



**State of Rhode Island and Providence Plantations  
Office of the Secretary of State**

Fee: \$50.00

Division Of Business Services  
148 W. River Street  
Providence RI 02904-2615  
(401) 222-3040

**Foreign Business Corporation  
Annual Report**

*Filing Period: January 1 - March 1*

*In accordance with R.I.G.L. 7-1.2-1501(e), each corporation failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-1.2-1501(c&d)) is subject to a penalty fee of \$25.00.*

**ANNUAL REPORT YEAR:** 2011

**1. Corporate ID No.** 000025599

**2. Name of Corporation** UBS Financial Services Insurance Agency Inc.

**3. Street Address Principal Business Office:**

No. and Street: 1200 HARBOR BOULEVARD

City or Town: WEEHAWKEN

State: NJ

Zip: 07086

Country: USA

**4. Business Phone No.**

800-221-3260

**5. State of Incorporation**

State: DE

**6. Brief Description of the Character of Business Conducted in Rhode Island**

Incorporated to allow the sale of life insurance and annuity products. Houses the licenses of the individual agents which are UBS Financial Services advisors.

**7. Names and Addresses of the Officers and Directors:**

**All officers and directors must be listed.**

<b>Title</b>	<b>Individual Name</b> First, Middle, Last, Suffix	<b>Address</b> Address, City or Town, State, Zip Code, Country
PRESIDENT	KEVIN RUTH	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
TREASURER	KEVIN RUTH	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
SECRETARY	MICHAEL P. YORK	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
CEO	KEVIN RUTH	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
SENIOR VICE PRESIDENT	MICHAEL P. YORK	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
ASSISTANT SECRETARY	TAMBRA S. KING	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
ASSISTANT SECRETARY	RICHARD P. BOROVOY	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
ASSISTANT TREASURER	BRIAN FORSCHINO	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
ASSISTANT TREASURER	JOSEPH TOCCO	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
VICE PRESIDENT	STANLEY ERWIN HOFFMAN	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
VICE PRESIDENT	ARTHUR I. MARTIN	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
VICE PRESIDENT	AMY T. O CONNOR	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
ASSISTANT TREASURER	LOUIS J. DE VICO	800 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
DIRECTOR	KEVIN RUTH	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
DIRECTOR	MICHAEL P. YORK	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
DIRECTOR	DAVID PETERSON	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA

#### 8. Shares Authorized and Issued

Class of Stock	Series of Stock	Par Value Per Share	Total Authorized Shares <i>Number of Shares</i>	Total Issued and Outstanding <i>Num of Shares</i>
CWP		\$1.00	1,000.00	100

**9. This report must be executed on behalf of the corporation by an authorized representative. If the corporation is in the hands of a receiver or trustee, this report must be executed on behalf of the corporation by the receiver or trustee.**

**Signed this 16 Day of February, 2011 at 2:55:59 PM.** *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the*

*act and deed of the corporation, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-1.2.*

By TAMBRA S. KING

Signature of Authorized Representative of the Corporation

ASSISTANT SECRETARY

Title

**This report cannot be accepted for filing if an officer has executed the form and he/she is not listed in section 7.**

Form No. 630  
Revised 09/07

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