

## BrokerCheck Report

### WILLIAM GERALD SMITH

CRD# 4362232

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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.

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).

**WILLIAM G. SMITH**

CRD# 4362232

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

**IA UBS FINANCIAL SERVICES INC.**  
 3700 GLENWOOD AVENUE Suite 300  
 RALEIGH, NC 27612  
 CRD# 8174  
 Registered with this firm since: 03/16/2009

**B UBS FINANCIAL SERVICES INC.**  
 3700 GLENWOOD AVENUE Suite 300  
 RALEIGH, NC 27612  
 CRD# 8174  
 Registered with this firm since: 03/16/2009

**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
- 29 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):**

**IA BANC OF AMERICA INVESTMENT SERVICES, INC.**  
 CRD# 16361  
 BOSTON, MA  
 01/2003 - 03/2009

**B BANC OF AMERICA INVESTMENT SERVICES, INC.**  
 CRD# 16361  
 RALEIGH, NC  
 05/2001 - 03/2009

**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 29 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	05/15/2012
<b>B</b>	Cboe Exchange, Inc.	General Securities Representative	Approved	03/16/2009
<b>B</b>	FINRA	General Securities Representative	Approved	03/16/2009
<b>B</b>	NYSE American LLC	General Securities Representative	Approved	03/16/2009
<b>B</b>	NYSE Arca, Inc.	General Securities Representative	Approved	03/16/2009
<b>B</b>	NYSE Chicago, Inc.	General Securities Representative	Approved	07/20/2022
<b>B</b>	Nasdaq ISE, LLC	General Securities Representative	Approved	03/16/2009
<b>B</b>	Nasdaq PHLX LLC	General Securities Representative	Approved	03/16/2009
<b>B</b>	Nasdaq Stock Market	General Securities Representative	Approved	03/16/2009
<b>B</b>	New York Stock Exchange	General Securities Representative	Approved	03/16/2009

	<b>U.S. State/ Territory</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	Alabama	Agent	Approved	07/09/2021
<b>B</b>	Arizona	Agent	Approved	08/02/2022
<b>B</b>	Arkansas	Agent	Approved	07/14/2021



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	03/16/2009
B	Colorado	Agent	Approved	12/09/2010
B	Connecticut	Agent	Approved	05/20/2011
B	Delaware	Agent	Approved	05/19/2011
B	District of Columbia	Agent	Approved	01/05/2017
B	Florida	Agent	Approved	03/16/2009
B	Georgia	Agent	Approved	08/21/2014
B	Illinois	Agent	Approved	08/23/2016
B	Kansas	Agent	Approved	07/27/2023
B	Maryland	Agent	Approved	07/25/2013
B	Massachusetts	Agent	Approved	03/17/2010
B	Michigan	Agent	Approved	01/26/2010
B	Minnesota	Agent	Approved	07/27/2023
B	Nevada	Agent	Approved	07/27/2023
B	New Jersey	Agent	Approved	03/16/2009
B	New York	Agent	Approved	01/29/2015
B	North Carolina	Agent	Approved	03/16/2009
IA	North Carolina	Investment Adviser Representative	Approved	03/16/2009
B	Ohio	Agent	Approved	08/13/2012
B	Pennsylvania	Agent	Approved	09/27/2011
B	South Carolina	Agent	Approved	01/02/2014



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
<b>B</b>	Tennessee	Agent	Approved	07/27/2023
<b>B</b>	Texas	Agent	Approved	03/16/2009
<b>IA</b>	Texas	Investment Adviser Representative	Restricted Approval	08/02/2010
<b>B</b>	Utah	Agent	Approved	07/27/2023
<b>B</b>	Virginia	Agent	Approved	08/06/2015
<b>B</b>	Washington	Agent	Approved	01/05/2017
<b>B</b>	Wisconsin	Agent	Approved	01/05/2017

### Branch Office Locations

**UBS FINANCIAL SERVICES INC.**  
 3700 GLENWOOD AVENUE Suite 300  
 RALEIGH, NC 27612

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## 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 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	05/01/2001

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	12/24/2002
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	05/08/2001

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
<b>IA</b> 01/2003 - 03/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	RALEIGH, NC
<b>B</b> 05/2001 - 03/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	RALEIGH, NC

### 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
03/2009 - Present	UBS FINANCIAL SERVICES INC	FA	Y	RALEIGH, NC, 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.

NAME OF OTHER BUSINESS: Grandfather Golf and Country Club / INVESTMENT RELATED?: No / ADDRESS: 2120 NC-105, Linville, NC / NATURE OF THE BUSINESS: Sports / POSITION: Board of Directors / DUTIES: I will work with the entire board and leadership team of the club to make sure the club continues to thrive and provide its members the experience they expect./ START DATE: 2-1-2023 / HOURS DEVOTED TO BUSINESS: NA

NAME OF OTHER BUSINESS: Hayes Barton United Methodist Church Permanent Endowment Team / INVESTMENT RELATED?: No / ADDRESS: 2209 Fairview Road, Raleigh, NC / NATURE OF THE BUSINESS: Charity- this is a Methodist church. this is a Methodist church in Raleigh providing outreach and services to its congregation and the community / POSITION: Advisor or advisory group member if advice given may influence an officer/board/ DUTIES: work with the committee to review the church's endowment investments / START DATE: 01/01/2023 / HOURS DEVOTED TO BUSINESS: N/A.

## End of Report



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