

BrokerCheck Report

RICHARD ADAM SUSS

CRD# 2249698

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8



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.

RICHARD A. SUSS

CRD# 2249698

Currently employed by and registered with the following Firm(s):**IA UBS FINANCIAL SERVICES INC.**

100 S.E. 2ND STREET
25th
MIAMI, FL 33131
CRD# 8174
Registered with this firm since: 05/26/2000

B UBS FINANCIAL SERVICES INC.

100 S.E. 2ND STREET
25th
MIAMI, FL 33131
CRD# 8174
Registered with this firm since: 05/26/2000

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
- 24 U.S. states and territories

This broker has passed:

- 3 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 PRUDENTIAL SECURITIES INCORPORATED**

CRD# 7471
NEW YORK, NY
07/1992 - 05/2000

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 24 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	05/16/2012
B BOX Exchange LLC	General Securities Sales Supervisor	Approved	05/18/2020
B Cboe Exchange, Inc.	General Securities Representative	Approved	05/26/2000
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	05/26/2000
B FINRA	General Securities Representative	Approved	05/26/2000
B FINRA	General Securities Sales Supervisor	Approved	05/26/2000
B NYSE American LLC	General Securities Representative	Approved	05/26/2000
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B NYSE Arca, Inc.	General Securities Representative	Approved	05/26/2000
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	05/26/2000
B NYSE Texas, Inc.	General Securities Representative	Approved	07/13/2022
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	07/13/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	01/25/2008
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq PHLX LLC	General Securities Representative	Approved	05/26/2000

Broker Qualifications



Employment 1 of 1, continued

SRO	Category	Status	Date
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	05/26/2000
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B New York Stock Exchange	General Securities Representative	Approved	05/26/2000
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	04/30/2013
B California	Agent	Approved	05/26/2000
B Colorado	Agent	Approved	04/30/2013
B Delaware	Agent	Approved	03/23/2023
B Florida	Agent	Approved	05/26/2000
IA Florida	Investment Adviser Representative	Approved	05/26/2000
B Georgia	Agent	Approved	03/17/2015
B Illinois	Agent	Approved	01/05/2012
B Indiana	Agent	Approved	01/05/2012
B Louisiana	Agent	Approved	01/05/2022
B Maryland	Agent	Approved	05/26/2000
B Massachusetts	Agent	Approved	06/27/2011
B Michigan	Agent	Approved	01/05/2012
B Mississippi	Agent	Approved	11/03/2018
B Nevada	Agent	Approved	12/04/2023

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B New Jersey	Agent	Approved	04/30/2013
B New York	Agent	Approved	05/26/2000
B North Carolina	Agent	Approved	01/05/2012
B Ohio	Agent	Approved	05/19/2011
B Oregon	Agent	Approved	05/13/2025
B Pennsylvania	Agent	Approved	01/27/2011
B Texas	Agent	Approved	05/26/2000
IA Texas	Investment Adviser Representative	Restricted Approval	01/25/2010
B Utah	Agent	Approved	09/12/2022
B Virgin Islands	Agent	Approved	05/13/2025
B Virginia	Agent	Approved	10/29/2024

Branch Office Locations

UBS FINANCIAL SERVICES INC.

100 S.E. 2ND STREET

25th

MIAMI, FL 33131

UBS FINANCIAL SERVICES INC.

Miami, FL

UBS FINANCIAL SERVICES INC.

100 SE 2nd Street,

Suite 2500

Miami, FL 33131

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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	04/10/1998

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	03/18/1993
B General Securities Representative Examination	Series 7	07/06/1992

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	08/14/1997
B Uniform Securities Agent State Law Examination	Series 63	08/12/1992

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 07/1992 - 05/2000	PRUDENTIAL SECURITIES INCORPORATED	7471	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
05/2000 - Present	UBS FINANCIAL SERVICES INC.	BUSINESS DEVELOPMENT OFFICER	Y	BOCA RATON, FL, 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) IRREVOCABLE TRUST / DAVIE,FL 33328 / TRUST/ OTHER TRUSTEE FOR ILIT - IRR LIFE INS TR / TRUSTEE FOR / TRUSTEE / ANNUAL REVIEW OF LIFE POLICIES AND CRUMMEY LETTERS DURNG LIFETIME. ADMINISTRATION OF DISTRIBUTION OF ASSETS AFTER DEATH. / START DATE 6/27/2013./

/Greater Miami Business Opportunity Fund (GMBOF) / 147 Alhambra Circle Coral Gables,FL 33143 / Foundation/ Financial (Consumer & Investment Services) / GMBOF is funded by UBS Foundation (Elevating Entrepreneuers Program) to lend small business owners in minority, veteren, woman community segments. / 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 / / Represent UBS in Miami Community at GMBOF events and to serve on Loan Committee for loans over \$250k / Start Date 7/1/2016 / 4-8 hours per quarter

We believe providing the opportunity education makes possible to those who can benefit from it the most is crucial to our community's future. / Officer / / Secretary. Responsible for communicating the organization's minutes for Board Meetings and representing the Board as an officer in the community. / Start Date 1/15/2019 / 1-2 hours per week."

4) UF Pi Kappa Alpha - Alpha Eta Chapter Alumni Association / 1904 West University Avenue Gainesville ,FL 32603 / United States / Association (e.g. Trade or Industry, Sport) / Education / The Alumni Association for Pi Kappa Alpha Fraternity at University of Florida communicates and

Registration and Employment History



Other Business Activities, continued

provides engagement activities for the alumni of the Fraternity. / Advisor or advisory group member if advice given may influence an officer/board / / Advisor to the Fraternity on financial matters / Start Date 1/1/2019 /

5) Jeffrey H Rosen Irr Trust DTD 3/17/17 Richard Suss Trustee/ investment related?: yes/ Aventura, FL, 33160/ Trustee for my Cousin's family trust FBO his children. Activities include estate planning, financial planning, fiduciary oversight investing and distributions./ start date: 3/17/2017

6) The BR Family Trust Agreement, Family Trust established via estate plan for the benefit of the son of the Grantor. R.S. is cousin of the grantor, and named as Trustee. Activities include oversight of the assets and the fiduciary of caring for the financial interests of the beneficiary, start date-12/18/2020, Aventura Florida United States-33160.

7) R.S., D.S., and J.S. JT, Renting Condo in Gainesville FL on Air BnB, Proprietor / owner, Joint Owner of Condo, start date-1/31/2019, GainesvilleFL United States-32603.

End of Report



This page is intentionally left blank.