

## BrokerCheck Report

# LUCIA RITA FIUMARA

CRD# 2844301

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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.

## 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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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)

**LUCIA R. FIUMARA**

CRD# 2844301

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

**IA UBS FINANCIAL SERVICES INC.**  
 1 NORTH WACKER DRIVE  
 32ND & 33RD  
 CHICAGO, IL 60606  
 CRD# 8174  
 Registered with this firm since: 01/21/1999

**B UBS FINANCIAL SERVICES INC.**  
 1 NORTH WACKER DRIVE  
 32ND & 33RD  
 CHICAGO, IL 60606  
 CRD# 8174  
 Registered with this firm since: 02/21/1997

**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
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

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

No information reported.

**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 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**

	<b>SRO</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	BOX Exchange LLC	General Securities Representative	Approved	05/16/2012
<b>B</b>	Cboe Exchange, Inc.	General Securities Representative	Approved	02/21/1997
<b>B</b>	FINRA	General Securities Representative	Approved	02/21/1997
<b>B</b>	NYSE American LLC	General Securities Representative	Approved	04/14/1997
<b>B</b>	NYSE Arca, Inc.	General Securities Representative	Approved	02/21/1997
<b>B</b>	NYSE Texas, Inc.	General Securities Representative	Approved	07/13/2022
<b>B</b>	Nasdaq ISE, LLC	General Securities Representative	Approved	01/28/2008
<b>B</b>	Nasdaq PHLX LLC	General Securities Representative	Approved	02/21/1997
<b>B</b>	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
<b>B</b>	New York Stock Exchange	General Securities Representative	Approved	04/14/1997

	<b>U.S. State/ Territory</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	Arizona	Agent	Approved	09/23/2024
<b>B</b>	Arkansas	Agent	Approved	04/30/2015
<b>B</b>	California	Agent	Approved	12/11/1997



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	08/15/2023
B	Delaware	Agent	Approved	03/14/2019
B	District of Columbia	Agent	Approved	05/14/2012
B	Florida	Agent	Approved	08/05/1997
IA	Florida	Investment Adviser Representative	Approved	06/14/2024
B	Georgia	Agent	Approved	02/20/2008
B	Illinois	Agent	Approved	03/04/1997
IA	Illinois	Investment Adviser Representative	Approved	01/21/1999
B	Indiana	Agent	Approved	08/11/2009
B	Kansas	Agent	Approved	02/07/2019
B	Kentucky	Agent	Approved	07/18/2014
B	Louisiana	Agent	Approved	01/04/2023
B	Maryland	Agent	Approved	08/18/2025
B	Massachusetts	Agent	Approved	06/09/2005
B	Michigan	Agent	Approved	08/25/1997
B	Minnesota	Agent	Approved	11/13/2009
B	Missouri	Agent	Approved	02/02/2023
B	Montana	Agent	Approved	06/02/2026
B	New Jersey	Agent	Approved	01/24/2019
B	New York	Agent	Approved	09/10/1997
B	North Carolina	Agent	Approved	08/05/2004



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Ohio	Agent	Approved	10/03/2003
B	Oklahoma	Agent	Approved	04/30/2015
B	Pennsylvania	Agent	Approved	01/24/2019
B	South Carolina	Agent	Approved	01/24/2019
B	Texas	Agent	Approved	07/25/2007
IA	Texas	Investment Adviser Representative	Restricted Approval	09/11/2007
B	Utah	Agent	Approved	01/24/2019
B	Virginia	Agent	Approved	10/18/2004
B	Wisconsin	Agent	Approved	01/24/2019

### Branch Office Locations

**UBS FINANCIAL SERVICES INC.**  
 1 NORTH WACKER DRIVE  
 32ND & 33RD  
 CHICAGO, IL 60606

**UBS FINANCIAL SERVICES INC.**  
 Oak Park, IL

**UBS FINANCIAL SERVICES INC.**  
 Clearwater, FL



## 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, 2 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>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	02/20/1997

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	03/03/1997
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	03/03/1997

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/](http://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
No information reported.			

### 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
12/1996 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	CHICAGO, IL, 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.

Beach Escape LLC / set up a personal limited liability for investment property / 643 Bay Esplanade, Clearwater Beach, FL 33767 / United States / manage rental activity / Start Date 12/1/2019 /

643 Bay Esplanade Blvd / United States / 643 Bay Esplanade Blvd, Clearwater Beach Florida, Pinellas County, Florida 33767/ Sole proprietorship / Real Estate / as owner of this property - I am disclosing it as part of the rental income ( Role of managing your property) / set up leasing and rental agreement / Receive Compensation?: YES / Investment In Company?: YES, 100% / Start Date 12/1/2019

3) Name of Business; NIHRC Northwest Illinois Human Resource Council./ Address: P.O Box 582 West Dundee, IL 60118West Dundee Illinois United States 60118./Investment Related: No./ Nature: Manage events and potential conference programs for the chapter along with implanting DEI opportunities through programs and other opportunities as the director sees fit. Research potential speakers and topics and serve as liaison to speakers. Work in coordination with Admin/Social Media Director and VP./Role: Program Director./ Duty: Manage events and potential conference programs for the chapter along with implanting DEI opportunities through programs and other opportunities as the director sees fit. Research potential speakers and topics and serve as liaison to speakers. Work in coordination with Admin/Social Media Director and VP./ Start Date: 5/15/2023./ Hours Devoted: No./ Time Required: No.

4) Name of Business: Illinois Tech./ Address: 10 w 35th street COOK ilk United States60616./ Investment Related: No./ Nature: "BoA members are asked to attend two annual meetings, share strategic insights with the School's leadership, facilitate connections to the business community, and contribute at least \$5,000 annually to support Stuart's strategic initiatives. BoA members may also choose to participate in the BoA

## Registration and Employment History



### Other Business Activities, continued

Mentorship Program, which pairs highly qualified students with members of the Board of Advisors for an academic year (nine-month) mentoring program. BoA member terms are three years, with the option to renew. The BoA meets twice a year and meetings are hybrid with a virtual option. Our next meeting will be on April 24, 2024./ Role: Advisor or advisory group member if advice given may influence an officer/board./ Duty: BoA members are asked to attend two annual meetings, share strategic insights with the School's leadership, facilitate connections to the business community./ Start Date: 2/1/2024./ Time Required: N/A.

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## End of Report



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