



IAPD Report

ALFRED L. CALIENDO

CRD# 725272

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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

ALFRED L. CALIENDO (CRD# 725272)

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	11/19/2008
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	12/03/2008

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **33** 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	WACHOVIA SECURITIES, LLC	19616	SARASOTA, FL	07/01/2003 - 11/20/2008
IA	WACHOVIA SECURITIES, LLC	19616	SARASOTA, FL	07/01/2003 - 11/20/2008
IA	PRUDENTIAL SECURITIES INCORPORATED	7471	SARASOTA, FL	07/06/1999 - 07/01/2003

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
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 **33** 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 BOX Exchange LLC	General Securities Sales Supervisor	Approved	05/18/2020
B Cboe Exchange, Inc.	General Securities Representative	Approved	11/19/2008
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	11/19/2008
B FINRA	General Securities Representative	Approved	11/19/2008
B FINRA	General Securities Sales Supervisor	Approved	11/19/2008
B NYSE American LLC	General Securities Representative	Approved	11/19/2008
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B NYSE Arca, Inc.	General Securities Representative	Approved	11/19/2008
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	11/19/2008
B NYSE Texas, Inc.	General Securities Representative	Approved	07/13/2022
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	07/13/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	11/19/2008



Qualifications

Regulator	Registration	Status	Date
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq PHLX LLC	General Securities Representative	Approved	11/19/2008
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	11/19/2008
B Nasdaq Stock Market	General Securities Representative	Approved	11/19/2008
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	11/19/2008
B New York Stock Exchange	General Securities Representative	Approved	11/19/2008
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B Alabama	Agent	Approved	02/04/2011
B Arizona	Agent	Approved	01/19/2010
B Arkansas	Agent	Approved	03/30/2018
B California	Agent	Approved	11/20/2008
B Colorado	Agent	Approved	05/27/2009
B Connecticut	Agent	Approved	11/19/2008
B Delaware	Agent	Approved	06/14/2023
B Florida	Agent	Approved	12/03/2008
IA Florida	Investment Adviser Representative	Approved	12/03/2008
B Georgia	Agent	Approved	11/19/2008
B Illinois	Agent	Approved	11/19/2008
B Indiana	Agent	Approved	12/04/2008



Qualifications

	Regulator	Registration	Status	Date
B	Maryland	Agent	Approved	01/03/2014
B	Massachusetts	Agent	Approved	11/26/2008
B	Michigan	Agent	Approved	12/03/2019
B	Mississippi	Agent	Approved	03/01/2023
B	Montana	Agent	Approved	12/17/2019
B	Nevada	Agent	Approved	05/12/2021
B	New Hampshire	Agent	Approved	01/04/2022
B	New Jersey	Agent	Approved	11/19/2008
B	New Mexico	Agent	Approved	11/19/2008
B	New York	Agent	Approved	11/19/2008
B	North Carolina	Agent	Approved	11/19/2008
B	Ohio	Agent	Approved	11/19/2008
B	Pennsylvania	Agent	Approved	01/22/2010
B	Rhode Island	Agent	Approved	07/02/2018
B	South Carolina	Agent	Approved	11/26/2008
B	Tennessee	Agent	Approved	10/28/2011
B	Texas	Agent	Approved	12/01/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	06/16/2016



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	11/19/2008
B Washington	Agent	Approved	11/19/2008
B West Virginia	Agent	Approved	11/19/2008
B Wisconsin	Agent	Approved	05/14/2018
B Wyoming	Agent	Approved	07/19/2023

Branch Office Locations

UBS FINANCIAL SERVICES INC.
1819 MAIN STREET
SUITE 900
SARASOTA, FL 34236



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
B General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	09/10/1984

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Foreign Currency Options Examination (S15)	Series 15	07/22/1986
B National Commodity Futures Examination (S3)	Series 3	04/30/1984
B Interest Rate Options Examination (S5)	Series 5	12/11/1982
B General Securities Representative Examination (S7)	Series 7	02/20/1982
B Municipal Securities Representative Examination (S52)	Series 52	02/21/1981

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	04/13/1995
B Uniform Securities Agent State Law Examination (S63)	Series 63	08/09/1983



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	07/01/2003 - 11/20/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	SARASOTA, FL
IA	07/01/2003 - 11/20/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	SARASOTA, FL
IA	07/06/1999 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	SARASOTA, FL
B	06/08/1999 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	04/26/1982 - 03/13/1998	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	02/23/1981 - 06/14/1985	HALPERT, OBERST AND COMPANY	CRD# 7094	
B	11/25/1981 - 04/21/1982	FITTIN, CUNNINGHAM & LAUZON, INC.	CRD# 6866	

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
11/2008 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	SARASOTA, 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
Regulatory Event	1
Customer Dispute	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:	FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECT*See FAQ #1*
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/25/1992
Docket/Case Number:	1725-S-6/92
Employing firm when activity occurred which led to the regulatory action:	DEAN WITTER REYNOLDS, INC.
Product Type:	
Other Product Type(s):	
Allegations:	ON SEPTEMBER 25, 1992, THE FLORIDA DEPARTMENT OF BANKING AND FINANCE ISSUED AN ADMINISTRATIVE COMPLAINT COMPANY; DONALD A. PETERSON; ALFRED L. CALLIENDO; GERALD L. GREENE AND SIMON SCHECHTER. FLORIDA'S COMPLAINT ALLEGES RESPONDENT PETERSON FAILED TO DISCLOSE SEVERAL CIVIL AND CRIMINAL LEGAL ACTIONS ON HIS FORM U-4 FILED FOR REGISTRATION WITH FLORIDA. BASED ON THIS, FLORIDA HAS CITED THE RESPONDENTSS WITH SEVERAL VIOLATIONS INCLUDING: FAILURE TO SUPERVISE; VIOLATIONS OF ANTI-FRAUD PROVISIONS AND FAILURE TO DISCLOSE REQUIRED INFORMATION. RESPONDENTS HAVE 21 DAYS TO FILE A REQUEST FOR HEARING.
Current Status:	Final



Resolution: Stipulation and Consent

Resolution Date: 05/16/1994

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: ON MAY 16, 1994, THE FLORIDA DEPARTMENT OF BANKING AND FINANCE ENTERED INTO A STIPULATION AND CONSENT AGREEMENT WITH FINAL ORDER REGARDING THE RESPONDENT ALFRED L. CALIENDO. THE FINAL ORDER INCORPORATES THE STIPULATION AND CONSENT AGREEMENT LAST DATED MAY 11, 1994, IN WHICH THE DEPARTMENT AND THE RESPONDENT AGREED TO DISMISS THE ALLEGATIONS AS SET FORTH IN THE COMPLAINT AGAINST THE RESPONDENT, AND THAT THE RESPONDENT AGREES TO COMPLY WITH ALL PRESENT AND FUTURE PROVISIONS OF CHAPTER 517, FLORIDA STATUTES AND THE RULES. THE RESPONDENT FURTHER AGREES TO REIMBURSE THE DEPARTMENT FOR ADMINISTRATIVE COSTS OF \$2,500.

Regulator Statement CONTACT: PLEASE CONTACT DAVID M. BURLEY AT (904) 488-9805

Reporting Source: Individual

Regulatory Action Initiated By: FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECT*See FAQ #1*

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 09/25/1992

Docket/Case Number: 1725-S-6/92

Employing firm when activity occurred which led to the regulatory action: DEAN WITTER REYNOLDS, INC.

Product Type:

Other Product Type(s):

Allegations: ON 9/25/92, THE FLORIDA DEPARTMENT OF BANKING AND FINANCE ISSUED AN ADMINISTRATIVE COMPLAINT COMPANY; DONALD A. PETERSEN; ALFRED L. CALIENDO; GERALD L. GREENE AND SIMON SCHECHTER. FLORIDA'S COMPLAINT ALLEGES RESPONDANT PETERSEN FAILED TO DISCLOSE SEVERAL CIVIL AND CRIMINAL LEGAL ACTIONS ON HIS FORM U-4 FILED FOR REGISTRATION WITH FLORIDA. BASED ON THIS, FLORIDA HAS CITED THE RESPONDANTS WITH SEVERAL VIOLATIONS INCLUDING; FAILURE TO SUPERVISE; VIOLATIONS OF ANTI-FRAUD PROVISIONS AND FAILURE TO DISCLOSE REQUIRED INFORMATION.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 05/16/1994



Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details:

RESPONDENT CALIENDO DISMISSED FROM ADMINISTRATIVE PROCEEDING BY FLA. DIVISION OF SECURITIES. ON MAY 16, 1994, THE FLORIDA DEPARTMENT OF BANKING AND FINANCE AGREED TO DISMISS ALL ALLEGATIONS ASSERTED IN THIS MATTER AGAINST ALFRED L. CALIENDO.

Broker Statement

FOR THE RECORD, DEAN WITTER REYNOLDS INC. AND MR. CALIENDO WISH TO MAKE CLEAR THAT THIS MATTER INVOLVED MULTIPLE PARTIES, PRIMARILY ARISING OUT OF A FORMER REPRESENTATIVE'S ALLEGED FAILURE TO DISCLOSE ITEMS PERTAINING TO A PREVIOUS EMPLOYMENT. MR. CALIENDO HAD NO PERSONAL RESPONSIBILITY AND/OR INVOLVEMENT IN THE CONDUCT ALLEGED IN THE STATE'S COMPLAINT AND THE DISMISSAL OF ALL CHARGES AGAINST HIM SIMPLY REFLECTS AN ACKNOWLEDGEMENT OF THIS FACT.



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:	PRUDENTIAL SECURITIES
Allegations:	FAILURE TO SUPERVISE UNSUITABLE AND UNAUTHORIZED TRADING
Product Type:	Equity-OTC
Alleged Damages:	\$150,000.00

Customer Complaint Information

Date Complaint Received:	02/08/2002
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/08/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	NASD
Docket/Case #:	02-00596
Date Notice/Process Served:	02/08/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/20/2003
Monetary Compensation Amount:	\$112,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	MR. CALIENDO WAS NOT THE SUPERVISOR OF RECORD DURING THE PERIOD OF THE ALLEGED ACTIVITIES, AND WAS DISMISSED FROM THE CLAIM PRIOR TO SETTLEMENT.



End of Report

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