

BrokerCheck Report

JASON MARTIN SCHLESINGER

CRD# 2967765

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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.

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

JASON M. SCHLESINGER

CRD# 2967765

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

B UBS FINANCIAL SERVICES INC.
 2 Belvedere Place
 Suite 220
 Mill Valley, CA 94941
 CRD# 8174
 Registered with this firm since: 01/17/2020

IA UBS FINANCIAL SERVICES INC.
 2 Belvedere Place
 Suite 220
 Mill Valley, CA 94941
 CRD# 8174
 Registered with this firm since: 01/22/2020

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:**

- 10 Self-Regulatory Organizations
- 34 U.S. states and territories

This broker has passed:

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

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

- IA ROBERT W. BAIRD & CO. INCORPORATED**
 CRD# 8158
 MILWAUKEE, WI
 03/2011 - 02/2020
- B ROBERT W. BAIRD & CO. INCORPORATED**
 CRD# 8158
 Mill Valley, CA
 03/2011 - 02/2020
- B WELLS FARGO ADVISORS, LLC**
 CRD# 19616
 ST. LOUIS, MO
 01/2011 - 03/2011

**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	3



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 34 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	01/17/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	01/17/2020
B	FINRA	General Securities Representative	Approved	01/17/2020
B	NYSE American LLC	General Securities Representative	Approved	01/17/2020
B	NYSE Arca, Inc.	General Securities Representative	Approved	01/17/2020
B	NYSE Chicago, Inc.	General Securities Representative	Approved	01/17/2020
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/17/2020
B	Nasdaq PHLX LLC	General Securities Representative	Approved	01/17/2020
B	Nasdaq Stock Market	General Securities Representative	Approved	01/17/2020
B	New York Stock Exchange	General Securities Representative	Approved	01/17/2020

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	02/04/2020
B	Arizona	Agent	Approved	02/04/2020
B	California	Agent	Approved	01/17/2020



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	01/22/2020
B	Colorado	Agent	Approved	02/04/2020
B	Connecticut	Agent	Approved	11/07/2023
B	Delaware	Agent	Approved	02/15/2024
B	District of Columbia	Agent	Approved	12/20/2022
B	Florida	Agent	Approved	02/05/2020
B	Hawaii	Agent	Approved	02/14/2020
B	Idaho	Agent	Approved	09/22/2023
B	Illinois	Agent	Approved	12/14/2022
B	Indiana	Agent	Approved	01/03/2022
B	Maine	Agent	Approved	01/31/2020
B	Maryland	Agent	Approved	11/09/2023
B	Massachusetts	Agent	Approved	02/04/2020
B	Michigan	Agent	Approved	02/04/2020
B	Minnesota	Agent	Approved	02/04/2020
B	Nevada	Agent	Approved	01/31/2020
B	New Hampshire	Agent	Approved	02/04/2020
B	New Jersey	Agent	Approved	02/04/2020
B	New York	Agent	Approved	02/04/2020
B	North Carolina	Agent	Approved	11/13/2023
B	Ohio	Agent	Approved	11/07/2023



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Oregon	Agent	Approved	01/21/2020
B	Pennsylvania	Agent	Approved	09/25/2023
B	Rhode Island	Agent	Approved	09/25/2023
B	Texas	Agent	Approved	02/04/2020
B	Utah	Agent	Approved	02/04/2020
B	Vermont	Agent	Approved	02/04/2020
B	Virginia	Agent	Approved	11/08/2023
B	Washington	Agent	Approved	02/04/2020
B	West Virginia	Agent	Approved	02/04/2020
B	Wisconsin	Agent	Approved	11/07/2023
B	Wyoming	Agent	Approved	02/21/2024

Branch Office Locations

UBS FINANCIAL SERVICES INC.

2 Belvedere Place
Suite 220
Mill Valley, CA 94941

UBS FINANCIAL SERVICES INC.

123 Island View Ln
Chatham, MA 02659



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - Options Module Examination	Series 9	03/30/2009

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	08/23/2011
B General Securities Representative Examination	Series 7	12/04/1997

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	04/14/1998

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
IA 03/2011 - 02/2020	ROBERT W. BAIRD & CO. INCORPORATED	8158	Mill Valley, CA
B 03/2011 - 02/2020	ROBERT W. BAIRD & CO. INCORPORATED	8158	Mill Valley, CA
B 01/2011 - 03/2011	WELLS FARGO ADVISORS, LLC	19616	ST. LOUIS, MO
IA 01/2011 - 03/2011	WELLS FARGO ADVISORS, LLC	19616	ST. LOUIS, MO
B 11/2009 - 01/2011	WELLS FARGO INVESTMENTS, LLC	10582	SAN FRANCISCO, CA
IA 11/2009 - 01/2011	WELLS FARGO INVESTMENTS, LLC	10582	SAN FRANCISCO, CA
IA 04/2008 - 11/2009	WELLS FARGO ADVISORS, LLC	19616	SAN FRANCISCO, CA
B 04/2008 - 11/2009	WELLS FARGO ADVISORS, LLC	19616	SAN FRANCISCO, CA
B 07/1999 - 04/2008	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	SAN FRANCISCO, CA
IA 09/1998 - 04/2008	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	SAN FRANCISCO, CA
B 12/1997 - 07/1999	BA INVESTMENT SERVICES, INC.	12965	OAKLAND, CA

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
01/2020 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	Mill Valley, CA, United States
03/2011 - 01/2020	ROBERT W. BAIRD	FINANCIAL ADVISOR	Y	SAN FRANCISCO, CA, United States



Registration and Employment History

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.

Name/Address: Make a Wish, Bay Area 1333 Broadway, #200 Oakland CA 94612

Investment related. Start date: 1/1/2019

Role/Responsibility: Question the guidance of the financial services provider/oversee the financial services provider, Help manage the investments.

Hours spent: 2 hours/week, 1 hour/week during trading hours

The Better Angels Society / United States / 2000 Massachusetts Ave. Washington, DC 20036 / Foundation / Charity / TO fund the films of Ken Burns / Member of Board of directors / Finance and audit committees / Yes, as member of a audit committee / Start Date 1/1/2014

3) Name of Business: Take me to the River./ Address: 1505 Bridgeway, suite 201 Sausalito United States 94965./ Investment Related: No./ Nature: Building music educational programs for public schools./ Role: Member of Board of directors./ Duty: Strategic planning./ Start Date: 1/1/2023./ Hours Devoted: No./ Time Required: yes.



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:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - 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.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - 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.
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4. **There are different statuses and dispositions for disclosure events:**
 - 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.
 - 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	3	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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BANC OF AMERICA INVESTMENT SERVICES, INC.
Allegations:	SUITABILITY
Product Type:	Other: AUCTION RATE SECURITIES - CLOSED END FUNDS
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/09/2009
Complaint Pending?	No
Status:	Settled
Status Date:	06/09/2009



Settlement Amount: \$5,125,000.00

Individual Contribution Amount: \$0.00

Firm Statement

THIS MATTER INVOLVES THE SALE OF AUCTION RATE SECURITIES (ARS). THE TRANSACTION(S) AT ISSUE TOOK PLACE BEFORE MID-FEBRUARY 2008, WHEN THE ARS MARKET SUFFERED WIDESPREAD AUCTION FAILURES AND ILLIQUIDITY. THE FINANCIAL ADVISOR DID NOT CAUSE, CONTRIBUTE OR HAVE ANY CONTROL WHATSOEVER OVER THESE MARKET EVENTS. THE FIRM REACHED AGREEMENT WITH CERTAIN OF ITS REGULATORS, PURSUANT TO WHICH IT REPURCHASED ARS FOR THEIR FULL PAR VALUE FROM CERTAIN CLIENTS, INCLUDING THE INSTANT CLIENT, WHERE THEY COMPLAINED OR NOT. THE FINANCIAL ADVISOR WAS NOT A PARTY TO THAT AGREEMENT, DID NOT MAKE ANY PAYMENT TO THE CLIENT, AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THE SETTLEMENT AMOUNT IN ITEM 11 ABOVE REFLECTS THE PAR VALUE OF THE REPURCHASED ARS, AS REQUIRED BY FINRA REGULATORY NOTICE 09-12.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BANC OF AMERICA INVESTMENT SERVICES, IN

Allegations: SUITABILITY

Product Type: Other: AUCTION RATE SECURITIES- CLOSED END FUNDS

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): UNSPECIFIED

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 06/09/2009

Complaint Pending? No



Status:	Settled
Status Date:	06/09/2009
Settlement Amount:	\$5,125,000.00
Individual Contribution Amount:	\$0.00



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BANC OF AMERICA INVESTMENT SERVICES, INC.

Allegations: ATTORNEY FOR THE CUSTOMER CLAIMS MULTIPLE SALES PRACTICE ALLEGATIONS SURROUNDING THE TRANSFER OF FUNDS AND CUSTOMER'S SUBSEQUENT INVESTMENTS IN A MANAGED ACCOUNT DURING THE PERIOD OF OCTOBER 2007 THROUGH FEBRUARY 2008. COMPENSATORY DAMAGES OF \$52,000 ALLEGED.

Product Type: Other

Other Product Type(s): MANAGED / WRAP ACCOUNT

Alleged Damages: \$52,000.00

Customer Complaint Information

Date Complaint Received: 04/23/2008

Complaint Pending? No

Status: Denied

Status Date: 09/16/2008

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BANC OF AMERICA INVESTMENT SERVICES, INC.

Allegations: ATTORNEY FOR THE CUSTOMER CLAIMS MULTIPLE SALES PRACTICE ALLEGATIONS SURROUNDING THE TRANSFER OF FUNDS AND CUSTOMER'S SUBSEQUENT INVESTMENTS IN A MANAGED ACCOUNT



DURING THE PERIOD OF OCTOBER 2007 THROUGH FEBRUARY 2008.
COMPENSATORY DAMAGES OF \$52,000 ALLEGED.

Product Type: Other
Other Product Type(s): MANAGED/WRAP ACCOUNT
Alleged Damages: \$52,000.00

Customer Complaint Information

Date Complaint Received: 04/23/2008
Complaint Pending? No
Status: Denied
Status Date: 09/16/2008
Settlement Amount:
Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: BANC OF AMERICA INVESTMENT SERVICES, INC.
Allegations: CUSTOMER ALLEGES THAT THE FINANCIAL ADVISOR FAILED TO DISCLOSE THE RISKS ASSOCIATED WITH A COLLATERALIZED DEBT OBLIGATION INVESTMENT IN JUNE 2007. COMPENSATORY DAMAGES UNSPECIFIED.
Product Type: Debt-Asset Backed
Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): UNSPECIFIED DAMAGES BELIEVED TO EXCEED \$5,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information



Date Complaint Received: 06/09/2008

Complaint Pending? No

Status: Denied

Status Date: 10/23/2009

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BANC OF AMERICA INVESTMENT SERVICES, INC.

Allegations: CUSTOMER ALLEGES THAT THE FINANCIAL ADVISOR FAILED TO DISCLOSE THE RISKS ASSOCIATED WITH A COLLATERALIZED DEBT OBLIGATION INVESTMENT IN JUNE 2007. COMPENSATORY DAMAGES UNSPECIFIED.

Product Type: Debt-Asset Backed

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): UNSPECIFIED DAMAGES BELIEVED TO EXCEED \$5000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 06/09/2008

Complaint Pending? No

Status: Denied

Status Date: 10/23/2009

Settlement Amount:



**Individual Contribution
Amount:**

End of Report



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