENT IN



CONNECTION WITH THE SETTLEMENT. THIS MATTER IS BEING REPORTED AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF FINRA REGULATORY NOTICE 09-12.

Disclosure 6 of 10

Reporting Source: Individual

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

Allegations: CLAIMANT ALLEGES MISREPRESENTATIONS AND OMISSIONS IN CONNECTION WITH THE SALE OF SECURITIES. TIME FRAME: 2007-2008

Product Type: Other: STRUCTURED PRODUCTS

Alleged Damages: \$120,000.00

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: FINFA

Docket/Case #: 11-02003

Filing date of arbitration/CFTC reparation or civil litigation: 06/23/2011

Customer Complaint Information

Date Complaint Received: 06/23/2011

Complaint Pending? No

Status: Settled

Status Date: 09/06/2012

Settlement Amount: \$44,000.00

Individual Contribution Amount: \$0.00

Broker Statement UBS DENIED THE COMPLAINT ON 03/31/2009.

Disclosure 7 of 10

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS PAINWEBBER INC.

Allegations: CLIENT ALLEGES THAT BROKER PLACED HER IN IMPROPER AND INAPPROPRIATE INVESTMENTS, FAILED TO FOLLOW INSTRUCTIONS TO PLACE STOP LOSS ORDERS, AND BREACHED HIS FIDUCIARY DUTY TO HER.

Product Type: Other



Other Product Type(s): PRODUCT: UNSPECIFIED

Alleged Damages: \$357,200.00

Customer Complaint Information

Date Complaint Received: 07/24/2002

Complaint Pending? No

Status: Settled

Status Date: 12/10/2002

Settlement Amount: \$95,000.00

Individual Contribution Amount: \$0.00

Broker Statement

THE CLIENT WITH WHOM THIS SETTLEMENT WAS MADE CONDUCTED VIRTUALLY ALL OF HER SECURITIES AND OPTIONS TRADES ON AN UNSOLICITED BASIS IN RELIANCE UPON AN OPTIONS-TRADING SERVICE AND VARIOUS INVESTMENT NEWSLETTERS TO WHICH SHE SUBSCRIBED. THE FIRM DECIDED TO SETTLE THIS MATTER PRIOR TO CONSULTING WITH ME, AND I HAVE BEEN TOLD THAT THE SETTLEMENT WAS MADE FOR BUSINESS JUDGMENT PURPOSES. MY SUPERVISION WITH REGARD TO THE SUBJECT ACCOUNT WAS REASONABLE IN ALL RESPECTS, AND I HAVE NOT BEEN ASKED TO CONTRIBUTE TO THE SETTLEMENT.

Disclosure 8 of 10

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS PAINWEBBER INC.

Allegations: CLAIMANT ALLEGES FAILURE TO SUPERVISE EMPLOYEE WHO HAD DIRECT DISCRETION OVER CLAIMANT'S ACCOUNT.

Product Type: Equity - OTC

Other Product Type(s): OPTIONS

Alleged Damages: \$30,334,868.00

Customer Complaint Information

Date Complaint Received: 12/19/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/25/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - DOCKET # 01-00202

Date Notice/Process Served: 01/25/2001



Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/21/2001
Monetary Compensation Amount:	\$2,025,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	UBS PAINWEBBER SETTLED WITH CLAIMANT BY PAYING THE SUM OF \$2,025,000.00 AND FORGIVING OUTSTANDING LOAN BALANCE OF \$1,029,237.00.

Disclosure 9 of 10

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PAINWEBBER INC.
Allegations:	CLIENT ALLEGES THAT FA SOLD HIM INVESTMENTS THAT WERE UNSUITABLE. TIME PERIOD 1996-1997
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$7,751.00
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:	10/08/1999
Complaint Pending?	No
Status:	Denied
Status Date:	10/19/2001
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	WITH RESPECT TO THE COMPLAINT MADE BY CUSTOMER REGARDING PAINWEBBER'S ASIA PACIFIC FUND AND BARRICK GOLD, I DISCUSSED THE GLOBAL SITUATION WITH REGARD TO THE ASIA PACIFIC FUND AND THE INVESTMENT IN BARRICK.

Disclosure 10 of 10

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	PAINWEBBER INCORPORATED
Allegations:	ACCOUNT RELATED-NEGLIGENCE;



MISREPRESENTATION; OMISSION OF FACTS; OTHER

Product Type:

Alleged Damages: \$49,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #96-05120

Date Notice/Process Served: 12/09/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/29/1997

Disposition Detail: CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PAINWEBBER INCORPORATED

Allegations: CLAIMANT ALLEGED NEGLIGENCE AND IMPROPER SUPERVISION OVER BROKER IN CONNECTION WITH PURCHASE OF 1,000 PIXAR STOCK FOR \$22,000 ON 11/29/95. CLAIMANT SOUGHT DAMAGES IN THE AMOUNT OF \$49,000 PLUS AN UNSPECIFIED AMT. OF COSTS.

Product Type:

Alleged Damages: \$49,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: National Assoc. of Securities Dealers; 96-05120

Date Notice/Process Served: 12/09/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/29/1997

Monetary Compensation Amount: \$12,000.00

Individual Contribution Amount:

Civil Litigation Information

Court Details: CIRCUIT; INDIAN RIVER COUNTY, FL; 96-379CA-03

Date Notice/Process Served: 07/19/1996

Litigation Pending? No

Disposition: Judgment (other than monetary)

Disposition Date:

Broker Statement

PAINWEBBER HAS AGREED TO PAY CLAIMANT THE SUM OF \$12,000 IN EXCHANGE FOR A FULL RELEASE OF ALL CLAIMS. CLAIMANT HAS AGREED THAT MR. FORD'S RECORD WILL BE EXPUNDED REGARDING THIS MATTER. IT IS OBVIOUS THAT THIS CLAIM RESULTED FROM A MISCOMMUNICATION AND NOT FROM ANY FRAUD OR WRONGDOING. THERE WAS NO FAILURE TO SUPERVISE.



End of Report

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