

2021 FOREIGN PROFIT CORPORATION ANNUAL REPORT

DOCUMENT# 823791

Entity Name: UBS FINANCIAL SERVICES INC.

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

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

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

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

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

Title COO, MANAGING DIRECTOR
Name NEWCOMN, CATHERINE A
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: MINA HESSION

SECRETARY

04/26/2021

Electronic Signature of Signing Officer/Director Detail

Date

Officer/Director Detail Continued :

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

Title ASST. TREASURER
Name COLLINS , CHIP
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title FCM CHIEF COMPLIANCE OFFICER
Name THOLL TOLINSKI, JACLYN
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title CHIEF BSA/AML OFFICER
Name DENVER , JOHN
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title ASST. TREASURER
Name DOBBERFUHL, MATTHEW
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title ASST. TREASURER, ASSOCIATE DIRECTOR
Name TORRES, SARA
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

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

Title GENERAL COUNSEL
Name HALLOWELL, DOUGLAS
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

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

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

Title CFO, MANAGING DIRECTOR
Name MATTONE, RALPH
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086

Title CHEIF COMPLIANCE OFFICER,
MANAGING DIRECTOR
Name ANDERSON, SCOTT
Address 1200 HARBOR BOULEVARD
City-State-Zip: WEEHAWKEN NJ 07086