



IAPD Report

LYON LENNY ROTH

CRD# 2456240

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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

LYON LENNY ROTH (CRD# 2456240)

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 **03/15/2023**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|-----------|-----------------------------|-----------|------------------|
| B | UBS FINANCIAL SERVICES INC. | CRD# 8174 | 11/26/2008 |
| IA | UBS FINANCIAL SERVICES INC. | CRD# 8174 | 11/26/2008 |

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **6** 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 | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | 7691 | AVENTURA, FL | 04/13/2005 - 12/02/2008 |
| B | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | 7691 | AVENTURA, FL | 04/08/2005 - 12/02/2008 |
| IA | ALLIANCE CAPITAL MANAGEMENT L P | 108477 | NEW YORK, NY | 10/29/2002 - 04/27/2005 |

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 **6** 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 | 05/16/2012 |
| B Cboe Exchange, Inc. | General Securities Representative | Approved | 11/26/2008 |
| B FINRA | General Securities Representative | Approved | 11/26/2008 |
| B NYSE American LLC | General Securities Representative | Approved | 11/26/2008 |
| B NYSE Arca, Inc. | General Securities Representative | Approved | 11/26/2008 |
| B NYSE Texas, Inc. | General Securities Representative | Approved | 07/20/2022 |
| B Nasdaq ISE, LLC | General Securities Representative | Approved | 11/26/2008 |
| B Nasdaq PHLX LLC | General Securities Representative | Approved | 11/26/2008 |
| B Nasdaq Stock Market | General Securities Representative | Approved | 11/26/2008 |
| B New York Stock Exchange | General Securities Representative | Approved | 11/26/2008 |
| B Arizona | Agent | Approved | 04/11/2012 |
| B Florida | Agent | Approved | 11/26/2008 |
| IA Florida | Investment Adviser Representative | Approved | 12/04/2008 |



Qualifications

| Regulator | Registration | Status | Date |
|---------------|-----------------------------------|----------|------------|
| B Illinois | Agent | Approved | 05/20/2009 |
| B New York | Agent | Approved | 11/26/2008 |
| B Puerto Rico | Agent | Approved | 03/28/2023 |
| IA Texas | Investment Adviser Representative | Approved | 11/26/2008 |

Branch Office Locations

UBS FINANCIAL SERVICES INC.
1010 S. Federal Highway Suite 2601
Hallandale Beach, FL 33009



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 3 state securities law exams.

Principal/Supervisory Exams

| Exam | Category | Date |
|--------------------------|----------|------|
| No information reported. | | |

General Industry/Product Exams

| Exam | Category | Date |
|--|-----------|------------|
|  Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
|  Futures Managed Funds Examination (S31) | Series 31 | 10/21/2002 |
|  General Securities Representative Examination (S7) | Series 7 | 10/14/2002 |

State Securities Law Exams

| Exam | Category | Date |
|---|-----------|------------|
|  Uniform Investment Adviser Law Examination (S65) | Series 65 | 09/28/2005 |
|   Uniform Combined State Law Examination (S66) | Series 66 | 10/28/2002 |
|  Uniform Securities Agent State Law Examination (S63) | Series 63 | 05/03/1994 |

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 | 04/13/2005 - 12/02/2008 | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | CRD# 7691 | AVENTURA, FL |
| B | 04/08/2005 - 12/02/2008 | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | CRD# 7691 | AVENTURA, FL |
| IA | 10/29/2002 - 04/27/2005 | ALLIANCE CAPITAL MANAGEMENT L P | CRD# 108477 | NEW YORK, NY |
| B | 10/15/2002 - 04/27/2005 | SANFORD C. BERNSTEIN & CO., LLC | CRD# 104474 | NASHVILLE, TN |
| B | 04/07/1994 - 03/15/1995 | CSFP CAPITAL, INC. | CRD# 31796 | 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 |
|-------------------|----------------------------|-------------------|--------------------|-----------------------------|
| 11/2008 - Present | UBS FINANCIAL SERVICES INC | FINANCIAL ADVISOR | Y | AVENTURA, 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) YAROTEK / 18090 COLLINS SUNNY ISLES,FLORIDA 33160 / PARTNERSHIP/ OTHER SOLAR / SOLAR PANELS / 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 / PARTICIPATE IN PERIODIC STRATEGY DECISIONS / START DATE 03/03/2011. ///
- 2) 5050 Avenida Encinas Carlsbad, CA 92008 / Company/ Engineering (Aerospace, Machinery & Equipment, Precision Engineering, Watches & Jewellery) / Water solutions / 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 / I would assist help the company explore business development potential in Florida / Start Date 3/1/2017 / I expect to work a few hours every few weeks. ///
- 3) NAME OF OTHER BUSINESS: Watergen / INVESTMENT RELATED?: Yes / ADDRESS: 5445 Center Drive, Charlotte, NC / NATURE OF THE BUSINESS: Atmospheric Water Generation / POSITION: Advisor or advisory group member if advice given may influence an officer/board / DUTIES: I will help the team identify, schools, hospitals, emergency management platforms and other not-for-profits that could benefit from the products' ability to produce water from humidity./ START DATE: 10-03-2022 / HOURS DEVOTED TO BUSINESS: NA
- 4) IDE Americas/ Category - Company/ Principal Business Activity-Water solutions/ Role - Advisor or advisory group member if advice given may influence an officer/board/ Duty- I would assist help the company explore business development potential in



Registration & Employment History

OTHER BUSINESS ACTIVITIES

Floirda./ Comp- Yes



End of Report

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