



IAPD Report

JOSEPH J RESTAINO

CRD# 4426878

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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

JOSEPH J RESTAINO (CRD# 4426878)

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 **03/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	04/16/2019
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	04/16/2019

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **25** 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 INCORPORATED	7691	TAMPA, FL	08/18/2005 - 05/16/2019
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	TAMPA, FL	08/17/2005 - 05/16/2019
IA	MORGAN STANLEY	7556	CLEARWATER, FL	09/12/2001 - 08/29/2005

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
Termination	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 **25** 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	04/16/2019
B	Cboe Exchange, Inc.	General Securities Representative	Approved	04/16/2019
B	FINRA	General Securities Representative	Approved	04/16/2019
B	NYSE American LLC	General Securities Representative	Approved	04/16/2019
B	NYSE Arca, Inc.	General Securities Representative	Approved	04/16/2019
B	NYSE Texas, Inc.	General Securities Representative	Approved	08/03/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	04/16/2019
B	Nasdaq PHLX LLC	General Securities Representative	Approved	04/16/2019
B	Nasdaq Stock Market	General Securities Representative	Approved	04/16/2019
B	New York Stock Exchange	General Securities Representative	Approved	04/16/2019
B	Alabama	Agent	Approved	05/21/2019
B	California	Agent	Approved	04/16/2019
IA	California	Investment Adviser Representative	Approved	05/01/2019



Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	10/16/2019
B	Delaware	Agent	Approved	08/07/2025
B	Florida	Agent	Approved	04/16/2019
IA	Florida	Investment Adviser Representative	Approved	04/29/2019
B	Georgia	Agent	Approved	04/16/2019
IA	Georgia	Investment Adviser Representative	Approved	06/29/2023
B	Illinois	Agent	Approved	05/16/2024
B	Indiana	Agent	Approved	06/10/2021
B	Louisiana	Agent	Approved	04/19/2022
B	Maryland	Agent	Approved	04/16/2019
B	Massachusetts	Agent	Approved	08/31/2021
B	Michigan	Agent	Approved	04/16/2019
B	Mississippi	Agent	Approved	06/04/2021
B	Montana	Agent	Approved	03/13/2026
B	Nevada	Agent	Approved	04/16/2019
B	New Jersey	Agent	Approved	04/16/2019
B	New York	Agent	Approved	04/16/2019
B	North Carolina	Agent	Approved	04/16/2019
B	Ohio	Agent	Approved	04/16/2019



Qualifications

	Regulator	Registration	Status	Date
B	Oklahoma	Agent	Approved	06/02/2021
B	Pennsylvania	Agent	Approved	12/08/2025
B	Tennessee	Agent	Approved	02/03/2021
IA	Texas	Investment Adviser Representative	Approved	04/16/2019
B	Texas	Agent	Approved	05/05/2022
B	Vermont	Agent	Approved	07/25/2022
B	Wisconsin	Agent	Approved	04/16/2019

Branch Office Locations

UBS FINANCIAL SERVICES INC.
150 SECOND AVE. NORTH
SUITE 1000
ST. PETERSBURG, FL 33701

UBS FINANCIAL SERVICES INC.
101 East Kennedy Boulevard, Suite 1800
TAMPA, FL 33602



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 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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Futures Managed Funds Examination (S31)	Series 31	02/25/2004
B General Securities Representative Examination (S7)	Series 7	09/10/2001

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	10/30/2001



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	08/18/2005 - 05/16/2019	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	TAMPA, FL
B	08/17/2005 - 05/16/2019	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	TAMPA, FL
IA	09/12/2001 - 08/29/2005	MORGAN STANLEY	CRD# 7556	CLEARWATER, FL
B	09/11/2001 - 08/29/2005	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, 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
04/2019 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	ST. PETERSBURG, FL, United States
08/2011 - 04/2019	BANK OF AMERICA, N.A.	SENIOR FINANCIAL ADVISOR	Y	TAMPA, FL, United States
08/2005 - 04/2019	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL ADVISOR	Y	CLEARWATER, FL, 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) FOR PROFIT OR NOT FOR PROFIT: FOR-PROFIT ORGANIZATION / NAME OF OUTSIDE BUSINESS ORGANIZATION: HUNGRY BULL PRODUCTIONS LLC / INVESTMENT RELATED: N / ADDRESS OF BUSINESS: TAMPA, FLORIDA 33611 / NATURE OF BUSINESS: LLC / POSITION, TITLE, ASSOCIATION: OWNER / START DATE OF RELATIONSHIP: 7/12/2012 / NUMBER OF HOURS DEVOTED: 0 HOUR(S) MONTHLY / NUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0 / DUTIES: I INVESTED INTO FILMS, THESE ARE FAMILY TYPE FILMS IN THE PG AND PG13. NONE ARE RELATED TO THE FINANCIAL BUSINESS. NO CLIENTS ARE INVOLVED. / Producer of film / set up film with crew, cast and locations. / Start Date 11/1/2018 ///

2) FOR PROFIT OR NOT FOR PROFIT: FOR-PROFIT ORGANIZATION / NAME OF OUTSIDE BUSINESS ORGANIZATION: ALBION MOVIE INC. / INVESTMENT RELATED: N / ADDRESS OF BUSINESS: BRADENTON, FLORIDA 34205 / NATURE OF BUSINESS: CORPORATION / POSITION, TITLE, ASSOCIATION: OTHER, PRODUCER 6% OWNER OF FILM / START DATE OF RELATIONSHIP: 7/1/2015 / NUMBER OF HOURS DEVOTED: 1 HOUR(S) MONTHLY / NUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0 / DUTIES: I AM A PRODUCER OF A FILM FOR ALBION MOVIE INC. THE FILM IS PG RATED AND IS A CHILDRENS FILM. ///



Registration & Employment History



OTHER BUSINESS ACTIVITIES

- 3) For profit or not for profit: For-Profit Organization / Name of outside business organization: Pinstripe Productions, LLC. / Investment related: N / Address of business: Tampa, Florida 33611 / Nature of business: LLC / Position, title, association: Owner / Start date of relationship: 8/8/2018 / Number of hours devoted: 8 hour(s) Monthly / Number of hours devoted during trading hours: 0 / Duties: This is a film production company. We will be making family and action films. I will be organizing the structure of the films and overseeing development of different projects. ///
- 4) Skyman Productions, LLC./investment related? ; yes/3109 W Wallcraft Avenue, Tampa, 33611 US/ Proprietor / owner/ it is a entity for a film production/ start date: 4/7/2020 ///
- 5) Yellow Eyes Production, LLC. / Company / It's a film company that is used to produce a feature film that is a suspense, drama / Other / Producer / As a producer, I assist with making the feature film by working with actors, locations and crew ///
- 6) A Manor Lady Film, LLC / Company / Film production / Other / Producer / Organize logistics for film, work with actors and their managers. help secure locations and work with distributors. ///
- 7) 125 Joyce Street LLC / Company / real estate purchase and rental / Proprietor / owner / owner of house and handle rental
- 8) Mack & Rita Inc., It's a movie film company, Executive Producer, provide oversight and guidance to film production, start date- 3/22/2021, BradentonFlorida United States-34205.



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
Termination	1

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: Merrill Lynch, Pierce, Fenner & Smith Incorporated

Termination Type: Voluntary Resignation

Termination Date: 04/16/2019

Allegations: Alleged conduct involving failure to fully disclose an outside business activity and alleged participation in a private financial arrangement involving a client. The registered representative resigned prior to the Firm's conclusion of its review into the allegations.

Product Type: No Product

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Reporting Source: Individual

Firm Name: Merrill Lynch Pierce Fenner & Smith Incorporated

Termination Type: Voluntary Resignation

Termination Date: 04/16/2019

Allegations: Alleged conduct involving failure to fully disclose an outside business activity and alleged participation in a private financial arrangement involving a client. Representative resigned prior to firm's conclusion of its review into the allegations.

Product Type: No Product

Broker Statement I complied with the firm's outside business activity requirements and was transparent to the firm with respect to my involvement in it. I did not solicit the alleged private financial arrangement to my client, which the client confirmed to the firm upon its inquiry. At the time I voluntarily resigned, because of my cooperation and the feedback that I received, I reasonably believed that the firm's inquiry into the allegations was complete.



End of Report

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