BrokerCheck Report

LYLE CASRIEL

CRD# 4974024

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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.
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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.

LYLE CASRIEL

CRD# 4974024

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

IA **UBS FINANCIAL SERVICES INC.**
1285 Avenue of the Americas
38th Floor
New York, NY 10019
CRD# 8174
Registered with this firm since: 08/25/2010

B **UBS FINANCIAL SERVICES INC.**
1285 Avenue of the Americas
38th Floor
New York, NY 10019
CRD# 8174
Registered with this firm since: 10/30/2008

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
- 52 U.S. states and territories

This broker has passed:

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

Registration History

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

B **BARCLAYS CAPITAL INC.**
CRD# 19714
NEW YORK, NY
09/2008 - 11/2008

IA **LEHMAN BROTHERS INC.**
CRD# 7506
NEW YORK, NY
08/2006 - 10/2008

B **LEHMAN BROTHERS INC.**
CRD# 7506
NEW YORK, NY
08/2006 - 09/2008

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**

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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 52 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	05/16/2012
B	Cboe Exchange, Inc.	General Securities Representative	Approved	10/30/2008
B	FINRA	General Securities Representative	Approved	10/30/2008
B	NYSE American LLC	General Securities Representative	Approved	10/30/2008
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/30/2008
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	10/30/2008
B	Nasdaq PHLX LLC	General Securities Representative	Approved	10/30/2008
B	Nasdaq Stock Market	General Securities Representative	Approved	10/30/2008
B	New York Stock Exchange	General Securities Representative	Approved	10/30/2008

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	03/18/2022
B	Alaska	Agent	Approved	11/12/2024
B	Arizona	Agent	Approved	10/30/2008

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Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Arkansas	Agent	Approved	08/21/2019
B	California	Agent	Approved	10/30/2008
B	Colorado	Agent	Approved	10/30/2008
IA	Colorado	Investment Adviser Representative	Approved	05/14/2024
B	Connecticut	Agent	Approved	10/30/2008
B	Delaware	Agent	Approved	10/30/2008
B	District of Columbia	Agent	Approved	08/27/2019
B	Florida	Agent	Approved	10/30/2008
B	Georgia	Agent	Approved	08/13/2020
B	Hawaii	Agent	Approved	08/22/2019
B	Idaho	Agent	Approved	11/07/2023
B	Illinois	Agent	Approved	10/30/2008
B	Indiana	Agent	Approved	06/10/2020
B	Iowa	Agent	Approved	06/14/2023
B	Kansas	Agent	Approved	08/13/2020
B	Kentucky	Agent	Approved	08/21/2019
B	Louisiana	Agent	Approved	02/21/2014
B	Maine	Agent	Approved	08/13/2020
B	Maryland	Agent	Approved	10/30/2008
B	Massachusetts	Agent	Approved	10/30/2008
B	Michigan	Agent	Approved	10/30/2008

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Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Michigan	Investment Adviser Representative	Approved	11/01/2021
B	Minnesota	Agent	Approved	08/04/2020
B	Mississippi	Agent	Approved	08/13/2020
B	Missouri	Agent	Approved	04/06/2022
B	Montana	Agent	Approved	11/07/2023
B	Nebraska	Agent	Approved	09/14/2020
B	Nevada	Agent	Approved	08/22/2019
B	New Hampshire	Agent	Approved	11/30/2015
B	New Jersey	Agent	Approved	10/30/2008
B	New Mexico	Agent	Approved	11/07/2023
B	New York	Agent	Approved	10/30/2008
IA	New York	Investment Adviser Representative	Approved	10/26/2021
B	North Carolina	Agent	Approved	02/06/2020
B	North Dakota	Agent	Approved	11/07/2023
B	Ohio	Agent	Approved	10/30/2008
B	Oklahoma	Agent	Approved	08/16/2023
B	Oregon	Agent	Approved	09/06/2019
B	Pennsylvania	Agent	Approved	10/30/2008
B	Puerto Rico	Agent	Approved	09/28/2021
B	Rhode Island	Agent	Approved	11/07/2023
B	South Carolina	Agent	Approved	08/06/2020

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Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	South Dakota	Agent	Approved	01/21/2020
B	Tennessee	Agent	Approved	12/06/2018
B	Texas	Agent	Approved	10/30/2008
IA	Texas	Investment Adviser Representative	Approved	08/25/2010
B	Utah	Agent	Approved	03/11/2020
IA	Utah	Investment Adviser Representative	Approved	06/05/2023
B	Vermont	Agent	Approved	03/29/2021
B	Virginia	Agent	Approved	10/30/2008
B	Washington	Agent	Approved	11/13/2017
B	West Virginia	Agent	Approved	11/07/2023
B	Wisconsin	Agent	Approved	08/03/2020
B	Wyoming	Agent	Approved	09/11/2014

Branch Office Locations

UBS FINANCIAL SERVICES INC.
1285 Avenue of the Americas
38th Floor
New York, NY 10019

UBS FINANCIAL SERVICES INC.
New York, NY

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

Principal/Supervisory Exams

Exam		Category	Date
	No information reported.		

General Industry/Product Exams

Exam		Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	National Commodity Futures Examination	Series 3	12/04/2006
B	General Securities Representative Examination	Series 7	08/24/2006

State Securities Law Exams

Exam		Category	Date
B IA	Uniform Combined State Law Examination	Series 66	08/30/2006

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/.

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Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates		Firm Name	CRD#	Branch Location
B	09/2008 - 11/2008	BARCLAYS CAPITAL INC.	19714	NEW YORK, NY
IA	08/2006 - 10/2008	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B	08/2006 - 09/2008	LEHMAN BROTHERS INC.	7506	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
10/2008 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	NEW YORK, NY, 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.

1)BARD MBA IN SUSTAINABILITY / 30 CAMPUS ROAD ANNANDALE-ON-HUDSON,,NY 12504-5000 / OTHER/ EDUCATION / MBA PROGRAM / ADVISOR OR MEMBER OF AN ADVISORY COMMITTEE, IF THE ADVICE GIVEN WILL OR MAY INFLUENCE THE BOARD OR OTHER SENIOR MANAGEMENT OR SUPERVISORY BOARD OF THE ORGANIZATION IN QUESTION /ANSWER QUESTIONS FROM TIME TO TIME RELATING TO CURRICULUM DEVELOPMENT OR PROGRAM ORGANIZATION. / START DATE 5/1/2013.
2)DOLS FOUNDATION / HEILIGKREUZ 6 VADUZ,LIECHTENSTEIN LI-9490 / OTHER NO INDUSTRY AFFILLIATION / INVESTMENT MANAGEMENT / INVESTMENT MANAGER/ADVISOR / INVESTING DECISIONS AND EXECUTION / START DATE 1/1/2014
3) Continuing Trust F/B/O Scott Stackman u/Gail Stackman2010 GRAT #1/ investment related?: yes / 385 West 12th Street, NY, NY 10014 US/ Co-Trustee of Irrevocable Trust. Required to sign documentation from time to time and/or approve withdrawals./ start date: 1/16/2019

4) Name of Business: LITTLE RED SCHOOL HOUSE AND ELISABETH IRWIN HIGH SCHOOL./ Address: 272 Sixth Ave New YorkvNew YorkUnited States 10014./ Investment Related: no./ Nature: Jewish Parent Affinity Group is a group of Jewish families coming together to support each other through this difficult time./ Role: Other- Parent co-chair of the Jewish Affinity Group./ Duty: Help other co-chairs manage the community by email and messaging. Attend meetings related to the parent association and the group./ Start Date: 11/29/2023./ Time Required: No.
5) Estate of H.B., H.B. passed away on 5/13/23. I am Executor of his estate as appointed under his Will. H.B. was my step-father, but not legally,

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Registration and Employment History

Other Business Activities, continued

Executor, I am required to fill the role and responsibility of Executor to administer the estate. Paying bills, terminating accounts, distributing assets to beneficiaries under the Will, Start date-5/13/2023, New YorkUnited States-10021.

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End of Report

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