

BrokerCheck Report

ROBERT NOBLE UPTON

CRD# 4492786

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5
Disclosure Events	6



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:
 - 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.

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.

ROBERT N. UPTON

CRD# 4492786

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

- B** **DEUTSCHE BANK SECURITIES INC.**
CRD# 2525
NEW YORK, NY
10/2020 - 09/2025
- B** **UBS SECURITIES LLC**
CRD# 7654
STAMFORD, CT
06/2012 - 08/2020
- B** **CANTOR FITZGERALD & CO.**
CRD# 134
NEW YORK, NY
02/2009 - 06/2012

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
Criminal	6
Customer Dispute	1

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 broker is not currently registered.



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, 2 general industry/product exams, and 0 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Financial and Operations Principal Examination	Series 27	06/23/2006

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	01/02/2023

State Securities Law Exams

Exam	Category	Date
No information reported.		

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 10/2020 - 09/2025	DEUTSCHE BANK SECURITIES INC.	2525	NEW YORK, NY
B 06/2012 - 08/2020	UBS SECURITIES LLC	7654	STAMFORD, CT
B 02/2009 - 06/2012	CANTOR FITZGERALD & CO.	134	NEW YORK, NY
B 06/2002 - 06/2008	BEAR, STEARNS & CO. INC.	79	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
08/2020 - Present	Deutsche Bank AG, Filiale New York (affiliate of DBSI)	Managing Director	Y	New York, NY, United States
06/2012 - 07/2020	UBS SECURITIES LLC	MANAGING DIRECTOR	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.

No information reported.

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
Criminal	0	6	0
Customer Dispute	0	1	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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 6

Reporting Source:	Broker
Formal Charges were brought in:	Federal Court
Name of Court:	TARRANT COUNTY,
Location of Court:	TX DISTRICT COURT
Docket/Case #:	CASE NO. 0622485D
Charge Date:	06/03/1996
Charge(s) 1 of 1	
Formal Charge(s)/Description:	ONE COUNT, FELONY, GUILTY, NOT INVESTMENT-RELATED
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	ONE COUNT, FELONY, GUILTY, NOT INVESTMENT-RELATED
Disposition of charge:	
Current Status:	Final
Status Date:	12/12/1996
Disposition Date:	12/12/1996
Sentence/Penalty:	VERDICT SET ASIDE. SENTENCED TO 8 YEARS PROBATION, FINED \$1,500



(DATE OF PAYMENT UNAVAILABLE), AND ORDERED TO COMPLETE COMMUNITY SERVICE. AN ORDER GRANTING EARLY DISCHARGE FROM PROBATION ALONG WITH DISMISSAL OF CHARGES WAS FORMALLY GRANTED BY THE COURT ON 1/9/1999.

Broker Statement

Indictment was dismissed over 20 years ago. NOTE - COURT COMBINED CASE NUMBERS 0622485D, 0631021D, AND 0638191 INTO A SINGLE DISPOSITION.

Disclosure 2 of 6

Reporting Source:	Broker
Formal Charges were brought in:	Federal Court
Name of Court:	TARRANT COUNTY
Location of Court:	TX DISTRICT COURT
Docket/Case #:	CASE NO. 0631021D
Charge Date:	07/12/1996
Charge(s) 1 of 1	
Formal Charge(s)/Description:	ONE COUNT, FELONY, GUILTY, NOT INVESTMENT-RELATED
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	ONE COUNT, FELONY, GUILTY, NOT INVESTMENT-RELATED
Disposition of charge:	
Current Status:	Final
Status Date:	12/12/1996
Disposition Date:	12/12/1996
Sentence/Penalty:	VERDICT SET ASIDE. SENTENCED TO 8 YEARS PROBATION, FINED \$1,500 (DATE OF PAYMENT UNAVAILABLE) AND ORDERED TO COMPLETE COMMUNITY SERVICE. AN ORDER GRANTING EARLY RELEASE FROM PROBATION AND DISMISSAL OF ALL CHARGES WAS FORMALLY GRANTED BY THE COURT ON 1/9/1999.

Broker Statement

Indictment was dismissed over 20 years ago. NOTE - COURT COMBINED CASE NUMBERS 0622485D, 0631021D, AND 0638191 INTO A SINGLE DISPOSITION.



Disclosure 3 of 6

Reporting Source:	Broker
Formal Charges were brought in:	Federal Court
Name of Court:	TARRANT COUNTY, TX DISTRICT COURT.
Location of Court:	TARRANT COUNTY, TX
Docket/Case #:	CASE NO. 0638191
Charge Date:	10/22/1996
Charge(s) 1 of 1	
Formal Charge(s)/Description:	ONE COUNT, FELONY, PLEA IN BAR, NOT INVESTMENT RELATED.
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	ONE COUNT, FELONY, PLEA IN BAR, NOT INVESTMENT RELATED.
Disposition of charge:	
Current Status:	Final
Status Date:	12/12/1996
Disposition Date:	12/12/1996
Sentence/Penalty:	VERDICT SET ASIDE. SENTENCED TO 8 YEARS PROBATION, COURT ORDERED COMMUNITY SERVICE. AN ORDER GRANTING EARLY RELEASE FROM PROBATION ALONG WITH DISMISSAL OF CHARGES WAS FORMALLY GRANTED ON 1/9/1999.
Broker Statement	Indictment was dismissed over 20 years ago. NOTE - COURT COMBINED CASE NUMBERS 0622485D, 0631021D, AND 0638191 INTO A SINGLE DISPOSITION.

Disclosure 4 of 6

Reporting Source:	Broker
Formal Charges were brought in:	Federal Court
Name of Court:	195TH JUDICIAL DISTRICT COURT
Location of Court:	DALLAS COUNTY, TEXAS



Docket/Case #:	CAUSE NO. F96-30251-N
Charge Date:	09/20/1996
Charge(s) 1 of 1	
Formal Charge(s)/Description:	CHARGED WITH OBTAINING CONTROLLED SUBSTANCE BY FRAUD, (1) ONE COUNT, (2) FELONY, (3) PLED GUILTY.
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	CHARGED WITH OBTAINING CONTROLLED SUBSTANCE BY FRAUD, (1) ONE COUNT, (2) FELONY, (3) PLED GUILTY.
Disposition of charge:	
Current Status:	Final
Status Date:	02/28/1997
Disposition Date:	02/28/1997
Sentence/Penalty:	FINE OF \$300 AND PLACED ON COMMUNITY SUPERVISION FOR 5 YEARS. ORDER GRANTING EARLY DISCHARGE FROM COMMUNITY SUPERVISION DATED 10/23/1998. THE VERDICT WAS HEREBY SET ASIDE AND THE INDICTMENT WAS DISMISSED.
Broker Statement	Indictment was dismissed over 20 years ago.

Disclosure 5 of 6

Reporting Source:	Broker
Formal Charges were brought in:	POLICE DEPARTMENT, ROSEVILLE, CA
Name of Court:	POLICE DEPARTMENT
Location of Court:	ROSEVILLE, CA
Docket/Case #:	n/a
Charge Date:	04/11/1987
Charge(s) 1 of 1	
Formal Charge(s)/Description:	CHARGED WITH (1) 2 COUNTS FORGED PRESCRIPTIONS AND FALSE ID TO PEACE OFFICER, (2) FELONY, (3) PLED GUILTY
No of Counts:	2



Felony or Misdemeanor: Felony

Plea for each charge: CHARGED WITH (1) 2 COUNTS FORGED PRESCRIPTIONS AND FALSE ID TO PEACE OFFICER, (2) FELONY, (3) PLED GUILTY

Disposition of charge:

Current Status: Final

Status Date: 04/11/1987

Disposition Date: 04/11/1987

Sentence/Penalty: CONVICTED (CHARGE - 148 9 PC-FALSE IDENTIFICATION TO PEACE OFFICER). SENTENCED TO 6 MONTHS PROBATION - FINE OF \$500.

Broker Statement The charge is over 30 years old and was the result of a plea deal. One count of false ID and the agreement was to plea guilty to this one only in exchange for dismissing the two forged prescription charges.

Disclosure 6 of 6

Reporting Source: Broker

Formal Charges were brought in: Federal Court

Name of Court: 195TH JUDICIAL DISTRICT COURT

Location of Court: DALLAS COUNTY, TEXAS

Docket/Case #: CAUSE NO. F96-29976-N

Charge Date: 07/15/1996

Charge(s) 1 of 1

Formal Charge(s)/Description: CHARGED WITH OBTAINING CONTROLLED SUBSTANCE BY FRAUD, (1) ONE COUNT, (2) FELONY, (3) PLED GUILTY.

No of Counts: 1

Felony or Misdemeanor: Felony

Plea for each charge: CHARGED WITH OBTAINING CONTROLLED SUBSTANCE BY FRAUD, (1) ONE COUNT, (2) FELONY, (3) PLED GUILTY.

Disposition of charge:

Current Status: Final

Status Date: 02/28/1997



Disposition Date:	02/28/1997
Sentence/Penalty:	FINE OF \$300 AND PLACED ON COMMUNITY SUPERVISION FOR 5 YEARS. ORDER GRANTING EARLY DISCHARGE FROM COMMUNITY SUPERVISION DATED 10/23/1998. THE VERDICT WAS HEREBY SET ASIDE AND THE INDICTMENT WAS DISMISSED.
Broker Statement	Indictment was dismissed over 20 years ago.



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:	BEAR STEARNS & CO., INC.
Allegations:	THE STATEMENT OF CLAIM ALLEGES CLAIMS UNDER SECTIONS 10(B) AND 18 OF THE SECURITIES EXCHANGE ACT AND RULE 10B-5, AS WELL AS CLAIMS FOR COMMON LAW FRAUD AND FOR PUNITIVE DAMAGES UNDER FINRA RULE 2010 IN CONNECTION WITH THE PURCHASE OF BEAR STEARNS COMPANIES INC. STOCK IN NOVEMBER AND DECEMBER 2007.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$19,442,982.00
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 #:	13-00645
Filing date of arbitration/CFTC reparation or civil litigation:	03/01/2013

Customer Complaint Information

Date Complaint Received:	03/05/2013
Complaint Pending?	No
Status:	Settled
Status Date:	08/03/2016
Settlement Amount:	\$3,150,000.00
Individual Contribution Amount:	\$0.00

**Firm Statement**

THE INDIVIDUAL IS NOT NAMED AS A DEFENDANT AND IS MENTIONED SOLELY IN RELATION TO PUBLIC STATEMENTS ALLEGEDLY MADE BY THE INDIVIDUAL IN HIS CAPACITY AS AN OFFICER AND/OR DIRECTOR, NOT A REGISTERED REPRESENTATIVE, OF THE FORMER COMPANY THE BEAR STEARNS COMPANIES, INC. THE STATEMENT OF CLAIM DOES NOT ALLEGE ANY DIRECT INTERACTION BETWEEN THE CLAIMANT AND THE INDIVIDUAL.

Reporting Source:

Broker

Employing firm when activities occurred which led to the complaint:

BEAR STEARNS & CO., INC.

Allegations:

THE STATEMENT OF CLAIM ALLEGES CLAIMS UNDER SECTIONS 10(B) AND 18 OF THE SECURITIES EXCHANGE ACT AND RULE 10B-5, AS WELL AS CLAIMS FOR COMMON LAW FRAUD AND FOR PUNITIVE DAMAGES UNDER FINRA RULE 2010 IN CONNECTION WITH THE PURCHASE OF BEAR STEARNS COMPANIES INC. STOCK IN NOVEMBER AND DECEMBER 2007.

Product Type:

Equity Listed (Common & Preferred Stock)

Alleged Damages:

\$19,442,982.00

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 #:

13-00645

Filing date of arbitration/CFTC reparation or civil litigation:

03/01/2013

Customer Complaint Information**Date Complaint Received:**

03/05/2013

Complaint Pending?

No

Status:

Settled

Status Date:

08/03/2016



Settlement Amount: \$3,150,000.00

Individual Contribution Amount: \$0.00

Broker Statement

THE INDIVIDUAL IS NOT NAMED AS A DEFENDANT AND IS MENTIONED SOLELY IN RELATION TO PUBLIC STATEMENTS ALLEGEDLY MADE BY THE INDIVIDUAL IN HIS CAPACITY AS AN OFFICER AND/OR DIRECTOR, NOT A REGISTERED REPRESENTATIVE, OF THE FORMER COMPANY THE BEAR STEARNS COMPANIES, INC. THE STATEMENT OF CLAIM DOES NOT ALLEGE ANY DIRECT INTERACTION BETWEEN THE CLAIMANT AND THE INDIVIDUAL.

End of Report



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