



IAPD Report

LAWRENCE ALAN FANN

CRD# 2199482

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7 - 8
Disclosure Information	9



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

LAWRENCE ALAN FANN (CRD# 2199482)

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 **03/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	09/02/2016
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	09/02/2016

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
IA	RBC CAPITAL MARKETS, LLC	31194	PHOENIX, AZ	03/14/2002 - 09/13/2016
B	RBC CAPITAL MARKETS, LLC	31194	PHOENIX, AZ	07/10/1999 - 09/13/2016
B	PIPER JAFFRAY INC.	665	MINNEAPOLIS, MN	12/13/1994 - 07/06/1999

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	3



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	09/02/2016
B Cboe Exchange, Inc.	General Securities Representative	Approved	09/02/2016
B FINRA	General Securities Representative	Approved	09/02/2016
B NYSE American LLC	General Securities Representative	Approved	09/02/2016
B NYSE Arca, Inc.	General Securities Representative	Approved	09/02/2016
B NYSE Texas, Inc.	General Securities Representative	Approved	08/03/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	09/02/2016
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/02/2016
B Nasdaq Stock Market	General Securities Representative	Approved	09/02/2016
B New York Stock Exchange	General Securities Representative	Approved	09/02/2016
B Alabama	Agent	Approved	03/07/2025
B Alaska	Agent	Approved	09/02/2016
B Arizona	Agent	Approved	09/02/2016



Qualifications

Regulator	Registration	Status	Date
B Arkansas	Agent	Approved	03/11/2025
B California	Agent	Approved	09/02/2016
IA California	Investment Adviser Representative	Approved	09/02/2016
B Colorado	Agent	Approved	09/02/2016
B Connecticut	Agent	Approved	09/02/2016
B Delaware	Agent	Approved	03/07/2025
B District of Columbia	Agent	Approved	09/02/2016
B Florida	Agent	Approved	09/02/2016
B Georgia	Agent	Approved	03/10/2025
B Idaho	Agent	Approved	03/07/2025
B Illinois	Agent	Approved	09/02/2016
B Indiana	Agent	Approved	03/07/2025
B Iowa	Agent	Approved	03/07/2025
B Kansas	Agent	Approved	03/07/2025
B Kentucky	Agent	Approved	03/07/2025
B Louisiana	Agent	Approved	03/07/2025
B Maine	Agent	Approved	03/07/2025
B Maryland	Agent	Approved	09/02/2016
B Michigan	Agent	Approved	09/02/2016



Qualifications

Regulator	Registration	Status	Date
B Minnesota	Agent	Approved	05/17/2021
B Missouri	Agent	Approved	09/02/2016
B Montana	Agent	Approved	09/25/2024
B Nevada	Agent	Approved	09/02/2016
B New Hampshire	Agent	Approved	06/02/2021
B New Jersey	Agent	Approved	05/16/2018
B New Mexico	Agent	Approved	09/02/2016
B New York	Agent	Approved	09/02/2016
B North Carolina	Agent	Approved	08/07/2020
B Ohio	Agent	Approved	03/10/2025
B Oklahoma	Agent	Approved	10/31/2024
B Oregon	Agent	Approved	09/02/2016
B Pennsylvania	Agent	Approved	11/21/2018
B Rhode Island	Agent	Approved	03/10/2025
B South Carolina	Agent	Approved	03/07/2025
B South Dakota	Agent	Approved	03/07/2025
B Tennessee	Agent	Approved	03/10/2025
B Texas	Agent	Approved	09/02/2016
IA Texas	Investment Adviser Representative	Restricted	09/02/2016



Qualifications

Regulator	Registration	Status	Date
		Approval	
B Vermont	Agent	Approved	03/07/2025
B Virginia	Agent	Approved	03/11/2025
B West Virginia	Agent	Approved	09/02/2016
B Wisconsin	Agent	Approved	04/20/2022

Branch Office Locations

UBS FINANCIAL SERVICES INC.
 2575 East Camelback Road
 SUITE 900
 PHOENIX, AZ 85016

UBS FINANCIAL SERVICES INC.
 Scottsdale, AZ

UBS FINANCIAL SERVICES INC.
 Coronado, CA

UBS FINANCIAL SERVICES INC.
 Coronado, CA



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
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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
 Futures Managed Funds Examination (S31)	Series 31	04/10/2009
 General Securities Representative Examination (S7)	Series 7	01/10/1992

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	12/01/1993
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/07/1992

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
IA	03/14/2002 - 09/13/2016	RBC CAPITAL MARKETS, LLC	CRD# 31194	PHOENIX, AZ
B	07/10/1999 - 09/13/2016	RBC CAPITAL MARKETS, LLC	CRD# 31194	PHOENIX, AZ
B	12/13/1994 - 07/06/1999	PIPER JAFFRAY INC.	CRD# 665	MINNEAPOLIS, MN
B	01/21/1992 - 12/21/1994	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	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
09/2016 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	PHOENIX, AZ, United States
03/2008 - 09/2016	RBC CAPITAL MARKETS CORPORATION	FINANCIAL CONSULTANT	Y	PHOENIX, AZ, 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.

Name of Entity: Canadian Arizona Business Council
 Address of Business: 2425 East Camelback Road Phoenix AZ 85016
 Business Description: Create business relationships with RBC Wealth management Services
 Projected Start Date - 03/06/2009
 Projected End Date -No anticipated end date
 Business is not investment related
 Capacity - Board of Directors
 Duties Performed - Attend board meetings and special events that are geared to business development.
 5 hours devoted to this OBA per month
 0 hours devoted during security trading hours per month

Name of Entity: Phoenix Children's Hospital
 Address of Business: 1920 East Cambridge Avenue Suite 200 Phoenix AZ 85006
 Business Description: Children's Hospital
 Projected Start Date - 11/01/2006
 Projected End Date -No anticipated end date
 Business is not investment related
 Capacity - Committee/ Council Member (not associated with the Board of Directors)



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Duties Performed - Review PCH Gift Acceptance Policy; make recommendations to Board of Directors; member of Planned Giving Advisory Committee

5 hours devoted to this OBA per month

0 hours devoted during security trading hours per month

Name of Entity: Lauemi Investments LP

Address of Business: 10876 East Gold DUst Avenue Scottsdale AZ 85259

Business Description: Investments

Projected Start Date - 12/27/2000

Projected End Date -No anticipated end date

Business is not investment related

Capacity - Active Owner

Duties Performed - Management, Administration

10 hours devoted to this OBA per month

10 hours devoted during security trading hours per month

L.A.F. Investments L.L.C. / 10876 East Gold Dust Avenue Scottsdale,AZ 85259 / Other/ Other N/A. / Used as payroll pass thru company for part time help when worked at RBC WM. / Sole proprietorship / / Pay monthly bank checking fee expense. / Start Date 11/06/2006/ L.L.C. /

NAME OF OTHER BUSINESS:Bernard Street Investments LLC / INVESTMENT RELATED?: N / ADDRESS: 10876 East Gold Dust Avenue, ScottsdaleAZ / NATURE OF THE BUSINESS: "Bernard Street Investments LLC,Lawrence Fann, Managing Member, 10876 East Gold Dust Avenue Scottsdale, AZ 85259-4839.This account has been open at UBS since September 2016, as my Mom & Dad's LLC. Both passed away recently, my Dad, on November 7th, 2021, and my Mom, on July 19th, 2022.My Dad was the Managing Partner until his death, when my Mom became the Managing Partner. My Mom resigned as the Manager in May 2022 and gave me notice as the Successor Manager as the currently serving Trustee of the Floyd D. Fann Family Trust, dated September 29, 1995, as amended. There are no outside activities and this account will be closed down by January 2023. I have made no investments as the Successor Manager.I have the ability to buy and sell securities, and transfer money, or anything that is necessary to wind down the account as it is owned by my parents trust, and needs to have its securities transferred into my parents separate irrevocable trusts to settle their estates. / POSITION:"Successor Manager, I did not create the entity. I inherited the responsibility as my parents requested which is to wind down the entity and settle their estate." / DUTIES:"Transferring securities out of the account into my Dad and Mom's separate irrevocable trusts. Transferring a line of credit to my Mom and Dad's separate irrevocable trusts. The entity will dissolve or end as soon as the transfers are completed, expecting by January 2023." / START DATE: 5/23/2022 .



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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RBC DAIN RAUSCHER INC.
Allegations:	CLIENTS SEEK REIMBURSEMENT OF SOME OF THEIR LOSSES AND COMMISSIONS RELATING TO THE ALLEGED MISHANDLING OF THEIR ACCOUNTS BY FANN OVER THE LAST EIGHT YEARS. SPECIFIC DAMAGES UNSPECIFIED BUT BELIEVED TO BE IN EXCESS OF \$5,000.00.
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	EQUITY - OTC
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	06/21/2007
Complaint Pending?	No
Status:	Denied
Status Date:	01/03/2008

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 3

Reporting Source:	Individual
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Employing firm when activities occurred which led to the complaint: DAIN RAUSCHER INCORPORATED

Allegations: CLIENT VERVALLY ALLEGED MR. FANN'S RECOMMENDATIONS WERE UNSUITABLE.

Product Type: Equity - OTC

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 01/24/2001

Complaint Pending? No

Status: Settled

Status Date: 04/30/2001

Settlement Amount: \$55,000.00

Individual Contribution Amount: \$33,000.00

Broker Statement WHEN THIS CLIENT TRANSFERRED HER ACCOUNT TO ME, THE ONLY POSITION IN THE ACCOUNT WAS A TECHNOLOGY STOCK. HER ACCOUNT OBJECTIVE WAS GROWTH AND SHE WANTED DIVERSIFICATION. MANY OF HER TRADES WERE UNSOLICITED. I ALWAYS SPOKE WITH HER BEFORE ANY PURCHASES AND SALES. SHE CALLED DAILY FOR ACCOUNT UPDATES AND WAS ACUTELY AWARE OF THE MARKET. IN MY VIEW, HER COMPLAINT WAS MOTIVATED BY THE MARKET DECLINE AND NOT ANY RECOMMENDATION SHE WAS GIVEN. ALL THE POSITIONS IN HER ACCOUNT WERE CONSISTANT WITH HER STATED OBJECTIVES AND GOALS.

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PIPER JAFFRAY, INC.

Allegations:

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/19/1998

Complaint Pending? No

Status: Denied

Status Date: 04/06/1999

Settlement Amount:

Individual Contribution Amount:



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PIPER JAFFRAY, INC.

Allegations: CLIENT ALLEGES UNSUITABILITY OF INVESTMENTS IN BOT IRA AND SINGLE ACCOUNTS IN 1998 DAMAGES SOUGHT IN EXCESS OF \$5,000.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/19/1998

Complaint Pending? No

Status: Denied

Status Date: 04/06/1999

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FILE WAS CLOSED ON 4/6/99 ADMINISTRATIVELY BECAUSE THE COMPLAINT WAS DENIED AND NO FURTHER ACTION WAS TAKEN BY THE CLIENT.
NOT PROVIDED



End of Report

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