BrokerCheck Report

CARLOS VERNER UBINAS TAYLOR

CRD# 1985568

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.

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.

CARLOS V. UBINAS TAYLOR

CRD# 1985568

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

B **UBS FINANCIAL SERVICES INC.**
250 MUNOZ RIVERA AVENUE
SAN JUAN, PR 00918
CRD# 8174
Registered with this firm since: 01/26/1998

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
- 1 U.S. state or territory

This broker has passed:

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

Registration History

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

B **UBS FINANCIAL SERVICES INCORPORATED OF PUERTO RICO**
CRD# 13042
SAN JUAN, PR
04/1998 - 08/2021

B **UBS INTERNATIONAL INC.**
CRD# 107726
NEW YORK, NY
09/2009 - 01/2010

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? **No**

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 1 U.S. state or territory 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 Principal	Approved	05/16/2012
B	BOX Exchange LLC	General Securities Representative	Approved	05/16/2012
B	Cboe Exchange, Inc.	General Securities Representative	Approved	04/03/1998
B	Cboe Exchange, Inc.	General Securities Principal	Approved	05/27/2025
B	FINRA	General Securities Principal	Approved	04/03/1998
B	FINRA	General Securities Representative	Approved	04/03/1998
B	FINRA	Municipal Securities Representative	Approved	04/07/1998
B	FINRA	Municipal Securities Principal	Approved	10/15/1998
B	FINRA	Investment Banking Representative	Approved	03/30/2010
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	NYSE American LLC	General Securities Representative	Approved	04/01/1998
B	NYSE American LLC	General Securities Principal	Approved	03/19/2008
B	NYSE American LLC	Municipal Securities Principal	Approved	03/19/2008
B	NYSE American LLC	Municipal Securities Representative	Approved	03/19/2008
B	NYSE American LLC	Securities Manager	Approved	06/26/2010

Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	NYSE Arca, Inc.	General Securities Representative	Approved	04/03/1998
B	NYSE Arca, Inc.	General Securities Principal	Approved	03/19/2008
B	NYSE Texas, Inc.	General Securities Principal	Approved	05/27/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	05/27/2025
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/28/2008
B	Nasdaq ISE, LLC	General Securities Principal	Approved	08/26/2011
B	Nasdaq PHLX LLC	General Securities Representative	Approved	04/03/1998
B	Nasdaq PHLX LLC	General Securities Principal	Approved	08/26/2011
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	01/26/1998
B	New York Stock Exchange	Municipal Securities Representative	Approved	03/19/2008
B	New York Stock Exchange	Securities Manager	Approved	03/19/2010
B	New York Stock Exchange	General Securities Principal	Approved	06/26/2010
B	New York Stock Exchange	Municipal Securities Principal	Approved	06/26/2010

	U.S. State/ Territory	Category	Status	Date
B	Puerto Rico	Agent	Approved	04/03/1998

Branch Office Locations

UBS FINANCIAL SERVICES INC.
250 MUNOZ RIVERA AVENUE
SAN JUAN, PR 00918

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 3 principal/supervisory exams, 3 general industry/product exams, and 0 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B	Municipal Securities Principal Examination	Series 53	10/14/1998
B	General Securities Principal Examination	Series 24	12/18/1997

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination	Series 52TO	01/02/2023
B	Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018

State Securities Law Exams

	Exam	Category	Date
	No information reported.		

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/.

Broker Qualifications

Professional Designations

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

No information reported.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	04/1998 - 08/2021	UBS FINANCIAL SERVICES INCORPORATED OF PUERTO RICO	13042	SAN JUAN, PR
B	09/2009 - 01/2010	UBS INTERNATIONAL INC.	107726	NEW YORK, 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
06/1989 - Present	UBS FINANCIAL SERVICES INC.	MANAGING DIRECTOR	Y	SAN JUAN, PR, United States
06/1989 - Present	UBS FINANCIAL SERVICES INCORPORATED OF PUERTO RICO	PRESIDENT-COO	Y	HATO REY, PR, 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.

INTER-SECTORAL COMMITTEE ON THE IMPLEMENTATION OF LAW 232 / SAN JUAN PUERTO RICO,SELECT / THIS WAS AN UNSOLICITED APPOINTMENT BY THE GOVERNOR TO PARTICIPATE IN THE COMMITTEE THAT CONSISTS OF THE HEADS OF NUMEROUS GOVERNMENTS' AGENCIES AND REGULATORS AS WELL AS SENIOR EXECUTIVES FROM THE LARGEST FINANCIAL HOUSES./ ALEJANDRO GARCIA PADILLA, GOVERNOR OF PUERTO RICO, APPOINTED 7/31/2013 ADVISE THE GOVERNOR OF TEH IMPLEMENTATION OF A NEW INVESTMENT COMPANY LAW FOR PUERTO RICO / ADVISOR OR MEMBER OF AN ADVISORY COMMITTEE, IF THE ADVICE GIVEN WILL OR MAY INFLUENCE AN OFFICER OR BOARD OF A GOVERNMENTAL ENTITY / START DATE 07/31/2013

1)V Suarez Investments Corp
2)Santana Enterprises
3)III Carrion CT Condominium Homeowners Association

Registration and Employment History

Other Business Activities, continued

4) Corporacion del Proyect ENLACE del Cano Martin PenaAvenida Barbosa, Santiurce, PR

CANIGIPA,LLC / Puerto Rico / 3 Carrion Court, Apt. 102, Ocean Park / San Juan / Puerto Rico / United States / 00911 / / No / Partnership / / Other / Private Investment / Public securities investment. / Active Proprietor / owner / / Manage personal wealth. / 0 / No No / No / No / 43147 / / No / / No / / Yes / Yes / 50 / / Yes / San Juan, Puerto Rico / No / / Yes / / Self created, management of personal wealth. / No

CANIGIPA,LLC / 3 Carrion Court, Apt. 102, Ocean Park San Juan,Puerto Rico 00911 / Partnership/ Other Private Investment / Public securities investment. / Proprietor / owner / / Manage personal wealth. / Start Date 2/16/2018 /

End of Report

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