



IAPD Report

GARY DEAN ROTH

CRD# 734329

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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

GARY DEAN ROTH (CRD# 734329)

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 **03/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	03/13/2009
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	03/13/2009

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **11** 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
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	RIVERSIDE, CA	07/08/1997 - 03/16/2009
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	RIVERSIDE, CA	07/20/1981 - 03/16/2009

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	3



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 **11** 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 Principal	Approved	05/15/2012
B BOX Exchange LLC	General Securities Representative	Approved	05/15/2012
B BOX Exchange LLC	Registered Options Principal	Approved	06/13/2012
B BOX Exchange LLC	General Securities Sales Supervisor	Approved	05/18/2020
B Cboe Exchange, Inc.	General Securities Representative	Approved	03/13/2009
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	03/13/2009
B Cboe Exchange, Inc.	Registered Options Principal	Approved	03/13/2009
B Cboe Exchange, Inc.	General Securities Principal	Approved	03/17/2026
B FINRA	General Securities Principal	Approved	03/13/2009
B FINRA	General Securities Representative	Approved	03/13/2009
B FINRA	General Securities Sales Supervisor	Approved	03/13/2009
B FINRA	Municipal Securities Principal	Approved	03/13/2009
B FINRA	Registered Options Principal	Approved	03/13/2009



Qualifications

Regulator	Registration	Status	Date
B FINRA	Municipal Securities Representative	Approved	04/03/2009
B NYSE American LLC	General Securities Principal	Approved	03/13/2009
B NYSE American LLC	General Securities Representative	Approved	03/13/2009
B NYSE American LLC	Municipal Securities Principal	Approved	03/13/2009
B NYSE American LLC	Registered Options Principal	Approved	03/13/2009
B NYSE American LLC	Municipal Securities Representative	Approved	04/03/2009
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B NYSE Arca, Inc.	General Securities Principal	Approved	03/13/2009
B NYSE Arca, Inc.	General Securities Representative	Approved	03/13/2009
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	03/13/2009
B NYSE Arca, Inc.	Registered Options Principal	Approved	03/13/2009
B NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B NYSE Texas, Inc.	General Securities Principal	Approved	03/17/2026
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	03/17/2026
B Nasdaq ISE, LLC	General Securities Representative	Approved	03/13/2009
B Nasdaq ISE, LLC	Registered Options Principal	Approved	03/13/2009
B Nasdaq ISE, LLC	General Securities Principal	Approved	08/26/2011
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq PHLX LLC	General Securities Representative	Approved	03/13/2009



Qualifications

Regulator	Registration	Status	Date
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	03/13/2009
B Nasdaq PHLX LLC	Registered Options Principal	Approved	03/13/2009
B Nasdaq PHLX LLC	General Securities Principal	Approved	08/26/2011
B Nasdaq Stock Market	General Securities Principal	Approved	03/13/2009
B Nasdaq Stock Market	General Securities Representative	Approved	03/13/2009
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	03/13/2009
B Nasdaq Stock Market	Registered Options Principal	Approved	03/13/2009
B New York Stock Exchange	General Securities Representative	Approved	03/13/2009
B New York Stock Exchange	General Securities Principal	Approved	06/26/2010
B New York Stock Exchange	Municipal Securities Principal	Approved	06/26/2010
B New York Stock Exchange	Municipal Securities Representative	Approved	06/26/2010
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B Arizona	Agent	Approved	02/25/2019
B California	Agent	Approved	03/13/2009
IA California	Investment Adviser Representative	Approved	03/17/2009
B Florida	Agent	Approved	01/10/2020
B Idaho	Agent	Approved	03/13/2009
B Indiana	Agent	Approved	05/26/2020
B Nevada	Agent	Approved	08/04/2014



Qualifications

Regulator	Registration	Status	Date
B New Jersey	Agent	Approved	08/08/2016
B Pennsylvania	Agent	Approved	06/21/2012
IA Texas	Investment Adviser Representative	Approved	03/13/2009
B Texas	Agent	Approved	04/26/2024
B Utah	Agent	Approved	05/27/2020
B Washington	Agent	Approved	11/05/2012

Branch Office Locations

UBS FINANCIAL SERVICES INC.
200 Spectrum Center Drive Suite 1800
IRVINE, CA 92618

UBS FINANCIAL SERVICES INC.
Dana Point, CA









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 6 principal/supervisory exams, 6 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 Municipal Securities Principal Examination (S53)	Series 53	12/04/1981
 General Securities Principal Examination (S24)	Series 24	10/19/1981
 NYSE Branch Manager Examination (S12)	Series 12	10/17/1981
 Registered Options Principal Examination (S4)	Series 4	10/16/1981

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	10/04/1984
 Foreign Currency Options Examination (S15)	Series 15	05/14/1984
 Interest Rate Options Examination (S5)	Series 5	03/02/1982
 General Securities Representative Examination (S7)	Series 7	07/18/1981



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/27/1994
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/20/1982

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
IA	07/08/1997 - 03/16/2009	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	RIVERSIDE, CA
B	07/20/1981 - 03/16/2009	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	RIVERSIDE, CA

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
03/2009 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	RIVERSIDE, CA, 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.

THE COMMUNITY FOUNDATION / 3700 SIXTH ST SUITE 200 RIVERSIDE,CALIFORNIA 92501 / OTHER/ CHARITIES, CULTURAL, EDUCATIONAL & POLITICAL ORGANISATIONS / HELP OTHER CHARITIES IN THE AREA WITH FUNDING FOR VARIOUS PROJECTS / ADVISOR OR MEMBER OF AN ADVISORY COMMITTEE, IF THE ADVICE GIVEN WILL OR MAY INFLUENCE THE BOARD OR OTHER SENIOR MANAGEMENT OR SUPERVISORY BOARD OF THE ORGANIZATION IN QUESTION / / MEMBER OF INVESTMENT COMMITTEE / START DATE 08/11/2008 / COUPLE OF HOURS EVERY QUARTER AT MOST

Gary Roth Trustee William Eagleton Trust / trustee-execute terms of trust / 1632 Kingsport Dr. / Riverside / California / United States / 92506 execute terms of trust / No Active / USD / 30000 / Making telephone calls to handle estate-ongoing and averaging 4 hours a week during hours



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	3

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Merrill Lynch, Pierce, Fenner & Smith Incorporated
Allegations:	The Customer alleges excessive trading from 1998 to 2009.
Product Type:	Equity Listed (Common & Preferred Stock) Unit Investment Trust
Alleged Damages:	\$1,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	15-03373
Date Notice/Process Served:	12/31/2015
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/25/2016
Monetary Compensation Amount:	\$40,000.00
Individual Contribution Amount:	\$0.00



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC & MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: Time Frame: 2009-2015. Claimant alleges that Mr. Roth engaged in excessive and unsuitable trading in his accounts.

Product Type: Unit Investment Trust
Other: Equities, Preferred Stocks and other unspecified securities

Alleged Damages: \$1,000,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 15-03373

Filing date of arbitration/CFTC reparation or civil litigation: 12/31/2015

Customer Complaint Information

Date Complaint Received: 12/31/2015

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 12/31/2015

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 15-03373

Date Notice/Process Served: 12/31/2015

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/25/2016

Monetary Compensation Amount: \$169,500.00

Individual Contribution Amount: \$1,500.00

Broker Statement I deny the allegations alleged against me. Although this matter settled, there is no admission of wrongdoing on my part nor any stated liability directed at me. In fact,



UBS settled this matter solely for business reasons to avoid the costs associated with litigation. The client's portfolio had huge gains while I was his advisor at UBS and I deny that I engaged in any wrongful activity that damaged the client.

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: THE CUSTOMER ALLEGES MISREPRESENTATION. COMPENSATORY DAMAGES ARE NOT SPECIFIED.

Product Type: No Product

Alleged Damages: \$0.00

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: 05/26/2011

Complaint Pending? No

Status: Denied

Status Date: 07/28/2011

Settlement Amount:

Individual Contribution Amount:

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: THE CUSTOMER ALLEGES MISREPRESENTATION. COMPENSATORY DAMAGES ARE NOT SPECIFIED.

Product Type: Other: NO PRODUCT

Alleged Damages: \$0.00

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: 05/26/2011

Complaint Pending? No



Status: Denied
Status Date: 07/28/2011
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00

Disclosure 3 of 3

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.
Allegations: ACCOUNT RELATED-ERRORS-CHARGES; MISREPRESENTATION; SUITABILITY; ACCOUNT RELATED-OTHER

Product Type:

Alleged Damages: \$45,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #94-04033

Date Notice/Process Served: 12/28/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/25/1995

Disposition Detail: CASE CLOSED,SETTLED/OTHER
ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.

Allegations: CUSTOMER ALLEGES THAT MR. ROTH FAILED TO DISCLOSE THE RISKS INVOLVED WITH RESPECT TO THE PURCHASED OF MERRILL LYNCH MEDIA OPPORTUNITY PARTNERS, L.P. ALLEGED DAMAGED OF \$45,000.00

Product Type:

Alleged Damages: \$45,000.00

Customer Complaint Information

Date Complaint Received:



Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 94-04033
Date Notice/Process Served:	12/28/1994
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/25/1995
Monetary Compensation Amount:	\$35,000.00
Individual Contribution Amount:	
Broker Statement	PAYMENT TO CUSTOMER OF \$35,000.00 WE DO NOT BELIEVE MR. ROTH FAILED TO DISCLOSED THE RISKS INVOLVED WITH RESPECT TO THE PURCHASE OF ML MEDIA OPPORTUNITY PARTNERS, L.P., HOWEVER WE SETTLED THIS MATTER FOR BUSINESS REASONS AS [CUSTOMERS] ARE VERY GOOD CUSTOMERS OF THIS FIRM



End of Report

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