



**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:** 2019

**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.**

**5. State of Incorporation**

State: DE

**ARTICLE III**

Enter the six digit NAICS Code that best describes the primary business conducted by the entity. Download the list of codes [here](#). More information on [NAICS](#) can be found online.

523120

**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.**

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
PRESIDENT	BRIAN P HULL	1200 HARBOR BOULEVARD

		WEEHAWKEN, NJ 07086 USA
TREASURER	PAUL BOYLAN	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
SECRETARY	JOHN CONNORS	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
DIRECTOR	HELENE NARCY	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
DIRECTOR	MARK SANBORN	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
DIRECTOR	SAMUEL MOLINARO	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
DIRECTOR	PAUL HATCH	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
DIRECTOR	BRIAN P HULL	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
DIRECTOR	SHARYN HANDELSMAN	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
DIRECTOR	JOSE H GRAU	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
DIRECTOR	MARGARET HECKLER	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
DIRECTOR	MINA HESSION	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
DIRECTOR	JASON CHANDLER	1200 HARBOR BOULEVARD WEEHAWKEN, NJ 07086 USA
DIRECTOR	PAUL BOYLAN	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		\$1.0000	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 14 Day of February, 2019 at 3:57:26 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 JOHN CONNORS  
Signature of Authorized Representative of the Corporation

Revised 09/07

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