



IAPD Report

JAMES DONNELL KLEIN

CRD# 271405

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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

JAMES DONNELL KLEIN (CRD# 271405)

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 **06/10/2026**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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	UBS FINANCIAL SERVICES INC.	8174	SAN FRANCISCO, CA	07/08/1997 - 06/10/2026

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
Customer Dispute	2



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 not currently registered as an Investment Adviser Representative.



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, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA

Uniform Investment Adviser Law Examination (S65)

Series 65

04/04/1996



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
IA	07/08/1997 - 06/10/2026	UBS FINANCIAL SERVICES INC.	CRD# 8174	SAN FRANCISCO, CA

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
09/2005 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	SAN FRANCISCO, CA, 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
Customer Dispute	2

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: NEW YORK STOCK EXCHANGE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 09/15/1982

Docket/Case Number: 82-88

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

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision

Resolution Date: 09/15/1982

Sanctions Ordered: Censure
Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details:

**Regulator Statement**

NYSE DECISION 82-88, DATED SEPTEMBER 15, 1982. KLEIN, BRANCH OFFICE MANAGER WITH PAINE WEBBER, WAS FOUND BY A HEARING PANEL TO HAVE ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE VIOLATED THE PRINCIPLES OF EXCHANGE RULE 405(2) BY FAILING TO DILIGENTLY SUPERVISE THE ACCOUNTS HANDLED BY A REGISTERED REPRESENTATIVE OF HIS MEMBER FIRM EMPLOYER. HE WAS GIVEN A CENSURE AND A \$5,000 FINE BY THE HEARING PANEL, WITH SUCH FINE TO BE DEEMED REMITTED IN VIEW OF THE FINE IN THAT AMOUNT IMPOSED UPON HIM BY HIS MEMBER FIRM ORGANIZATION.

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Reporting Source:

Individual

Regulatory Action Initiated By:

NEW YORK STOCK EXCHANGE

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

09/15/1982

Docket/Case Number:

82-88

Employing firm when activity occurred which led to the regulatory action:**Product Type:****Other Product Type(s):****Allegations:**

NYSE HEARING PANEL FOUND MR. KLEIN TO HAVE ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE VIOLATED THE PRINCIPLES OF EXCHANGE RULE 405(2) BY FAILING TO DILIGENTLY SUPERVISE THE ACCOUNTS HANDLED BY A REGISTERED REPRESENTATIVE OF HIS MEMBER FIRM EMPLOYER.

Current Status:

Final

Resolution:

Decision

Resolution Date:

09/15/1982

Sanctions Ordered:

Censure
Monetary/Fine \$5,000.00

Other Sanctions Ordered:**Sanction Details:**

HE WAS GIVEN A CENSURE AND A \$5,000 FINE BY THE HEARING PANEL, WITH SUCH FINE TO BE DEEMED REMITTED IN VIEW OF THE FINE IN THAT AMOUNT IMPOSED UPON HIM BY HIS MEMBER FIRM ORGANIZATION.

Broker Statement

Not Provided



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS PAINWEBBER INC.
Allegations:	CLIENT ALLEGES MR. KLEIN KNEW THAT THE SECURITIES IN THE ACCOUNT WERE UNSUITABLE. TIME PERIOD SPECIFIED AS OCTOBER 1999- PRESENT.
Product Type:	Equity-OTC
Alleged Damages:	\$950,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/11/2001
Complaint Pending?	No
Status:	Settled
Status Date:	02/11/2002
Settlement Amount:	\$175,507.15
Individual Contribution Amount:	\$0.00
Broker Statement	I WAS NAMED AS THE BRANCH MANAGER IN A CLIENT COMPLAINT AGAINST A BROKER IN AN OFFICE UNDER MY SUPERVISION. THE BROKER WAS TERMINATED AND WE SETTLED WITH THE CLIENT DUE TO THE UNCERTAINTIES AND EXPENSE INVOLVED IN THE ARBITRATION/ CIVIL COURT FORUMS. OUR COUNCIL NEGLECTED TO REQUEST THAT THE PANEL BE RETAINED FOR THE PURPOSE OF SEEKING EXPUNGEMENT OF THIS COMPLAINT FROM MY RECORD UNTIL IT WAS TOO LATE TO DO SO AND THE DEADLINE HAD PASSED. I WAS SHOCKED TO FIND THIS COMPLAINT STILL ON MY RECORD YEARS LATER.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PAINWEBBER
Allegations:	CLIENT ALLEGES FAILURE TO SUPERVISE. CLIENT ALLEGES



"COMPENSATORY DAMAGES IN AN AMOUNT GREATER THAN \$5,000."

Product Type: Other

Other Product Type(s): PRODUCT UNSPECIFIED

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 02/16/2000

Complaint Pending? No

Status: Denied

Status Date: 07/12/2000

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement I DENY ALL ALLEGATIONS OF FAILURE TO SUPERVISE. PAINWEBBER OFFERED TO SETTLE THIS MATTER SOLELY AS BUSINESS DECISION. THE CLIENT HAS NEVER RESPONDED TO THIS SETTLEMENT OFFER.



End of Report

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