



IAPD Report

MARK JEROME BLOOM

CRD# 827097

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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

MARK JEROME BLOOM (CRD# 827097)

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 **04/01/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	08/14/2000
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	08/14/2000

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **14** 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.C. BRADFORD & CO.	1287	NEW YORK, NY	11/27/1981 - 08/14/2000
B	R. ROWLAND & CO., INCORPORATED	911	NEW YORK, NY	12/11/1981 - 03/07/1984
B	R. ROWLAND & CO., INCORPORATED	911	NEW YORK, NY	01/26/1981 - 10/21/1981

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 **14** 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	05/16/2012
B BOX Exchange LLC	General Securities Representative	Approved	05/16/2012
B Cboe Exchange, Inc.	General Securities Representative	Approved	08/14/2000
B FINRA	General Securities Principal	Approved	08/14/2000
B FINRA	General Securities Representative	Approved	08/14/2000
B NYSE American LLC	General Securities Representative	Approved	08/14/2000
B NYSE American LLC	General Securities Principal	Approved	03/19/2008
B NYSE Arca, Inc.	General Securities Representative	Approved	08/23/2000
B NYSE Arca, Inc.	General Securities Principal	Approved	09/01/2006
B NYSE Texas, Inc.	General Securities Representative	Approved	07/13/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	01/25/2008
B Nasdaq ISE, LLC	General Securities Principal	Approved	08/29/2011
B Nasdaq PHLX LLC	General Securities Representative	Approved	08/14/2000



Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq PHLX LLC	General Securities Principal	Approved	08/29/2011
B	Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	08/14/2000
B	New York Stock Exchange	General Securities Principal	Approved	06/26/2010
B	Alabama	Agent	Approved	03/14/2018
B	California	Agent	Approved	08/14/2000
B	Colorado	Agent	Approved	01/04/2001
B	Delaware	Agent	Approved	07/06/2022
B	Florida	Agent	Approved	08/14/2000
B	Idaho	Agent	Approved	11/18/2019
B	Maryland	Agent	Approved	09/29/2022
B	Michigan	Agent	Approved	08/14/2000
B	Missouri	Agent	Approved	08/10/2020
B	New York	Agent	Approved	08/14/2000
B	Tennessee	Agent	Approved	08/14/2000
IA	Tennessee	Investment Adviser Representative	Approved	02/02/2004
B	Texas	Agent	Approved	08/14/2000
IA	Texas	Investment Adviser Representative	Restricted Approval	08/14/2000



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	06/28/2012
B Washington	Agent	Approved	02/05/2010

Branch Office Locations

UBS FINANCIAL SERVICES INC.
3102 WEST END AVENUE
SUITE 780
NASHVILLE, TN 37203





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 2 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	01/02/2023
 Registered Principal Examination (S40)	Series 40	09/03/1976

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/15/1981

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/08/1982

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
B	11/27/1981 - 08/14/2000	J.C. BRADFORD & CO.	CRD# 1287	NEW YORK, NY
B	12/11/1981 - 03/07/1984	R. ROWLAND & CO., INCORPORATED	CRD# 911	
B	01/26/1981 - 10/21/1981	R. ROWLAND & CO., INCORPORATED	CRD# 911	
B	09/08/1976 - 02/14/1981	UMIC, INC.	CRD# 5974	

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
08/2000 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	NASHVILLE, TN, 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.

CORNER PARTNERSHIP; 150 4th Avenue South, Suite 1100, Nashville, TN 37219; Real estate development investments and input in real estate investments; Partner and chief manager; member and advisor; 12/1/1993; Business hours per month: No // NASHVILLE CATS LLC; Nashville, TN ; To date no income received simply disclosing the ownership of the trademark. Nothing securities related. Simply disclosing the trademark at this time. Trademark Disclosure: Nashville Kats, LLC or Cats unsure which is your trademark entity; Proprietor / owner; Trademark Ownership only, not an actual business; 8/15/2017; Business hours per month: No // 12TH AVENUE PARTNERS; 150 4th Avenue North, Suite 100, Nashville, TN 37219; Real estate investments; Partner; Advice on W Hotel; 9/27/2018; Business hours per month: No // INGLEWOOD LLC; 150 4th Avenue South, Suite 1100, Nashville, TN 37219; real estate investment; Partner; advise on best use of real estate; 6/8/2016; Business hours per month: No // VANDERBILT-INGRAM CANCER CENTER BOARD OF OVERSEERS; 3322 West End Avenue, Suite 900, Nashville, TN 37203; Vanderbilt-Ingram Cancer Center; Other; board member; serve on the board; 11/8/2018; Business hours per month: No // COUNTRY MUSIC HALL OF FAME FOUNDATION INC; Nashville, TN; Non profit museum to promote country music & Nashville music history; Other; Other; 3/12/2009; Business hours per month: Yes



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: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/27/1981

Docket/Case Number: N-298

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 08/28/1981

Sanctions Ordered: Censure
Monetary/Fine \$10,000.00

Other Sanctions Ordered:

Sanction Details:



Regulator Statement

COMPLAINT N-298 FILED 1-27-81 DIST 5 ALLEGING VIOLATIONS OF MSRB RULES G-14, G-17, G-25 AND G-27 IN THAT BLOOM ENGAGED IN A COURSE OF CONDUCT WHICH WAS UNFAIR, DECEPTIVE AND MISLEADING IN THAT IN CONECTION WITH FOUR INSTITU TIONAL CUSTOMER ACCOUNTS AT LEAST FIFTY-ONE PURCHASE TRANSAC TIONS WERE EXECUTED AND THEREAFTER CONFIRMED WHEN THEY KNEW THAT SAID TRANSACTIONS WOULD NOT BE CONSUMMATED BY PAYMENT FOR OR DELIVERY OF, THE SECURITIES INVOLVED. DECISION RENDERED 8/28/81, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY BLOOM WAS ACCEPTED; THEREFORE HE IS CENSURED AND FINED \$10,000. ALL RIGHTS OF APPEAL WAIVED, DECISION WAS FINAL 8/28/81. .. 10-13-81: FC # 8052 PD.

Reporting Source: Individual

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/27/1981

Docket/Case Number: N-298

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 08/28/1981

Sanctions Ordered: Censure
Monetary/Fine \$10,000.00

Other Sanctions Ordered:

Sanction Details:

Broker Statement BLOOM WAS CENSURED AND FINED IN NASD COMPLAINT #N-298.



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: Regulator

Employing firm when activities occurred which led to the complaint: J.C. BRADFORD & CO.

Allegations: MISREPRESENTATION; ACCOUNT RELATED-BREACH OF CONTRACT; OMISSION OF FACTS; OTHER

Product Type:

Alleged Damages: \$250,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #97-01379](#)

Date Notice/Process Served: 04/16/1997

Arbitration Pending? No

Disposition: Other

Disposition Date: 03/01/1998

Disposition Detail: AWARD AGAINST PARTY
AWARD AMOUNT \$40,568.35 JOINTLY AND SEVERALLY;

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: J.C. BRADFORD & CO.

Allegations: RELATED-BREACH OF CONTRACT; OMISSION OF FACTS; OTHER-RESULTING IN DAMAGES OF \$250,000.00

Product Type:

Alleged Damages: \$250,000.00

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 Assoc. of Securities Dealers; 97-01379](#)

Date Notice/Process Served: 04/16/1997

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 03/01/1998

**Monetary Compensation
Amount:** \$40,568.34

**Individual Contribution
Amount:**

Broker Statement AWARD AMOUNT \$40,568,35 JOINTLEY AND SEVERALLY.
UPDATING OCCURRENCE #2 ON CRD



End of Report

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