

2008 LIMITED LIABILITY COMPANY ANNUAL REPORT

FILED
Apr 25, 2008 8:00 am
Secretary of State

04-25-2008 90026 013 ***138.75

DOCUMENT # M02000002814

1. Entity Name
UBS SECURITIES LLC



Principal Place of Business
677 WASHINGTON BLVD.
STAMFORD, CT 06901

Mailing Address
677 WASHINGTON BLVD.
STAMFORD, CT 06901

60028938



04222008 Chg-LLC CR2E083 (12/06)

2. Principal Place of Business - No P.O. Box #

3. Mailing Address

Suite, Apt. #, etc.

Suite, Apt. #, etc.

City & State

City & State

Zip

Country

Zip

Country

4. FEI Number
13-3873456

Applied For
Not Applicable

5. Certificate of Status Desired ☐ \$5.00 Additional Fee Required

6. Name and Address of Current Registered Agent

7. Name and Address of New Registered Agent

CORPORATION SERVICE COMPANY
1201 HAYS STREET
TALLAHASSEE, FL 32301-2525

Name

Street Address (P.O. Box Number is Not Acceptable)

City

FL

Zip Code

8. 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. I am familiar with, and accept the obligations of registered agent.

SIGNATURE

Signature, typed or printed name of registered agent and title if applicable.

(NOTE: Registered Agent signature required when reinstating)

DATE

FILE NOW!!! FEE IS \$138.75
After May 1, 2008 Fee will be \$538.75

Make check payable to
Florida Department of State

9. MANAGING MEMBERS/MANAGERS

10. ADDITIONS/CHANGES

TITLE MGR ☒ Delete
NAME WOLF, ROBERT
STREET ADDRESS 677 WASHINGTON BLVD.
CITY-ST-ZIP STAMFORD, CT 06901

TITLE ☐ Change ☐ Addition
NAME
STREET ADDRESS Please See Attached List
CITY-ST-ZIP

TITLE MGR ☐ Delete
NAME DOLAN, REGINA
STREET ADDRESS 677 WASHINGTON BLVD.
CITY-ST-ZIP STAMFORD, CT 06901

TITLE ☐ Change ☐ Addition
NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE MGR ☐ Delete
NAME ODELL, JAMES
STREET ADDRESS 677 WASHINGTON BLVD.
CITY-ST-ZIP STAMFORD, CT 06901

TITLE ☐ Change ☐ Addition
NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE MGR ☐ Delete
NAME DYRVIK, PER
STREET ADDRESS 677 WASHINGTON BLVD.
CITY-ST-ZIP STAMFORD, CT 06901

TITLE ☐ Change ☐ Addition
NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE MGR ☐ Delete
NAME RESSEL, TERESA
STREET ADDRESS 677 WASHINGTON BLVD.
CITY-ST-ZIP STAMFORD, CT 06901

TITLE ☐ Change ☐ Addition
NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE ☐ Delete
NAME
STREET ADDRESS
CITY-ST-ZIP

TITLE ☐ Change ☐ Addition
NAME
STREET ADDRESS
CITY-ST-ZIP

11. I hereby certify that the information supplied with this filing does not qualify for the exemptions contained in Chapter 119, Florida Statutes. I further certify that the information indicated on this report is true and accurate and that my signature shall have the same legal effect as if made under oath; that I am a managing member or manager of the limited liability company or the receiver or trustee empowered to execute this report as required by Chapter 608, Florida Statutes.

SIGNATURE:

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING MANAGING MEMBER, MANAGER, OR AUTHORIZED REPRESENTATIVE

Date

Daytime Phone #

Authorized Representative 4/24/08

ATTACHMENT

60028938

#M02000002814

UBS Securities LLC
Manager List

Managers

Full Legal Name: Teresa Ressel
Title: Manager
Business Addr: 677 Washington Blvd
Stamford, CT 06901

Full Legal Name: Michael Curran
Title: Manager
Business Addr: 677 Washington Blvd
Stamford, CT 06901

Full Legal Name: Regina Dolan
Title: Manager
Business Addr: 677 Washington Blvd
Stamford, CT 06901

Full Legal Name: Per Dyrvik
Title: Manager
Business Addr: 677 Washington Blvd
Stamford, CT 06901

Full Legal Name: Raul Esquivel
Title: Manager
Business Addr: 677 Washington Blvd
Stamford, CT 06901

Full Legal Name: Rick Leaman
Title: Manager
Business Addr: 677 Washington Blvd
Stamford, CT 06901

Full Legal Name: James Odell
Title: Manager
Business Addr: 677 Washington Blvd
Stamford, CT 06901

Full Legal Name: David Shulman
Title: Manager
Business Addr: 677 Washington Blvd
Stamford, CT 06901

Full Legal Name: Todd Tuckner
Title: Manager
Business Addr: 677 Washington Blvd
Stamford, CT 06901