



IAPD Report

JONATHAN J BERUBE

CRD# 2004124

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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

JONATHAN J BERUBE (CRD# 2004124)

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 **02/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PARK AVENUE SECURITIES LLC	CRD# 46173	01/16/2020
B	PARK AVENUE SECURITIES LLC	CRD# 46173	01/29/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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
IA	UBS FINANCIAL SERVICES INC.	8174	BUFFALO, NY	08/03/2011 - 12/05/2019
B	UBS FINANCIAL SERVICES INC.	8174	BUFFALO, NY	05/11/2001 - 12/05/2019
B	H&R BLOCK FINANCIAL ADVISORS, INC.	5979	DETROIT, MI	01/18/1991 - 05/17/2001

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
Criminal	1
Customer Dispute	2
Termination	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 **17** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PARK AVENUE SECURITIES LLC**
Main Address: 10 HUDSON YARDS
NEW YORK, NY 10001
Firm ID#: 46173

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	01/29/2020
B	FINRA	General Securities Representative	Approved	01/29/2020
B	FINRA	General Securities Sales Supervisor	Approved	01/29/2020
B	California	Agent	Approved	10/05/2021
IA	California	Investment Adviser Representative	Approved	10/05/2021
B	Colorado	Agent	Approved	03/31/2020
IA	Colorado	Investment Adviser Representative	Approved	03/31/2020
IA	Connecticut	Investment Adviser Representative	Approved	01/28/2020
B	Connecticut	Agent	Approved	02/03/2020
B	District of Columbia	Agent	Approved	02/04/2020
IA	District of Columbia	Investment Adviser Representative	Approved	02/26/2020
B	Florida	Agent	Approved	06/15/2020
IA	Florida	Investment Adviser Representative	Approved	06/15/2020



Qualifications

Regulator	Registration	Status	Date
IA Georgia	Investment Adviser Representative	Approved	01/17/2020
B Georgia	Agent	Approved	01/30/2020
IA Maine	Investment Adviser Representative	Approved	01/29/2020
B Maine	Agent	Approved	01/31/2020
B Maryland	Agent	Approved	05/18/2026
IA Maryland	Investment Adviser Representative	Approved	05/18/2026
B Massachusetts	Agent	Approved	03/08/2021
IA Massachusetts	Investment Adviser Representative	Approved	03/16/2021
B New Jersey	Agent	Approved	03/07/2025
IA New Jersey	Investment Adviser Representative	Approved	03/07/2025
B New York	Agent	Approved	01/31/2020
IA New York	Investment Adviser Representative	Approved	04/16/2021
B North Carolina	Agent	Approved	12/09/2022
IA North Carolina	Investment Adviser Representative	Approved	12/09/2022
B Rhode Island	Agent	Approved	03/30/2020
IA Rhode Island	Investment Adviser Representative	Approved	03/30/2020
B Tennessee	Agent	Approved	02/26/2020
B Texas	Agent	Approved	02/14/2020
IA Texas	Investment Adviser Representative	Restricted Approval	01/16/2020



Qualifications

Regulator	Registration	Status	Date
IA Virginia	Investment Adviser Representative	Approved	01/18/2020
B Virginia	Agent	Approved	02/03/2020
B Wisconsin	Agent	Approved	10/15/2025
IA Wisconsin	Investment Adviser Representative	Approved	10/15/2025

Branch Office Locations

PARK AVENUE SECURITIES LLC
600 DELAWARE AVENUE
BUFFALO, NY 14202

PARK AVENUE SECURITIES LLC
BUFFALO, 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 6 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
 Municipal Securities Principal Examination (S53)	Series 53	10/25/1994
 General Securities Principal Examination (S24)	Series 24	05/07/1993
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	09/04/1992
 Registered Options Principal Examination (S4)	Series 4	01/10/1992

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	10/19/2001
 General Securities Representative Examination (S7)	Series 7	01/20/1990

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/30/2000
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/09/1990



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	08/03/2011 - 12/05/2019	UBS FINANCIAL SERVICES INC.	CRD# 8174	BUFFALO, NY
B	05/11/2001 - 12/05/2019	UBS FINANCIAL SERVICES INC.	CRD# 8174	BUFFALO, NY
B	01/18/1991 - 05/17/2001	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	DETROIT, MI
B	01/25/1990 - 01/09/1991	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

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
01/2020 - Present	GUARDIAN LIFE INSURANCE CO OF AMERICA	AGENT	N	BUFFALO, NY, United States
01/2020 - Present	PARK AVENUE SECURIITES, LLC	REGISTERED REPRESENTATIVE	Y	BUFFALO, NY, United States
05/2001 - 11/2019	UBS FINANCIAL SERVICES INC.	BRANCH MANAGER SALARIED	Y	BUFFALO, 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.

1. Derbyshire LLC-Manager of the LLC, I am listed to ensure orderly succession in the event my wife is unable to act.,
Start: 08/19/2019,
Address: 905 Sturgeon Point Rd, Derby NY 14047,
2 non bus hrs. per month,
Not investment related,
- 2) Insurance other than Guardian,
Start: 08/01/2025,
Address: 600 Delaware Ave, Buffalo NY 14202,
0 total hours per month,
Investment related,
Less than 10% annual compensation,



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
Criminal	1
Customer Dispute	2
Termination	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	City Court of Buffalo
Location of Court:	County of Erie
Docket/Case #:	CR-02347-19
Charge Date:	02/22/2019
Charge(s) 1 of 2	
Formal Charge(s)/Description:	0511-03A - Aggravated unlicensed operation of a motor vehicle in the first degree.
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	No Plea
Disposition of charge:	Amended
Date of Amended Charge:	06/17/2019
Charge was Amended or reduced to:	The charge was reduce to 3rd Degree Misdemeanor.
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Pled Guilty



Disposition of Amended Charge:	Reduced
Charge(s) 2 of 2	
Formal Charge(s)/Description:	1192-03C - Operating a motor vehicle while under the influence of alcohol or drugs.
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Plead Guilty
Disposition of charge:	Pled guilty
Date of Amended Charge:	06/17/2019
Charge was Amended or reduced to:	The charge was reduced to 3rd Degree Misdemeanor
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Plead Guilty
Disposition of Amended Charge:	Reduced
Current Status:	Final
Status Date:	06/17/2019
Disposition Date:	06/17/2019
Sentence/Penalty:	1192.03-Surcharge \$175.00 add'l \$170.00 CVAF \$25.00 Fine \$1000.00 (1 yr conditional discharge) Lic revoked 6 mos. 05511002A4-Time served Fine \$500.00



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 2

Reporting Source: Individual

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

Allegations: CLIENT THROUGH COUNSEL ALLEGES FAILURE TO SUPERVISE. ALLAGED DAMAGES: ESTIMATED TO BE OVER \$5,000.

Product Type: Mutual Fund(s)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 06/04/2004

Complaint Pending? No

Status: Settled

Status Date: 11/18/2004

Settlement Amount: \$7,000.00

Individual Contribution Amount: \$0.00

Broker Statement I WAS NOT THE BRANCH MANGER OF THAT BRANCH DURING THE TIME THE TRADES WERE EXECUTED. THE FIRM DENIED THE CLAIM OF LACK OF SUPERVISION BUT OFFERED THE CLIENT A SMALL SETTLEMENT IN THE INTEREST OF CLIENT RELATIONS. THE LOSSES ALLEGED WERE TAX LOSES AND THE ALLEGATIONS WERE WITHOUT MERIT.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: CUSTOMER ALLEGED UNAUTHORIZED PURCHASE OF 1000 DSC CORP

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 11/12/1997

Complaint Pending? No

Status: Denied



Status Date:

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

DETERMINED THERE IS NO MERIT TO CLAIM. RECORDS
REFLECT ORDERS COMMUNICATED TO CUSTOMER BEFORE ENTRY.
Not Provided



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: UBS FINANCIAL SERVICES INC
Termination Type: Discharged
Termination Date: 11/06/2019
Allegations: Employee violated the firm's Code of Conduct and Investment Advisor Code of Ethics and Employee Handbook by failing to meet his disclosure obligations to the Firm and engaged in personal conduct that was inconsistent with the Code of Conduct, non-sales practice, non-client related.
Product Type: No Product

Reporting Source: Individual
Firm Name: UBS FINANCIAL SERVICES INC
Termination Type: Discharged
Termination Date: 11/06/2019
Allegations: Employee violated the firm's Code of Conduct and Investment Advisor Code of Ethics and Employee Handbook by failing to meet his disclosure obligations to the Firm and engaged in personal conduct that was inconsistent with the Code of Conduct, non-sales practice, non-client related.
Product Type: No Product



End of Report

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