IAPD Report

KENNETH GEORGE CATANELLA

CRD# 43254

Section Title	Page(s)
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7

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

KENNETH GEORGE CATANELLA (CRD# 43254)

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 **12/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	01/24/1992
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	09/06/2012

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **28** 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	LEHMAN BROTHERS INC.	7506	NEW YORK, NY	04/11/1988 - 12/17/1991
B	E. F. HUTTON & COMPANY INC	235	NEW YORK, NY	07/02/1979 - 04/11/1988
B	SHEARSON, HAMMILL & CO., INCORPORATED	766	NEW YORK, NY	01/02/1973 - 02/04/1974

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	2
Customer Dispute	13

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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 **28** 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	01/24/1992
B	FINRA	General Securities Representative	Approved	01/24/1992
B	NYSE American LLC	General Securities Representative	Approved	02/03/1992
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/11/1992
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/13/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	08/29/2011
B	Nasdaq PHLX LLC	General Securities Representative	Approved	10/16/1993
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	01/27/1992
B	Arizona	Agent	Approved	02/26/1992
B	California	Agent	Approved	01/24/1992
B	Colorado	Agent	Approved	01/27/1992

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Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	08/06/1992
B	Delaware	Agent	Approved	09/24/2002
B	District of Columbia	Agent	Approved	05/20/2002
B	Florida	Agent	Approved	05/07/2002
B	Georgia	Agent	Approved	02/14/1992
B	Illinois	Agent	Approved	02/05/1992
B	Indiana	Agent	Approved	02/13/1992
B	Iowa	Agent	Approved	05/11/2020
B	Kansas	Agent	Approved	11/08/2002
B	Kentucky	Agent	Approved	07/08/2002
B	Louisiana	Agent	Approved	12/16/2024
B	Maryland	Agent	Approved	06/10/2002
B	Michigan	Agent	Approved	02/14/1992
B	Minnesota	Agent	Approved	06/03/2018
B	Nevada	Agent	Approved	02/03/1992
B	New Hampshire	Agent	Approved	11/06/2002
B	New Jersey	Agent	Approved	02/11/1992
IA	New Jersey	Investment Adviser Representative	Approved	10/19/2021
B	New York	Agent	Approved	07/02/1992

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Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	01/12/2012
B	Ohio	Agent	Approved	01/24/1992
B	Oregon	Agent	Approved	01/27/1992
B	Pennsylvania	Agent	Approved	02/05/1992
IA	Pennsylvania	Investment Adviser Representative	Approved	09/06/2012
B	Rhode Island	Agent	Approved	10/22/2002
B	Texas	Agent	Approved	01/28/1992
IA	Texas	Investment Adviser Representative	Restricted Approval	12/12/2023
B	Virginia	Agent	Approved	09/24/2002

Branch Office Locations

UBS FINANCIAL SERVICES INC.
1735 MARKET STREET, 44th Floor
MELLON BANK CTR.
PHILADELPHIA, PA 19103

UBS FINANCIAL SERVICES INC.
Moorestown, NJ

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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, 4 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	AMEX Put and Call Exam (PC)	PC	10/05/1979
B	General Securities Representative Examination (S7)	Series 7	06/16/1979
B	Registered Representative Examination (S1)	Series 1	09/10/1969

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/05/2003
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/20/1979

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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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	04/11/1988 - 12/17/1991	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	07/02/1979 - 04/11/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
B	01/02/1973 - 02/04/1974	SHEARSON, HAMMILL & CO., INCORPORATED	CRD# 766	
B	09/12/1969 - 01/09/1973	PAINE, WEBBER, JACKSON & CURTIS INCORPORATED	CRD# 640	

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
11/2013 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	PHILADELPHIA, PA, 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.

PENNSYLVANIA ACADEMY OF FINE ARTS / 128 N. BROAD STREET PHILADELPHIA PA 19102 / ARTS & EDUCATION / TRUSTEE / MEMBER OF THE MARKETING COMMITTEE / START DATE 07/14/2011.

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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.

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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	2
Customer Dispute	13

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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NEW YORK STOCK EXCHANGE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/30/1969
Docket/Case Number:	Unknown
Employing firm when activity occurred which led to the regulatory action:	PAINEWEBBER
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	09/30/1969
Sanctions Ordered:	Censure
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	9-30-69: NYSE CENSURED RESPONDENT (WHILE WITH PAINE WEBBER)

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FOR
EXERCISING UNAUTHORIZED DISCRETION IN CUSTOMER ACCT.

Reporting Source:	Individual
Regulatory Action Initiated By:	NYSE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/30/1969
Docket/Case Number:	Unknown
Employing firm when activity occurred which led to the regulatory action:	PAINEWEBBER
Product Type:	
Other Product Type(s):	
Allegations:	ALLEGED EXERCISING UNAUTHORIZED DISCRETION IN CUSTOMER ACCOUNT.
Current Status:	Final
Resolution:	Decision
Resolution Date:	09/30/1969
Sanctions Ordered:	Censure
Other Sanctions Ordered:	
Sanction Details:	NYSE CENSURE.
Broker Statement	Not Provided

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	DELAWARE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/01/1984
Docket/Case Number:	UNKNOWN
Employing firm when activity occurred which led to the regulatory action:	E. F. HUTTON
Product Type:	No Product
Other Product Type(s):	
Allegations:	MATERIAL OMISSIONS AND MISREPRESENTATIONS CONTAINED IN CANTANELLA'S FORM U-4 WHICH WOULD HAVE IMPACTED HIS AGENT

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	REGISTRATION WITH A MEMBER FIRM.
Current Status:	Final
Resolution:	Consent
Resolution Date:	09/01/1984
Sanctions Ordered:	Monetary/Fine $500.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	KENNETH CATANELLA ENTERED INTO A CONSENT ORDER WITH THE STATE OF DELAWARE.CONSENTED TO A 14 DAY SUSPENSION AND A FINE OF $500, JOINTLY AND SEVERALLY.

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF DELAWARE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/01/1984
Docket/Case Number:	Unknown
Employing firm when activity occurred which led to the regulatory action:	E. F. HUTTON
Product Type:	
Other Product Type(s):	
Allegations:	OMISSION OF INFORMATION ON FORM FILINGS WAS ALLEGED BY THE STATE OF DELAWARE AGAINST E.F. HUTTON & KEN CATANELLA
Current Status:	Final
Resolution:	Consent
Resolution Date:	09/01/1984
Sanctions Ordered:	Monetary/Fine $500.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	14 DAY SUSPENSION AND A $500 FINE
Broker Statement	Not Provided

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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 13

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	E.F. HUTTON
Allegations:	ALLEGED ACCOUNT HAD BEEN CHURNED. ALLEGED DAMAGES UNSPECIFIED.
Product Type:	No Product
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO
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:	04/17/1974
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	04/17/1974
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Type of Court:	NA
Name of Court:	NA
Location of Court:	NA
Docket/Case #:	NA
Date Notice/Process Served:	04/17/1974
Litigation Pending?	No
Disposition:	Monetary Judgment to Customer
Disposition Date:	05/01/1974

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Monetary Compensation Amount:	$350,000.00
Individual Contribution Amount:	$0.00
Broker Statement	When I joined PaineWebber, now UBS Wealth Management in 1991, I decided to change the focus of my business from the Retail Investor sector to Institutional Consulting of Corporate Retirement Plans. I had had enough of plaintiff's Counsel filing litigation cases involving me in false allegations. As a result of my focus into Consulting in Corporate Retirement Plans, There has not been one (1) complaint filed against me in over thirty (30) years. During my tenure at UBS, I have had great success for my clients and in turn for me and my team as well. I have been asked to sit as a Fiduciary on the UBS of the Americas 401k & Pension Committee which consists of 17,000 participants. I became a member of the UBS Institutional Consulting Advisory Committee. I achieved my Certified Investment Manager Analyst (CIMA) certification through IMCA and the University of Pennsylvania. Through my efforts, I have also been promoted to the level of Managing Director at UBS. In addition the Catanella Institutional Team in 2016 was chosen as 401k Team of the Year by Plan Adviser Magazine along with recognition over the years from Barron's Top 50 Institutional Consulting Teams, Financial Times 401 Top Retirement Advisors and 401k Wire as a Mid-Market Advisor of the Year. Place your trust in our experience and success over the past thirty (30) years as that is what matters today. No information available since the filing is old format.

Disclosure 2 of 13

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	ALLEGED ACCOUNT HAD BEEN CHURNED. ALLEGED DAMAGES UNSPECIFIED
Product Type:	No Product
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	0
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:	04/17/1974
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	04/17/1974
Settlement Amount:	

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Individual Contribution Amount:

Civil Litigation Information

Type of Court:	NA
Name of Court:	NA
Location of Court:	NA
Docket/Case #:	NA
Date Notice/Process Served:	04/17/1974
Litigation Pending?	No
Disposition:	Monetary Judgment to Customer
Disposition Date:	05/01/1974
Monetary Compensation Amount:	$174,000.00
Individual Contribution Amount:	$0.00
Broker Statement	When I joined PaineWebber, now UBS Wealth Management in 1991, I decided to change the focus of my business from the Retail Investor sector to Institutional Consulting of Corporate Retirement Plans. I had had enough of plaintiff's Counsel filing litigation cases involving me in false allegations. As a result of my focus into Consulting in Corporate Retirement Plans, There has not been one (1) complaint filed against me in over thirty (30) years. During my tenure at UBS, I have had great success for my clients and in turn for me and my team as well. I have been asked to sit as a Fiduciary on the UBS of the Americas 401k & Pension Committee which consists of 17,000 participants. I became a member of the UBS Institutional Consulting Advisory Committee. I achieved my Certified Investment Manager Analyst (CIMA) certification through IMCA and the University of Pennsylvania. Through my efforts, I have also been promoted to the level of Managing Director at UBS. In addition the Catanella Institutional Team in 2016 was chosen as 401k Team of the Year by Plan Adviser Magazine along with recognition over the years from Barron's Top 50 Institutional Consulting Teams, Financial Times 401 Top Retirement Advisors and 401k Wire as a Mid-Market Advisor of the Year. Place your trust in our experience and success over the past thirty (30) years as that is what matters today. No information available since the filing is old format.

Disclosure 3 of 13

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	E.F. HUTTON & COMPANY INC.
Allegations:	ALLEGED CHURNING AND MISREPPRESENTATION BASED ON FOLLOWING JOE GRANVILLE'S STRATEGY. ALLEGED AMOUNT OF DAMAGES UNKNOWN
Product Type:	No Product
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	0

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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:	01/01/1983
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	01/01/1983
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Type of Court:	NA
Name of Court:	NA
Location of Court:	NA
Docket/Case #:	NA
Date Notice/Process Served:	01/01/1983
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	01/01/1988
Monetary Compensation Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	When I joined PaineWebber, now UBS Wealth Management in 1991, I decided to change the focus of my business from the Retail Investor sector to Institutional Consulting of Corporate Retirement Plans. I had had enough of plaintiff's Counsel filing litigation cases involving me in false allegations. As a result of my focus into Consulting in Corporate Retirement Plans, There has not been one (1) complaint filed against me in over thirty (30) years. During my tenure at UBS, I have had great success for my clients and in turn for me and my team as well. I have been asked to sit as a Fiduciary on the UBS of the Americas 401k & Pension Committee which consists of 17,000 participants. I became a member of the UBS Institutional Consulting Advisory Committee. I achieved my Certified Investment Manager Analyst (CIMA) certification through IMCA and the University of Pennsylvania. Through my efforts, I have also been promoted to the level of Managing Director at UBS. In addition the Catanella Institutional Team in 2016 was chosen as 401k Team of the Year by Plan Adviser Magazine along with recognition over the years from Barron's Top 50 Institutional Consulting Teams, Financial Times 401 Top Retirement Advisors and 401k Wire as a Mid-Market Advisor of the Year. Place your trust in our experience and success over the past thirty (30) years as that is what matters today. No information available since the filing is old format.

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Disclosure 4 of 13

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	E.F. HUTTON & COMPANY, INC.
Allegations:	ALLEGED CHURNING AND MISREPRESENTATION BASED ON FOLLOWING JOE GRANVILLE'S STRATEGY. ALLEGED AMOUNT OF DAMAGES UNKNOWN.
Product Type:	No Product
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	0
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:	11/27/1982
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	11/27/1982
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Type of Court:	NA
Name of Court:	NA
Location of Court:	NA
Docket/Case #:	NA
Date Notice/Process Served:	11/27/1982
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	01/01/1988
Monetary Compensation Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	When I joined PaineWebber, now UBS Wealth Management in 1991, I decided to change the focus of my business from the Retail Investor sector to Institutional Consulting of Corporate Retirement Plans. I had had enough of plaintiff's Counsel filing litigation cases involving me in false allegations. As a result of my focus into

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Consulting in Corporate Retirement Plans, There has not been one (1) complaint filed against me in over thirty (30) years. During my tenure at UBS, I have had great success for my clients and in turn for me and my team as well. I have been asked to sit as a Fiduciary on the UBS of the Americas 401k & Pension Committee which consists of 17,000 participants. I became a member of the UBS Institutional Consulting Advisory Committee. I achieved my Certified Investment Manager Analyst (CIMA) certification through IMCA and the University of Pennsylvania. Through my efforts, I have also been promoted to the level of Managing Director at UBS. In addition the Catanella Institutional Team in 2016 was chosen as 401k Team of the Year by Plan Adviser Magazine along with recognition over the years from Barron's Top 50 Institutional Consulting Teams, Financial Times 401 Top Retirement Advisors and 401k Wire as a Mid-Market Advisor of the Year. Place your trust in our experience and success over the past thirty (30) years as that is what matters today.
No information available since the filing is old format.

Disclosure 5 of 13

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	E.F. HUTTON & COMPANY INC.
Allegations:	ALLEGED CHURNING AND MISREPRESENTATION BASED ON FOLLOWING JOE GRANVILLE'S STRATEGY. ALLEGED AMOUNT OF DAMAGES UNKNOWN
Product Type:	No Product
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	0.00
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:	03/21/1983
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	03/21/1983
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Type of Court:	NA
Name of Court:	NA
Location of Court:	NA

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Docket/Case #:	NA
Date Notice/Process Served:	03/21/1983
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	01/01/1988
Monetary Compensation Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	When I joined PaineWebber, now UBS Wealth Management in 1991, I decided to change the focus of my business from the Retail Investor sector to Institutional Consulting of Corporate Retirement Plans. I had had enough of plaintiff's Counsel filing litigation cases involving me in false allegations. As a result of my focus into Consulting in Corporate Retirement Plans, There has not been one (1) complaint filed against me in over thirty (30) years. During my tenure at UBS, I have had great success for my clients and in turn for me and my team as well. I have been asked to sit as a Fiduciary on the UBS of the Americas 401k & Pension Committee which consists of 17,000 participants. I became a member of the UBS Institutional Consulting Advisory Committee. I achieved my Certified Investment Manager Analyst (CIMA) certification through IMCA and the University of Pennsylvania. Through my efforts, I have also been promoted to the level of Managing Director at UBS. In addition the Catanella Institutional Team in 2016 was chosen as 401k Team of the Year by Plan Adviser Magazine along with recognition over the years from Barron's Top 50 Institutional Consulting Teams, Financial Times 401 Top Retirement Advisors and 401k Wire as a Mid-Market Advisor of the Year. Place your trust in our experience and success over the past thirty (30) years as that is what matters today. No information available since the filing is old format.

Disclosure 6 of 13

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SHEARSON LEHMAN BROS.
Allegations:	SEEKING ALLEGED DAMAGED OF $13,340.00 DUE TO MR. CATANELLA LIQUIDATING THE CLIENT'S ACCOUNT PRIOR TO PLACING HER INTO MANAGED MONEY.
Product Type:	
Alleged Damages:	$13,340.00

Customer Complaint Information

Date Complaint Received:	01/31/1992
Complaint Pending?	No
Status:	Settled
Status Date:	
Settlement Amount:	$13,340.02
Individual Contribution Amount:	$13,340.02

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Firm Statement	SETTLED FOR $13,340.02. NO OPTIONS OR COMMODITIES CONTACT PERSON - JAMES CARROLL - LEGAL (908) 219-6412

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SHEARSON LEHMAN BROS.
Allegations:	ALLEGED DAMAGES OF $13,340.02 DUE TO ALLEGED LIQUIDATION OF CLIENTS ACCOUNT PRIOR INVESTING WITH A MONEY MANAGER.
Product Type:	
Alleged Damages:	$13,340.00

Customer Complaint Information

Date Complaint Received:	01/31/1992
Complaint Pending?	No
Status:	Settled
Status Date:	
Settlement Amount:	$13,340.02
Individual Contribution Amount:	$13,340.02
Broker Statement	SETTLED FOR $13,340.02 PAID BY KENNETH CATANELLA. Not Provided

Disclosure 7 of 13

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	HUTTON & COMPANY, INC.
Allegations:	CHURNING SEEKING DAMAGES OF $60,000.00
Product Type:	
Alleged Damages:	$60,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Litigation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

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Civil Litigation Information

Court Details:	U.S. DIST.; EASTERN DIST. OF PA; 83-3750
Date Notice/Process Served:	08/04/1983
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	04/15/1988
Monetary Compensation Amount:	$25,972.50
Individual Contribution Amount:	
Firm Statement	SHEARSON SETTLED WITH CLIENT FOR $25,972.50 NO OPTIONS OR COMMODITIES CONTACT PERSON-MARTHA SOLINGER-LEGAL (212) 464-7283

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	HUTTON & COMPANY, INC.
Allegations:	ALLEGED CHURNING AND MISREPRESENTATION BASED ON FOLLOWING JOE GRANVILLE'S STRATEGY. ALLEGED DAMAGES OF $50,000.00
Product Type:	Equity Listed (Common & Preferred Stock) Mutual Fund
Alleged Damages:	$60,000.00
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:	08/04/1983
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	08/04/1983
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Type of Court:	NA
Name of Court:	NA
Location of Court:	NA
Docket/Case #:	NA

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Date Notice/Process Served:	08/04/1983
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	04/15/1988
Monetary Compensation Amount:	$25,972.50
Individual Contribution Amount:	$0.00
Broker Statement	When I joined PaineWebber, now UBS Wealth Management in 1991, I decided to change the focus of my business from the Retail Investor sector to Institutional Consulting of Corporate Retirement Plans. I had had enough of plaintiff's Counsel filing litigation cases involving me in false allegations. As a result of my focus into Consulting in Corporate Retirement Plans, There has not been one (1) complaint filed against me in over thirty (30) years. During my tenure at UBS, I have had great success for my clients and in turn for me and my team as well. I have been asked to sit as a Fiduciary on the UBS of the Americas 401k & Pension Committee which consists of 17,000 participants. I became a member of the UBS Institutional Consulting Advisory Committee. I achieved my Certified Investment Manager Analyst (CIMA) certification through IMCA and the University of Pennsylvania. Through my efforts, I have also been promoted to the level of Managing Director at UBS. In addition the Catanella Institutional Team in 2016 was chosen as 401k Team of the Year by Plan Adviser Magazine along with recognition over the years from Barron's Top 50 Institutional Consulting Teams, Financial Times 401 Top Retirement Advisors and 401k Wire as a Mid-Market Advisor of the Year. Place your trust in our experience and success over the past thirty (30) years as that is what matters today. No information available since the filing is old format.

Disclosure 8 of 13

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SHEARSON
Allegations:	CHURNING SEEKING DAMAGES OF APPROXIMATELY $550,000.000
Product Type:	
Alleged Damages:	$550,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Litigation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	U.S. DIST.; EASTERN DIST. OF PA; 82-4743

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Date Notice/Process Served:	07/22/1982
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	05/06/1988
Monetary Compensation Amount:	$335,000.00
Individual Contribution Amount:	
Firm Statement	SHEARSON SETTLED WITH CLIENT FOR $335,000.00. NO OPTIONS OR COMMODITIES CONTACT PERSON-[CONTACT PERSON]-LEGAL (212) 464-7283

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SHEARSON
Allegations:	ALLEGED CHURNING AND MISREPRESENTATION BASED ON FOLLOWING [THIRD PARTY'S] STRATEGY. ALLEGED DAMAGES OF $483,944.00
Product Type:	Equity Listed (Common & Preferred Stock) Mutual Fund
Alleged Damages:	$550,000.00
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:	07/22/1982
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	07/22/1982
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Type of Court:	NA
Name of Court:	NA
Location of Court:	NA
Docket/Case #:	NA
Date Notice/Process Served:	07/22/1982
Litigation Pending?	No

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Disposition:	Settled
Disposition Date:	05/06/1988
Monetary Compensation Amount:	$335,000.00
Individual Contribution Amount:	$0.00
Broker Statement	When I joined PaineWebber, now UBS Wealth Management in 1991, I decided to change the focus of my business from the Retail Investor sector to Institutional Consulting of Corporate Retirement Plans. I had had enough of plaintiff's Counsel filing litigation cases involving me in false allegations. As a result of my focus into Consulting in Corporate Retirement Plans, There has not been one (1) complaint filed against me in over thirty (30) years. During my tenure at UBS, I have had great success for my clients and in turn for me and my team as well. I have been asked to sit as a Fiduciary on the UBS of the Americas 401k & Pension Committee which consists of 17,000 participants. I became a member of the UBS Institutional Consulting Advisory Committee. I achieved my Certified Investment Manager Analyst (CIMA) certification through IMCA and the University of Pennsylvania. Through my efforts, I have also been promoted to the level of Managing Director at UBS. In addition the Catanella Institutional Team in 2016 was chosen as 401k Team of the Year by Plan Adviser Magazine along with recognition over the years from Barron's Top 50 Institutional Consulting Teams, Financial Times 401 Top Retirement Advisors and 401k Wire as a Mid-Market Advisor of the Year. Place your trust in our experience and success over the past thirty (30) years as that is what matters today. No information available since the filing is old format.

Disclosure 9 of 13

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	E.F. HUTTON
Allegations:	ALLEGED CHURNING AND MISREPRESENTATION BASED ON FOLLOWING JOE GRANVILLE'S STRATEGY. ALLEGED AMOUNT OF DAMAGES UNKNOWN.
Product Type:	No Product
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Old Filing
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:	08/01/1983
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	08/01/1983

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Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Type of Court:	NA
Name of Court:	NA
Location of Court:	NA
Docket/Case #:	NA
Date Notice/Process Served:	08/01/1983
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	01/01/1988
Monetary Compensation Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	When I joined PaineWebber, now UBS Wealth Management in 1991, I decided to change the focus of my business from the Retail Investor sector to Institutional Consulting of Corporate Retirement Plans. I had had enough of plaintiff's Counsel filing litigation cases involving me in false allegations. As a result of my focus into Consulting in Corporate Retirement Plans, There has not been one (1) complaint filed against me in over thirty (30) years. During my tenure at UBS, I have had great success for my clients and in turn for me and my team as well. I have been asked to sit as a Fiduciary on the UBS of the Americas 401k & Pension Committee which consists of 17,000 participants. I became a member of the UBS Institutional Consulting Advisory Committee. I achieved my Certified Investment Manager Analyst (CIMA) certification through IMCA and the University of Pennsylvania. Through my efforts, I have also been promoted to the level of Managing Director at UBS. In addition the Catanella Institutional Team in 2016 was chosen as 401k Team of the Year by Plan Adviser Magazine along with recognition over the years from Barron's Top 50 Institutional Consulting Teams, Financial Times 401 Top Retirement Advisors and 401k Wire as a Mid-Market Advisor of the Year. Place your trust in our experience and success over the past thirty (30) years as that is what matters today. No information available since the filing is old format.

Disclosure 10 of 13

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	HUTTON & COMPANY INC.
Allegations:	ALLEGED CHURNING AND MISREPRESENTATION BASED ON FOLLOWING JOE GRANVILLE'S STRATEGY. ALLEGED AMOUNT OF DAMAGES UNKNOWN
Product Type:	No Product
Alleged Damages:	$0.00

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Alleged Damages Amount Explanation (if amount not exact):	0
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:	03/01/1983
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	03/01/1983
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Type of Court:	NA
Name of Court:	NA
Location of Court:	NA
Docket/Case #:	NA
Date Notice/Process Served:	03/01/1983
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	01/01/1988
Monetary Compensation Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	When I joined PaineWebber, now UBS Wealth Management in 1991, I decided to change the focus of my business from the Retail Investor sector to Institutional Consulting of Corporate Retirement Plans. I had had enough of plaintiff's Counsel filing litigation cases involving me in false allegations. As a result of my focus into Consulting in Corporate Retirement Plans, There has not been one (1) complaint filed against me in over thirty (30) years. During my tenure at UBS, I have had great success for my clients and in turn for me and my team as well. I have been asked to sit as a Fiduciary on the UBS of the Americas 401k & Pension Committee which consists of 17,000 participants. I became a member of the UBS Institutional Consulting Advisory Committee. I achieved my Certified Investment Manager Analyst (CIMA) certification through IMCA and the University of Pennsylvania. Through my efforts, I have also been promoted to the level of Managing Director at UBS. In addition the Catanella Institutional Team in 2016 was chosen as 401k Team of the Year by Plan Adviser Magazine along with recognition over the years from Barron's Top 50 Institutional Consulting Teams, Financial Times 401 Top Retirement Advisors and 401k Wire as a Mid-Market Advisor of the Year. Place your trust in our experience and success over the past thirty (30) years as that is

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what matters today. No information available since the filing is old format.

Disclosure 11 of 13

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SHEARSON
Allegations:	CHURNING SEEKING DAMAGES OF APPROXIMATELY $190,000.00.
Product Type:	
Alleged Damages:	$190,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Litigation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	U.S. DIST.; EASTERN DIST. OF PA; 84-5317
Date Notice/Process Served:	08/13/1984
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	07/06/1988
Monetary Compensation Amount:	$90,000.00
Individual Contribution Amount:	
Firm Statement	SHEARSON SETTLED WITH CLIENT FOR $90,000.00 NO OPTIONS OR COMMODITIES, CONTACT PERSON - MARTHA SOLINGER --LEGAL (212) 464-7283.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SHEARSON
Allegations:	ALLEGED CHURNING AND MISREPRESENTATION BASED ON FOLLOWING JOE GRANVILLE'S STRATEGY. ALLEGED DAMAGES OF $190,000.00
Product Type:	Equity Listed (Common & Preferred Stock) Mutual Fund
Alleged Damages:	$190,000.00

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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:	08/31/1984
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	08/31/1983
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Type of Court:	U.S. DIST.; EASTERN DIST. OF PA;
Name of Court:	U.S. DIST.; EASTERN DIST. OF PA;
Location of Court:	PA
Docket/Case #:	84-5317
Date Notice/Process Served:	08/13/1984
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	07/06/1988
Monetary Compensation Amount:	$90,000.00
Individual Contribution Amount:	$0.00
Broker Statement	When I joined PaineWebber, now UBS Wealth Management in 1991, I decided to change the focus of my business from the Retail Investor sector to Institutional Consulting of Corporate Retirement Plans. I had had enough of plaintiff's Counsel filing litigation cases involving me in false allegations. As a result of my focus into Consulting in Corporate Retirement Plans, There has not been one (1) complaint filed against me in over thirty (30) years. During my tenure at UBS, I have had great success for my clients and in turn for me and my team as well. I have been asked to sit as a Fiduciary on the UBS of the Americas 401k & Pension Committee which consists of 17,000 participants. I became a member of the UBS Institutional Consulting Advisory Committee. I achieved my Certified Investment Manager Analyst (CIMA) certification through IMCA and the University of Pennsylvania. Through my efforts, I have also been promoted to the level of Managing Director at UBS. In addition the Catanella Institutional Team in 2016 was chosen as 401k Team of the Year by Plan Adviser Magazine along with recognition over the years from Barron's Top 50 Institutional Consulting Teams, Financial Times 401 Top Retirement Advisors and 401k Wire as a Mid-Market Advisor of the Year. Place your trust in our experience and success over the past thirty (30) years as that is what matters today. No information available since the filing is old format.

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Disclosure 12 of 13

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SHEARSON
Allegations:	CHURNING SEEKING DAMAGES OF APPROXIMATELY $75,000.00
Product Type:	
Alleged Damages:	$75,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Litigation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	U.S. DIST.; EASTERN DIST. OF PA; 83-2837
Date Notice/Process Served:	01/26/1983
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	06/03/1988
Monetary Compensation Amount:	$43,759.00
Individual Contribution Amount:	
Firm Statement	SHEARSON SETTLED WITH CLIENT FOR $43,759.00 NO OPTIONS OR COMMODITIES CONTACT PERSON-MARTHA SOLINGER-LEGAL (212) 464-7283

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SHEARSON
Allegations:	ALLEGED CHURNING AND MISREPRESENTATION BASED ON FOLLOWING JOE GARNVILLE'S STRATEGY. ALLEGED DAMAGES OF $75,000.00
Product Type:	Equity Listed (Common & Preferred Stock) Mutual Fund
Alleged Damages:	$75,000.00
Is this an oral complaint?	No

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Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	01/26/1983
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	01/26/1983
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Type of Court:	U.S. DIST.; EASTERN DIST. OF PA;
Name of Court:	U.S. DIST.; EASTERN DIST. OF PA;
Location of Court:	PA
Docket/Case #:	83-2837
Date Notice/Process Served:	01/26/1983
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	06/03/1988
Monetary Compensation Amount:	$43,759.00
Individual Contribution Amount:	$0.00
Broker Statement	When I joined PaineWebber, now UBS Wealth Management in 1991, I decided to change the focus of my business from the Retail Investor sector to Institutional Consulting of Corporate Retirement Plans. I had had enough of plaintiff's Counsel filing litigation cases involving me in false allegations. As a result of my focus into Consulting in Corporate Retirement Plans, There has not been one (1) complaint filed against me in over thirty (30) years. During my tenure at UBS, I have had great success for my clients and in turn for me and my team as well. I have been asked to sit as a Fiduciary on the UBS of the Americas 401k & Pension Committee which consists of 17,000 participants. I became a member of the UBS Institutional Consulting Advisory Committee. I achieved my Certified Investment Manager Analyst (CIMA) certification through IMCA and the University of Pennsylvania. Through my efforts, I have also been promoted to the level of Managing Director at UBS. In addition the Catanella Institutional Team in 2016 was chosen as 401k Team of the Year by Plan Adviser Magazine along with recognition over the years from Barron's Top 50 Institutional Consulting Teams, Financial Times 401 Top Retirement Advisors and 401k Wire as a Mid-Market Advisor of the Year. Place your trust in our experience and success over the past thirty (30) years as that is what matters today. No information available since the filing is old format.

Disclosure 13 of 13

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SHEARSON
Allegations:	UNAUTHORIZED PURCHASE OF A MUTUAL FUND UNSPECIFIED DAMAGES
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	12/01/1987
Complaint Pending?	No
Status:	Settled
Status Date:	
Settlement Amount:	$10,308.63
Individual Contribution Amount:	$0.00
Firm Statement	SHEARSON SETTLED WITH CLIENT FOR $10,308.63 NO OPTIONS OR COMMODITIES CONTACT PERSON-LESLIE KLEIN-LEGAL (212) 464-8190

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SHEARSON
Allegations:	CLIENT ALLEGED THAT HIS BROKER MADE AN UNAUTHORIZED PURCHASE OF THE HUTTON INVESTMENT SERIES MUTUAL FUND. ALLEGED DAMAGES UNSPECIFIED.
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	12/01/1987
Complaint Pending?	No
Status:	Settled
Status Date:	
Settlement Amount:	$10,308.63
Individual Contribution Amount:	$0.00
Broker Statement	CLIENT WITHDREW COMPLAINT. INVESTMENT IN GOVERNMENT FUND WAS REVERSED, RETURNING TO CLIENT HIS ORIGINAL INVESTMENT. THERE WERE NO CHARGES AGAINST THE FINANCIAL CONSULTANT. FINANCIAL CONSULTANT DENIES THAT TRADE WAS

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UNAUTHORIZED. CLAIM WAS SETTLED AS A MISUNDERSTANDING WITH CLIENT. SETTLEMENT $10,308.00, SHEARSON PAID FULL SETTLEMENT.
I DENY THE TRADE WAS UNAUTHORIZED. THERE WERE NO CHARGES AGAINST ME. CLIENT WITHDREW HIS COMPLAINT. CLAIM WAS SETTLED AS A MISUNDERSTANDING WITH CLIENT. INVESTMENT IN GOVERNMENT FUND WAS REVERSED, RETURNING CLIENT'S ORIGINAL INVESTMENT. I AM ON RECORD IN CRD THAT I COMMITTED NO WORNGDOING. I WAS NOT CENSURED, FINED, OR SUSPENDED FOR THE INCIDENT.

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End of Report

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