IAPD Report

KEVIN PATRICK PORTER

CRD# 2808732

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

KEVIN PATRICK PORTER (CRD# 2808732)

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 **12/16/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	05/13/2005
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	05/13/2005

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **35** 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	CITIGROUP GLOBAL MARKETS INC.	7059	WESTPORT, CT	01/15/1997 - 05/26/2005
B	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY	11/26/1996 - 05/26/2005

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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	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 **35** jurisdiction(s) and 1**0** 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	05/13/2005
B	FINRA	General Securities Representative	Approved	05/13/2005
B	NYSE American LLC	General Securities Representative	Approved	05/13/2005
B	NYSE Arca, Inc.	General Securities Representative	Approved	05/13/2005
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/23/2008
B	Nasdaq PHLX LLC	General Securities Representative	Approved	05/13/2005
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	05/13/2005
B	Arizona	Agent	Approved	06/11/2019
B	California	Agent	Approved	05/13/2005
B	Colorado	Agent	Approved	01/13/2023

Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	05/13/2005
IA	Connecticut	Investment Adviser Representative	Approved	05/13/2005
B	Delaware	Agent	Approved	01/17/2023
B	District of Columbia	Agent	Approved	01/12/2023
B	Florida	Agent	Approved	05/13/2005
B	Georgia	Agent	Approved	05/13/2005
B	Illinois	Agent	Approved	01/23/2023
B	Indiana	Agent	Approved	12/17/2025
B	Kansas	Agent	Approved	01/12/2023
B	Kentucky	Agent	Approved	09/02/2025
B	Maine	Agent	Approved	01/13/2023
B	Maryland	Agent	Approved	10/30/2017
B	Massachusetts	Agent	Approved	05/13/2005
B	Michigan	Agent	Approved	05/13/2005
B	Nevada	Agent	Approved	10/10/2024
B	New Hampshire	Agent	Approved	10/08/2019
B	New Jersey	Agent	Approved	05/13/2005
B	New Mexico	Agent	Approved	01/12/2023
B	New York	Agent	Approved	05/13/2005

Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	06/09/2010
IA	North Carolina	Investment Adviser Representative	Approved	08/28/2025
B	Ohio	Agent	Approved	05/13/2005
B	Oklahoma	Agent	Approved	01/18/2023
B	Oregon	Agent	Approved	10/10/2016
B	Pennsylvania	Agent	Approved	10/06/2005
B	Puerto Rico	Agent	Approved	01/27/2023
B	Rhode Island	Agent	Approved	06/10/2022
B	South Carolina	Agent	Approved	05/17/2022
B	Texas	Agent	Approved	01/23/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	05/19/2008
B	Utah	Agent	Approved	01/12/2023
B	Vermont	Agent	Approved	01/17/2023
B	Virginia	Agent	Approved	01/14/2023
B	Washington	Agent	Approved	01/12/2023
B	Wisconsin	Agent	Approved	01/12/2023

Branch Office Locations

UBS FINANCIAL SERVICES INC.
300 POST ROAD WEST
WESTPORT, CT 06880

UBS FINANCIAL SERVICES INC.
8 Wright Street
WESTPORT, CT 06880-4701

Qualifications

UBS FINANCIAL SERVICES INC.
Chocowinity, NC

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
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	03/27/1997
B	General Securities Representative Examination (S7)	Series 7	11/25/1996

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/09/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/27/1996

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	01/15/1997 - 05/26/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	WESTPORT, CT
B	11/26/1996 - 05/26/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	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
05/2005 - Present	UBS FINACIAL SERVICES INC	FINANCIAL ADVISOR	Y	WESTPORT, 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.

1) CT Sustainable Business Council / 12 Walnut Hill Road Bethel,CT 06801 / Other/ Other Education & Promotion of sustainable business practices in CT / Promotion of sustainable business practices / Member of Board of Directors / / Helping with budget, participating in strategy meetings / Start Date 4/28/16 501(c)3 / very limited once a month ///

2)Kevin Porter// New Bern, Craven /NC 28562/ United States/investment property / Real Estate / Proprietor/owner /collect rent/ Start Date 9/30/2020 ///

3) Clinical Research Consulting, on behalf of Pfizer and BioNtech/ Clinical Research Consulting/ 2080 Bridgeport Ave/ Milford/ CT 06460/ United States/ Covid Vaccine study / Health Care & Pharmaceuticals / pharmaceutical research/ I will be given a vaccine or placebo and will report weekly via an app as to my health/study participant/ Receive compensation?: Yes/ Start Date 9/1/2020 ///

4) Estate of J. C. / investment related?: yes/ Fairfield 06824 US?/ As executor I must perform all of the required duties imposed by the court such as creating an inventory of assets, liabilities, paying creditors, etc./ executor of the estate/ all required duties imposed by law/ start date: 5/1/2021/ time redq during working hours? yes ///

5) C. Article II YPT Trust FBO D. M. C. DTD 12-27-22/Investment Related: No/ Nature of Business: managing the portfolio for the beneficiaries and making distributions as needed/Address: Easton/Fairfield County, CT/ Position/Duties: Manage the assets and make distributions when required/ Start Date: 12/16/2022 ///

6) J. C C. Article II YPT Trust FBO A. P. C. DTD 12-27-22/Investment Related: No/ Nature of Business: managing the asset/Address: Easton/Fairfield/ Position/Duties: Manage the portfolio and make distributions over time as required by the beneficiaries/Start Date:12/14/2022. ///

7) R. H. P. Family Trust; Settle estate; Easton, Connecticut 06612; consolidated assets of estate; Start date: 1/21/2022; Investment-related: Yes

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*.
  - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - o 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*.
  - o 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.
  - o 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.
  - o 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	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:	STATE OF NEW YORK INSURANCE DEPARTMENT
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	
Date Initiated:	10/25/2007
Docket/Case Number:	2007-0188-S
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	VIOLATION OF SECTION 21109(A)(4) OF THE INSURANCE LAW REGARDING LATE PAYMENT OF ADDITIONAL FEE FOR LICENSE RENEWAL APPLICATION.
Current Status:	Final
Resolution:	Stipulation and Consent
Resolution Date:	10/26/2007
Sanctions Ordered:	Monetary/Fine $500.00
Other Sanctions Ordered:	
Sanction Details:	PAYMENT OF THE FINE WAS MADE ON 10/26/2007.

Broker Statement	I AM SIGNING THIS FORM AND ACKNOWLEDGING THAT A FINE WAS ASSESSED FOR LATE PAYMENT OF A REGISTRATION FEE BUT I STRONGLY FEEL THAT IS AN ADMINISTRATIVE ERROR AND SHOULD NOT BE ON MY U4. IN ESSENCE WHAT OCCURRED WAS THAT AN INVOICE FOR AN ADDITIONAL FEE FOR MY NEW YORK INSURANCE LICENSE WAS SENT TO MY FORMER FIRM, SMITH BARNEY, WHILE I WAS IN TRANSITION TO MY NEW FIRM, UBS. SMITH BARNEY NEVER FORWARDED THE INVOICE; THEREFORE, I WAS UNDER THE IMPRESSION THAT I WAS COMPLETELY UP-TO-DATE WITH ALL MY REGISTRATIONS. SUBSEQUENTLY, WE WERE NOTIFIED THAT MY NEW YORK LICENSE WAS SUSPENDED DUE TO THE NON PAYMENT. WE QUICKLY BROUGHT ALL THE PAYMENTS UP TO DATE, PAID A $500 FINE AND REINSTATED MY LICENSE. THIS WHOLE MATTER IS AN EXAMPLE OF BUREAUCRACY AT ITS WORST AND REPRESENTS A WASTE OF TIME FOR EVERYONE INVOLVED.

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SALOMON SMITH BARNEY INC.
Allegations:	CLIENT ALLEGES UNAUTHORIZED TRADING
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$204,000.00

Customer Complaint Information

Date Complaint Received:	07/26/2000
Complaint Pending?	No
Status:	Denied
Status Date:	10/03/2000
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	JOHN DOUGHERTY (212) 783-7822

End of Report

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