

BrokerCheck Report

ANDREW JAMES PLUM

CRD# 4441595

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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.](http://www.finra.org)

ANDREW J. PLUM

CRD# 4441595

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

IA UBS FINANCIAL SERVICES INC.
 525 OKEECHOBEE BLVD
 SUITE 1500
 WEST PALM BEACH, FL 33401
 CRD# 8174
 Registered with this firm since: 09/30/2010

B UBS FINANCIAL SERVICES INC.
 525 OKEECHOBEE BLVD
 SUITE 1500
 WEST PALM BEACH, FL 33401
 CRD# 8174
 Registered with this firm since: 09/30/2010

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
- 34 U.S. states and territories

This broker has passed:

- 2 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):**

- IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 NEW YORK, NY
 12/2001 - 10/2010
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 STUART, FL
 12/2001 - 10/2010

**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 34 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	BOX Exchange LLC	General Securities Sales Supervisor	Approved	05/18/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	09/30/2010
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	09/30/2010
B	FINRA	General Securities Representative	Approved	09/30/2010
B	FINRA	General Securities Sales Supervisor	Approved	09/30/2010
B	NYSE American LLC	General Securities Representative	Approved	09/30/2010
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	NYSE Arca, Inc.	General Securities Representative	Approved	09/30/2010
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	09/30/2010
B	NYSE Chicago, Inc.	General Securities Representative	Approved	07/13/2022
B	NYSE Chicago, Inc.	General Securities Sales Supervisor	Approved	07/13/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	09/30/2010
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq PHLX LLC	General Securities Representative	Approved	09/30/2010



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	09/30/2010
B Nasdaq Stock Market	General Securities Representative	Approved	09/30/2010
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	09/30/2010
B New York Stock Exchange	General Securities Representative	Approved	09/30/2010
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	11/02/2011
B California	Agent	Approved	09/30/2010
B Colorado	Agent	Approved	11/05/2012
B Connecticut	Agent	Approved	04/27/2011
B Delaware	Agent	Approved	09/30/2010
B Florida	Agent	Approved	09/30/2010
IA Florida	Investment Adviser Representative	Approved	10/04/2010
B Georgia	Agent	Approved	11/05/2012
B Hawaii	Agent	Approved	05/21/2021
B Illinois	Agent	Approved	09/30/2010
B Kentucky	Agent	Approved	04/06/2011
B Louisiana	Agent	Approved	11/05/2012
B Maine	Agent	Approved	02/13/2013
B Maryland	Agent	Approved	11/29/2011
B Massachusetts	Agent	Approved	09/30/2010



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Michigan	Agent	Approved	09/30/2010
B	Minnesota	Agent	Approved	12/22/2016
B	Missouri	Agent	Approved	09/30/2010
B	Montana	Agent	Approved	08/16/2021
B	Nevada	Agent	Approved	11/05/2012
B	New Hampshire	Agent	Approved	06/18/2020
B	New Jersey	Agent	Approved	09/30/2010
B	New York	Agent	Approved	09/30/2010
B	North Carolina	Agent	Approved	09/30/2010
B	Ohio	Agent	Approved	11/05/2012
B	Oklahoma	Agent	Approved	08/28/2017
B	Oregon	Agent	Approved	09/30/2010
B	Pennsylvania	Agent	Approved	11/05/2012
B	South Carolina	Agent	Approved	09/30/2010
B	South Dakota	Agent	Approved	06/27/2019
B	Tennessee	Agent	Approved	05/21/2021
B	Texas	Agent	Approved	09/30/2010
IA	Texas	Investment Adviser Representative	Approved	09/30/2010
B	Vermont	Agent	Approved	05/21/2021
B	Virginia	Agent	Approved	09/30/2010
B	Washington	Agent	Approved	05/29/2013

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

UBS FINANCIAL SERVICES INC.
525 OKEECHOBEE BLVD
SUITE 1500
WEST PALM BEACH, FL 33401



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.

This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	03/22/2007
B General Securities Sales Supervisor - Options Module Examination	Series 9	03/14/2007

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	08/23/2007
B General Securities Representative Examination	Series 7	12/04/2001

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	12/28/2001

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 12/2001 - 10/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	STUART, FL
B 12/2001 - 10/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	STUART, FL

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
09/2010 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	PALM BEACH, 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.

No information reported.

End of Report



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