



IAPD Report

Christopher Daniel Infante

CRD# 5186765

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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

Christopher Daniel Infante (CRD# 5186765)

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 **12/09/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	01/23/2023
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	02/22/2024

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **53** 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	UBS SECURITIES LLC	7654	NEW YORK, NY	08/04/2023 - 11/07/2024
IA	UBS FINANCIAL SERVICES INC.	8174	New York, NY	01/25/2023 - 07/31/2023
B	UBS SECURITIES LLC	7654	NEW YORK, NY	01/11/2023 - 01/24/2023

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

DISCLOSURE INFORMATION

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

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **53** 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
BOX Exchange LLC	General Securities Principal	Approved	01/23/2023
BOX Exchange LLC	General Securities Representative	Approved	01/23/2023
BOX Exchange LLC	Registered Options Principal	Approved	01/23/2023
BOX Exchange LLC	Securities Trader	Approved	01/23/2023
Cboe Exchange, Inc.	General Securities Principal	Approved	01/23/2023
Cboe Exchange, Inc.	General Securities Representative	Approved	01/23/2023
Cboe Exchange, Inc.	Registered Options Principal	Approved	01/23/2023
Cboe Exchange, Inc.	Securities Trader	Approved	01/23/2023
FINRA	Corporate Securities Represent	Approved	01/23/2023
FINRA	General Securities Principal	Approved	01/23/2023
FINRA	General Securities Representative	Approved	01/23/2023
FINRA	Operations Professional	Approved	01/23/2023
FINRA	Registered Options Principal	Approved	01/23/2023



Qualifications

Regulator	Registration	Status	Date
B FINRA	Securities Trader	Approved	01/23/2023
B NYSE American LLC	General Securities Principal	Approved	01/23/2023
B NYSE American LLC	General Securities Representative	Approved	01/23/2023
B NYSE American LLC	Registered Options Principal	Approved	01/23/2023
B NYSE American LLC	Securities Trader	Approved	01/23/2023
B NYSE American LLC	Corporate Securities Represent	Approved	03/16/2023
B NYSE Arca, Inc.	General Securities Principal	Approved	01/23/2023
B NYSE Arca, Inc.	General Securities Representative	Approved	01/23/2023
B NYSE Arca, Inc.	Registered Options Principal	Approved	01/23/2023
B NYSE Arca, Inc.	Securities Trader	Approved	01/23/2023
B NYSE Texas, Inc.	General Securities Principal	Approved	01/23/2023
B NYSE Texas, Inc.	General Securities Representative	Approved	01/23/2023
B NYSE Texas, Inc.	Securities Trader	Approved	01/23/2023
B NYSE Texas, Inc.	Corporate Securities Represent	Approved	03/16/2023
B Nasdaq ISE, LLC	General Securities Principal	Approved	01/23/2023
B Nasdaq ISE, LLC	General Securities Representative	Approved	01/23/2023
B Nasdaq ISE, LLC	Registered Options Principal	Approved	01/23/2023
B Nasdaq ISE, LLC	Securities Trader	Approved	01/23/2023
B Nasdaq PHLX LLC	General Securities Principal	Approved	01/23/2023



Qualifications

Regulator	Registration	Status	Date
B Nasdaq PHLX LLC	General Securities Representative	Approved	01/23/2023
B Nasdaq PHLX LLC	Registered Options Principal	Approved	01/23/2023
B Nasdaq PHLX LLC	Securities Trader	Approved	01/23/2023
B Nasdaq Stock Market	General Securities Principal	Approved	01/23/2023
B Nasdaq Stock Market	General Securities Representative	Approved	01/23/2023
B Nasdaq Stock Market	Registered Options Principal	Approved	01/23/2023
B Nasdaq Stock Market	Securities Trader	Approved	01/23/2023
B Nasdaq Stock Market	Corporate Securities Represent	Approved	03/16/2023
B New York Stock Exchange	General Securities Principal	Approved	01/23/2023
B New York Stock Exchange	General Securities Representative	Approved	01/23/2023
B New York Stock Exchange	Securities Trader	Approved	01/23/2023
B New York Stock Exchange	Corporate Securities Represent	Approved	03/16/2023
B Alabama	Agent	Approved	01/24/2023
B Alaska	Agent	Approved	01/24/2023
B Arizona	Agent	Approved	01/23/2023
B Arkansas	Agent	Approved	01/23/2023
B California	Agent	Approved	01/23/2023
B Colorado	Agent	Approved	01/23/2023
B Connecticut	Agent	Approved	01/23/2023



Qualifications

Regulator	Registration	Status	Date
B Delaware	Agent	Approved	01/23/2023
B District of Columbia	Agent	Approved	01/23/2023
B Florida	Agent	Approved	01/23/2023
B Georgia	Agent	Approved	01/23/2023
B Hawaii	Agent	Approved	01/23/2023
B Idaho	Agent	Approved	01/23/2023
B Illinois	Agent	Approved	02/03/2023
B Indiana	Agent	Approved	01/23/2023
B Iowa	Agent	Approved	01/23/2023
B Kansas	Agent	Approved	01/23/2023
B Kentucky	Agent	Approved	01/23/2023
B Louisiana	Agent	Approved	01/23/2023
B Maine	Agent	Approved	01/23/2023
B Maryland	Agent	Approved	01/23/2023
B Massachusetts	Agent	Approved	01/24/2023
B Michigan	Agent	Approved	01/23/2023
B Minnesota	Agent	Approved	01/23/2023
B Mississippi	Agent	Approved	01/23/2023
B Missouri	Agent	Approved	01/23/2023



Qualifications

Regulator	Registration	Status	Date
B Montana	Agent	Approved	01/23/2023
B Nebraska	Agent	Approved	01/24/2023
B Nevada	Agent	Approved	01/24/2023
B New Hampshire	Agent	Approved	01/23/2023
B New Jersey	Agent	Approved	01/23/2023
B New Mexico	Agent	Approved	01/23/2023
B New York	Agent	Approved	01/23/2023
IA New York	Investment Adviser Representative	Approved	02/22/2024
B North Carolina	Agent	Approved	01/24/2023
B North Dakota	Agent	Approved	01/23/2023
B Ohio	Agent	Approved	01/23/2023
B Oklahoma	Agent	Approved	01/23/2023
B Oregon	Agent	Approved	01/24/2023
B Pennsylvania	Agent	Approved	01/24/2023
B Puerto Rico	Agent	Approved	01/23/2023
B Rhode Island	Agent	Approved	01/23/2023
B South Carolina	Agent	Approved	01/23/2023
B South Dakota	Agent	Approved	01/23/2023



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	01/23/2023
B Texas	Agent	Approved	01/23/2023
B Utah	Agent	Approved	01/24/2023
B Vermont	Agent	Approved	01/23/2023
B Virgin Islands	Agent	Approved	01/23/2023
B Virginia	Agent	Approved	01/24/2023
B Washington	Agent	Approved	01/23/2023
B West Virginia	Agent	Approved	01/24/2023
B Wisconsin	Agent	Approved	01/23/2023
B Wyoming	Agent	Approved	01/23/2023

Branch Office Locations

UBS FINANCIAL SERVICES INC.
11 Madison Avenue
New York, NY 10010





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 2 principal/supervisory exams, 7 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

	Exam	Category	Date
	Registered Options Principal Examination (S4)	Series 4	01/05/2009
	General Securities Principal Examination (S24)	Series 24	04/30/2007

General Industry/Product Exams

	Exam	Category	Date
	Corporate Securities Limited Representative Examination (S62)	Series 62	01/02/2023
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	National Commodity Futures Examination (S3)	Series 3	03/16/2016
	Limited Representative-Equity Trader Exam (S55)	Series 55	03/24/2008
	General Securities Representative Examination (S7)	Series 7	03/06/2007

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	05/11/2016
	 Uniform Securities Agent State Law Examination (S63)	Series 63	05/29/2007



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	08/04/2023 - 11/07/2024	UBS SECURITIES LLC	CRD# 7654	NEW YORK, NY
IA	01/25/2023 - 07/31/2023	UBS FINANCIAL SERVICES INC.	CRD# 8174	New York, NY
B	01/11/2023 - 01/24/2023	UBS SECURITIES LLC	CRD# 7654	NEW YORK, NY
B	05/11/2007 - 12/31/2022	LEVELX CAPITAL LLC	CRD# 117028	Old Bridge, NJ
IA	02/20/2020 - 06/30/2022	LEVELX ADVISERS, LLC	CRD# 307352	OLD BRIDGE, NJ
IA	03/26/2019 - 06/22/2021	ARETI CAPITAL ADVISORS, LLC	CRD# 300090	MIAMI, FL
IA	06/03/2016 - 09/19/2018	GRA INVESTMENT ADVISOR	CRD# 168149	MIAMI, FL
B	03/21/2016 - 09/01/2016	SOUTHERN TRUST SECURITIES, INC.	CRD# 103781	LAWRENCEVILLE, GA

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
01/2023 - Present	UBS	WMA Capital Markets	Y	New York, NY, United States
06/2006 - 12/2022	LevelX Capital, LLC	CEO & Registered Representative	Y	Brooklyn, NY, United States
01/2020 - 06/2022	LevelX Advisers, LLC	Investment Adviser Representative	Y	Old Bridge, NJ, United States
09/2018 - 06/2021	CYGNUS ADVISORS, LLC	Investment Advisor Rep./ Designated Principal	Y	Miami, FL, United States
09/2018 - 06/2021	Cygnus Advisors, LLC	CIO	Y	Miami, FL, United States
06/2006 - 11/2019	GLOBAL STRATEGIC INVESTMENTS LLC	Registered Representative	Y	MIAMI, FL, United States
06/2016 - 09/2018	GLOBAL REASERCH ADVISOR LLC	Investment Advisor Representative	Y	Miami, FL, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2016 - 09/2016	SOUTHERN TRUST SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	MIAMI, 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.

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	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GLOBAL STRATEGIC INVESTMENTS, LLC

Allegations: IT IS NOT CLEAR WHICH ALLEGATIONS WERE AGAINST MR. INFANTE. THE ARBITRATION NAMES ANOTHER BROKER, RICHARD MARTIN. MR. MARTIN OPENED THE ACCOUNT AND MR. INFANTE INHERITED IT. THE TOTAL ALLEGATIONS, WITHOUT DISTINGUISHING BETWEEN THE TWO ARE: VIOLATIONS OF FLORIDA SECURITIES LAW, CHURNING, UNSUITABLE TRANSACTIONS, LACK OF KNOWLEDGE OF THE PRODUCT SOLD, NEGLIGENCE AND FRAUD.

Product Type: Derivative
Equity-OTC
Equity Listed (Common & Preferred Stock)
Mutual Fund
Other: HEDGE FUND

Alleged Damages: \$94,742.39

Alleged Damages Amount Explanation (if amount not exact): PLUS INTEREST, ATTORNEY FEES AND PUNITIVE DAMAGES.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 09-05274



Date Notice/Process Served: 09/18/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/11/2010

Monetary Compensation Amount: \$8,000.00

Individual Contribution Amount: \$0.00

Broker Statement

THE ACCOUNT WAS HANDLED BY RICHARD MARTIN. MOST OF THE FACTS IN THE ALLEGATION OCCURRED WHILE HE WAS HANDLING THE ACCOUNT. AFTER MR. MARTIN LEFT, I WAS ASKED TO HANDLE THE ACCOUNT BY GSI'S FORMER CEO. I AM NOT A SALESPERSON AND DID NOT MAKE ANY RECOMMENDATIONS, BUT THE FORMER CEO DID RECOMMEND ONE INVESTMENT TO THE CLAIMANT AFTER MR. MARTIN LEFT. ALTHOUGH I DID NOT MAKE ANY RECOMMENDATIONS, I WAS NAMED IN THE ACTION, ALONG WITH MR. MARTIN AND GSI, PROBABLY BECAUSE MY NAME APPEARED ON THE CUSTOMER STATEMENTS AFTER MR. MARTIN LEFT.



End of Report

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