

BrokerCheck Report

MARION P PORTER BRAWLEY III

CRD# 856366

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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.



MARION P P. BRAWLEY III

CRD# 856366

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

IA UBS FINANCIAL SERVICES INC.
295 1ST STREET SOUTH
WINTER HAVEN, FL 33880
CRD# 8174
Registered with this firm since: 02/16/2012

B UBS FINANCIAL SERVICES INC.
295 1ST STREET SOUTH
WINTER HAVEN, FL 33880
CRD# 8174
Registered with this firm since: 02/16/2012

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:

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

Registration History

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

- IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
NEW YORK, NY
05/1983 - 02/2012
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
WINTER HAVEN, FL
09/1978 - 02/2012
- B MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.**
CRD# 572
08/1978 - 09/1978

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	7



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 Representative	Approved	05/15/2012
B	Cboe Exchange, Inc.	General Securities Representative	Approved	02/16/2012
B	FINRA	General Securities Representative	Approved	02/16/2012
B	NYSE American LLC	General Securities Representative	Approved	02/16/2012
B	NYSE Arca, Inc.	General Securities Representative	Approved	02/16/2012
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	02/16/2012
B	Nasdaq PHLX LLC	General Securities Representative	Approved	02/16/2012
B	Nasdaq Stock Market	General Securities Representative	Approved	02/16/2012
B	New York Stock Exchange	General Securities Representative	Approved	02/16/2012

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	02/16/2012
B	Arkansas	Agent	Approved	06/29/2022
B	California	Agent	Approved	02/16/2012

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	02/16/2012
IA	Colorado	Investment Adviser Representative	Approved	07/19/2023
B	Delaware	Agent	Approved	02/16/2012
B	District of Columbia	Agent	Approved	07/24/2015
B	Florida	Agent	Approved	02/16/2012
IA	Florida	Investment Adviser Representative	Approved	02/17/2012
B	Georgia	Agent	Approved	02/16/2012
B	Illinois	Agent	Approved	01/29/2015
B	Indiana	Agent	Approved	07/10/2020
B	Maine	Agent	Approved	09/14/2020
B	Massachusetts	Agent	Approved	03/14/2016
B	Nevada	Agent	Approved	05/22/2024
B	New Mexico	Agent	Approved	02/16/2012
B	New York	Agent	Approved	02/16/2012
B	North Carolina	Agent	Approved	02/17/2012
B	Ohio	Agent	Approved	02/16/2012
B	South Carolina	Agent	Approved	01/04/2023
B	Tennessee	Agent	Approved	02/16/2012
B	Texas	Agent	Approved	02/16/2012
IA	Texas	Investment Adviser Representative	Restricted Approval	02/16/2012
B	Utah	Agent	Approved	03/07/2016



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Vermont	Agent	Approved	02/16/2012
B	Virginia	Agent	Approved	02/16/2012
B	Washington	Agent	Approved	09/16/2015
B	Wisconsin	Agent	Approved	07/22/2024

Branch Office Locations

UBS FINANCIAL SERVICES INC.
295 1ST STREET SOUTH
WINTER HAVEN, FL 33880

UBS FINANCIAL SERVICES INC.
Winter Haven, FL

UBS FINANCIAL SERVICES INC.
Edwards, CO



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 2 state securities law exams.

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 Futures Managed Funds Examination	Series 31	08/16/2005
B General Securities Representative Examination	Series 7	08/19/1978

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	10/09/1991
B Uniform Securities Agent State Law Examination	Series 63	04/23/1983

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
IA 05/1983 - 02/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	WINTER HAVEN, FL
B 09/1978 - 02/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	WINTER HAVEN, FL
B 08/1978 - 09/1978	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	572	

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
02/2012 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	WINTER HAVEN, FL, 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.

Lake Elbert Investments LLC / United States / 631 W Lake Elbert Drive / Winter Haven / FL / United States / 33881 / / No / Company / / Real Estate / / I will be the manager for the LLC, I will not have any ownership in the LLC / Active / Executive director / / The LLC will be buying real estate. I will help manage the cash flow. I would like for the banking account for the LLC to be at UBS for complete transparency. / 4 / No / No / No / No / Start Date 03/01/2018 / / No / / No / / No / No Yes / Winter Haven, FL USA / No / / Yes / / My kids are the four board members, this is a family organization and setup for vendor protection on the real estate holdings. / No /

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	0	7	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: Broker

Regulatory Action Initiated By: CBOE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/01/1984

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action: MERRILL LYNCH

Product Type:

Other Product Type(s):

Allegations: ALLOWING A CUSTOMER TO TRADE OPTIONS FOR WHICH THEY HAD NOT PREVIOUSLY APPROVED FOR BY MERRILL LYNCH, THEREBY ALLOWING THE CUSTOMER TO ENGAGE IN UNSUITABLE TRANSACTIONS.

Current Status: Final

Resolution: Decision



Resolution Date:	05/01/1985
Sanctions Ordered:	Censure
Other Sanctions Ordered:	
Sanction Details:	CENSURED BY THE CBOE
Broker Statement	Not Provided



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 7

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.

Allegations: CUSTOMERS ALLEGE FA MADE UNSUITABLE INVESTMENT RECOMMENDATION.

Product Type: Debt - Corporate

Alleged Damages: \$31,400.00

Customer Complaint Information

Date Complaint Received: 02/03/2006

Complaint Pending? No

Status: Settled

Status Date: 12/05/2006

Settlement Amount: \$9,300.00

Individual Contribution Amount: \$0.00

Broker Statement MERRILL LYNCH INVESTIGATED THE ALLEGATIONS SET FORTH IN CUSTOMER'S COMPALINT AND FOUND NO MERIT. INVESTMENT WAS PRESENTED TO THE CLIENT AND CLIENT AUTHORIZED THE INVESTMENT. NEVERTHELESS, MERRILL LYNCH SETTLED IN THE AMOUNT OF \$9,300 TO AVOID THE COSTS AND VAGARIES OF A FUTURE POTENTIAL LAWSUIT/ARBITRATION.

Disclosure 2 of 7

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint:

Allegations: CUSTOMER ALLEGES MISREPRESENTATION, UNSUITABLE RECOMMENDATIONS AND UNAUTHORIZED TRADING IN



CONNECTION WITH HER OWN ACCOUNT AND THE THREE GUARDIANSHIP ACCOUNTS OF HER CHILDREN. COMPENSATION DAMAGES OF AN UNSPECIFIED AMOUNT ARE CLAIMED. SETTLED FOR \$150,000.00.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: New York Stock Exchange; 1995-00478

Date Notice/Process Served: 04/24/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/23/1997

Monetary Compensation Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Broker Statement
SETTLED FOR \$150,000.00
CLAIMANTS ATTORNEY AGREED TO DISMISSAL OF CLAIM AGAINST FINANCIAL CONSULTANT. MERRILL LYNCH WENT ON TO SETTLE THIS MATTER FOR \$150,000.00 ARBITRATORS AGREED TO ISSUE AN ORDER TO EXPUNGE THIS MATTER FROM FINANCIAL CONSULTANTS RECORD AS A RESULT OF THIS DISPOSITION.



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CLAIMANTS ALLEGED UNSUITABILITY, NEGLIGENCE AND BREACH OF FIDUCIARY DUTY AND SOUGHT \$115,000 IN COMPENSATORY DAMAGES.

Product Type:

Alleged Damages: \$115,000.00

Customer Complaint Information

Date Complaint Received: 06/09/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$23,000.00

Individual Contribution Amount:

Broker Statement SETTLEMENT MADE IN THE AMOUNT OF \$23,000.00. MERRILL LYNCH AND MR. BRAWLEY CATEGORICALLY DENIED THE CLAIMANTS ALLEGATIONS. THE INVESTMENTS WERE EXPLAINED IN DETAIL, IN PERSON AND IN WRITING AND CLAIMANTS UNDERSTOOD THE INVESTMENT AND THEIR DECISIONS AT THE TIME. HOWEVER, IN ORDER TO AVOID THE EXPENSE AND UNCERTAINTY OF AN ARBITRATION HEARING, THE BUSINESS DECISION WAS MADE TO PAY CLAIMANTS \$23,000 IN FULL SETTLEMENT.

Disclosure 4 of 7

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: DURING THE PERIOD OF DECEMBER 1981 THUR FEBRUARY 1982. SOLICITED PURCHASES OF PHILLIPS PETROLEUM BASED ON SPECULATION OF A POSSIBLE TAKEOVER OR MERGER.



Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$27,000.00

Individual Contribution Amount: \$27,000.00

Broker Statement MERRILL LYNCH SETTLED THE MATTER FOR \$27,000 WHICH WAS DEDUCTED FROM MR. BRAWLEY'S PAY. IN ADDITION, MR. BRAWLEY HAD TO PAY BACK ALL COMMISSIONS GENERATED (\$3,149.91) IN [CUSTOMER'S] ACCOUNT.
NOT PROVIDED

Disclosure 5 of 7

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: MR. BRAWLEY WAS CENSURED BY THE CBOE FOR ALLOWING UNSUITABLE OPTION TRANSACTIONS IN THE [CUSTOMERS'] ACCOUNTS DURING THE PERIOD FROM JULY 1982 - SEPTEMBER 1982. CONSISTING OF UNCOVERED CALL OPTIONS.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Settled

Status Date:



Settlement Amount:	\$81,571.00
Individual Contribution Amount:	\$81,571.00
Broker Statement	MERRILL LYNCH SETTLED THE MATTER FOR \$81,571 AND CHARGED MR. BRAWLEY THAT AMOUNT. NOT PROVIDED

Disclosure 6 of 7

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	CLAIMED DAMAGES IN EXCESS OF \$150,000 FOR LOSSES IN OPTION TRADING DURING JUNE 1982. ALLEGATIONS OF NEGLIGENCE, MISREPRESENTATION AND OMISSION, AND BREACH OF CONTRACT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation
Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: New York Stock Exchange

Date Notice/Process Served: 11/01/1982

Arbitration Pending? No



Disposition: Settled

Disposition Date: 09/01/1986

Monetary Compensation Amount: \$55,000.00

Individual Contribution Amount:

Civil Litigation Information

Court Details: FEDERAL; FL

Date Notice/Process Served: 11/01/1982

Litigation Pending? No

Disposition: Judgment (other than monetary)

Disposition Date:

Broker Statement SETTLED FOR \$55,000.
THE GENERAL RELEASE RECITED THAT THE SETTLEMENT
WAS NOT AN ADMISSION OF WRONGDOING BY MERRILL LYNCH OR IT'S
EMPLOYEES.

Disclosure 7 of 7

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CLAIMED DAMAGES IN EXCESS OF \$150,000 FOR
LOSSES IN OPTION TRADING DURING JUNE 1982. ALLEGATIONS OF
NEGLIGENCE, MISREPRESENTATION AND OMISSION, AND BREACH OF
CONTRACT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation



Status Date:

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** New York Stock Exchange

Date Notice/Process Served: 11/01/1982

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/01/1986

**Monetary Compensation
Amount:** \$55,000.00

**Individual Contribution
Amount:**

Broker Statement SETTLED FOR \$55,000.
THE GENERAL RELEASE RECITED THAT THE SETTLEMENT
WAS NOT AN ADMISSION OF WRONGDOING BY MERRILL LYNCH OR IT'S
EMPLOYEES.

End of Report



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