

BrokerCheck Report

STEPHEN BARRY EGBERT

CRD# 76077

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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



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.



STEPHEN B. EGBERT

CRD# 76077

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

IA UBS FINANCIAL SERVICES INC.
40 CONGRESS STREET
PORTSMOUTH, NH 03801
CRD# 8174
Registered with this firm since: 06/05/2006

B UBS FINANCIAL SERVICES INC.
40 CONGRESS STREET
PORTSMOUTH, NH 03801
CRD# 8174
Registered with this firm since: 03/21/2003

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
- 25 U.S. states and territories

This broker has passed:

- 7 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

- B PRUDENTIAL SECURITIES INCORPORATED**
CRD# 7471
NEW YORK, NY
08/1990 - 04/2003
- B ROTAN MOSLE INC.**
CRD# 727
09/1980 - 08/1990
- B DEAN WITTER REYNOLDS INC.**
CRD# 7556
02/1978 - 10/1980

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
Regulatory Event	1
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 individual is currently registered with 10 SROs and is licensed in 25 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 Principal	Approved	05/16/2012
B	BOX Exchange LLC	General Securities Representative	Approved	05/16/2012
B	BOX Exchange LLC	Registered Options Principal	Approved	06/13/2012
B	BOX Exchange LLC	General Securities Sales Supervisor	Approved	05/18/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	03/21/2003
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	03/21/2003
B	Cboe Exchange, Inc.	Registered Options Principal	Approved	03/19/2008
B	Cboe Exchange, Inc.	General Securities Principal	Approved	04/15/2025
B	FINRA	General Securities Principal	Approved	03/21/2003
B	FINRA	General Securities Representative	Approved	03/21/2003
B	FINRA	General Securities Sales Supervisor	Approved	03/21/2003
B	FINRA	Municipal Securities Principal	Approved	03/21/2003
B	FINRA	Registered Options Principal	Approved	03/21/2003
B	NYSE American LLC	General Securities Representative	Approved	03/21/2003
B	NYSE American LLC	General Securities Principal	Approved	03/19/2008

Broker Qualifications



Employment 1 of 1, continued

	SRO	Category	Status	Date
B	NYSE American LLC	Municipal Securities Principal	Approved	03/19/2008
B	NYSE American LLC	Registered Options Principal	Approved	03/19/2008
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	NYSE Arca, Inc.	General Securities Representative	Approved	03/21/2003
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	03/21/2003
B	NYSE Arca, Inc.	General Securities Principal	Approved	09/01/2006
B	NYSE Arca, Inc.	Registered Options Principal	Approved	03/19/2008
B	NYSE Texas, Inc.	General Securities Principal	Approved	04/15/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	04/15/2025
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	04/15/2025
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/23/2008
B	Nasdaq ISE, LLC	Registered Options Principal	Approved	01/23/2008
B	Nasdaq ISE, LLC	General Securities Principal	Approved	08/26/2011
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq PHLX LLC	General Securities Representative	Approved	03/21/2003
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	03/21/2003
B	Nasdaq PHLX LLC	Registered Options Principal	Approved	03/19/2008
B	Nasdaq PHLX LLC	General Securities Principal	Approved	08/26/2011
B	Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B	Nasdaq Stock Market	Registered Options Principal	Approved	03/19/2008



Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	New York Stock Exchange	General Securities Representative	Approved	03/21/2003
B	New York Stock Exchange	General Securities Principal	Approved	06/26/2010
B	New York Stock Exchange	Municipal Securities Principal	Approved	06/26/2010
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	11/21/2019
B	California	Agent	Approved	03/21/2003
B	Colorado	Agent	Approved	03/21/2003
B	Connecticut	Agent	Approved	03/21/2003
B	Florida	Agent	Approved	03/27/2003
B	Georgia	Agent	Approved	12/06/2024
B	Kansas	Agent	Approved	02/10/2012
B	Maine	Agent	Approved	03/21/2003
IA	Maine	Investment Adviser Representative	Approved	06/26/2006
B	Maryland	Agent	Approved	03/21/2003
B	Massachusetts	Agent	Approved	04/01/2003
B	Michigan	Agent	Approved	03/21/2003
B	New Hampshire	Agent	Approved	03/21/2003
IA	New Hampshire	Investment Adviser Representative	Approved	06/05/2006
B	New Jersey	Agent	Approved	03/21/2003
B	New Mexico	Agent	Approved	10/09/2018

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	03/21/2003
B	North Carolina	Agent	Approved	03/21/2003
B	Oregon	Agent	Approved	01/14/2022
B	Pennsylvania	Agent	Approved	07/17/2006
B	Rhode Island	Agent	Approved	06/02/2025
B	South Carolina	Agent	Approved	03/21/2003
B	Tennessee	Agent	Approved	03/24/2022
B	Vermont	Agent	Approved	09/20/2005
B	Virginia	Agent	Approved	10/19/2021
B	Washington	Agent	Approved	10/07/2019
B	Wyoming	Agent	Approved	11/04/2015

Branch Office Locations

UBS FINANCIAL SERVICES INC.
 40 CONGRESS STREET
 PORTSMOUTH, NH 03801



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 7 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B Municipal Securities Principal Examination	Series 53	01/02/2023
B General Securities Principal Examination	Series 24	01/02/2023
B Registered Options Principal Examination	Series 4	06/30/1982
B Registered Principal Examination	Series 40	05/23/1977
B NYSE Branch Manager Examination	Series 12	05/05/1977

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Principal Examination	Series 000	05/06/1968
B Registered Representative Examination	Series 1	05/06/1968

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	05/30/2006
B Uniform Securities Agent State Law Examination	Series 63	12/05/1979

Broker Qualifications



Industry Exams this Broker has Passed, continued

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 08/1990 - 04/2003	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 09/1980 - 08/1990	ROTAN MOSLE INC.	727	
B 02/1978 - 10/1980	DEAN WITTER REYNOLDS INC.	7556	
B 05/1973 - 02/1978	DEAN WITTER & CO. INCORPORATED	6466	
B 11/1968 - 05/1973	DEAN WITTER & CO. INCORPORATED	209	

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
03/2003 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	PORTLAND, ME, 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:**
 - 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
Regulatory Event	0	1	0
Customer Dispute	1	0	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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	AMERICAN STOCK EXCHANGE
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	
Date Initiated:	04/29/1986
Docket/Case Number:	86-D-8
Employing firm when activity occurred which led to the regulatory action:	ROTAN MOSLE, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	<p>EGBERT WAS DISCIPLINED FOR VIOLATING EXCHANGE RULES 320(B) IN THAT HE FAILED TO SUPERVISE A REGISTERED EMPLOYEE BY FAILING TO REQUIRE HIM TO INDICATE ON HIS ORDER TICKETS PRIOR TO EXECUTION THE IDENTITY OF THE ACCOUNT(S) FOR WHICH TRADES WERE TO BE EXECUTED, AND BY FAILING TO REQUIRE HIM TO DELIVER APPROPRIATE ORDER TICKETS FOR TRADES TO THE BRANCH OFFICE WIRE ROOM.</p>
Current Status:	Final



Resolution: Consent

Resolution Date: 02/13/1987

Sanctions Ordered: Censure

Other Sanctions Ordered:

Sanction Details: EGBERT WAS CENSURED. ALL THREE PARTIES SETTLED THE CHARGES WITHOUT ADMITTING OR DENYING THE EXCHANGE'S ALLEGATIONS.

Reporting Source: Broker

Regulatory Action Initiated By: AMERICAN STOCK EXCHANGE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/29/1986

Docket/Case Number: 86-D-8

Employing firm when activity occurred which led to the regulatory action: ROTAN MOSLE, INC.

Product Type:

Other Product Type(s):

Allegations: FAILURE TO SUPERVISE A BROKER IN VIOLATION OF RULE 320(B)

Current Status: Final

Resolution: Consent

Resolution Date: 02/13/1987

Sanctions Ordered: Censure

Other Sanctions Ordered:

Sanction Details: A CENSURE-I CONSENTED TO THE FINDINGS WITHOUT ADMITTING OR DENYING THE STIPULATED FACTS.

Broker Statement Not Provided





Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES INCORPORATED
Allegations:	CLAIM OF UNSUITABLE INVESTMENT IN TECHNOLOGY STOCKS. DAMAGE AMOUNT UNSPECIFIED.
Product Type:	Equity - OTC
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	01/03/2002
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

End of Report



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