



IAPD Report

LANE OREN STRUMLAUF

CRD# 2242337

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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

LANE OREN STRUMLAUF (CRD# 2242337)

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 **03/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	08/24/2007
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	08/27/2007

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **53** 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	CITIGROUP GLOBAL MARKETS INC.	7059	PLANTATION, FL	10/10/2000 - 09/06/2007
IA	CITIGROUP GLOBAL MARKETS INC.	7059	PLANTATION, FL	10/10/2000 - 09/06/2007
B	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY	02/24/1995 - 11/02/2000

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



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 **53** 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
	BOX Exchange LLC	General Securities Principal	Approved	12/21/2018
	BOX Exchange LLC	General Securities Sales Supervisor	Approved	05/18/2020
	Cboe Exchange, Inc.	General Securities Representative	Approved	08/24/2007
	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	08/24/2007
	Cboe Exchange, Inc.	General Securities Principal	Approved	03/19/2026
	FINRA	General Securities Representative	Approved	08/24/2007
	FINRA	General Securities Sales Supervisor	Approved	08/24/2007
	FINRA	General Securities Principal	Approved	12/26/2018
	NYSE American LLC	General Securities Representative	Approved	08/24/2007
	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
	NYSE American LLC	General Securities Principal	Approved	12/21/2018
	NYSE Arca, Inc.	General Securities Representative	Approved	08/24/2007



Qualifications

Regulator	Registration	Status	Date
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	08/24/2007
B NYSE Arca, Inc.	General Securities Principal	Approved	12/21/2018
B NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B NYSE Texas, Inc.	General Securities Principal	Approved	03/19/2026
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	03/19/2026
B Nasdaq ISE, LLC	General Securities Representative	Approved	01/25/2008
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq ISE, LLC	General Securities Principal	Approved	12/21/2018
B Nasdaq PHLX LLC	General Securities Representative	Approved	08/24/2007
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	08/24/2007
B Nasdaq PHLX LLC	General Securities Principal	Approved	12/21/2018
B Nasdaq Stock Market	General Securities Representative	Approved	08/24/2007
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	08/24/2007
B Nasdaq Stock Market	General Securities Principal	Approved	12/21/2018
B New York Stock Exchange	General Securities Representative	Approved	08/24/2007
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B New York Stock Exchange	General Securities Principal	Approved	12/21/2018
B Alabama	Agent	Approved	10/24/2008
B Alaska	Agent	Approved	10/27/2008



Qualifications

	Regulator	Registration	Status	Date
B	Arizona	Agent	Approved	11/19/2008
B	Arkansas	Agent	Approved	10/24/2008
B	California	Agent	Approved	08/24/2007
IA	California	Investment Adviser Representative	Approved	03/12/2014
B	Colorado	Agent	Approved	06/30/2016
B	Connecticut	Agent	Approved	06/29/2016
B	Delaware	Agent	Approved	07/13/2016
B	District of Columbia	Agent	Approved	06/29/2016
B	Florida	Agent	Approved	08/24/2007
IA	Florida	Investment Adviser Representative	Approved	08/27/2007
B	Georgia	Agent	Approved	07/01/2016
B	Hawaii	Agent	Approved	06/29/2016
B	Idaho	Agent	Approved	10/23/2008
B	Illinois	Agent	Approved	06/29/2016
B	Indiana	Agent	Approved	06/29/2016
B	Iowa	Agent	Approved	06/29/2016
B	Kansas	Agent	Approved	07/19/2016
B	Kentucky	Agent	Approved	06/29/2016
B	Louisiana	Agent	Approved	07/01/2016



Qualifications

	Regulator	Registration	Status	Date
B	Maine	Agent	Approved	06/30/2016
B	Maryland	Agent	Approved	07/01/2016
B	Massachusetts	Agent	Approved	07/11/2016
B	Michigan	Agent	Approved	07/01/2016
B	Minnesota	Agent	Approved	07/07/2016
B	Mississippi	Agent	Approved	07/13/2016
B	Missouri	Agent	Approved	06/30/2016
B	Montana	Agent	Approved	10/24/2008
B	Nebraska	Agent	Approved	06/30/2016
B	Nevada	Agent	Approved	11/04/2008
B	New Hampshire	Agent	Approved	06/29/2016
B	New Jersey	Agent	Approved	06/29/2016
B	New Mexico	Agent	Approved	06/30/2016
B	New York	Agent	Approved	06/30/2016
B	North Carolina	Agent	Approved	06/30/2016
B	North Dakota	Agent	Approved	07/05/2016
B	Ohio	Agent	Approved	06/29/2016
B	Oklahoma	Agent	Approved	08/27/2007
IA	Oklahoma	Investment Adviser Representative	Approved	08/28/2007



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	10/23/2008
B Pennsylvania	Agent	Approved	06/30/2016
B Puerto Rico	Agent	Approved	07/01/2016
B Rhode Island	Agent	Approved	07/05/2016
B South Carolina	Agent	Approved	06/30/2016
B South Dakota	Agent	Approved	07/05/2016
B Tennessee	Agent	Approved	06/30/2016
B Texas	Agent	Approved	07/14/2016
B Utah	Agent	Approved	11/04/2008
B Vermont	Agent	Approved	07/07/2016
B Virgin Islands	Agent	Approved	07/06/2016
B Virginia	Agent	Approved	06/29/2016
B Washington	Agent	Approved	10/27/2008
B West Virginia	Agent	Approved	07/06/2016
B Wisconsin	Agent	Approved	06/30/2016
B Wyoming	Agent	Approved	10/24/2008

Branch Office Locations

UBS FINANCIAL SERVICES INC.
822 North Highway A1A Suite 211
PONTE VEDRA BEACH, FL 32082

UBS FINANCIAL SERVICES INC.
101 East Kennedy Boulevard, Suite 1800
TAMPA, FL 33602



Qualifications

UBS FINANCIAL SERVICES INC.

101 East Kennedy Boulevard, Suite 1800
TAMPA, FL 33602

UBS FINANCIAL SERVICES INC.

Neptune Beach, FL

UBS FINANCIAL SERVICES INC.

100 S.E. 2ND STREET
25th
MIAMI, FL 33131

UBS FINANCIAL SERVICES INC.

1819 Main Street Suite 900
Sarasota, FL 34236

UBS FINANCIAL SERVICES INC.

822 North Highway A1A
SUITE 211
PONTE VEDRA, FL 32082

UBS FINANCIAL SERVICES INC.

1800 NORTH MILITARY TRAIL
SUITE 300
BOCA RATON, FL 33431



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 4 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 Principal Examination (S24)	Series 24	12/21/2018
	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	11/03/1995

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	National Commodity Futures Examination (S3)	Series 3	05/16/1998
	General Securities Representative Examination (S7)	Series 7	06/09/1992

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	07/07/1992
	Uniform Securities Agent State Law Examination (S63)	Series 63	06/19/1992



PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	10/10/2000 - 09/06/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PLANTATION, FL
IA	10/10/2000 - 09/06/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PLANTATION, FL
B	02/24/1995 - 11/02/2000	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	05/11/1994 - 03/24/1995	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	07/31/1993 - 03/08/1994	SMITH BARNEY SHEARSON INC.	CRD# 7059	NEW YORK, NY
B	06/11/1992 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	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
03/2014 - Present	UBS FINANCIAL SERVICES INC	REGIONAL DIRECTOR	Y	FT. LAUDERDALE, FL, 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)Selva Preserve II Owners Association, Inc.,United States,Association (e.g. Trade or Industry, Sport),Public services,Small HOA consisting of 5 homes, 2 of which are completed and occupied while the other 3 are under construction.,Treasurer of the HOA responsible for creating budgets, collecting periodic dues, and paying bills for the common areas of the association.,Start date 11/5/2025



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

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
Court Details:	COURT 83-27115-2
Charge Date:	11/04/1983
Charge Details:	AGGRAVATED ASSAULT CRIMINAL MISCHIEF
Felony?	
Current Status:	Final
Status Date:	01/10/1984
Disposition Details:	N/A
Broker Statement	SEE ATTACHED



End of Report

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