



IAPD Report

OZZIE R BAUER

CRD# 809152

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 7
Registration and Employment History	8
Disclosure Information	9



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

OZZIE R BAUER (CRD# 809152)

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 **03/31/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	04/09/2009
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	04/09/2009

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **20** 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	CITIGROUP GLOBAL MARKETS INC.	7059	HOUSTON, TX	09/07/1988 - 04/27/2009
B	CITIGROUP GLOBAL MARKETS INC.	7059	HOUSTON, TX	08/30/1988 - 04/27/2009
B	ROTAN MOSLE INC.	727	HOUSTON, TX	04/30/1985 - 09/15/1988

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
Termination	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 **20** 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	04/09/2009
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	04/09/2009
B Cboe Exchange, Inc.	Registered Options Principal	Approved	04/09/2009
B Cboe Exchange, Inc.	General Securities Principal	Approved	03/17/2026
B FINRA	General Securities Principal	Approved	04/09/2009
B FINRA	General Securities Representative	Approved	04/09/2009
B FINRA	General Securities Sales Supervisor	Approved	04/09/2009
B FINRA	Municipal Securities Principal	Approved	04/09/2009
B FINRA	Municipal Securities Representative	Approved	04/09/2009



Qualifications

Regulator	Registration	Status	Date
B FINRA	Registered Options Principal	Approved	04/09/2009
B NYSE American LLC	General Securities Principal	Approved	04/09/2009
B NYSE American LLC	General Securities Representative	Approved	04/09/2009
B NYSE American LLC	Municipal Securities Principal	Approved	04/09/2009
B NYSE American LLC	Municipal Securities Representative	Approved	04/09/2009
B NYSE American LLC	Registered Options Principal	Approved	04/09/2009
B NYSE American LLC	Securities Manager	Approved	06/26/2010
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B NYSE Arca, Inc.	General Securities Principal	Approved	04/09/2009
B NYSE Arca, Inc.	General Securities Representative	Approved	04/09/2009
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	04/09/2009
B NYSE Arca, Inc.	Registered Options Principal	Approved	04/09/2009
B NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B NYSE Texas, Inc.	General Securities Principal	Approved	03/17/2026
B Nasdaq ISE, LLC	General Securities Representative	Approved	04/09/2009
B Nasdaq ISE, LLC	Registered Options Principal	Approved	04/09/2009
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	04/09/2009



Qualifications

Regulator	Registration	Status	Date
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	04/09/2009
B Nasdaq PHLX LLC	Registered Options Principal	Approved	04/09/2009
B Nasdaq PHLX LLC	General Securities Principal	Approved	08/26/2011
B Nasdaq Stock Market	General Securities Principal	Approved	04/09/2009
B Nasdaq Stock Market	General Securities Representative	Approved	04/09/2009
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	04/09/2009
B Nasdaq Stock Market	Registered Options Principal	Approved	04/09/2009
B New York Stock Exchange	General Securities Representative	Approved	04/09/2009
B New York Stock Exchange	Securities Manager	Approved	04/09/2009
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	General Securities Sales Supervisor	Approved	10/01/2018
B Arkansas	Agent	Approved	04/09/2009
B California	Agent	Approved	04/09/2009
B Colorado	Agent	Approved	04/27/2009
B Florida	Agent	Approved	04/21/2009
B Indiana	Agent	Approved	02/13/2025
B Louisiana	Agent	Approved	02/12/2025
B Maryland	Agent	Approved	04/09/2026



Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	07/31/2020
B Montana	Agent	Approved	11/21/2022
B New Hampshire	Agent	Approved	08/20/2020
B New York	Agent	Approved	12/22/2016
B North Carolina	Agent	Approved	08/25/2016
B Ohio	Agent	Approved	04/09/2009
B Pennsylvania	Agent	Approved	06/09/2025
B Tennessee	Agent	Approved	06/06/2025
B Texas	Agent	Approved	04/09/2009
IA Texas	Investment Adviser Representative	Approved	04/09/2009
B Utah	Agent	Approved	11/23/2021
B Virginia	Agent	Approved	02/13/2025
B Washington	Agent	Approved	02/12/2025
B Wisconsin	Agent	Approved	07/17/2020

Branch Office Locations

UBS FINANCIAL SERVICES INC.
750 Town and Country Blvd
Suite 400
HOUSTON, TX 77024









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, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 Municipal Securities Principal Examination (S53)	Series 53	06/18/1997
 General Securities Principal Examination (S24)	Series 24	05/02/1995
 Registered Options Principal Examination (S4)	Series 4	08/26/1983
 NYSE Branch Manager Examination (S12)	Series 12	11/20/1982

General Industry/Product Exams



Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Interest Rate Options Examination (S5)	Series 5	10/05/1981
 AMEX Put and Call Exam (PC)	PC	06/13/1977
 General Securities Representative Examination (S7)	Series 7	06/21/1975



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

	Exam	Category	Date
	Uniform Securities Agent State Law Examination (S63)	Series 63	12/04/1996
	Uniform Investment Adviser Law Examination (S65)	Series 65	09/18/1995

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	09/07/1988 - 04/27/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	HOUSTON, TX
B	08/30/1988 - 04/27/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	HOUSTON, TX
B	04/30/1985 - 09/15/1988	ROTAN MOSLE INC.	CRD# 727	
B	06/02/1980 - 05/06/1985	E. F. HUTTON & COMPANY INC	CRD# 235	
B	09/16/1977 - 07/02/1980	BACHE HALSEY STUART SHIELDS INCORPORATED	CRD# 7471	
B	08/27/1976 - 09/16/1977	BACHE HALSEY STUART INC.	CRD# 7238	
B	02/27/1976 - 08/27/1976	BACHE & CO INCORPORATED	CRD# 7058	
B	06/25/1975 - 02/27/1976	BACHE & CO., INCORPORATED	CRD# 66	

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
04/2009 - Present	UBS FINANCIAL SERVICES INC	FA	Y	HOUSTON, TX, 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.

BAUER FLP / 11306 INNISFREE HOUSTON, TX 77024 / PARTNERSHIP/ OTHER FLP / INVESTMENTS / PARTNER / / INVESTMENT DECISIONS / START DATE 11/1/2007

Bauer 2012 LLC/ Category-Partnership/ Principal Business Activity-None at this time/ Role -Partner/ Duty - Investments/ Comp - No



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
Termination	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:	CITIGROUP GLOBAL MARKETS INC.
Allegations:	CLIENT'S ATTORNEY ALLEGED FAILURE TO SUPERVISE - FEBRUARY 1998 THROUGH NOVEMBER 2002. DAMAGES UNSPECIFIED.
Product Type:	Equity - OTC
Other Product Type(s):	EQUITY-LISTED.

Alleged Damages:

Customer Complaint Information

Date Complaint Received:	12/13/2004
Complaint Pending?	No
Status:	Settled
Status Date:	06/13/2005
Settlement Amount:	\$9,999.99
Individual Contribution Amount:	\$0.00
Broker Statement	THE CLAIM WAS SETTLED FOR \$9,999.99



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Individual
Firm Name: ROTAN MOSLE
Termination Type: Permitted to Resign
Termination Date: 08/01/1988

Allegations:

Product Type:

Other Product Types:

Broker Statement

"IT HAS COME TO MY ATTENTION THAT MY FORMER EMPLOYER ROTAN MOSLE/PAIN WEBBER WILL BE INDICATING "YES" TO QUESTIONS ON MY U-5 WHICH PERTAIN TO CUSTOMER COMPLAINTS. I HAVE BEEN AN ACCOUNT EXECUTIVE IN EXCESS OF THIRTEEN YEARS AND TO MY KNOWLEDGE HAVE NOT HAD A WRITTEN COMPLAINT AGAINST ME OR ANY CAUSE TO HAVE A "YES" ANSWER ON MY U-4 OR U-5. I WAS BRANCH MANAGER IN AN E.F. HUTTON OFFICE FOR TWO YEARS OF WHICH MY OFFICE WAS THE ONLY ONE IN THE CITY OF HOUSTON TO RECEIVE A PASSING INTERNAL AUDIT. I CITE THESE CIRCUMSTANCES ONLY TO DEMONSTRATE MY STRICT RESPECT AND ADHERENCE TO COMPLIANCE MATTERS. THROUGHOUT EACH OF THESE THREE ALLEGED COMPLAINTS THERE IS AN UNDERLYING THEME: DELAURENTIIS. DELAURENTIIS IS A COMPANY THAT PAINWEBBER'S INVESTMENT BANKING DEPARTMENT BROUGHT PUBLIC VIA A COMMON STOCK OFFERING, LOANED MONEY VIA A PUBLIC DEBT OFFERING, AND SOLD UNITS IN A LIMITED PARTNERSHIP. THIS IS A COMPANY THAT WITHIN A FEW MONTHS OF ITS OFFERING THE STOCK AND LIMITED PARTNERSHIP BECAME PRACTICALLY WORTHLESS AND THE BONDS STOPPED PAYING INTEREST AND WERE TRADING AT TEN CENTS ON THE DOLLAR, IF ONE WAS ABLE TO FIND A BID. THROUGHOUT MOST OF THIS TIME PAINWEBBER'S ENTERTAINMENT RESEARCH ANALYST, [OTHER FIRM EMPLOYEE], CONTINUED TO RATE THE COMPANY WITH A "BUY" RATING AND CURRENTLY HAS THE COMPANY RANKED A "NEUTRAL".



End of Report

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