

BrokerCheck Report

ROBERT MICHAEL SWILLER

CRD# 1246958

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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)



ROBERT M. SWILLER

CRD# 1246958

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

B **UBS FINANCIAL SERVICES INC.**
80 SOUTH 8TH STREET
SUITE 2900
MINNEAPOLIS, MN 55402
CRD# 8174
Registered with this firm since: 07/27/2007

IA **UBS FINANCIAL SERVICES INC.**
80 SOUTH 8TH STREET
SUITE 2900
MINNEAPOLIS, MN 55402
CRD# 8174
Registered with this firm since: 05/15/2009

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:

- 3 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):

B **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
MINNEAPOLIS, MN
03/1984 - 08/2007

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 | BOX Exchange LLC | General Securities Sales Supervisor | Approved | 05/18/2020 |
| B | Cboe Exchange, Inc. | General Securities Representative | Approved | 07/27/2007 |
| B | Cboe Exchange, Inc. | General Securities Sales Supervisor | Approved | 07/27/2007 |
| B | FINRA | General Securities Representative | Approved | 07/27/2007 |
| B | FINRA | General Securities Sales Supervisor | Approved | 07/27/2007 |
| B | NYSE American LLC | General Securities Representative | Approved | 07/27/2007 |
| B | NYSE American LLC | General Securities Sales Supervisor | Approved | 10/01/2018 |
| B | NYSE Arca, Inc. | General Securities Representative | Approved | 07/27/2007 |
| B | NYSE Arca, Inc. | General Securities Sales Supervisor | Approved | 07/27/2007 |
| 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 | 01/28/2008 |
| B | Nasdaq ISE, LLC | General Securities Sales Supervisor | Approved | 10/01/2018 |
| B | Nasdaq PHLX LLC | General Securities Representative | Approved | 07/27/2007 |



Broker Qualifications

Employment 1 of 1, continued

| SRO | Category | Status | Date |
|----------------------------------|-------------------------------------|----------|------------|
| B Nasdaq PHLX LLC | General Securities Sales Supervisor | Approved | 07/27/2007 |
| B Nasdaq Stock Market | General Securities Representative | Approved | 07/27/2007 |
| B Nasdaq Stock Market | General Securities Sales Supervisor | Approved | 07/27/2007 |
| B New York Stock Exchange | General Securities Representative | Approved | 07/27/2007 |
| B New York Stock Exchange | General Securities Sales Supervisor | Approved | 10/01/2018 |

| U.S. State/ Territory | Category | Status | Date |
|-------------------------------|----------|----------|------------|
| B Arizona | Agent | Approved | 07/27/2007 |
| B California | Agent | Approved | 07/27/2007 |
| B Colorado | Agent | Approved | 07/27/2007 |
| B Connecticut | Agent | Approved | 07/27/2007 |
| B District of Columbia | Agent | Approved | 09/15/2017 |
| B Florida | Agent | Approved | 07/27/2007 |
| B Georgia | Agent | Approved | 08/27/2018 |
| B Hawaii | Agent | Approved | 05/01/2008 |
| B Idaho | Agent | Approved | 06/07/2022 |
| B Illinois | Agent | Approved | 07/27/2007 |
| B Iowa | Agent | Approved | 01/29/2013 |
| B Kentucky | Agent | Approved | 07/29/2020 |
| B Louisiana | Agent | Approved | 07/27/2007 |
| B Massachusetts | Agent | Approved | 07/27/2007 |
| B Michigan | Agent | Approved | 07/27/2007 |



Broker Qualifications

Employment 1 of 1, continued

| | U.S. State/ Territory | Category | Status | Date |
|----|-----------------------|-----------------------------------|---------------------|------------|
| B | Minnesota | Agent | Approved | 07/27/2007 |
| IA | Minnesota | Investment Adviser Representative | Approved | 12/09/2013 |
| B | Missouri | Agent | Approved | 01/04/2023 |
| B | Montana | Agent | Approved | 04/19/2022 |
| B | Nevada | Agent | Approved | 07/27/2007 |
| B | New Hampshire | Agent | Approved | 09/17/2013 |
| B | New York | Agent | Approved | 07/27/2007 |
| B | North Carolina | Agent | Approved | 07/27/2007 |
| B | North Dakota | Agent | Approved | 06/22/2010 |
| B | Ohio | Agent | Approved | 05/29/2012 |
| B | Oregon | Agent | Approved | 07/27/2007 |
| B | Pennsylvania | Agent | Approved | 11/08/2007 |
| B | South Carolina | Agent | Approved | 07/27/2007 |
| B | Texas | Agent | Approved | 02/02/2009 |
| IA | Texas | Investment Adviser Representative | Restricted Approval | 05/15/2009 |
| B | Vermont | Agent | Approved | 04/24/2013 |
| B | Virginia | Agent | Approved | 02/02/2012 |
| B | Washington | Agent | Approved | 07/27/2007 |
| B | Wisconsin | Agent | Approved | 07/27/2007 |

Branch Office Locations

Broker Qualifications



Employment 1 of 1, continued

UBS FINANCIAL SERVICES INC.

80 SOUTH 8TH STREET
SUITE 2900
MINNEAPOLIS, MN 55402



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 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

| Exam | Category | Date |
|--|-----------|------------|
| B General Securities Sales Supervisor - Options Module Examination | Series 9 | 01/02/2023 |
| B General Securities Sales Supervisor - General Module Examination | Series 10 | 01/02/2023 |
| B General Securities Sales Supervisor Examination (Options Module & General Module) | Series 8 | 04/03/1990 |

General Industry/Product Exams

| Exam | Category | Date |
|--|----------|------------|
| B Securities Industry Essentials Examination | SIE | 10/01/2018 |
| B National Commodity Futures Examination | Series 3 | 01/29/1991 |
| B General Securities Representative Examination | Series 7 | 03/17/1984 |

State Securities Law Exams

| Exam | Category | Date |
|---|-----------|------------|
| IA Uniform Investment Adviser Law Examination | Series 65 | 01/04/1994 |
| B Uniform Securities Agent State Law Examination | Series 63 | 03/28/1984 |

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 03/1984 - 08/2007 | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | 7691 | MINNEAPOLIS, MN |

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 |
|-------------------|-----------------------------|-------------------|--------------------|--------------------------------|
| 07/2007 - Present | UBS FINANCIAL SERVICES INC. | FINANCIAL ADVISOR | Y | MINNEAPOLIS, MN, 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.

HYATT GRAND ASPEN / 415 EAST DEAN STREET ASPEN,COLORADO 81611 / OTHER/ REAL ESTATE / CONDO ASSOCIATION / MEMBER OF BOARD OF DIRECTORS / REPRESENT OWNERS / START DATE 12/03/2012.

2) Temple Israel / 2324 emerson ave s mpl, mn 55405 / Member of a committee with management or supervisory functions / / helping committee finding needs for foundation / Start Date 9/8/2015

3) Ackerberg investors fund 2 LLC/ Category - Company/Principal Business Activity - Buying property/Role - investor/ Duty - invest/ Comp- No

End of Report



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