IAPD Report

DOUGLAS JOHN DOMIAN

CRD# 5151950

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

DOUGLAS JOHN DOMIAN (CRD# 5151950)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **04/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	12/13/2012
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	12/13/2012

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **38** 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	FARMINGTON, CT	03/18/2009 - 12/14/2012
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	FARMINGTON, CT	03/18/2009 - 12/14/2012
B	FAIRPORT CAPITAL, INC.	15034	SCOTTSDALE, AZ	08/02/2006 - 04/28/2009

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2

User Guidance

www.adviserinfo.sec.gov

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 **38** 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	12/13/2012
B	Cboe Exchange, Inc.	General Securities Representative	Approved	12/13/2012
B	FINRA	General Securities Representative	Approved	12/13/2012
B	FINRA	Invest. Co and Variable Contracts	Approved	12/13/2012
B	NYSE American LLC	General Securities Representative	Approved	12/13/2012
B	NYSE Arca, Inc.	General Securities Representative	Approved	12/13/2012
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	12/13/2012
B	Nasdaq PHLX LLC	General Securities Representative	Approved	12/13/2012
B	Nasdaq Stock Market	General Securities Representative	Approved	12/13/2012
B	New York Stock Exchange	General Securities Representative	Approved	12/13/2012
B	Alaska	Agent	Approved	06/22/2021
B	Arizona	Agent	Approved	12/13/2012

Qualifications

	Regulator	Registration	Status	Date
B	Arkansas	Agent	Approved	10/06/2023
B	California	Agent	Approved	12/13/2012
B	Colorado	Agent	Approved	06/28/2013
B	Connecticut	Agent	Approved	12/13/2012
IA	Connecticut	Investment Adviser Representative	Approved	12/13/2012
B	Delaware	Agent	Approved	08/01/2019
B	District of Columbia	Agent	Approved	03/20/2014
B	Florida	Agent	Approved	12/13/2012
B	Georgia	Agent	Approved	06/28/2013
B	Idaho	Agent	Approved	01/31/2024
B	Illinois	Agent	Approved	05/11/2023
B	Indiana	Agent	Approved	12/15/2025
B	Kansas	Agent	Approved	05/10/2023
B	Maine	Agent	Approved	06/28/2013
B	Maryland	Agent	Approved	12/13/2012
B	Massachusetts	Agent	Approved	12/13/2012
B	Michigan	Agent	Approved	05/31/2022
B	Minnesota	Agent	Approved	01/08/2026
B	Montana	Agent	Approved	02/06/2024

Qualifications

	Regulator	Registration	Status	Date
B	Nebraska	Agent	Approved	05/07/2025
B	New Hampshire	Agent	Approved	06/28/2013
B	New Jersey	Agent	Approved	12/13/2012
B	New Mexico	Agent	Approved	01/12/2017
B	New York	Agent	Approved	12/13/2012
B	North Carolina	Agent	Approved	12/13/2012
B	Ohio	Agent	Approved	05/27/2020
B	Oregon	Agent	Approved	05/12/2023
B	Pennsylvania	Agent	Approved	05/11/2023
B	Rhode Island	Agent	Approved	12/13/2012
B	South Carolina	Agent	Approved	06/28/2013
B	Tennessee	Agent	Approved	01/30/2024
B	Texas	Agent	Approved	12/13/2012
IA	Texas	Investment Adviser Representative	Approved	12/13/2012
B	Utah	Agent	Approved	05/10/2023
B	Vermont	Agent	Approved	06/28/2013
B	Virginia	Agent	Approved	12/13/2012
B	West Virginia	Agent	Approved	04/23/2026
B	Wisconsin	Agent	Approved	02/17/2025

Qualifications

Regulator	Registration	Status	Date

Branch Office Locations

UBS FINANCIAL SERVICES INC.
ONE STATE STREET
Suite 1600
HARTFORD, CT 06103

UBS FINANCIAL SERVICES INC.
Griswold, CT

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/14/2009
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/01/2006

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/01/2008
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/04/2006

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
B	03/18/2009 - 12/14/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	FARMINGTON, CT
IA	03/18/2009 - 12/14/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	FARMINGTON, CT
B	08/02/2006 - 04/28/2009	FAIRPORT CAPITAL, INC.	CRD# 15034	SCOTTSDALE, AZ

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2012 - Present	UBS FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	HARTFORD, CT, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

No information reported.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

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

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

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

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

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

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

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

DISCLOSURE EVENT DETAILS

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

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS Financial Services, Inc.
Allegations:	Time Frame: January 24, 2020 to February 28, 2020 What were the allegations against the individual? The client alleges his instructions to liquidate his account was not done and a lack of fiduciary responsibility to liquidate on a day when the market without contacting him. The alleged damages are estimated to be in excess of $5,000.00.
Product Type:	Other: Managed Wrap Accounts Inhouse Money Managers
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Estimated to be in excess of $5,000.00
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:	03/03/2020
Complaint Pending?	No

Status:	Settled
Status Date:	09/30/2020
Settlement Amount:	$13,186.69
Individual Contribution Amount:	$0.00
Broker Statement	I deny the allegations as I believe them to be false. The client was upset with the timing of the liquidation of his account. Under normal circumstances liquidating an account takes a couple of days and it is normally not an issue because the movement in the markets are not significant day to day. This was a very unusual time due to the coronavirus. Due to the significant swings in the market day to day the client believed that our internal process for processing paperwork was not quick enough. Disappointing was the fact that the client took 10 days to send us the request (prior to the coronavirus) and that he did not request a transfer in kind, where the investments would be transferred not sold. Had he done either or both, our transfer process would not have been an issue.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS Financial Services, Inc.
Allegations:	Time Frame: September 22, 2017 to May 18, 2018 The client alleges that her Financial Advisors liquidated her portfolio without her authorization. The client further alleges that liquidating the entire portfolio at one time was not suitable.
Product Type:	Other: Managed Wrap Accounts/in House Manager
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Estimated to be in excess of $5,000.00
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:	05/18/2018
Complaint Pending?	No
Status:	Settled
Status Date:	07/25/2018
Settlement Amount:	$43,470.00
Individual Contribution Amount:	$0.00
Broker Statement	I deny this allegations as I believe them to be false. We routinely met with the now claimant's parents to discuss investments and various possible strategies. Her account continues to be well diversified and growth oriented and has done very

well. The entire portfolio was not liquidated. The client's assertion that she never had a single conversation with us about her risk tolerance, investing goals, life circumstances, tax liability, etc." is categorically false. There were annual portfolio reviews from 2011 through 2017. In a meeting in May 2017, it was decided and agreed to by all parties, that we would change most of the family accounts from non-discretionary to discretionary program.. Despite being a discretionary account, I still spoke to father (who funded the account and had authorization) before trades were made, especially the September trade at issue. He approved all the changes that were made in the accounts. In the account that was the daughter's, she and the father received monthly confirms to any changes made in the portfolio. I received an email from the daughter, dated March 29, 2018 stating, "my capital gains in 2017 were fantastic''. I spoke again to the client (daughter) in April 2018 and she was very happy with the portfolio. It was not until May 2018 that she complained about the capital gains. That said, the fact that this complaint was settled should not be misconstrued as to any liability or wrongdoing on my part whatsoever. The Firm made a business decision to make a client accommodation solely in the name of client relations due to a longstanding relationship of over 20 years with the parents and to· avoid any further issues including possible arbitration.

End of Report

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