BrokerCheck Report

ALLISON SMOOT

CRD# 1576168

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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
    - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
    - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.
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Thank you for using FINRA BrokerCheck.

Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

ALLISON SMOOT

CRD# 1576168

Currently employed by and registered with the following Firm(s):

IA **UBS FINANCIAL SERVICES INC.**
95 State Street
SUITE 2210
SALT LAKE CITY, UT 84111
CRD# 8174
Registered with this firm since: 01/20/2012

B **UBS FINANCIAL SERVICES INC.**
95 State Street
SUITE 2210
SALT LAKE CITY, UT 84111
CRD# 8174
Registered with this firm since: 01/13/2012

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 10 Self-Regulatory Organizations
- 30 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

B **MORGAN STANLEY SMITH BARNEY**
CRD# 149777
SALT LAKE CITY, UT
06/2009 - 01/2012

IA **MORGAN STANLEY SMITH BARNEY LLC**
CRD# 149777
PURCHASE, NY
06/2009 - 01/2012

IA **CITIGROUP GLOBAL MARKETS INC.**
CRD# 7059
NEW YORK, NY
04/1994 - 06/2009

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	2

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Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 10 SROs and is licensed in 30 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**

Main Office Address: **1200 HARBOR BOULEVARD
WEEHAWKEN, NJ 07086**

Firm CRD#: **8174**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	05/15/2012
B	Cboe Exchange, Inc.	General Securities Representative	Approved	01/13/2012
B	FINRA	General Securities Representative	Approved	01/13/2012
B	NYSE American LLC	General Securities Representative	Approved	01/13/2012
B	NYSE Arca, Inc.	General Securities Representative	Approved	01/13/2012
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/13/2012
B	Nasdaq PHLX LLC	General Securities Representative	Approved	01/13/2012
B	Nasdaq Stock Market	General Securities Representative	Approved	01/13/2012
B	New York Stock Exchange	General Securities Representative	Approved	01/13/2012

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	06/23/2020
B	Alaska	Agent	Approved	10/14/2013
B	Arizona	Agent	Approved	01/13/2012

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Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	01/13/2012
IA	California	Investment Adviser Representative	Approved	10/25/2023
B	Colorado	Agent	Approved	01/13/2012
B	Connecticut	Agent	Approved	06/23/2020
B	District of Columbia	Agent	Approved	03/29/2012
B	Florida	Agent	Approved	01/13/2012
B	Georgia	Agent	Approved	06/29/2020
B	Idaho	Agent	Approved	01/13/2012
B	Illinois	Agent	Approved	06/25/2020
B	Kentucky	Agent	Approved	09/14/2020
B	Massachusetts	Agent	Approved	08/13/2015
B	Michigan	Agent	Approved	09/07/2017
B	Minnesota	Agent	Approved	07/23/2017
B	Missouri	Agent	Approved	09/25/2017
B	Montana	Agent	Approved	01/18/2012
B	Nevada	Agent	Approved	01/13/2012
B	New Hampshire	Agent	Approved	02/16/2024
B	New Mexico	Agent	Approved	01/13/2012
B	New York	Agent	Approved	01/13/2012
B	Oregon	Agent	Approved	01/13/2012
B	South Carolina	Agent	Approved	06/24/2020

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Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Tennessee	Agent	Approved	08/16/2024
B	Texas	Agent	Approved	01/13/2012
IA	Texas	Investment Adviser Representative	Restricted Approval	04/19/2012
B	Utah	Agent	Approved	01/20/2012
IA	Utah	Investment Adviser Representative	Approved	01/20/2012
B	Virginia	Agent	Approved	06/25/2020
B	Washington	Agent	Approved	01/13/2012
B	Wisconsin	Agent	Approved	01/13/2012
B	Wyoming	Agent	Approved	11/02/2021

Branch Office Locations

UBS FINANCIAL SERVICES INC.
95 State Street
SUITE 2210
SALT LAKE CITY, UT 84111

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Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Futures Managed Funds Examination	Series 31	11/15/2004
B	General Securities Representative Examination	Series 7	11/15/1986

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	04/05/1994
B	Uniform Securities Agent State Law Examination	Series 63	11/26/1986

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

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Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	06/2009 - 01/2012	MORGAN STANLEY SMITH BARNEY	149777	SALT LAKE CITY, UT
IA	06/2009 - 01/2012	MORGAN STANLEY SMITH BARNEY LLC	149777	SALT LAKE CITY, UT
IA	04/1994 - 06/2009	CITIGROUP GLOBAL MARKETS INC.	7059	SALT LAKE CITY, UT
B	02/1994 - 06/2009	CITIGROUP GLOBAL MARKETS INC.	7059	SALT LAKE CITY, UT
B	11/1986 - 04/1994	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
01/2012 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	SALT LAKE CITY, UT, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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) 71 AND SUNNY LLC; 1201 E Wilmington Ave, #201, Salt Lake City, UT 84106; Owns a rental 4 plex in Salt Lake City; Partner; I will be making decisions along with my co-partner and spouse Jamie Johnston; 4/3/2018; Business hours per month: No

2) Stewart Farms LC/ 1706 E Haystack Mountain Court/ Haber City/ UT 84032/ US / Partnership / Agriculture & Livestock / I'm a manager along with my two brothers of Stewart Farms LC. This is farm land that the three of us inherited when my father passed away this year. We have put it into an LC and it will sit there until it is sold. At that time the proceeds will be divided and the entiity will no longer exist. / me along with my two brothers will make the decision when to swell the farmland. There really are not any other decisions that need to be made./ Partner / Ownership in business?: yes,25%/ Start Date 11/30/2020

3) Columbus Community Center/ investment related?: / 3495 So West Temple, Salt Lake City, UT 84115/ Charity/ I will be one of three that make

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Registration and Employment History

Other Business Activities, continued

up the Investment Committee for Columbus Community Center/ Vet RFP's and help and help with an Investment Policy Statement/ start date: 10/22/2021

4) NAME OF OTHER BUSINESS: Henry's Fork Foundation / INVESTMENT RELATED?: N / ADDRESS: PO Box 550 801 Main Street / NATURE OF THE BUSINESS: Foundation / POSITION: Member of Board of directors / DUTIES: Help with the annual Salt Lake City Reception that the Henry's Fork Foundation does to raise money.Help fund raise / START DATE: 12/1/22 / HOURS DEVOTED TO BUSINESS: NA

5)Name of Other Business: Mayfly LLC/Investment Related: Y/ Address:1706 E Haystack Mountain Court,Heber City, Wasatch County,UT/ Nature of Business: This is an LLC formed to hold an RV. It isn't in any industry.This LLC was created to hold our 2023 Airstream Interstate 19 RV/Role:Partner/Duties: There are no duties. This was formed to just hold an RV nothing more/Start Date: 10/11/2022/Hours Devoted: No

6) 72 and Sunny , Heber City UT United States-84032, Partnership, Real Estate, This LLC owns a condo in San Diego that has a renter, Partner, i will be working directly with my spouse who owns the other 50% in making decisions relating to the condo, start date-11/1/2024

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Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
   -
4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	2	N/A

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Disclosure Event Details

When evaluating this information, please keep in mind that a discloure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS INC.
Allegations:	CLAIMANT ALLEGES FRAUDULENT MISREPRESENTATION, UNSUITABILITY, VIOLATION OF ANTI-FRAUD PROVISIONS OF UT SECURITIES ACT, FRAUD, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT AND NEGLIGENCE WITH RESPECT TO THE PURCHASE OF ING GOLDEN AMERICAN VARIABLE ANNUITY.
Product Type:	Annuity-Variable
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:	01/02/2009
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/02/2009

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Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-01435
Date Notice/Process Served:	03/25/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/29/2010
Monetary Compensation Amount:	$55,000.00
Individual Contribution Amount:	$0.00

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Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least $5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	UBS Financial Services Inc
Allegations:	Time Frame December 2013 to Present Clients allege suitability, omissions, and unauthorized trading regarding the selling of UnitedHealth and the purchasing of Hedge Funds
Product Type:	Other: Hedge Funds
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	estimated to be in excess of $5000.00
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:	09/01/2015
Complaint Pending?	No
Status:	Denied
Status Date:	09/14/2015
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	I deny this complaint. My partner and I met with the clients on numerous occasions, both together and individually, as well as had many discussions and conversations by phone. Those appointments were held to discuss with them a

strategy for a diversified allocation plan and investment proposal. Each of these appointments have been well documented. From the beginning, the hedge funds were part of the discussion because they were part of the diversified plan we were proposing to the clients after defining and understanding the client's goals and objectives. The asset allocation and investment plan proposed would meet their goals and objectives, the clients understood this and agreed to implement the plan. The clients understood the risks involved with each investment recommended including the hedge funds as well as receiving all disclosures and documents necessary to implement the plan they agreed too. The allegations lodged against me have no factual basis and I believe them to be false. Furthermore, UBS has reviewed the client's letter that was dated September 14th 2015 and denied the complaint in its entirety.

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End of Report

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