



IAPD Report

CHRISTOPHER WAYNE TOLMAN

CRD# 2066775

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

CHRISTOPHER WAYNE TOLMAN (CRD# 2066775)

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 **01/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	11/17/2010
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	11/17/2010

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **43** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	CREDIT SUISSE SECURITIES (USA) LLC	816	NEW YORK, NY	12/07/2007 - 12/08/2010
IA	CREDIT SUISSE SECURITIES (USA) LLC	816	NEW YORK, NY	12/07/2007 - 12/08/2010
IA	BEAR, STEARNS & CO. INC.	79	NEW YORK, NY	07/18/2002 - 12/18/2007

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
Regulatory Event	1
Criminal	1
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 **43** 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	05/15/2012
B Cboe Exchange, Inc.	General Securities Representative	Approved	11/17/2010
B FINRA	General Securities Representative	Approved	11/17/2010
B NYSE American LLC	General Securities Representative	Approved	11/17/2010
B NYSE Arca, Inc.	General Securities Representative	Approved	11/17/2010
B NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	11/17/2010
B Nasdaq PHLX LLC	General Securities Representative	Approved	11/17/2010
B Nasdaq Stock Market	General Securities Representative	Approved	11/17/2010
B New York Stock Exchange	General Securities Representative	Approved	11/17/2010
B Arizona	Agent	Approved	08/05/2015
B Arkansas	Agent	Approved	01/10/2017
B California	Agent	Approved	11/18/2010



Qualifications

Regulator	Registration	Status	Date
B Colorado	Agent	Approved	11/17/2010
IA Colorado	Investment Adviser Representative	Approved	01/20/2022
B Connecticut	Agent	Approved	11/17/2010
IA Connecticut	Investment Adviser Representative	Approved	11/03/2021
B Delaware	Agent	Approved	11/06/2013
B District of Columbia	Agent	Approved	11/17/2010
B Florida	Agent	Approved	03/25/2011
B Georgia	Agent	Approved	11/17/2010
B Idaho	Agent	Approved	08/09/2023
B Illinois	Agent	Approved	01/10/2017
B Indiana	Agent	Approved	01/13/2017
B Iowa	Agent	Approved	01/13/2017
B Kansas	Agent	Approved	03/02/2021
B Kentucky	Agent	Approved	11/17/2010
B Maine	Agent	Approved	11/17/2010
B Maryland	Agent	Approved	04/16/2012
B Massachusetts	Agent	Approved	11/17/2010
B Michigan	Agent	Approved	11/17/2010
B Minnesota	Agent	Approved	01/10/2017



Qualifications

	Regulator	Registration	Status	Date
B	Mississippi	Agent	Approved	07/01/2022
B	Nevada	Agent	Approved	01/20/2017
B	New Hampshire	Agent	Approved	11/17/2010
B	New Jersey	Agent	Approved	11/17/2010
IA	New Jersey	Investment Adviser Representative	Approved	11/03/2021
B	New Mexico	Agent	Approved	05/02/2012
B	New York	Agent	Approved	11/17/2010
IA	New York	Investment Adviser Representative	Approved	11/30/2021
B	North Carolina	Agent	Approved	11/17/2010
B	Ohio	Agent	Approved	11/17/2010
B	Oregon	Agent	Approved	11/17/2010
B	Pennsylvania	Agent	Approved	11/17/2010
B	Puerto Rico	Agent	Approved	05/20/2024
B	Rhode Island	Agent	Approved	11/17/2010
IA	Rhode Island	Investment Adviser Representative	Approved	11/03/2021
B	South Carolina	Agent	Approved	11/18/2010
B	South Dakota	Agent	Approved	06/22/2021
B	Tennessee	Agent	Approved	11/17/2010
B	Texas	Agent	Approved	11/17/2010



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	11/17/2010
B Utah	Agent	Approved	05/16/2025
B Vermont	Agent	Approved	11/17/2010
B Virginia	Agent	Approved	11/17/2010
B Washington	Agent	Approved	10/09/2014
B West Virginia	Agent	Approved	05/10/2011
B Wisconsin	Agent	Approved	09/06/2017
B Wyoming	Agent	Approved	01/13/2017

Branch Office Locations

UBS FINANCIAL SERVICES INC.
1285 AVENUE OF THE AMERICAS
15 THRU 18TH FLOORS
NEW YORK, NY 10019

UBS FINANCIAL SERVICES INC.
Placerville, CO

UBS FINANCIAL SERVICES INC.
Austin, TX



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 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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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	12/05/1990
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	11/30/2021
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Uniform Investment Adviser Law Examination (S65)	Series 65	08/26/1999
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Uniform Securities Agent State Law Examination (S63)	Series 63	02/14/1991
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	12/07/2007 - 12/08/2010	CREDIT SUISSE SECURITIES (USA) LLC	CRD# 816	NEW YORK, NY
IA	12/07/2007 - 12/08/2010	CREDIT SUISSE SECURITIES (USA) LLC	CRD# 816	NEW YORK, NY
IA	07/18/2002 - 12/18/2007	BEAR, STEARNS & CO. INC.	CRD# 79	NEW YORK, NY
B	06/06/1997 - 12/18/2007	BEAR, STEARNS & CO. INC.	CRD# 79	NEW YORK, NY
B	04/06/1992 - 11/01/1996	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	05/07/1991 - 04/22/1992	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	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
11/2010 - 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.

No information reported.



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
Criminal	1
Termination	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: TEXAS STATE SECURITIES BOARD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 07/22/1997

Docket/Case Number: CEN-1201

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: Not Provided

Current Status: Final

Resolution: Order

Resolution Date: 07/22/1997

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: ON JULY 22, 1997, THE SECURITIES COMMISSIONER ENTERED A CONSENT ORDER AGAINST CHRISTOPHER WAYNE TOLMAN.



RESPONDENT FAILED TO UPDATE HIS U-4 TO DISCLOSE A FELONY CHARGE. PURSUANT TO SECTION 14.A(6) OF THE SECURITIES ACT AN ORDER OF REPRIMAND IS ISSUED.

Regulator Statement

CONTACT: JOYCE MILLER (512) 305-8390

Reporting Source: Individual
Regulatory Action Initiated By: TEXAS SECURITIES BOARD
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 07/22/1997
Docket/Case Number: CEN-1201

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: NONE
Current Status: Final
Resolution: Order

Resolution Date: 07/22/1997

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: REGISTRATION WAS APPROVED PER THE TERMS OF THE CONSENT ORDER.

Broker Statement

QUESTION 22-E(2) CONCERNS A VIOLATION OF ANY REGULATION OR STATUTE INVOLVING INVESTMENT RELATED ACTIVITY. THIS UPDATE TO MY U-4 IS NOT RELATED TO A CUSTOMER COMPLAINT OR INVESTMENT RELATED ACITIVTY; HOWEVER, THE TEXAS SECURITIES BOARD NEVERTHELESS REPORTED THIS CONSENT ORDER ON A U-6 FILING, THUS NECESSITATING AN AMENDMENT OF MY U-4, FINALLY, QUESTION 22E-4 CONCERNS ANY ORDER ENTERED AGAINST ME IN CONNECTION WITH THE INVESTMENT RELATED ACTIVITY BY ANY REGULATORY AGENCY. AGAIN, THIS CONSENT ORDER IS NOT RELATED TO INVESTMENT ACTIVITY. HOWEVER, I AGREED TO THE ENTRY OF A CONSENT ORDER WITH THE TEXAS SECURITIES BOARD FOR FAILURE TO ORIGINALLY AMEND MY U-4 ON ACCOUNT OF A 22A-3 YES ANSWER. THE TEXAS SECURITIES BOARD REFUSED TO REGISTER ME WITH THE STATE OF TEXAS UNTIL I AGREED TO THE ENTRY OF THE CONSENT ORDER AND FILED THIS AMENDMENT.



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: Firm

Court Details: District Attorney-State of Texas
F9576363

Charge Date: 06/03/1995

Charge Details: Felony, possession of controlled substance.

Felony?

Current Status: Final

Status Date: 05/27/1996

Disposition Details: Deferred adjudication

Firm Statement Not Provided

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Reporting Source: Individual

Organization Name (if charge(s) were brought against an organization over which individual exercised control): N/A

Court Details: STATE OF TEXAS; F95-76363-K

Charge Date: 06/03/1995

Charge Details: PLED GUILTY TO A FELONY IN THE THIRD DEGREE (POSSESSION OF A CONTROLLED SUBSTANCE).

Felony? Yes

Current Status: Final

Status Date: 05/27/1996

Disposition Details: RESULT WAS DEFERRED ADJUDICATION, 7 YEARS PROBATION, AND A \$5,000 FINE. ON DECEMBER 22, 1998, THE CRIMINAL DISTRICT COURT NO. 4 OF DALLAS COUNTY, TEXAS ORDERED I BE DISCHARGED FROM SAID PROBATION AND THAT THE INDICTMENT IS THIS CASE BE DISMISSED.

Broker Statement IN JUNE, 1995 I WAS RETURNING HOME FROM AN EVENING WITH A VERY RECENT WOMAN ACQUAINTANCE. IN THE COURSE OF A ROUTINE TRAFFIC STOP, THE POLICE LOCATED A BAG OF MARIJUANA CONTAINING A HALLUCINOGEN CALLED PSYLOCIBIN. UNBEKNOWNST TO ME, MY PASSENGER HAD BEEN TRAVELING WITH THIS AND HAD PLACED IN BETWEEN HER SEAT AND MINE IN THE FRONT OF THE CAR. THIS CASE WAS RESOLVED THROUGH A DISPOSITION OF DEFERRED ADJUDICATION (SEE ATTACHED EXPLANATION) 5/28/1996.



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: Individual

Firm Name: PRUDENTIAL SECURITIES INCORPORATED

Termination Type: Discharged

Termination Date: 10/28/1996

Allegations: VIOLATION OF FIRM POLICY - FAILURE TO DISCLOSE CRIMINAL ADJUDICATION.

Product Type: No Product

Other Product Types:

Broker Statement

ARRESTED ON 06/03/95 AND CHARGED WITH POSSESSION OF CONTROLLED SUBSTANCE. RESULT WAS DEFERRED ADJUDICATION, 7 YEARS PROBATION, AND A \$5,000 FINE. I FAILED TO AMEND MY FORM U-4 WITH THE ARREST WHILE EMPLOYED WITH PRUDENTIAL. ON DECEMBER 22, 1998, THE CRIMINAL DISTRICT COURT NO. 4 OF DALLAS COUNTY, TEXAS ORDERED I BE DISCHARGED FROM SAID PROBATION AND THAT THE INDICTMENT IN THIS CASE BE DISMISSED.



End of Report

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