

BrokerCheck Report

LEE JOHN GIORDANO

CRD# 2912588

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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



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.

LEE J. GIORDANO

CRD# 2912588

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

IA UBS FINANCIAL SERVICES INC.
 1000 Harbor Blvd
 Weehawken, NJ 07086
 CRD# 8174
 Registered with this firm since: 11/09/2016

B UBS FINANCIAL SERVICES INC.
 1200 HARBOR BOULEVARD
 WEEHAWKEN, NJ 07086
 CRD# 8174
 Registered with this firm since: 11/07/2016

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
- 53 U.S. states and territories

This broker has passed:

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

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

B PENSERRA SECURITIES, LLC
 CRD# 145994
 NEW YORK, NY
 08/2016 - 11/2016

B CRT CAPITAL GROUP LLC
 CRD# 28830
 STAMFORD, CT
 02/2014 - 06/2016

IA IMPERIAL CAPITAL ASSET MANAGEMENT LLC
 CRD# 108258
 PALM BEACH GARDENS, FL
 05/2009 - 02/2014

**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 53 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	11/07/2016
B	BOX Exchange LLC	General Securities Principal	Approved	09/27/2019
B	Cboe Exchange, Inc.	General Securities Representative	Approved	11/07/2016
B	FINRA	General Securities Representative	Approved	11/07/2016
B	FINRA	Research Analyst	Approved	11/07/2016
B	FINRA	General Securities Principal	Approved	09/27/2019
B	NYSE American LLC	General Securities Representative	Approved	11/07/2016
B	NYSE American LLC	Research Analyst	Approved	11/07/2016
B	NYSE American LLC	General Securities Principal	Approved	09/27/2019
B	NYSE Arca, Inc.	General Securities Representative	Approved	11/07/2016
B	NYSE Arca, Inc.	General Securities Principal	Approved	09/27/2019
B	NYSE Texas, Inc.	General Securities Representative	Approved	08/03/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	11/07/2016
B	Nasdaq ISE, LLC	General Securities Principal	Approved	09/27/2019
B	Nasdaq PHLX LLC	General Securities Representative	Approved	11/07/2016

Broker Qualifications



Employment 1 of 1, continued

	SRO	Category	Status	Date
B	Nasdaq PHLX LLC	General Securities Principal	Approved	09/27/2019
B	Nasdaq Stock Market	General Securities Representative	Approved	11/07/2016
B	Nasdaq Stock Market	General Securities Principal	Approved	09/27/2019
B	New York Stock Exchange	General Securities Representative	Approved	11/07/2016
B	New York Stock Exchange	Research Analyst	Approved	11/07/2016
B	New York Stock Exchange	General Securities Principal	Approved	09/27/2019

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	11/07/2016
B	Alaska	Agent	Approved	11/07/2016
B	Arizona	Agent	Approved	11/07/2016
B	Arkansas	Agent	Approved	11/07/2016
B	California	Agent	Approved	11/07/2016
B	Colorado	Agent	Approved	11/07/2016
B	Connecticut	Agent	Approved	11/07/2016
B	Delaware	Agent	Approved	11/07/2016
B	District of Columbia	Agent	Approved	11/07/2016
B	Florida	Agent	Approved	11/07/2016
B	Georgia	Agent	Approved	11/07/2016
B	Hawaii	Agent	Approved	11/07/2016
B	Idaho	Agent	Approved	11/07/2016
B	Illinois	Agent	Approved	11/07/2016

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Indiana	Agent	Approved	11/07/2016
B	Iowa	Agent	Approved	11/07/2016
B	Kansas	Agent	Approved	11/07/2016
B	Kentucky	Agent	Approved	11/07/2016
B	Louisiana	Agent	Approved	11/07/2016
B	Maine	Agent	Approved	11/07/2016
B	Maryland	Agent	Approved	11/07/2016
B	Massachusetts	Agent	Approved	11/07/2016
B	Michigan	Agent	Approved	11/07/2016
B	Minnesota	Agent	Approved	11/07/2016
B	Mississippi	Agent	Approved	11/07/2016
B	Missouri	Agent	Approved	11/07/2016
B	Montana	Agent	Approved	11/07/2016
B	Nebraska	Agent	Approved	11/07/2016
B	Nevada	Agent	Approved	11/07/2016
B	New Hampshire	Agent	Approved	11/07/2016
B	New Jersey	Agent	Approved	11/07/2016
IA	New Jersey	Investment Adviser Representative	Approved	11/09/2016
B	New Mexico	Agent	Approved	11/07/2016
B	New York	Agent	Approved	11/07/2016
B	North Carolina	Agent	Approved	11/08/2016



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	North Dakota	Agent	Approved	11/07/2016
B	Ohio	Agent	Approved	11/08/2016
B	Oklahoma	Agent	Approved	11/07/2016
B	Oregon	Agent	Approved	11/07/2016
B	Pennsylvania	Agent	Approved	11/07/2016
B	Puerto Rico	Agent	Approved	11/07/2016
B	Rhode Island	Agent	Approved	11/07/2016
B	South Carolina	Agent	Approved	11/07/2016
B	South Dakota	Agent	Approved	11/07/2016
B	Tennessee	Agent	Approved	11/07/2016
B	Texas	Agent	Approved	11/07/2016
B	Utah	Agent	Approved	11/07/2016
B	Vermont	Agent	Approved	11/07/2016
B	Virgin Islands	Agent	Approved	11/07/2016
B	Virginia	Agent	Approved	11/07/2016
B	Washington	Agent	Approved	11/07/2016
B	West Virginia	Agent	Approved	11/07/2016
B	Wisconsin	Agent	Approved	11/07/2016
B	Wyoming	Agent	Approved	11/07/2016

Branch Office Locations

Broker Qualifications



Employment 1 of 1, continued

UBS FINANCIAL SERVICES INC.

1200 HARBOR BOULEVARD
WEEHAWKEN, NJ 07086

UBS FINANCIAL SERVICES INC.

1000 Harbor Blvd
Weehawken, NJ 07086

UBS FINANCIAL SERVICES INC.

Westfield, NJ



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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	09/27/2019

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Research Analyst Exam - Part II Regulations Module	Series 87	10/28/2004
B General Securities Representative Examination	Series 7	07/30/1997

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	06/16/2009
B Uniform Securities Agent State Law Examination	Series 63	08/13/1997

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/.



Broker Qualifications

Professional Designations

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Analyst

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 08/2016 - 11/2016	PENSERRA SECURITIES, LLC	145994	NEW YORK, NY
B 02/2014 - 06/2016	CRT CAPITAL GROUP LLC	28830	STAMFORD, CT
IA 05/2009 - 02/2014	IMPERIAL CAPITAL ASSET MANAGEMENT LLC	108258	PALM BEACH GARDENS, FL
B 05/2009 - 02/2014	IMPERIAL CAPITAL, LLC	43744	NEW YORK, NY
B 06/2005 - 04/2009	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B 05/2004 - 05/2005	INDEPENDENT RESEARCH GROUP LLC	124432	NEW YORK, NY
B 07/1997 - 05/2004	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	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
10/2016 - Present	UBS Financial Services Inc.	Analyst	Y	Weehawken, NJ, United States
08/2016 - 10/2016	Penserra Securities LLC	research Analyst	Y	New York, NY, United States
02/2014 - 06/2016	CRT CAPITAL GROUP LLC	RESEARCH ANALYST	Y	STAMFORD, CT, 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.

Registration and Employment History



Other Business Activities, continued

1) Weichert Referral Associates; licensed realtor providing referrals; Referral Associate; Zero hours a month devoted to this service as it is infrequent; Not investment related; Licensed as of September 1997.; Morris Plains, NJ 07950; Company; Real Estate; Residential real estate agent referrals; Licensed associate; Refer home buyer/seller to a full time real estate agent; Start Date 8/17/1998 ///

2) Republican County Committee; Westfield, New Jersey 07090; Political Organization; elected position; The Republican County Committee seeks to help educate voters about candidates and issues.; Member of a committee representing the interests of any third party; Represent my local district as a member of the county committee with the goal of educating voters about candidates and issues.; Start date: 6/17/2024

End of Report



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