



## IAPD Report

# AMIT PRAVIN TRIVEDI

CRD# 2675567

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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

### AMIT PRAVIN TRIVEDI (CRD# 2675567)

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 **12/18/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	UBS FINANCIAL SERVICES INC.	CRD# 8174	03/03/2016
<b>IA</b>	UBS FINANCIAL SERVICES INC.	CRD# 8174	03/03/2016

### QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **27** 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>B</b>	EK RILEY INVESTMENTS, LLC	121003	SEATTLE, WA	08/28/2009 - 11/13/2015
<b>IA</b>	EK RILEY INVESTMENTS, LLC	121003	SEATTLE, WA	08/24/2009 - 11/13/2015
<b>IA</b>	EK RILEY ADVISORS, LLC	124573	SEATTLE, WA	10/05/2006 - 08/28/2007

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 **27** 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>B</b>	BOX Exchange LLC	General Securities Representative	Approved	03/03/2016
<b>B</b>	Cboe Exchange, Inc.	General Securities Representative	Approved	03/03/2016
<b>B</b>	FINRA	General Securities Representative	Approved	03/03/2016
<b>B</b>	NYSE American LLC	General Securities Representative	Approved	03/03/2016
<b>B</b>	NYSE Arca, Inc.	General Securities Representative	Approved	03/03/2016
<b>B</b>	NYSE Texas, Inc.	General Securities Representative	Approved	07/13/2022
<b>B</b>	Nasdaq ISE, LLC	General Securities Representative	Approved	03/03/2016
<b>B</b>	Nasdaq PHLX LLC	General Securities Representative	Approved	03/03/2016
<b>B</b>	Nasdaq Stock Market	General Securities Representative	Approved	03/03/2016
<b>B</b>	New York Stock Exchange	General Securities Representative	Approved	03/03/2016
<b>B</b>	Alaska	Agent	Approved	09/24/2024
<b>B</b>	Arizona	Agent	Approved	07/03/2019
<b>B</b>	California	Agent	Approved	09/14/2018



## Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	06/27/2016
B	Florida	Agent	Approved	09/24/2024
B	Georgia	Agent	Approved	09/24/2024
B	Hawaii	Agent	Approved	09/24/2024
B	Idaho	Agent	Approved	11/19/2019
B	Illinois	Agent	Approved	11/19/2019
B	Indiana	Agent	Approved	09/24/2024
B	Iowa	Agent	Approved	09/24/2024
B	Kansas	Agent	Approved	09/24/2024
B	Maine	Agent	Approved	09/24/2024
B	Massachusetts	Agent	Approved	12/12/2019
B	Michigan	Agent	Approved	09/24/2024
B	Minnesota	Agent	Approved	09/24/2024
B	Mississippi	Agent	Approved	09/24/2024
B	Montana	Agent	Approved	09/24/2024
B	Nevada	Agent	Approved	09/24/2024
B	New York	Agent	Approved	11/19/2019
B	North Carolina	Agent	Approved	04/17/2024
B	Ohio	Agent	Approved	10/29/2024



## Qualifications

	Regulator	Registration	Status	Date
B	Oregon	Agent	Approved	11/19/2019
B	South Dakota	Agent	Approved	09/24/2024
B	Texas	Agent	Approved	09/30/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	03/03/2020
B	Utah	Agent	Approved	09/30/2024
B	Washington	Agent	Approved	03/03/2016
IA	Washington	Investment Adviser Representative	Approved	03/03/2016

## Branch Office Locations

### UBS FINANCIAL SERVICES INC.

225 108th Avenue NE  
Suite 800  
Bellevue, WA 98004



## 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 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	08/09/2001

#### General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	01/27/1997

#### State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/04/2006
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/07/1997



### 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	08/28/2009 - 11/13/2015	EK RILEY INVESTMENTS, LLC	CRD# 121003	SEATTLE, WA
IA	08/24/2009 - 11/13/2015	EK RILEY INVESTMENTS, LLC	CRD# 121003	SEATTLE, WA
IA	10/05/2006 - 08/28/2007	EK RILEY ADVISORS, LLC	CRD# 124573	SEATTLE, WA
B	07/08/2005 - 08/28/2007	EK RILEY INVESTMENTS, LLC	CRD# 121003	SEATTLE, WA
B	01/18/2005 - 07/14/2005	STRAND, ATKINSON, WILLIAMS & YORK, INC.	CRD# 1254	PORTLAND, OR
B	11/21/2003 - 01/03/2005	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	10/16/2000 - 03/04/2003	BONDHUB, INC.	CRD# 104040	SEATTLE, WA
B	01/28/1997 - 09/29/2000	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ

### 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
02/2016 - Present	UBS FINANCIAL SERVICES INC	SENIOR WEALTH STRATEGY ASSOCIATE	Y	BELLEVUE, WA, United States
11/2015 - 02/2016	UNEMPLOYED	UNEMPLOYED	N	SAMMAMISH, WA, United States
08/2009 - 11/2015	E.K. RILEY INVESTMENTS, LLC	INSTITUTIONAL TRADER	Y	SEATTLE, WA, 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.





## End of Report

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