



IAPD Report

CHRISTOPHER JOSEPH DOHERTY

CRD# 2386939

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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 JOSEPH DOHERTY (CRD# 2386939)

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 **05/01/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	05/17/2013
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	06/13/2013

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **31** 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	INTERNATIONAL STRATEGY & INVESTMENT GROUP INC.	28195	NEW YORK, NY	02/04/2008 - 02/07/2011
B	CF GLOBAL TRADING, LLC	104245	NEW YORK, NY	01/08/2007 - 12/31/2007
B	THOMAS WEISEL PARTNERS LLC	46237	NEW YORK, NY	04/11/2005 - 12/19/2006

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



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 **31** 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	05/17/2013
B Cboe Exchange, Inc.	General Securities Representative	Approved	05/17/2013
B FINRA	General Securities Representative	Approved	05/17/2013
B NYSE American LLC	General Securities Representative	Approved	05/17/2013
B NYSE Arca, Inc.	General Securities Representative	Approved	05/17/2013
B NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	05/17/2013
B Nasdaq PHLX LLC	General Securities Representative	Approved	05/17/2013
B Nasdaq Stock Market	General Securities Representative	Approved	05/17/2013
B New York Stock Exchange	General Securities Representative	Approved	05/17/2013
B Alabama	Agent	Approved	03/04/2026
B Arizona	Agent	Approved	03/13/2026
B California	Agent	Approved	03/04/2026



Qualifications

Regulator	Registration	Status	Date
B Colorado	Agent	Approved	03/05/2026
B Connecticut	Agent	Approved	05/20/2013
IA Connecticut	Investment Adviser Representative	Approved	06/13/2013
B Delaware	Agent	Approved	03/04/2026
B District of Columbia	Agent	Approved	03/06/2026
B Florida	Agent	Approved	06/18/2013
B Georgia	Agent	Approved	03/05/2026
B Illinois	Agent	Approved	06/18/2013
B Iowa	Agent	Approved	03/04/2026
B Kansas	Agent	Approved	05/01/2026
B Kentucky	Agent	Approved	03/05/2026
B Louisiana	Agent	Approved	03/04/2026
B Maryland	Agent	Approved	05/08/2020
B Massachusetts	Agent	Approved	10/02/2013
B Michigan	Agent	Approved	09/29/2020
B Minnesota	Agent	Approved	03/05/2026
B Nevada	Agent	Approved	03/05/2026
B New Jersey	Agent	Approved	05/17/2013
B New Mexico	Agent	Approved	03/04/2026



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	06/18/2013
B North Carolina	Agent	Approved	03/16/2022
IA North Carolina	Investment Adviser Representative	Approved	09/04/2024
B Ohio	Agent	Approved	03/04/2026
B Pennsylvania	Agent	Approved	05/05/2020
B South Carolina	Agent	Approved	05/14/2020
IA South Carolina	Investment Adviser Representative	Approved	08/29/2024
B Tennessee	Agent	Approved	06/06/2024
B Texas	Agent	Approved	06/18/2013
IA Texas	Investment Adviser Representative	Approved	12/09/2013
B Vermont	Agent	Approved	03/10/2026
B Wisconsin	Agent	Approved	03/04/2026
B Wyoming	Agent	Approved	03/04/2026

Branch Office Locations

UBS FINANCIAL SERVICES INC.
941 Houston Northcutt Blvd Suite 100
Mt Pleasant, SC 29464



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
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 General Securities Representative Examination (S7)	Series 7	05/16/2013
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 Limited Representative-Equity Trader Exam (S55)	Series 55	02/15/2005
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State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	06/12/2013
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 Uniform Securities Agent State Law Examination (S63)	Series 63	10/26/2004
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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	02/04/2008 - 02/07/2011	INTERNATIONAL STRATEGY & INVESTMENT GROUP INC.	CRD# 28195	NEW YORK, NY
B	01/08/2007 - 12/31/2007	CF GLOBAL TRADING, LLC	CRD# 104245	NEW YORK, NY
B	04/11/2005 - 12/19/2006	THOMAS WEISEL PARTNERS LLC	CRD# 46237	NEW YORK, NY
IA	07/27/2004 - 03/24/2005	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	NEW YORK, NY
B	11/08/1993 - 03/24/2005	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
04/2013 - Present	UBS	FINANCIAL ADVISOR	Y	STAMFORD, CT, 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

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:	Individual
Regulatory Action Initiated By:	New York State Department of Financial Services
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	12/29/2022
Docket/Case Number:	2022-0199-S
Employing firm when activity occurred which led to the regulatory action:	UBS Financial Services, Inc.
Product Type:	Insurance
Allegations:	Respondent admits that: (a) he violated Section 2110(j) of the Insurance Law in that he failed to report to the Superintendent within 30 days of the initial pretrial hearing date, in Superior Court, State of Connecticut , on August 23, 2021, that Respondent was the subject of a criminal prosecution; and (b) Respondent demonstrated incompetence within the meaning of Section 2110(a)(4) of the Insurance Law in that he failed to timely respond to Departmental Investigatory letters dated February 10, 2022, March 8, 2022, and June 13, 2022, and thereby hampered and impeded the Department's investigation.
Current Status:	Final
Resolution:	Stipulation and Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/29/2022
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$2,000.00
Portion Levied against individual:	\$2,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



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:	SUPERIOR COURT
Location of Court:	STAMFORD, STATE OF CONNECTICUT
Docket/Case #:	CR21-24S099-S
Charge Date:	08/23/2021
Charge(s) 1 of 2	
Formal Charge(s)/Description:	FA appeared in Connecticut State Superior Court on August 23, 2021, based on the filing of an Information, alleging one (1) count of robbery 3rd degree under Connecticut Statute 53A-136 in connection with an incident between FA and an Uber driver occurring on July 30, 2021.
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	N/A
Disposition of charge:	FA accepted 10/26/21 by Court into Diversionary Program without any plea under Section 54-56e, return date of 10/24/23.
Charge(s) 2 of 2	
Formal Charge(s)/Description:	FA appeared in Connecticut State Superior Court on August 23, 2021, based on the filing of an Information, alleging one (1) count of intimidation 2nd degree under Connecticut Statute 53a-181k, in connection with an incident between FA and an Uber driver occurring on July 30, 2021.
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	N/A
Disposition of charge:	FA accepted 10/26/21 by Court into Diversionary Program without any plea under Section 54-56e, return date of 10/24/23.
Current Status:	Final
Status Date:	10/27/2023
Disposition Date:	10/27/2023
Sentence/Penalty:	FA successfully completed court assigned diversionary program. As a result, on 10/27/23, the court dismissed all pending charges.



End of Report

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