



IAPD Report

MYLES FREDERICK WITTENSTEIN

CRD# 470824

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

MYLES FREDERICK WITTENSTEIN (CRD# 470824)

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 **01/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	01/22/2009
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	01/22/2009

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **34** 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	NEW YORK, NY	11/14/2005 - 01/26/2009
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	09/19/2003 - 01/26/2009
IA	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	NEW YORK, NY	09/28/2004 - 01/13/2005

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



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 **34** 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	01/22/2009
B FINRA	General Securities Representative	Approved	01/22/2009
B NYSE American LLC	General Securities Representative	Approved	01/22/2009
B NYSE Arca, Inc.	General Securities Representative	Approved	01/22/2009
B NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	01/22/2009
B Nasdaq PHLX LLC	General Securities Representative	Approved	01/22/2009
B Nasdaq Stock Market	General Securities Representative	Approved	01/22/2009
B New York Stock Exchange	General Securities Representative	Approved	01/22/2009
B Alaska	Agent	Approved	01/22/2009
B Arizona	Agent	Approved	01/22/2009
B California	Agent	Approved	01/22/2009



Qualifications

Regulator	Registration	Status	Date
B Colorado	Agent	Approved	01/22/2009
B Connecticut	Agent	Approved	01/22/2009
B Delaware	Agent	Approved	02/20/2009
B District of Columbia	Agent	Approved	03/05/2009
B Florida	Agent	Approved	01/22/2009
IA Florida	Investment Adviser Representative	Approved	01/29/2019
B Georgia	Agent	Approved	03/30/2017
B Illinois	Agent	Approved	01/22/2009
B Iowa	Agent	Approved	11/29/2022
B Kentucky	Agent	Approved	03/02/2023
B Louisiana	Agent	Approved	09/16/2010
B Maine	Agent	Approved	01/23/2009
B Maryland	Agent	Approved	01/22/2009
B Massachusetts	Agent	Approved	01/29/2009
B Michigan	Agent	Approved	01/22/2009
B Minnesota	Agent	Approved	05/28/2013
B Montana	Agent	Approved	10/21/2011
B Nevada	Agent	Approved	12/22/2020
B New Hampshire	Agent	Approved	01/22/2009



Qualifications

Regulator	Registration	Status	Date
B New Jersey	Agent	Approved	01/22/2009
B New York	Agent	Approved	01/22/2009
IA New York	Investment Adviser Representative	Approved	11/08/2021
B North Carolina	Agent	Approved	01/22/2009
B Ohio	Agent	Approved	01/22/2009
B Oregon	Agent	Approved	07/28/2020
B Pennsylvania	Agent	Approved	01/22/2009
B Rhode Island	Agent	Approved	02/24/2009
B South Carolina	Agent	Approved	01/22/2009
IA Texas	Investment Adviser Representative	Approved	01/22/2009
B Texas	Agent	Approved	09/03/2013
B Vermont	Agent	Approved	01/22/2009
B Virginia	Agent	Approved	01/22/2009
B Washington	Agent	Approved	01/22/2009
B Wyoming	Agent	Approved	12/15/2022

Branch Office Locations

UBS FINANCIAL SERVICES INC.
1285 AVENUE OF THE AMERICAS
15 THRU 18TH FLOORS
NEW YORK, NY 10019

UBS FINANCIAL SERVICES INC.
Palm Beach, FL

UBS FINANCIAL SERVICES INC.
525 OKEECHOBEE BLVD
SUITE 1500
WEST PALM BEACH, FL 33401

UBS FINANCIAL SERVICES INC.
Sagaponack, NY



Qualifications

UBS FINANCIAL SERVICES INC.
Palm Beach, FL






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 3 principal/supervisory exams, 6 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	01/19/1979
 Registered Principal Examination (S40)	Series 40	11/30/1978
 NYSE Branch Manager Examination (S12)	Series 12	03/30/1978

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	02/27/1996
 Foreign Currency Options Examination (S15)	Series 15	12/06/1982
 Interest Rate Options Examination (S5)	Series 5	10/14/1981
 Registered Representative Examination (S1)	Series 1	12/18/1967

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	04/02/1992
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/15/1991



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	11/14/2005 - 01/26/2009	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	09/19/2003 - 01/26/2009	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
IA	09/28/2004 - 01/13/2005	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	NEW YORK, NY
B	12/07/2000 - 10/09/2003	SANFORD C. BERNSTEIN & CO., LLC	CRD# 104474	NASHVILLE, TN
IA	12/05/1993 - 10/09/2003	ALLIANCE CAPITAL MANAGEMENT L P	CRD# 108477	NEW YORK, NY
B	06/13/1985 - 12/07/2000	SANFORD C. BERNSTEIN & CO., INC.	CRD# 1232	NEW YORK, NY
B	05/13/1983 - 02/28/1985	ROONEY, PACE INC.	CRD# 6218	
B	07/13/1978 - 05/23/1983	A. G. BECKER INCORPORATED	CRD# 7635	
B	03/27/1975 - 07/13/1978	BECKER SECURITIES INCORPORATED	CRD# 6796	
B	07/03/1972 - 04/22/1975	LEHMAN BROTHERS INCORPORATED	CRD# 514	
B	12/20/1967 - 04/09/1972	BACHE & CO INCORPORATED	CRD# 7058	

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
01/2009 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States



Registration & Employment History



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) PRESIDENT OF FAMILY LLC FORMED FOR REAL ESTATE INVESTMENT PURPOSES. ADDRESS IS 135 LAWN LANE, OYSTER BAY, NY 11771. DOES NOT INVOLVE ANY TIME DURING MARKET HOURS.
CHICKAREE CHICK LLC, 135 LAWN LANE
OYSTER BAY, NY 11771, INVESTMENTS
START DATE: 7/8/99, HOURS/MONTH: 1
TRADING HOURS: NONE, MEMBER, PRIMARILY INVESTING IN REAL ESTATE TRANSACTIONS.
MYLES WITTENSTEIN CHARITABLE FOUNDATION INC.
NOT FOR PROFIT, START 9/17/99, HOURS/MONTH: 1, TRADING HOURS: NONE
DIRECTOR, TO MAKE CHARITABLE CONTRIBUTIONS TO ORGANIZATIONS
- 2) TIGER 21, 146 CENTRAL PARK WEST NEW YORK 10023, PEER GROUP, MEMBER OF GROUP, 0HRS MNTH, 0HRS DRNG TRDNG, NOT INVST RLTD.
- 3) PETER FARAGO TRUST / CO TRUSTEE OF THE ABOVE TRUST MY FRIEND/CLIENT'S DEMISE / PRIVATE ORGANIZATION OWNERSHIP / 10 HOURS PER MONTH / INVOLVEMENT COMMENCES 04/12/2010 / POSITION HELD - CO TRUSTEE WITH WIFE.
- 4) PAUL FARAGO TRUST / KEY BISCAYNE, FLORIDA / TRUST / OTHER TRUST / CO TRUSTEE / IS THIS AN INDUSTRY SECTOR ORGANIZATION? N/A / TRUSTEE / CO TRUSTEE OF THE ABOVE TRUST UPON FRIEND/CLIENTS DEMISE / WILL YOU HAVE AUTHORITY TO MAKE INVESTMENT DECISIONS ON BEHALF OF THE COMPANY? NO / START DATE 11/10/2010.
- 5) ALAN FARAGO TRUST / KEY BISCAYNE, FLORIDA / TRUST / OTHER TRUST / CO TRUSTEE / IS THIS AN INDUSTRY SECTOR ORGANIZATION? N/A / TRUSTEE / CO TRUSTEE OF FRIEND/CLIENTS TRUST UPON DEMISE / WILL YOU HAVE AUTHORITY TO MAKE INVESTMENT DECISIONS ON BEHALF OF THE COMPANY? YES / START DATE 11/10/2010.
- 6) ROBERT FARAGO TRUST / KEY BISCAYNE, FLORIDA / TRUST / OTHER TRUST / CO TRUSTEE / IS THIS AN INDUSTRY SECTOR ORGANIZATION? N/A / TRUSTEE / CO TRUSTEE / WILL YOU HAVE AUTHORITY TO MAKE INVESTMENT DECISIONS ON BEHALF OF THE COMPANY? YES / START DATE 11/10/2010.
- 7) ABT UK INVESTMENTS LLC / 610 FIFTH AVENUE NEW YORK, NEW YORK 10185 / COMPANY / REAL ESTATE / STUDENT HOUSING / INVESTOR / NONE / START DATE 11/30/2012.

Daphne Farago 2012 Irrev Tr fbo A Farago / 1285 Ave of the Americas 16 th Floor New York New York United States 10019 / Hold investments and distribute income / Advise regarding asset allocation to meet investment objectives / 2/21/2022

Daphne Farago 2012 Irrev Tr fbo P Farago / 1285 Avenue of the Americas, 16th floor New York, N.Y. Florida United States 10019 / co trustee / co trustee of the above trust upon friend/clients demise / 11/10/2010

8) Name of Business: Myles F. Wittenstein Charitable Foundation 135 Lawn Lane Oyster Bay, NY 11771. / Address: 2000 S. Ocean Blvd, Apt 108 South, Palm Beach, Florida United States 33480. / Investment Related: No. / Nature: charitable foundation. / Role: Member of Board of directors- President. / Duty: monitor investments and direct contributions. / Start Date: 1/1/1997. / Hours Devoted: No. / Time Required: 5Hrs.

D.F. Trust DTD 7/23/2017, start date-investments, Manage the trust, start date-9/27/2017, FL Delray Beach United States-33483



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/30/1982

Docket/Case Number: NY-2075

Employing firm when activity occurred which led to the regulatory action: A.G. BECKER, INC.

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 01/31/1985

Sanctions Ordered: Censure
Monetary/Fine \$15,000.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement NASD COMPLAINT #NY-2075 FILED 11/30/82 BY THE DISTRICT OFFICE #12. THE COMPLAINT ALLEGED VIOLATION OF ARTICLE III, SECTIONS 1



AND 27 OF THE RULES OF FAIR PRACTICE OF THE ASSOCIATION BY RESPONDENTS A.G. BECKER INCORPORATED AND WITTENSTEIN. *****3/7/85, DECISION RENDERED 1/31/85, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY WITTENSTEIN WAS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED \$15,000, J&S, AND IS REQUIRED TO APPEAR FOR A STAFF INTERVIEW REGARDING THE ALLEGATIONS OF THE COMPLAINT. ALL RIGHTS OF APPEAL AND REVIEW HAVE BEEN WAIVED, THIS DECISION WAS FINAL 1/31/85. ***4/9/85, FC# 9032, PAID IN FULL.

Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/30/1982

Docket/Case Number: NY-2075

Employing firm when activity occurred which led to the regulatory action: A.G. BECKER, INC.

Product Type: No Product

Other Product Type(s):

Allegations: FAILURE TO SUPERVISE

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 01/31/1985

Sanctions Ordered: Censure
Monetary/Fine \$15,000.00

Other Sanctions Ordered:

Sanction Details: CENSURED AND FINED \$15,000.



End of Report

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