



IAPD Report

DENNY B GOFORTH JR

CRD# 3142536

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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

DENNY B GOFORTH JR (CRD# 3142536)

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 **04/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	12/05/2002
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	12/06/2002

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **36** 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 INC.	7691	WASHINGTON, DC	07/05/1999 - 12/10/2002
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	11/11/1998 - 12/10/2002

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
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 **36** 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	12/05/2002
B FINRA	General Securities Representative	Approved	12/05/2002
B NYSE American LLC	General Securities Representative	Approved	12/05/2002
B NYSE Arca, Inc.	General Securities Representative	Approved	12/05/2002
B NYSE Texas, Inc.	General Securities Representative	Approved	07/13/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	01/23/2008
B Nasdaq PHLX LLC	General Securities Representative	Approved	12/05/2002
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B New York Stock Exchange	General Securities Representative	Approved	12/05/2002
B Alabama	Agent	Approved	02/02/2022
B Alaska	Agent	Approved	06/12/2020
B Arizona	Agent	Approved	07/28/2005



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	12/05/2002
B Colorado	Agent	Approved	08/02/2019
B Connecticut	Agent	Approved	11/24/2024
B Delaware	Agent	Approved	12/20/2002
B District of Columbia	Agent	Approved	12/05/2002
IA District of Columbia	Investment Adviser Representative	Approved	12/06/2002
B Florida	Agent	Approved	12/05/2002
B Georgia	Agent	Approved	03/09/2007
B Idaho	Agent	Approved	08/04/2023
B Illinois	Agent	Approved	02/25/2003
B Indiana	Agent	Approved	11/04/2022
B Iowa	Agent	Approved	09/12/2005
B Kansas	Agent	Approved	11/16/2011
B Kentucky	Agent	Approved	05/30/2012
B Maryland	Agent	Approved	12/05/2002
IA Maryland	Investment Adviser Representative	Approved	07/03/2023
B Massachusetts	Agent	Approved	06/23/2003
B Michigan	Agent	Approved	03/15/2011
B Minnesota	Agent	Approved	12/05/2002



Qualifications

Regulator	Registration	Status	Date
B Missouri	Agent	Approved	12/05/2002
B Nebraska	Agent	Approved	07/23/2007
B Nevada	Agent	Approved	02/19/2026
B New Jersey	Agent	Approved	12/05/2002
B New York	Agent	Approved	12/05/2002
B North Carolina	Agent	Approved	12/05/2002
B Ohio	Agent	Approved	04/07/2022
B Oregon	Agent	Approved	01/30/2007
B Pennsylvania	Agent	Approved	12/05/2002
B Rhode Island	Agent	Approved	02/18/2026
B South Carolina	Agent	Approved	12/05/2002
B Tennessee	Agent	Approved	10/16/2020
B Texas	Agent	Approved	09/15/2005
IA Texas	Investment Adviser Representative	Restricted Approval	01/04/2006
B Virginia	Agent	Approved	12/05/2002
B Washington	Agent	Approved	02/27/2006
B Wisconsin	Agent	Approved	04/20/2026

Branch Office Locations

UBS FINANCIAL SERVICES INC.



Qualifications

1501 K STREET NW
SUITE 1100
WASHINGTON, DC 20005

UBS FINANCIAL SERVICES INC.
1700 M Street NM
5th Floor
WASHINGTON, DC 20036



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, 2 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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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	11/10/1998
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	12/03/1998
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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	07/05/1999 - 12/10/2002	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	WASHINGTON, DC
B	11/11/1998 - 12/10/2002	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
12/2002 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	WASHINGTON, DC, 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) Name of Business: Our Lady of Good Counsel High School./ Address: 17301 Old Vic Boulevard OlneyMDUnited States 20832./ Investment Related: No./ Nature; "Section 1. Powers and Duties. The Board shall exercise all the powers of the Corporation, except those reserved to the Members, and manage its affairs. It shall do all these things in a manner consistent with the Mission of the Corporation, the Articles of Incorporation, these Bylaws and the laws of the State of Maryland.The Board is responsible for developing, articulating, and supporting the mission and values of the School. The Board shall evaluate proposals and make decisions consistent with the mission as well as assist management in determining the effectiveness of activities and programs in maintaining and strengthening the Catholic identity of the School.The Board shall participate in the selection, monitoring, supervision, support, and evaluation of the President of the Corporation and shall act to advance the best interests of the Corporation consistent with the School's mission."/ Role: Member of Board of directors./ Duty: "1. Appoint and evaluate the chief administrator. In a chief administrator/principal model, approve/endorse the chief administrator's appointment of the principal. Elect secretary and treasurer of the school board. Promote the understanding and implementation of the mission and philosophy of the school in light of Xaverian sponsorship. Establish programs and policies for the governance of the school in conformity with the school's mission and the requirements of the articles of incorporation and the bylaws. In collaboration with the chief administrator, develop the strategic plan for the school and support its implementation. Approve an annual budget that advances the mission, academic and extracurricular programming, and physical plant and seeks to enhance the long-term viability of the school. Determine in consultation with interested parties (Members, local Church authority, etc.) whether to expand, change or cease school operations. These acts are not dissolution of the corporation. Dissolution of the corporation is an action reserved to the Members."/ Start Date: 9/1/2023./ Hours Devoted: N/A.

Name of Business: The Olney Community Baseball Team./ Address; 9801 Washingtonian Boulevard Suite 105 Gaithersburg MD United States 20878./ Investment Related: no./ Nature: All those working with Cropdusters Baseball share passion for the community and baseball, and are each making a concentrated effort to infuse the Olney community into the team's brand and "vibe." The team will host roughly 35 college athletes from all over the nation from June 1st-August 1st each summer, with the help of local host families. The team's goal is to offer a summer baseball experience to delight and entertain the community with more than just baseball, for 20 home games at the developing stadium at their home at the Olney Boys & Girls Club./ Role: Board



Registration & Employment History



OTHER BUSINESS ACTIVITIES

of Directors./ Duty: "- Advisory role: Input on how to improve operations, fundraising, etc.

- Networking with fellow board members and the greater Olney community.
- lead a committee
- handle the booking of food vendors for meals during and after games
- help out with daily operations
- fundraising
- sharing connections"

Start Date: 9/1/2023. Time Required; N.A.



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
Customer Dispute	1

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:	MERRILL LYNCH
Allegations:	CUSTOMER ALLEGES HIS FINANCIAL ADVISOR IMPROPERLY INVESTED HIS ASSETS IN HIGH RISK MUTUAL FUNDS. NO SPECIFIC DAMAGES ALLEGED.
Product Type:	Mutual Fund(s)
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	08/21/2002
Complaint Pending?	No
Status:	Denied
Status Date:	10/03/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FIRM FOUND NO EVIDENCE OF WRONGDOING.



End of Report

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