



IAPD Report

HOWARD LOURIA BLUM JR

CRD# 24138

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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

HOWARD LOURIA BLUM JR (CRD# 24138)

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 **02/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	01/27/1998
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	03/05/2013

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **25** 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	LADENBURG, THALMANN & CO., INC.	505	NEW YORK, NY	09/12/1972 - 01/23/1998

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



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 **25** 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 Principal	Approved	05/16/2012
	BOX Exchange LLC	General Securities Representative	Approved	05/16/2012
	Cboe Exchange, Inc.	General Securities Representative	Approved	01/27/1998
	Cboe Exchange, Inc.	General Securities Principal	Approved	02/24/2026
	FINRA	General Securities Principal	Approved	01/27/1998
	FINRA	General Securities Representative	Approved	01/27/1998
	NYSE American LLC	General Securities Representative	Approved	02/11/1998
	NYSE American LLC	General Securities Principal	Approved	03/19/2008
	NYSE Arca, Inc.	General Securities Representative	Approved	01/27/1998
	NYSE Arca, Inc.	General Securities Principal	Approved	09/01/2006
	NYSE Texas, Inc.	General Securities Representative	Approved	07/13/2022
	NYSE Texas, Inc.	General Securities Principal	Approved	02/24/2026
	Nasdaq ISE, LLC	General Securities Representative	Approved	01/23/2008



Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq ISE, LLC	General Securities Principal	Approved	08/26/2011
B	Nasdaq PHLX LLC	General Securities Representative	Approved	01/27/1998
B	Nasdaq PHLX LLC	General Securities Principal	Approved	08/26/2011
B	Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	01/28/1998
B	New York Stock Exchange	General Securities Principal	Approved	06/26/2010
B	Arizona	Agent	Approved	01/05/2011
B	California	Agent	Approved	01/27/1998
B	Colorado	Agent	Approved	12/13/2001
B	Connecticut	Agent	Approved	02/03/1998
IA	Connecticut	Investment Adviser Representative	Approved	10/10/2023
B	Delaware	Agent	Approved	06/05/2014
B	District of Columbia	Agent	Approved	04/09/2010
B	Florida	Agent	Approved	02/05/1998
IA	Florida	Investment Adviser Representative	Approved	03/05/2013
B	Georgia	Agent	Approved	07/10/2017
B	Illinois	Agent	Approved	07/01/2011
B	Indiana	Agent	Approved	11/26/2012



Qualifications

	Regulator	Registration	Status	Date
B	Maine	Agent	Approved	01/27/1998
B	Maryland	Agent	Approved	01/30/1998
B	Massachusetts	Agent	Approved	01/30/1998
B	Michigan	Agent	Approved	11/19/2019
B	Nevada	Agent	Approved	01/25/2002
B	New Jersey	Agent	Approved	01/27/1998
B	New Mexico	Agent	Approved	11/07/2023
B	New York	Agent	Approved	01/28/1998
IA	New York	Investment Adviser Representative	Approved	10/26/2021
B	North Carolina	Agent	Approved	01/29/1998
B	Ohio	Agent	Approved	01/13/2012
B	Oregon	Agent	Approved	04/01/2015
B	Pennsylvania	Agent	Approved	01/30/1998
B	South Carolina	Agent	Approved	02/06/2017
B	Texas	Agent	Approved	11/29/2012
B	Virginia	Agent	Approved	11/26/2012

Branch Office Locations

UBS FINANCIAL SERVICES INC.
299 PARK AVENUE
8TH, 9TH, & 11TH Floors
NEW YORK, NY 10171

UBS FINANCIAL SERVICES INC.
525 OKEECHOBEE BLVD
SUITE 1500
WEST PALM BEACH, FL 33401



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 2 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	01/02/2023
B	Registered Principal Examination (S40)	Series 40	09/28/1978

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	07/09/2007
B	AMEX Put and Call Exam (PC)	PC	01/04/1994
B	Registered Representative Examination (S1)	Series 1	09/11/1972

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/01/2013
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/22/1990



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	09/12/1972 - 01/23/1998	LADENBURG, THALMANN & CO., INC.	CRD# 505	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
01/1998 - 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.

30 WALL STREET APARTMENT CORPORATION 30 WALL STREET, SOUTHAMPTON,NY 11968, COOPERATIVE APARTMENT BUILDING BOARD MEMBER-ATTEND BOARD MEETINGS TWICE EACH YEAR 1 HOUR PER MONTH EFF: 1-13-09.

2)TRUST CREATED UNDER ARTICLE 4 OF THE STANLEY ROTH JR. GRANTOR TRUST / 55 SYLVAN LANE WESTON,MA 02493 / TRUSTEE / / INDEPENDENT TRUSTEE / START DATE 11/3/2014

3) Name of Organization - SIA, Principal Business Activity - DIRECTOR



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

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: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 07/26/1988

Docket/Case Number: MS-718(A)

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

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 12/14/1989

Sanctions Ordered: Censure
Monetary/Fine \$7,500.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement [TOP] MARKET SURVEILLANCE COMMITTEE COMPLAINT #MS-718(A) FILED 7/26/88, NAMING AS RESPONDENT HOWARD L. BLUM, JR. TWO CAUSES OF



COMPLAINT ALLEGE VIOLATIONS OF ARTICLE III, SECTION 18 OF THE RULES OF FAIR PRACTICE. FIRST CAUSE: ON OR ABOUT 5/8/87, WHILE IN POSSESSION OF MATERIAL NON-PUBLIC INFORMATION, BLUM PURCHASED 1,500 SHARES OF SOUTHBROOK INTERNATIONAL TELEVISION COMPANY Plc (SOUTHBROOK) AT 2 7/8 FOR THE ACCOUNT OF A FRIEND. SECOND CAUSE: ON 5/22/87, BLUM PURCHASED 5,000 SHARES OF SOUTHBROOK AT 3 FOR THE ACCOUNT OF HIS FRIEND. ON OR ABOUT 7/1/87 THE 1,500 AND 5,000 SHARES WERE TENDERED RESULTING IN PROFITS OF \$5,437.50 AND \$17,000 RESPECTIVELY. THE THIRD AND FOURTH CAUSES OF COMPLAINT ALLEGE VIOLATIONS OF ARTICLE III, SECTION 1 CHARGING A CONFLICT OF INTEREST WITH RESPECT TO BLUM'S TRANSACTIONS FOR HIS FRIEND'S ACCOUNT, AS THE FIRM HAD AN INVESTMENT BANKING RELATIONSHIP WITH SOUTHBROOK AT THE TIME OF THE PURCHASES. THE AMENDED COMPLAINT FILED ON 12/12/88 BY THE MARKET SURVEILLANCE COMMITTEE ALLEGES BLUM ERRED BY ACCEPTING ANS PURCHASE FOR HIS FRIEND'S ACCOUNT OF 5,000 SHARES. BLUM FAILED TO OBSERVE HIGH STANDARDS OF COMMERCIAL HONOR AND JUST AND EQUITABLE PRINCIPLES OF TRADE AND VIOLATED ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE. BLUM SUBMITTED A SETTLEMENT OFFER WHICH WAS ACCEPTED BY MARKET SURVEILLANCE COMMITTEE ON 12/14/89 AND BY NATIONAL BUSINESS CONDUCT COMMITTEE ON 1/12/89. UNDER THE OFFER, COMMITTEE FOUND BLUM VIOLATED ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE. BLUM IS CENSURED AND FINED \$7,500. BLUM AGREED TO: 1) STEP DOWN AS HEAD OF LADENBURG, THALMANN'S CORPORATE FINANCE DEPARTMENT; AND 2) PAY \$12,500 TO THE ASSOCIATION FOR THE PURPOSE OF DEVELOPING A FUND TO FURTHER THE EDUCATION OF SECURITIES PROFESSIONALS WITH RESPECT TO BUSINESS AND TRADING PRACTICES. \$7,500 PAID 5/12/89 - DEPOSIT #308. \$12,500 PAID ON 5/12/89.

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Reporting Source:	Individual
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	CENSURE
Date Initiated:	11/26/1988
Docket/Case Number:	MS-718(A)
Employing firm when activity occurred which led to the regulatory action:	LADENBURG THALMANN
Product Type:	No Product
Other Product Type(s):	
Allegations:	VIOLATION OF ARTICLE III SECTION 1 OF THE NASD'S RULES OF FAIR PRACTICE
Current Status:	Final



Resolution:	Consent
Resolution Date:	01/12/1989
Sanctions Ordered:	Censure Monetary/Fine \$7,500.00
Other Sanctions Ordered:	
Sanction Details:	
Broker Statement	SETTLED BY CONSENTING WITHOUT ADMITTING OR DENYING ALLEGATIONS OF A VIOLATION. IMPOSITION OF A CENSURE AND FINE OF \$7,500 ALONG WITH VARIOUS ADDITIONAL UNDERTAKINGS.



End of Report

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