



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.** 000025632

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

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

No. and Street: 1200 HARBOR BLVD

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**

Principal Operating Company-Broker Dealer serving investment, cash management, financial planning and borrowing needs of individual, corporate and institutional clients.

**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	ROBERT MCCANN	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
TREASURER	WILLIAM FREY	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
SECRETARY	TAMBRA S. KING	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
CEO	ROBERT MCCANN	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
CFO	WILLIAM FREY	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
DIRECTOR	JAMES D. PRICE	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
DIRECTOR	THOMAS C. NARATIL	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
DIRECTOR	DIANE FRIMMEL	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
DIRECTOR	ROBERT J. MCCANN	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	100.00	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 3:13:31 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

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.**

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