



## IAPD Report

# JOSEPH JOHN ROMANCHIK

CRD# 2162502

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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

### JOSEPH JOHN ROMANCHIK (CRD# 2162502)

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 **12/17/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	UBS FINANCIAL SERVICES INC.	CRD# 8174	01/16/2009
<b>IA</b>	UBS FINANCIAL SERVICES INC.	CRD# 8174	01/29/2009

### 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>B</b>	WACHOVIA SECURITIES, LLC	19616	CHATTANOOGA, TN	01/01/2008 - 01/28/2009
<b>IA</b>	WACHOVIA SECURITIES, LLC	19616	CHATTANOOGA, TN	01/01/2008 - 01/28/2009
<b>B</b>	A. G. EDWARDS & SONS, INC.	4	CHATTANOOGA, TN	01/27/1992 - 01/03/2008

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?

**No**



## 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
 BOX Exchange LLC	General Securities Representative	Approved	05/16/2012
 Cboe Exchange, Inc.	General Securities Representative	Approved	01/16/2009
 FINRA	General Securities Representative	Approved	01/16/2009
 NYSE American LLC	General Securities Representative	Approved	01/16/2009
 NYSE Arca, Inc.	General Securities Representative	Approved	01/16/2009
 NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
 Nasdaq ISE, LLC	General Securities Representative	Approved	01/16/2009
 Nasdaq PHLX LLC	General Securities Representative	Approved	01/16/2009
 Nasdaq Stock Market	General Securities Representative	Approved	01/16/2009
 New York Stock Exchange	General Securities Representative	Approved	01/16/2009
 Alabama	Agent	Approved	01/16/2009
 Alaska	Agent	Approved	09/18/2025
 Arkansas	Agent	Approved	01/16/2009



## Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	01/16/2009
B Colorado	Agent	Approved	06/08/2010
B Connecticut	Agent	Approved	01/16/2009
B Florida	Agent	Approved	01/16/2009
B Georgia	Agent	Approved	01/16/2009
B Illinois	Agent	Approved	01/16/2009
B Indiana	Agent	Approved	02/04/2022
B Kentucky	Agent	Approved	01/16/2009
B Louisiana	Agent	Approved	06/30/2009
B Maine	Agent	Approved	10/03/2024
B Maryland	Agent	Approved	01/16/2009
B Massachusetts	Agent	Approved	01/05/2010
B Michigan	Agent	Approved	12/20/2024
B Mississippi	Agent	Approved	01/16/2009
B Montana	Agent	Approved	08/25/2025
B Nevada	Agent	Approved	03/28/2012
B New Jersey	Agent	Approved	01/16/2009
B New York	Agent	Approved	01/16/2009
B North Carolina	Agent	Approved	01/16/2009



## Qualifications

Regulator	Registration	Status	Date
B Ohio	Agent	Approved	01/14/2016
B Oklahoma	Agent	Approved	06/30/2009
B Oregon	Agent	Approved	06/30/2009
B Pennsylvania	Agent	Approved	01/16/2009
B Rhode Island	Agent	Approved	11/02/2022
B South Carolina	Agent	Approved	01/16/2009
B Tennessee	Agent	Approved	01/16/2009
IA Tennessee	Investment Adviser Representative	Approved	01/29/2009
B Texas	Agent	Approved	01/16/2009
IA Texas	Investment Adviser Representative	Restricted Approval	04/20/2009
B Vermont	Agent	Approved	11/30/2016
B Virginia	Agent	Approved	01/16/2009
B Washington	Agent	Approved	01/16/2009
B West Virginia	Agent	Approved	11/23/2022
B Wisconsin	Agent	Approved	06/08/2016

## Branch Office Locations

**UBS FINANCIAL SERVICES INC.**

ONE UNION SQUARE  
CHATTANOOGA, TN 37402



## 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 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

#### General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Futures Managed Funds Examination (S31)	Series 31	04/13/2009
B General Securities Representative Examination (S7)	Series 7	01/24/1992

#### State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	01/10/1996
B Uniform Securities Agent State Law Examination (S63)	Series 63	01/29/1992

### 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>B</b>	01/01/2008 - 01/28/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	CHATTANOOGA, TN
<b>IA</b>	01/01/2008 - 01/28/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	CHATTANOOGA, TN
<b>B</b>	01/27/1992 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	CHATTANOOGA, TN
<b>IA</b>	02/04/2004 - 01/01/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	CHATTANOOGA, TN

### 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
01/2009 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	CHATTANOOGA, TN, United States

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

100% OWNERSHIP - RENTAL PROPERTY, 7157E RANCHO VISTA DR, UNIT 1010, SCOTTSDALE, AZ 85251.  
Girls Inc. / 709 South Greenwood Avenue Chattanooga, TN 37404 / Company/ Other Charitable / funding scholarships for highly motivated Girls / Advisor or member of an advisory committee, if the advice given will or may influence the board or other senior management or supervisory board of the organization in question / / meet once per month, advise as to budgetting. / Start Date 10/9/15/ 1 hour per month.

NAME OF OTHER BUSINESS: Seaside Homeowners Association, Phase 7C / INVESTMENT RELATED?:N / ADDRESS:P.O. Box 2620 / NATURE OF THE BUSINESS: Maintain the budget and decide on projects to maintain and beautify the property / POSITION: Member of Board of Directors / DUTIES: vote on improvements to the property and other expense items to help maintain and beautify the property / START DATE: 8/1/2022 / HOURS DEVOTED TO BUSINESS: NA

JLSB LLCUnited States, DenverColorado United States- 80202-6098, Company, Real Estate, I am buying a house, putting it in an LLC. for liability protection reasons, Proprietor / owner, collect rent. pay the credit line/mortgage interest. pay the taxes and insurance. hopefully sell it someday, start date-11/5/2024.



## **End of Report**

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