



## Investment Adviser Representative Public Disclosure Report

### JAMES DOUGLAS SMITH

CRD# 5388259

Report #18300-55185, data current as of Thursday, August 19, 2010.

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**Dear Investor:**

Investment Adviser Public Disclosure (IAPD) has generated the following report for **JAMES DOUGLAS SMITH**. The information contained within this report has been provided by the Investment Adviser Representative (IAR), the investment adviser and/or securities firms with whom the IAR has worked, and securities regulators as part of the registration and licensing process. It represents the most current information reported to the Investment Adviser Registration Depository (IARD).

When evaluating this report, please keep in mind that it may include items that involve pending actions or allegations that may be contested and have not been resolved. Such items may, in the end, result in an order against the individual, may be withdrawn or dismissed, or resolved in favor of the firm or IAR, or concluded through a negotiated settlement.

The information in this report is not the only resource you should consult. If you have any questions about the information in this report please contact your state securities regulator. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association at <http://www.nasaa.org>.



## Investment Adviser Representative Report Summary

### JAMES DOUGLAS SMITH (CRD# 5388259)

The report summary provides an overview of the investment adviser representative's (IAR's) professional background and conduct. The information contained in this report has been provided by the IAR, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the IAR, a previous employing firm, or a securities regulator on **08/03/2010**.

#### CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

#### QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

**Note:** Not all jurisdictions require RA registration or may have an exemption from registration. Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

#### REGISTRATION AND EMPLOYMENT HISTORY

This Investment Adviser Representative was previously registered with the following Investment Adviser Firms:

| FIRM (IARD#) - LOCATION                                    | REGISTRATION DATES      |
|--|-------------------------|
| UBS FINANCIAL SERVICES INC. (IARD# 8174) - JERSEY CITY, NJ | 07/24/2008 - 08/03/2010 |

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

#### DISCLOSURE INFORMATION

This section includes details regarding disclosure events reported by or about this investment adviser representative (IAR) as part of the states' investment adviser registration and licensing process. Examples of such disclosure events include formal investigations and disciplinary actions taken by regulators, customer disputes, certain criminal charges and/or convictions, as well as an IAR's financial disclosures, such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this Investment Adviser Representative? **No**

#### BROKER DEALER INFORMATION

Is there information available about this individual in BrokerCheck? **Yes**



## Investment Adviser Representative Qualifications

### REGISTRATIONS

This section provides the states and U.S. territories in which the Investment Adviser Representative (IAR) is currently registered and licensed, the category of each registration, and the date on which the registration became effective. This section also provides the physical location of each branch with which the IAR is associated for each listed employment.

This individual is not currently registered as an Investment Adviser Representative.



## Investment Adviser Representative Qualifications

### PASSED INDUSTRY EXAMS

This section includes all required state securities exams that the Investment Adviser Representative (IAR) has passed. Under certain, limited circumstances, an IAR may receive a waiver of an exam requirement based on a combination of previous exams passed and qualifying work experience. Likewise, a new exam requirement may be grandfathered based on an IAR's specific qualifying work experience. Information regarding instances of exam waivers or the grandfathering of an exam requirement are not included as part of the Investment Adviser Public Disclosure (IAPD) report.

This individual has passed the following exams:

| Exam   | Category  | Date       |
|--|-----------|------------|
| Uniform Combined State Law Examination (S66) | Series 66 | 09/26/2007 |

### PROFESSIONAL DESIGNATIONS

This section details that the IAR has reported **0** professional designation(s).

No information reported.



## Investment Adviser Representative Registration and Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING INVESTMENT ADVISER FIRMS

This section indicates that state registration records show this Investment Adviser Representative (IAR) previously held registrations with the following firms:

| Registration Dates      | Firm Name                   | IARD# | Branch Location |
|-------------------------|-----------------------------|-------|-----------------|
| 07/24/2008 - 08/03/2010 | UBS FINANCIAL SERVICES INC. | 8174  | JERSEY CITY, NJ |

### EMPLOYMENT HISTORY

This section provides up to ten years of an IAR's employment history as reported by the IAR on the most recently filed Form U4.

**Please note that the IAR is required to provide this information only while registered with an investment adviser firm and the information is not updated through Form U4 after the IAR ceases to be registered. Therefore, an employment end date of "Present" may not reflect the IAR's current employment status.**

| Employment Dates  | Employer Name                               | Employer Location |
|-------------------|---|-------------------|
| 08/2009 - Present | UBS FINANCIAL SERVICES INC                  | JERSEY CITY, NJ   |
| 07/2008 - 08/2009 | UBS FINANCIAL SERVICES INC.                 | WEEHAWKEN, NJ     |
| 07/2007 - 07/2008 | UBS FINANCIAL SERVICES INC                  | NEW YORK, NY      |
| 06/2004 - 07/2007 | HUDSON VALLEY BANK                          | YONKERS, NY       |
| 10/2001 - 02/2006 | UNITED STATES SMALL BUSINESS ADMINISTRATION | NIAGARA FALLS, NY |
| 03/2004 - 05/2004 | UNEMPLOYED                                  | NEW YORK, NY      |
| 06/2001 - 09/2001 | SUPERIOR STAFFING                           | BUFFALO, NY       |
| 09/1999 - 05/2001 | CANISIUS COLLEGE-CORNELL UNIVERSITY         | ITHACA, NY        |

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the IAR regarding other business activities in which the IAR is currently engaged 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.

I4 ADVANTAGE, LLC 47 ALTA AVENUE, 3C/YONKERS, NY 10705 NOT INVESTMENT RELATED, HUMAN DEVELOPMENT AND COACHING, GENERAL MANAGER, 3/2006 STARTED, 0 HOURS PER MONTH (INACTIVE AT THIS TIME), NO TRADING OR FINANCIAL SERVICES OF ANY KIND IS INVOLVED. I PROVIDE PERSONNEL ASSESSMENT TESTS AND FEEDBACK RESULTS FOR INDIVIDUALS SEEKING CAREER ADVANCEMENT.



## About this Investment Adviser Representative Report

Investment Adviser Public Disclosure (IAPD) reports disclose information about state registered investment adviser representatives (IARs) to help investors determine whether to conduct, or continue to conduct, business with these individuals. The information contained within these reports is collected through the states' registration and licensing process. For additional information, a glossary of terms can also be found on the website of the North American Securities Administrators Association (NASAA) at <http://www.nasaa.org/IAPD/Glossary.cfm>.

### Who provides the information in Investment Adviser Public Disclosure (IAPD)?

Information made available through IAPD is obtained from the Investment Adviser Registration Depository (IARD) as reported through the states' registration and licensing process. State securities regulators use Forms U4 and U5 to collect registration/licensing information for investment adviser representatives (IARs). Regulators provide information through Form U6, which is used to report certain disciplinary history about investment adviser firms and IARs.

### How current is the information contained in Investment Adviser Public Disclosure (IAPD)?

Investment adviser firms and investment adviser representatives (IARs) are required to keep this information accurate and up-to-date (typically not later than 30 days after learning of an event). The data in IAPD is updated when an investment adviser and/or securities firm, IAR, or securities regulator submits new or revised information to IARD.

A report for an investment adviser representative (IAR) contains:

- A report summary that provides a brief overview of the IAR and his or her credentials. This summary also functions as the entry point to a more detailed report on the IAR.
- A qualifications section that includes a listing of the IAR's current registrations, or licenses, professional designations, if any, and state required exams he or she has passed.
- A previous employment section that contains two types of information:
  - a list of firms where the IAR was previously registered.
  - the IAR's employment history for the last ten years-both in and outside the investment adviser and/or securities industry -as reported by the IAR.
- A disclosure section that contains information about any customer disputes or regulatory and disciplinary events on this IAR's record. Please keep in mind a number of items may involve pending actions or allegations

### What information is NOT disclosed through Investment Adviser Public Depository (IAPD)?

Information that has not been reported to IARD is not disclosed. Certain customer complaint information filed before March 2002 is not available in IAPD. To access this older information, please contact a state where the IAR is registered.

Additional information not disclosed includes Social Security numbers, residential history information, and physical description information.

In certain limited circumstances, most often pursuant to a court order, information is expunged from IARD.

If you have additional questions, call your state securities regulator. Contact information for state securities regulators can be found on the website of the North American Securities Administrators Association, Inc. at <http://www.nasaa.org>.