User Guidance

www.adviserinfo.sec.gov

IAPD Report

Eric Gioia

CRD# 5778186

Section Title **Page(s)**

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

Eric Gioia (CRD# 5778186)

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 **06/20/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	06/11/2021
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	11/23/2021

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	J.P. MORGAN SECURITIES LLC	79	New York, NY	06/22/2010 - 06/10/2021

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? **No**

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 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	06/11/2021
B	Cboe Exchange, Inc.	General Securities Representative	Approved	06/11/2021
B	FINRA	General Securities Representative	Approved	06/11/2021
B	NYSE American LLC	General Securities Representative	Approved	06/11/2021
B	NYSE Arca, Inc.	General Securities Representative	Approved	06/11/2021
B	NYSE Texas, Inc.	General Securities Representative	Approved	06/11/2021
B	Nasdaq ISE, LLC	General Securities Representative	Approved	06/11/2021
B	Nasdaq PHLX LLC	General Securities Representative	Approved	06/11/2021
B	Nasdaq Stock Market	General Securities Representative	Approved	06/11/2021
B	New York Stock Exchange	General Securities Representative	Approved	06/11/2021
B	Alabama	Agent	Approved	06/15/2021
B	Alaska	Agent	Approved	06/21/2021
B	Arizona	Agent	Approved	06/11/2021

Qualifications

	Regulator	Registration	Status	Date
B	Arkansas	Agent	Approved	06/11/2021
B	California	Agent	Approved	06/11/2021
B	Colorado	Agent	Approved	06/11/2021
B	Connecticut	Agent	Approved	06/11/2021
B	Delaware	Agent	Approved	06/16/2021
B	District of Columbia	Agent	Approved	06/11/2021
B	Florida	Agent	Approved	06/11/2021
B	Georgia	Agent	Approved	06/11/2021
B	Hawaii	Agent	Approved	06/15/2021
B	Idaho	Agent	Approved	06/11/2021
B	Illinois	Agent	Approved	06/17/2021
B	Indiana	Agent	Approved	06/17/2021
B	Iowa	Agent	Approved	06/11/2021
B	Kansas	Agent	Approved	06/11/2021
B	Kentucky	Agent	Approved	06/11/2021
B	Louisiana	Agent	Approved	06/11/2021
B	Maine	Agent	Approved	06/11/2021
B	Maryland	Agent	Approved	06/11/2021
B	Massachusetts	Agent	Approved	06/11/2021

Qualifications

	Regulator	Registration	Status	Date
B	Michigan	Agent	Approved	06/11/2021
B	Minnesota	Agent	Approved	06/16/2021
B	Mississippi	Agent	Approved	06/11/2021
B	Missouri	Agent	Approved	06/11/2021
B	Montana	Agent	Approved	06/11/2021
B	Nebraska	Agent	Approved	06/11/2021
B	Nevada	Agent	Approved	06/11/2021
B	New Hampshire	Agent	Approved	06/11/2021
B	New Jersey	Agent	Approved	06/11/2021
B	New Mexico	Agent	Approved	06/11/2021
B	New York	Agent	Approved	06/11/2021
IA	New York	Investment Adviser Representative	Approved	11/23/2021
B	North Carolina	Agent	Approved	06/11/2021
B	North Dakota	Agent	Approved	06/11/2021
B	Ohio	Agent	Approved	06/11/2021
B	Oklahoma	Agent	Approved	06/11/2021
B	Oregon	Agent	Approved	06/11/2021
B	Pennsylvania	Agent	Approved	06/11/2021
B	Puerto Rico	Agent	Approved	06/11/2021

Qualifications

	Regulator	Registration	Status	Date
B	Rhode Island	Agent	Approved	06/11/2021
B	South Carolina	Agent	Approved	06/11/2021
B	South Dakota	Agent	Approved	06/11/2021
B	Tennessee	Agent	Approved	06/11/2021
B	Texas	Agent	Approved	06/11/2021
IA	Texas	Investment Adviser Representative	Approved	06/13/2022
B	Utah	Agent	Approved	06/11/2021
B	Vermont	Agent	Approved	06/11/2021
B	Virgin Islands	Agent	Approved	06/11/2021
B	Virginia	Agent	Approved	06/17/2021
B	Washington	Agent	Approved	06/11/2021
B	West Virginia	Agent	Approved	06/11/2021
B	Wisconsin	Agent	Approved	06/11/2021
B	Wyoming	Agent	Approved	06/11/2021

Branch Office Locations

UBS FINANCIAL SERVICES INC.
1285 AVENUE OF THE AMERICAS
19TH FLOOR
NEW YORK, NY 10019

UBS FINANCIAL SERVICES INC.
East Hampton, NY

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, 2 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	06/21/2010

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/22/2021
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/07/2011

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	06/22/2010 - 06/10/2021	J.P. MORGAN SECURITIES LLC	CRD# 79	New York, 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
06/2021 - Present	UBS Financial Services Inc	Financial Advisor	Y	New York, NY, United States
01/2019 - Present	MACAULAY HONORS COLLEGE	ADJUNCT PROFESSOR	N	NEW YORK, NY, United States
09/2018 - Present	NYU, NEW YORK UNIVERSITY COLLEGE OF ARTS AND SCIENCE	ADJUNCT PROFESSOR	N	NEW YORK, NY, United States
08/2012 - Present	MARAULAY HONORS COLLEGE	ADJUNCT PROFESSOR	N	NEW YORK, NY, United States
04/2010 - 03/2021	J.P. MORGAN SECURITIES INC.	BANKER	Y	NEW YORK, NY, United States
01/2010 - 03/2021	JPMORGAN CHASE BANK	BANKER	Y	NEW YORK, NY, United States
08/2012 - 03/2018	NEW YORK UNIVERSITY	ADJUNCT PROFESSOR	N	New York, NY, 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)Entity Name: NYU, New York University College of Arts and Science/ Investment related: No/ Address: 70 Washington Square South New York, NY 10012 http://www.nyu.edu/
Nature of the other business: NYU is an American University./ NYU is an American University. I am an adjunct Professor. I have taught an honors seminar in the College of Arts and Science for the past 10 years. It is a public policy class entitled "Laboratories for Democarcy". I traditionally teach on Thursday evenings in the Fall./ I am an adjunct Professor. I have taught an honors seminar in the College of Arts and Science for the past 10 years. It is a public policy class entitled "Laboratories for Democarcy". I traditionally teach on Thursday evenings in the Fall./ start date: 9/1/2010

2) Entity Name: Macaulay Honors College/ Investment related: No/"Address: 35 Street New York, NY https://macaulay.cuny.edu/"/
Nature of the other business: College/University
Position/Title/Relationship: Adjunct Professor/ Start Date: 9/1/2010
/ Approximate # of hours a month: 1-8/ Approximate # of hours during securities trading hours: 0
Briefly describe your duties: Adjunct Professor of Public Policy

Registration & Employment History

OTHER BUSINESS ACTIVITIES

2) Entity Name: Macaulay Honors College
Investment related: No
Address: 35 New York, NY https://macaulay.cuny.edu/
Nature of the other business: Education/College
Position/Title/Relationship: Adjunct Professor
Start Date: 31-Jan-2019
Approximate # of hours a month: 8
Approximate # of hours during securities trading hours: 0
Briefly describe your duties: Teaching an honors seminar

3) Outward Bound New York/ investment related?: no/ 2946 Northern Boulevard, Queens, NY, /I am on the board of trustees of the Marymount School/ start date: Advise the headmistress in administering the MaryMount School for Girls/ start date:7/31/2017

4) Queens Library Foundation/ Not Investment Related / 89-11 Merrick Boulevard, New York, Queens, 11432, / Foundation supporting the Queens Libabry / Support the mission of a free library for the people of New York City / Start Date : 6/1/2021.

End of Report

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