



## IAPD Report

# DONALD CHARLES ATHERTON

CRD# 1865816

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6

**i** Please be aware that fraudsters may link to Investment Adviser Public Disclosure 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.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### DONALD CHARLES ATHERTON (CRD# 1865816)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, 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 representative, a previous employing firm, or a securities regulator on **01/04/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	UBS FINANCIAL SERVICES INC.	CRD# 8174	03/18/2014
<b>IA</b>	UBS FINANCIAL SERVICES INC.	CRD# 8174	03/18/2014

### QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **27** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR 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 HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>B</b>	LPL FINANCIAL LLC	6413	HOUSTON, TX	08/26/2005 - 03/26/2014
<b>IA</b>	LPL FINANCIAL LLC	6413	HOUSTON, TX	08/26/2005 - 03/26/2014
<b>IA</b>	WOODLANDS ASSET MANAGEMENT INC	108122	HOUSTON, TX	07/18/2001 - 08/10/2005

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

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **No**



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **27** jurisdiction(s) and **10** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**  
Main Address: 1200 HARBOR BOULEVARD  
WEEHAWKEN, NJ 07086  
Firm ID#: 8174

Regulator	Registration	Status	Date
<b>B</b> BOX Exchange LLC	General Securities Representative	Approved	03/18/2014
<b>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	03/18/2014
<b>B</b> FINRA	General Securities Representative	Approved	03/18/2014
<b>B</b> NYSE American LLC	General Securities Representative	Approved	03/18/2014
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	03/18/2014
<b>B</b> NYSE Chicago, Inc.	General Securities Representative	Approved	07/20/2022
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	Approved	03/18/2014
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	03/18/2014
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	03/18/2014
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	03/18/2014
<b>B</b> Arkansas	Agent	Approved	07/01/2022
<b>B</b> California	Agent	Approved	06/22/2020
<b>B</b> Colorado	Agent	Approved	07/28/2021



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Delaware	Agent	Approved	07/01/2022
<b>B</b> Florida	Agent	Approved	06/19/2020
<b>B</b> Georgia	Agent	Approved	07/21/2020
<b>B</b> Illinois	Agent	Approved	05/10/2023
<b>B</b> Indiana	Agent	Approved	05/10/2023
<b>B</b> Iowa	Agent	Approved	07/01/2022
<b>B</b> Kansas	Agent	Approved	04/25/2023
<b>B</b> Louisiana	Agent	Approved	05/10/2023
<b>B</b> Maryland	Agent	Approved	10/01/2021
<b>B</b> Massachusetts	Agent	Approved	01/04/2021
<b>B</b> Michigan	Agent	Approved	06/08/2021
<b>B</b> Minnesota	Agent	Approved	04/15/2019
<b>B</b> Mississippi	Agent	Approved	01/04/2021
<b>B</b> Nevada	Agent	Approved	05/10/2023
<b>B</b> New Jersey	Agent	Approved	10/27/2023
<b>B</b> New Mexico	Agent	Approved	01/04/2024
<b>B</b> New York	Agent	Approved	07/01/2022
<b>B</b> North Carolina	Agent	Approved	09/07/2023
<b>B</b> Oklahoma	Agent	Approved	10/29/2019



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Pennsylvania	Agent	Approved	01/04/2021
<b>B</b> Texas	Agent	Approved	03/18/2014
<b>IA</b> Texas	Investment Adviser Representative	Approved	03/18/2014
<b>B</b> Utah	Agent	Approved	07/01/2022
<b>B</b> Virginia	Agent	Approved	08/06/2019
<b>B</b> Washington	Agent	Approved	07/01/2022

### Branch Office Locations

**UBS FINANCIAL SERVICES INC.**

1780 Hughes Landing Blvd.  
SUITE 200  
THE WOODLANDS, TX 77380-1687



## Qualifications

### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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<b>B</b> General Securities Representative Examination (S7)	Series 7	03/15/1994
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#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	12/07/1999
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<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	11/28/1994
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### PROFESSIONAL DESIGNATIONS

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

No information reported.



### Registration & Employment History

#### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	08/26/2005 - 03/26/2014	LPL FINANCIAL LLC	CRD# 6413	HOUSTON, TX
IA	08/26/2005 - 03/26/2014	LPL FINANCIAL LLC	CRD# 6413	HOUSTON, TX
IA	07/18/2001 - 08/10/2005	WOODLANDS ASSET MANAGEMENT INC	CRD# 108122	HOUSTON, TX
B	07/18/2001 - 08/10/2005	WOODLANDS SECURITIES CORPORATION	CRD# 22373	OMAHA, NE
B	05/03/1999 - 07/05/2001	PARK AVENUE SECURITIES LLC	CRD# 46173	NEW YORK, NY
B	03/16/1994 - 05/03/1999	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	NEW YORK, NY

#### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2014 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	HOUSTON, TX, United States
08/2005 - 03/2014	LPL FINANCIAL, LLC	FINANCIAL ADVISOR	Y	HOUSTON, TX, United States

#### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

- 08/26/2005: NON-VARIABLE INSURANCE DBA - INTEGRATED BENEFITS SOLUTIONS, INC. - TIME SPENT 30% - HOUSTON, TX.
- 3/3/2011: NON-VARIABLE INSURANCE DBA - BASHAW & ATHERTON - 50% OF TIME SPENT - HOUSTON, TX.
- 4/18/2013: DBA ONLY - JAMES E. BASHAW & COMPANY - 10% OF TIME SPENT - HOUSTON, TX.
- INTEGRATED BENEFITS SOLUTIONS, INC. / 411 N. SAM HOUSTON PKWY, 200 HOUSTON, TEXAS 77060 / COMPANY/ INSURANCE & LIFE ASSURANCE / GROUP INSURANCE / OTHER / S -CORPORATION / SERVICE EXISTING CLIENTS / START DATE 3/27/1997





## End of Report

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