

BrokerCheck Report

DANIEL EDWARD REBMANN

CRD# 2254569

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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:

- o 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
- o 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.



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.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.

**DANIEL E. REBMANN**

CRD# 2254569

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

IA UBS FINANCIAL SERVICES INC.
 200 CONCORD PLAZA DR
 SUITE 300
 SAN ANTONIO, TX 78216
 CRD# 8174
 Registered with this firm since: 03/18/2011

B UBS FINANCIAL SERVICES INC.
 200 CONCORD PLAZA DR
 SUITE 300
 SAN ANTONIO, TX 78216
 CRD# 8174
 Registered with this firm since: 03/18/2011

IA HILLTOP SECURITIES INDEPENDENT NETWORK INC.
 1100 NW Loop 410
 Suite 303
 San Antonio, TX 78213
 CRD# 17587
 Registered with this firm since: 10/09/2020

B HILLTOP SECURITIES INDEPENDENT NETWORK INC.
 1100 NW Loop 410
 Suite 303
 San Antonio, TX 78213
 CRD# 17587
 Registered with this firm since: 10/09/2020

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:**

- 9 Self-Regulatory Organizations
- 18 U.S. states and territories

This broker has passed:

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

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

B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 CRD# 7691
 SAN ANTONIO, TX
 07/1998 - 03/2011

IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 CRD# 7691
 NEW YORK, NY
 07/1998 - 03/2011

B BANC ONE SECURITIES CORPORATION
 CRD# 16999
 CHICAGO, IL
 04/1995 - 07/1998

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



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 9 SROs and is licensed in 18 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **HILLTOP SECURITIES INDEPENDENT NETWORK INC.**

Main Office Address: **1201 ELM STREET
SUITE 3500
DALLAS, TX 75270**

Firm CRD#: **17587**

SRO	Category	Status	Date
B FINRA	General Securities Representative	APPROVED	10/09/2020
B FINRA	General Securities Sales Supervisor	APPROVED	10/09/2020

U.S. State/ Territory	Category	Status	Date
B Arkansas	Agent	APPROVED	10/09/2020
B California	Agent	APPROVED	10/09/2020
IA California	Investment Adviser Representative	APPROVED	10/09/2020
B Colorado	Agent	APPROVED	10/09/2020
IA Colorado	Investment Adviser Representative	APPROVED	10/14/2020
B Georgia	Agent	APPROVED	10/09/2020
IA Georgia	Investment Adviser Representative	APPROVED	10/14/2020
B Louisiana	Agent	APPROVED	10/09/2020
B Massachusetts	Agent	APPROVED	10/09/2020
B Missouri	Agent	APPROVED	10/09/2020
IA Missouri	Investment Adviser Representative	APPROVED	10/13/2020



Broker Qualifications

Employment 1 of 2, continued

U.S. State/ Territory	Category	Status	Date
IA New Hampshire	Investment Adviser Representative	APPROVED	10/09/2020
B New Hampshire	Agent	APPROVED	10/09/2020
B North Carolina	Agent	APPROVED	10/09/2020
B Texas	Agent	APPROVED	10/09/2020
IA Texas	Investment Adviser Representative	APPROVED	10/09/2020
B Washington	Agent	APPROVED	10/09/2020

Branch Office Locations

HILLTOP SECURITIES INDEPENDENT NETWORK INC.

1100 NW Loop 410
Suite 303
San Antonio, TX 78213

Employment 2 of 2

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 BOX Exchange LLC	General Securities Sales Supervisor	APPROVED	05/18/2020
B Cboe Exchange, Inc.	General Securities Representative	APPROVED	03/18/2011
B Cboe Exchange, Inc.	General Securities Sales Supervisor	APPROVED	03/18/2011
B FINRA	General Securities Representative	APPROVED	03/18/2011
B FINRA	General Securities Sales Supervisor	APPROVED	03/18/2011



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B NYSE American LLC	General Securities Representative	APPROVED	03/18/2011
B NYSE American LLC	General Securities Sales Supervisor	APPROVED	10/01/2018
B NYSE Arca, Inc.	General Securities Representative	APPROVED	03/18/2011
B NYSE Arca, Inc.	General Securities Sales Supervisor	APPROVED	03/18/2011
B Nasdaq ISE, LLC	General Securities Representative	APPROVED	03/18/2011
B Nasdaq ISE, LLC	General Securities Sales Supervisor	APPROVED	10/01/2018
B Nasdaq PHLX LLC	General Securities Representative	APPROVED	03/18/2011
B Nasdaq PHLX LLC	General Securities Sales Supervisor	APPROVED	03/18/2011
B Nasdaq Stock Market	General Securities Representative	APPROVED	03/18/2011
B Nasdaq Stock Market	General Securities Sales Supervisor	APPROVED	03/18/2011
B New York Stock Exchange	General Securities Representative	APPROVED	03/18/2011
B New York Stock Exchange	General Securities Sales Supervisor	APPROVED	10/01/2018

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	APPROVED	10/04/2017
B Arkansas	Agent	APPROVED	03/18/2011
B California	Agent	APPROVED	03/18/2011
B Colorado	Agent	APPROVED	08/02/2013
B Connecticut	Agent	APPROVED	03/18/2011
B Florida	Agent	APPROVED	11/12/2015
B Georgia	Agent	APPROVED	10/19/2016
B Kansas	Agent	APPROVED	03/14/2019



Broker Qualifications

Employment 2 of 2, continued

U.S. State/ Territory	Category	Status	Date
B Louisiana	Agent	APPROVED	03/18/2011
B Massachusetts	Agent	APPROVED	03/18/2011
B Michigan	Agent	APPROVED	10/24/2017
B Missouri	Agent	APPROVED	08/16/2018
B New Hampshire	Agent	APPROVED	02/12/2013
B North Carolina	Agent	APPROVED	06/12/2012
B North Dakota	Agent	APPROVED	12/09/2019
B Oklahoma	Agent	APPROVED	08/19/2020
B Texas	Agent	APPROVED	03/18/2011
IA Texas	Investment Adviser Representative	APPROVED	03/18/2011
B Washington	Agent	APPROVED	03/18/2011

Branch Office Locations

UBS FINANCIAL SERVICES INC.
 200 CONCORD PLAZA DR
 SUITE 300
 SAN ANTONIO, TX 78216



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.

This individual has passed 2 principal/supervisory exams, 4 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	04/30/2007
B General Securities Sales Supervisor - Options Module Examination	Series 9	02/27/2007

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	02/07/2011
B Futures Managed Funds Examination	Series 31	09/05/2000
B General Securities Representative Examination	Series 7	07/13/1992

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	04/28/1997
B Uniform Securities Agent State Law Examination	Series 63	07/20/1992

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 07/1998 - 03/2011	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SAN ANTONIO, TX
IA 07/1998 - 03/2011	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SAN ANTONIO, TX
B 04/1995 - 07/1998	BANC ONE SECURITIES CORPORATION	16999	CHICAGO, IL
B 07/1992 - 04/1995	EDWARD D. JONES & CO., L.P.	250	ST. LOUIS, MO

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
03/2011 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	SAN ANTONIO, TX, United States
07/1998 - 03/2011	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	NOT PROVIDED	Y	SAN ANTONIO, TX, 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)REBTECH INDUSTRIES INC;111 TOWNE VUE SAN ANTONIO TX;NOT INVTS RLTD; MANUFACTURING OR MACHINING/ASSIST IN MARKETING 3PM CONTROLS EQUIPMENT AND SERVICE; PRESIDENT; START-07-01-2009; # HRS MNT-20+; # HRS TRD-11 - 20;FINANCIAL OVERSIGHT
2)3PM TECHNOLOGIES LLC / 4449 EASTON WAY COLUMBUS,OHIO 43219 / COMPANY/ ENGINEERING (AEROSPACE, MACHINERY & EQUIPMENT, PRECISION ENGINEERING, WATCHES & JEWELLERY) / MANUFACTURE CNC MACHINE MONITORS / OFFICER /PRESIDENT / START DATE 8/01/2009 / 10-20



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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	Claimants allege structured products were purchased in their accounts without authorization. Time frame: July 2013 - October 2014.
Product Type:	Other: STRUCTURED PRODUCTS
Alleged Damages:	\$95,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	16-00648
Filing date of arbitration/CFTC reparation or civil litigation:	03/08/2016

Customer Complaint Information

Date Complaint Received: 03/08/2016



Complaint Pending?	No
Status:	Settled
Status Date:	07/13/2016
Settlement Amount:	\$25,000.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Allegations:	THE CUSTOMER ALLEGES UNSUITABLE INVESTMENT RECOMMENDATIONS AND MISREPRESENTATION AND OMISSION OF MATERIAL FACTS FROM SEPTEMBER 2010 TO OCTOBER 2010.
Product Type:	Other: STRUCTURED PRODUCTS
Alleged Damages:	\$44,610.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	14-00517
Filing date of arbitration/CFTC reparation or civil litigation:	02/14/2014

Customer Complaint Information

Date Complaint Received:	02/27/2014
Complaint Pending?	No
Status:	Settled
Status Date:	09/10/2015



Settlement Amount: \$35,500.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: THE CUSTOMER ALLEGES UNSUITABLE INVESTMENT RECOMMENDATIONS AND MISREPRESENTATION AND OMISSION OF MATERIAL FACTS FROM SEPTEMBER 2010 TO OCTOBER 2010.

Product Type: Other: STRUCTURED PRODUCTS

Alleged Damages: \$44,610.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 14-00517

Filing date of arbitration/CFTC reparation or civil litigation: 02/14/2014

Customer Complaint Information

Date Complaint Received: 02/27/2014

Complaint Pending? No

Status: Settled

Status Date: 09/10/2015

Settlement Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Broker Statement I DENY THE ALLEGATIONS AS ASSOCIATED WITH MY RECOMMENDATION



AND SELLING OF THIS PRODUCT TO THE CLIENT. THIS PRODUCT WAS A STRUCTURED PRODUCT ISSUED BY MY FORMER EMPLOYER, MERRILL LYNCH. THE FUND WAS TIED TO AN INDEX KNOWN AS THE "INVESTABLE VOLATILITY INDEX", WHICH WAS DESIGNED TO GIVE THE CLIENT PROTECTION AGAINST AN INCREASE IN VOLATILITY OVER THE LIFE OF THE NOTE. I SOLD THIS PRODUCT BASED ON THE SALES LITERATURE AND PROSPECTUS GIVEN TO ME BASED ON THIS OFFERING. I RECOMMENDED THIS INVESTMENT TO THE CLIENT AT A TIME OF HIGHER VOLATILITY AND AT THE POINT OF SALE, BELIEVED IT TO BE SUITABLE FOR THE CLIENT. I AM NOT RESPONSIBLE FOR THE PERFORMANCE OF THE PRODUCT NOR DID I HAVE ANY CONTROL OVER THE FACTORS WHICH CAUSED THE PRODUCT TO LOSE VALUE. THIS STRUCTURED PRODUCT DID NOT PERFORM AS I BELIEVED BASED ON THE INFORMATION GIVEN BY INTERNAL SOURCES AT MY PRIOR FIRM. HAD I KNOWN THIS, I WOULD NOT HAVE RECOMMENDED THIS PRODUCT FOR MY CLIENT. THE ALLEGATIONS AS STATED SHOULD NOT BE CONSTRUED AS ANY WRONG DOING OR VIOLATION OF RULES ON MY PART. I BELIEVE THESE ALLEGATIONS WILL BE PROVEN FALSE AS ALLEGED TOWARDS ME.

End of Report



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