



IAPD Report

ALICIA RENEE MALCOLM

CRD# 5870354

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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

ALICIA RENEE MALCOLM (CRD# 5870354)

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 **09/02/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	08/10/2012
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	10/26/2021

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **24** 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
No information reported.			

No information reported.
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 **24** 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	08/10/2012
B Cboe Exchange, Inc.	General Securities Representative	Approved	08/10/2012
B FINRA	General Securities Representative	Approved	08/10/2012
B NYSE American LLC	General Securities Representative	Approved	08/10/2012
B NYSE Arca, Inc.	General Securities Representative	Approved	08/10/2012
B NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	08/10/2012
B Nasdaq PHLX LLC	General Securities Representative	Approved	08/10/2012
B Nasdaq Stock Market	General Securities Representative	Approved	08/10/2012
B New York Stock Exchange	General Securities Representative	Approved	08/10/2012
B Arizona	Agent	Approved	04/08/2013
B California	Agent	Approved	07/31/2015
B Colorado	Agent	Approved	09/02/2024



Qualifications

Regulator	Registration	Status	Date
B Connecticut	Agent	Approved	10/25/2019
B Delaware	Agent	Approved	04/22/2016
B Florida	Agent	Approved	04/08/2013
B Georgia	Agent	Approved	01/20/2017
B Illinois	Agent	Approved	10/22/2018
B Indiana	Agent	Approved	04/04/2019
B Maine	Agent	Approved	05/21/2021
B Maryland	Agent	Approved	12/09/2021
B Massachusetts	Agent	Approved	04/26/2017
B New Hampshire	Agent	Approved	10/13/2021
B New Jersey	Agent	Approved	02/04/2016
B New York	Agent	Approved	10/15/2012
IA New York	Investment Adviser Representative	Approved	10/26/2021
B North Carolina	Agent	Approved	08/03/2016
B Ohio	Agent	Approved	01/22/2014
B Pennsylvania	Agent	Approved	01/22/2014
IA Pennsylvania	Investment Adviser Representative	Approved	12/21/2022
B South Carolina	Agent	Approved	07/31/2013
B Tennessee	Agent	Approved	01/03/2024



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	03/07/2024
B Virginia	Agent	Approved	09/08/2023
B Washington	Agent	Approved	02/05/2019
B Wisconsin	Agent	Approved	01/10/2018

Branch Office Locations

UBS FINANCIAL SERVICES INC.
250 Delaware Avenue
BUFFALO, NY 14202

UBS FINANCIAL SERVICES INC.
400 LINDEN OAKS
ROCHESTER, NY 14625



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 1 state securities law exam.

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	08/09/2012

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	10/12/2012

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:

No information reported.

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
04/2012 - Present	UBS FINANCIAL SERVICES	CLIENT SERVICE ASSOCIATE	Y	WILLIAMSVILLE, 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) Retirement Advisor Council / 61 Rainbow Road East Granby, Connecticut 06026-9763 / Association (i.e., Trade or Industry, Sport...)/ Financial (Consumer & Investment Services) / They advocate for successful qualified plan and participant outcomes by bringing together experienced, qualified retirement plan advisors. / Other / I would just be a member of the advisor council. / Help collaborate with other plan advisors to continually better my practice and help participant outcomes in plans. / Start Date 01/02/2017 / Minimal. One day of travel per year and a conference call quarterly. ///

2) Susan G. Komen / Dept 41831; P.O. Box 650309 Dallas, Texas 72565 / Other/ Health Care & Pharmaceuticals / Addresses breast cancer research, community health, global outreach and public policy initiatives in order to make a major impact against the breast cancer disease / Other / Member of committee to help organize events / assist in coordinating events, participate in innovative ways for more people to get involved / Start Date 04/01/2017/ Nonprofit Corporation ///

3) NAPA = National Association of Plan Advisors/ investment related?:no / 4401 N. Fairfax Drive, Suite 600, Arlington, VA, 22203 US/ I was asked to be on their Leadership Committee/ There are quarterly meetings. The main purpose of leadership is to understand any challenges being faced in the retirement plan industry such as new regulations and/or legislation. As part of leadership, we help work with other advisors to stay at the forefront to ensure we are all fulfilling fiduciary obligations and being the best advisors we can be to our clients and their participants./ start date: 6/1/2015/ time reqd during working hours?: yes, 5 hours per month



End of Report

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