

## BrokerCheck Report

**ALEXANDRA COXE FITZGARRALD**

CRD# 5000201

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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](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).



## ALEXANDRA C. FITZGARRALD

CRD# 5000201

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

**IA UBS FINANCIAL SERVICES INC.**  
 1 NORTH WACKER DRIVE  
 32ND & 33RD  
 CHICAGO, IL 60606  
 CRD# 8174  
 Registered with this firm since: 03/07/2007

**B UBS FINANCIAL SERVICES INC.**  
 1 NORTH WACKER DRIVE  
 32ND & 33RD  
 CHICAGO, IL 60606  
 CRD# 8174  
 Registered with this firm since: 11/08/2006

## 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
- 32 U.S. states and territories

**This broker has passed:**

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

### Registration History

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

No information reported.

### 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 32 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	11/08/2006
B	FINRA	General Securities Representative	Approved	11/08/2006
B	NYSE American LLC	General Securities Representative	Approved	11/08/2006
B	NYSE Arca, Inc.	General Securities Representative	Approved	11/08/2006
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/25/2008
B	Nasdaq PHLX LLC	General Securities Representative	Approved	11/08/2006
B	Nasdaq Stock Market	General Securities Representative	Approved	11/08/2006
B	New York Stock Exchange	General Securities Representative	Approved	11/08/2006

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	01/08/2010
B	Arkansas	Agent	Approved	01/08/2010
B	California	Agent	Approved	07/10/2007

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	01/08/2010
B	Connecticut	Agent	Approved	01/08/2010
B	District of Columbia	Agent	Approved	01/08/2010
B	Florida	Agent	Approved	01/08/2010
B	Illinois	Agent	Approved	03/07/2007
IA	Illinois	Investment Adviser Representative	Approved	03/07/2007
B	Indiana	Agent	Approved	01/08/2010
B	Iowa	Agent	Approved	01/08/2010
B	Kentucky	Agent	Approved	09/20/2016
B	Louisiana	Agent	Approved	09/03/2015
B	Maine	Agent	Approved	01/08/2010
IA	Maine	Investment Adviser Representative	Approved	05/05/2022
B	Maryland	Agent	Approved	01/08/2010
B	Massachusetts	Agent	Approved	01/08/2010
B	Michigan	Agent	Approved	01/08/2010
B	Minnesota	Agent	Approved	01/08/2010
B	Missouri	Agent	Approved	01/08/2010
B	Montana	Agent	Approved	01/08/2010
B	Nevada	Agent	Approved	01/08/2010
B	New Jersey	Agent	Approved	01/08/2010
B	New York	Agent	Approved	01/08/2010

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	01/08/2010
B	Ohio	Agent	Approved	01/08/2010
B	Pennsylvania	Agent	Approved	01/08/2010
B	South Carolina	Agent	Approved	10/07/2021
B	Tennessee	Agent	Approved	08/01/2025
B	Texas	Agent	Approved	01/08/2010
B	Utah	Agent	Approved	01/05/2017
B	Virginia	Agent	Approved	01/08/2010
B	Washington	Agent	Approved	01/08/2010
B	Wisconsin	Agent	Approved	01/08/2010

### Branch Office Locations

#### UBS FINANCIAL SERVICES INC.

1 NORTH WACKER DRIVE  
32ND & 33RD  
CHICAGO, IL 60606

#### UBS FINANCIAL SERVICES INC.

Chicago, IL



## 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, 2 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>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	11/07/2006

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	03/06/2007

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
No information reported.			

### 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
06/2005 - Present	UBS FINANCIAL SERVICES	CLIENT SERVICE ASSOCIATE	Y	CHICAGO, IL, 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.

Wellhawk LLC / United States / 1226 W Wellington Ave / Chicago / / United States / 60657 / / No / Other / LLC / Real Estate / / investment vehicle for the purpose of investing in 2 parking businesses in New York City via Capstone NY Group, LLC. / Active / Proprietor / owner / / My husband is setting up a LLC (Wellhawk LLC) owned by his trust (he is trustee and grantor) as an investment vehicle for the purpose of investing in parking businesses in New York City via Capstone NY Group, LLC. / 0 / No / No / No / No / Start Date 07/23/2018 / / No / / No / / Yes / Yes / 100 / / Yes / New York City, USA / No / / No / / N/A / No /

2) Penipapa LLC/ Category - LLC/ Principal Business Activity -To purchase a vacation property in Costa Rica/ Role -Proprietor / owner/ Duties - "1. The US entity will be Penipapa LLC, an Illinois limited liability company.2. The Costa Rica residence will be held in an offshore entity. All of the equity of that entity will be held by Penipapa. All off shore matters are being handled by Linea Law. 3. Penipapa will have two managers, my father and my husband. The managers may be replaced at any time by a majority of the membership interest.4. My ownership will be 25%. Each member will contribute his or her pro rata share of cash as equity sufficient to fund the acquisition. The purchase price is approximately \$2.9M. 5. After the acquisition, each member will be responsible to pay his or her share of the net operating expenses. Any net rental income or sale proceeds will be distributed pro rata.6. Each member shall have a put right to exit the investment. Upon exercise of the put, the other members will either (i) buy out the departing member at the net FMV of the property net of debt and expenses or (ii) the LLC will liquidate the residence.7. Upon the death of a member, the heirs of that member will succeed to the put right. The other members will likewise have a purchase option if the estate does not exercise that put.8. LLC"/ Comp -No.

## End of Report



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