

## BrokerCheck Report

### JOSEPH P MATINA

CRD# 2409366

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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](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).

**JOSEPH P. MATINA**

CRD# 2409366

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

**IA UBS FINANCIAL SERVICES INC.**  
 801 LAUREL OAK DRIVE  
 SUITE 500, SUNTRUST BUILDING  
 NAPLES, FL 34108  
 CRD# 8174  
 Registered with this firm since: 09/29/2006

**B UBS FINANCIAL SERVICES INC.**  
 801 LAUREL OAK DRIVE  
 SUITE 500, SUNTRUST BUILDING  
 NAPLES, FL 34108  
 CRD# 8174  
 Registered with this firm since: 09/29/2006

**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
- 43 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 INC.**  
 CRD# 7691  
 NEW YORK, NY  
 02/1999 - 10/2006
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
 CRD# 7691  
 FLORHAM PARK, NJ  
 12/1993 - 10/2006

**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
Customer Dispute	5



## 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 43 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**

	<b>SRO</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	BOX Exchange LLC	General Securities Representative	Approved	05/16/2012
<b>B</b>	Cboe Exchange, Inc.	General Securities Representative	Approved	09/29/2006
<b>B</b>	FINRA	General Securities Representative	Approved	09/29/2006
<b>B</b>	NYSE American LLC	General Securities Representative	Approved	09/29/2006
<b>B</b>	NYSE Arca, Inc.	General Securities Representative	Approved	09/29/2006
<b>B</b>	NYSE Chicago, Inc.	General Securities Representative	Approved	07/20/2022
<b>B</b>	Nasdaq ISE, LLC	General Securities Representative	Approved	01/23/2008
<b>B</b>	Nasdaq PHLX LLC	General Securities Representative	Approved	09/29/2006
<b>B</b>	Nasdaq Stock Market	General Securities Representative	Approved	09/29/2006
<b>B</b>	New York Stock Exchange	General Securities Representative	Approved	09/29/2006

	<b>U.S. State/ Territory</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	Alabama	Agent	Approved	07/12/2019
<b>B</b>	Alaska	Agent	Approved	01/05/2017
<b>B</b>	Arizona	Agent	Approved	07/20/2010



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	09/29/2006
B	Colorado	Agent	Approved	09/29/2006
B	Connecticut	Agent	Approved	09/29/2006
B	Delaware	Agent	Approved	09/01/2020
B	Florida	Agent	Approved	09/29/2006
IA	Florida	Investment Adviser Representative	Approved	02/22/2021
B	Georgia	Agent	Approved	10/06/2006
B	Hawaii	Agent	Approved	09/29/2006
B	Illinois	Agent	Approved	10/02/2006
B	Indiana	Agent	Approved	09/20/2016
B	Iowa	Agent	Approved	07/30/2018
B	Kansas	Agent	Approved	06/22/2018
B	Kentucky	Agent	Approved	01/30/2015
B	Louisiana	Agent	Approved	11/13/2006
B	Maine	Agent	Approved	01/03/2020
B	Maryland	Agent	Approved	09/29/2006
B	Massachusetts	Agent	Approved	09/29/2006
B	Michigan	Agent	Approved	09/29/2006
B	Minnesota	Agent	Approved	02/23/2015
B	Missouri	Agent	Approved	04/21/2016
B	Montana	Agent	Approved	08/12/2016



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Hampshire	Agent	Approved	01/25/2022
B	New Jersey	Agent	Approved	09/29/2006
IA	New Jersey	Investment Adviser Representative	Approved	09/29/2006
B	New Mexico	Agent	Approved	01/31/2019
B	New York	Agent	Approved	09/29/2006
B	North Carolina	Agent	Approved	02/03/2015
B	Ohio	Agent	Approved	07/25/2011
B	Oklahoma	Agent	Approved	12/19/2014
B	Oregon	Agent	Approved	01/30/2015
B	Pennsylvania	Agent	Approved	09/29/2006
B	Puerto Rico	Agent	Approved	02/18/2021
B	Rhode Island	Agent	Approved	11/30/2017
B	South Carolina	Agent	Approved	06/04/2012
B	Tennessee	Agent	Approved	01/07/2015
B	Texas	Agent	Approved	09/29/2006
IA	Texas	Investment Adviser Representative	Restricted Approval	09/29/2006
B	Utah	Agent	Approved	10/23/2017
B	Vermont	Agent	Approved	01/27/2014
B	Virginia	Agent	Approved	12/19/2014
B	Washington	Agent	Approved	04/18/2016
B	Wisconsin	Agent	Approved	04/22/2019



## Broker Qualifications

### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
<b>B</b> Wyoming	Agent	Approved	03/26/2020

### Branch Office Locations

**UBS FINANCIAL SERVICES INC.**  
801 LAUREL OAK DRIVE  
SUITE 500, SUNTRUST BUILDING  
NAPLES, FL 34108

**UBS FINANCIAL SERVICES INC.**  
7 Oak Hill Rd  
Chatham, NJ 07928

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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.

**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>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Futures Managed Funds Examination	Series 31	07/18/2000
<b>B</b> General Securities Representative Examination	Series 7	12/14/1993

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	08/23/1995
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	03/14/1994

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
<b>IA</b> 02/1999 - 10/2006	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	FLORHAM PARK, NJ
<b>B</b> 12/1993 - 10/2006	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	FLORHAM PARK, NJ

### 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
09/2006 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	FLORHAM PARK, NJ, 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.

Albright College / 1621 N. 13th Street Reading, PA 19604 / No/ Non Profit / USD / No / No / / Start Date 01/14/2013 /



## 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.
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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
Customer Dispute	0	5	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.

### 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 2

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC.

**Allegations:** TIME FRAME: 1/2/08 THRU 5/20/09

CLIENT ALLEGES THE FA ASSURED THEM WHEN PROPOSING THE TRANSACTION REGARDING THE LEHMAN NOTE DISTRIBUTION FROM THEIR IRA, THAT THE VALUE REPORTED BY THE FIRM ON THE FORM 1099 FOR THIS DISTRIBUTION WOULD BE ZERO. CLIENT FURTHER STATES THAT ABSENT THAT ASSURANCE, THEY WOULD NOT HAVE TAKEN A DISTRIBUTION FROM THE IRAS. CLIENT FURTHER ALLEGES HOWEVER THEY RECEIVED AN AMENDED 1099 INDICATING A VALUE MORE THAN ZERO THUS EXPOSING THE CLIENTS TO ADDITIONAL TAXES, INTEREST AND PENALTIES.

**Product Type:** Other: STRUCTURED PRODUCTS

**Alleged Damages:** \$5,000.00

**Alleged Damages Amount Explanation (if amount not exact):** ESTIMATED TO BE IN EXCESS OF \$5,000.

**Is this an oral complaint?** No

**Is this a written complaint?** Yes



**Is this an arbitration/CFTC  
reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 05/20/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 11/23/2009

**Settlement Amount:** \$7,885.00

**Individual Contribution  
Amount:** \$0.00

#### Broker Statement

I DENY ANY WRONGDOING IN ASSOCIATION WITH THESE ALLEGATIONS. IN NOVEMBER 08' CLIENT DISTRIBUTED A SECURITY FROM THEIR IRA. UBS TAX REPORTING SYSTEM, UBS STATEMENTS AND UBS ON-LINE ACCESS ALL REPORTED A ZERO VALUE OF THE SECURITY. APPROX. 4 MONTHS AFTER DISTRIBUTION UBS SENT A CORRECTED 1099 FORM WITH A VALUE GREATER THAN ZERO. FROM THE TIME OF DISTRIBUTION TILL CORRECTED 1099 FORM (4 MONTHS), THE CLIENT AND ADVISOR RECEIVED NO ADDITIONAL COMMUNICATION ON THE CHANGE IN VALUE OR POTENTIAL OF A CORRECTED 1099 BEING SENT OUT. THE CLIENTS ASKED QUESTIONS FOR 2 MONTHS WITH NO RESPONSE AND AFTER THAT PUT THEIR QUESTIONS IN WRITING. AS THE ADVISOR, THIS IS NOT A ARBITRATION, CIVIL LITIGATION, ZERO REVENUE GENERATED AND DOES NOT INVOLVE A BUY/SELL ISSUE THEREFORE AGAIN, I DENY ANY INVOLVEMENT OTHER THAN CONFIRMING WHAT UBS ALREADY PROVIDED THE CLIENT AND QUESTION THE NEED TO REPORT THIS ON MY RECORD.

#### Disclosure 2 of 2

**Reporting Source:** Broker

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

**Allegations:** CUSTOMER ALLEGES THAT MR. MATINA ADVISED HER SHE WOULD GET BACK HER ORIGINAL INVESTMENT IN 2003 AND DID NOT ADVISE HER OF THE 20 YEAR MATURITY DATE OR THE PRODUCTS SUSCEPTIBILITY TO MARKET FLUCTUATIONS.

**Product Type:** CD(s)



**Alleged Damages:** \$9,000.00

**Customer Complaint Information**

**Date Complaint Received:** 02/03/2001

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 04/19/2001

**Settlement Amount:** \$3,795.00

**Individual Contribution Amount:** \$0.00



## Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a 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, which was closed without action, withdrawn, or denied.

### Disclosure 1 of 3

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	UBS FINANCIAL SERVICES INC
<b>Allegations:</b>	The clients' attorney alleges the Financial Advisors purchased structured products without the clients' authorization. The clients' attorney further alleges that not all of the information on these investments were disclosed. The clients' attorney also alleges these investments were not suitable. Time Frame: January 28, 2015.
<b>Product Type:</b>	Other: Structured Products
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Estimated to be in excess of \$5,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	12/14/2015
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	01/22/2016
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

**Broker Statement** I deny any and all allegations. I was not the primary advisor on the account. My team did assist the advisor of record with administration and strategy and were



part of three meetings. I believe the clients suitability and overall asset allocation were taken into account. All investments were fully explained and no investments were implemented without review and agreement by the client. The client had prior experience with this product and the client agreed prior to implementation of all investments.

### Disclosure 2 of 3

**Reporting Source:** Broker

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

**Allegations:** CUSTOMERS ALLEGE UNSUITABLE INVESTMENTS WERE MADE CONSIDERING THEIR FINANCIAL SITUATION AND OBJECTIVES. CUSTOMERS ALLEGE UNSPECIFIED DAMAGES OVER \$5,000.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 09/14/2004

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 03/30/2005

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** MERRILL LYNCH FOUND THE [CUSTOMER'S] CLAIM TO BE WITHOUT MERIT.

### Disclosure 3 of 3

**Reporting Source:** Broker

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

**Allegations:** CUSTOMER ALLEGES THE ANNUITY FEATURES WERE NOT PROPERLY DISCLOSED AT THE TIME OF PURCHASE. NO DAMAGES SPECIFIED.





**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$0.00

**Customer Complaint Information**

**Date Complaint Received:** 12/06/2000

**Complaint Pending?** No

**Status:** Withdrawn

**Status Date:** 01/12/2001

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** THE CLIENT HAS WITHDRAWN HER COMPLAINT REGARDING THE PURCHASE OF A VARIABLE ANNUITY.

## End of Report



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