

2017 FOREIGN PROFIT CORPORATION ANNUAL REPORT

DOCUMENT# 823791

Entity Name: UBS FINANCIAL SERVICES INC.

FILED
Feb 09, 2017
Secretary of State
CC6539295448

Current Principal Place of Business:

1200 HARBOR BOULEVARD
WEEHAWKEN, NJ 07086

Current Mailing Address:

1200 HARBOR BOULEVARD
WEEHAWKEN, NJ 07086

FEI Number: 13-2638166

Certificate of Status Desired: No

Name and Address of Current Registered Agent:

CORPORATION SERVICE COMPANY
1201 HAYS STREET
TALLAHASSEE, FL 32301 US

The above named entity submits this statement for the purpose of changing its registered office or registered agent, or both, in the State of Florida.

SIGNATURE:

Electronic Signature of Registered Agent

Date

Officer/Director Detail :

Title CHAIRMAN OF THE BOARD OF DIRECTORS, DIRECTOR
Name NARATIL, THOMAS C.
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title DIRECTOR, GROUP MANAGING DIRECTOR
Name CHANDLER, JASON R.
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title DIRECTOR, MANAGING DIRECTOR, CFO
Name FAINSBERT, AMY E.
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title DIRECTOR, MANAGING DIRECTOR, CHIEF COMPLIANCE OFFICER
Name HANDELSMAN, SHARYN
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title DIRECTOR
Name HATCH, PAUL
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title DIRECTOR, PRESIDENT, GROUP MANAGING DIRECTOR
Name HULL, BRIAN P.
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title DIRECTOR, GROUP MANAGING DIRECTOR, COO
Name LYNCH, KATHLEEN
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title DIRECTOR
Name MCGOVERN, MICHAEL
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

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I hereby certify that the information indicated on this report or supplemental report is true and accurate and that my electronic signature shall have the same legal effect as if made under oath; that I am an officer or director of the corporation or the receiver or trustee empowered to execute this report as required by Chapter 607, Florida Statutes; and that my name appears above, or on an attachment with all other like empowered.

SIGNATURE: JOHN CONNORS

SECRETARY

02/09/2017

Electronic Signature of Signing Officer/Director Detail

Date

Officer/Director Detail Continued :

Title DIRECTOR
Name MOLINARO, SAMUEL
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title GROUP MANAGING DIRECTOR
Name POLITO, PAULA D.
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title MANAGING DIRECTOR
Name MCCANN, ROBERT J.
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title CHIEF RISK OFFICER
Name SCHOENROCK, RALPH
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title TREASURER, DIRECTOR
Name BOYLAN, PAUL
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title ASSISTANT SECRETARY, DIRECTOR
Name HECKLER, MARGARET
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title ASSISTANT SECRETARY, ASSOCIATE DIRECTOR
Name MATUZ, JUDIT
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title ASSISTANT TREASURER
Name COLLINS, VIRGIL
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title ASSISTANT TREASURER, DIRECTOR
Name GRAU, JOSE H.
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title ASSISTANT TREASURER
Name NAYMAN, LAURENCE
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title ASSISTANT TREASURER, ASSOCIATE DIRECTOR

Title GROUP MANAGING DIRECTOR
Name BERKERY, ROSEMARY T.
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title MANAGING DIRECTOR, GENERAL COUNSEL
Name CROWL, MICHAEL
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title ATTORNEY-IN-FACT
Name SCHIFFMAN, JORDAN
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title SECRETARY
Name CONNORS, JOHN
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title ASSISTANT SECRETARY, ASSOCIATE DIRECTOR
Name GRASSMANN, CHERYL A.
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title ASSISTANT SECRETARY, DIRECTOR
Name HESSION, MINA
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title ASSISTANT TREASURER
Name CALLENDER, JEFFREY
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title ASSISTANT TREASURER
Name FORSCHINO, BRIAN
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title ASSISTANT TREASURER
Name MCKIBBEN, CHARLES
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title ASSISTANT TREASURER
Name PUGLIA, SARAH
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Name TORRES, SARA
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086