

2011 LIMITED LIABILITY COMPANY ANNUAL REPORT

DOCUMENT# M02000002814

FILED
Apr 07, 2011
Secretary of State

Entity Name: UBS SECURITIES LLC

Current Principal Place of Business:

677 WASHINGTON BLVD.
STAMFORD, CT 06901

New Principal Place of Business:

Current Mailing Address:

677 WASHINGTON BLVD.
STAMFORD, CT 06901

New Mailing Address:

FEI Number: 13-3873456

FEI Number Applied For ()

FEI Number Not Applicable ()

Certificate of Status Desired ()

Name and Address of Current Registered Agent:

CORPORATION SERVICE COMPANY
1201 HAYS STREET
TALLAHASSEE, FL 323012525 US

Name and Address of New Registered Agent:

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

MANAGING MEMBERS/MANAGERS:

Title: MGR
Name: RESSEL, TERESA
Address: 677 WASHINGTON BLVD.
City-St-Zip: STAMFORD, CT 06901

Title: MGR
Name: OLSEN, REINHARDT
Address: 677 WASHINGTON BLVD.
City-St-Zip: STAMFORD, CT 06901

Title: MGR
Name: BLEUSTEIN, DAVID
Address: 677 WASHINGTON BLVD.
City-St-Zip: STAMFORD, CT 06901

Title: MGR
Name: DYRVIK, PER
Address: 677 WASHINGTON BLVD.
City-St-Zip: STAMFORD, CT 06901

Title: MGR
Name: PRIMMER, RYAN F
Address: 677 WASHINGTON BLVD.
City-St-Zip: STAMFORD, CT 06901

Title: MGR
Name: PHINO, CHRISTOPHER
Address: 677 WASHINGTON BLVD
City-St-Zip: STAMFORD, CT 06901

I hereby certify that the information indicated on this report is true and accurate and that my electronic 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: PER DYRVIK

MGR

04/07/2011

Electronic Signature of Signing Managing Member, Manager, or Authorized Representative / Date

APR. 22. 2011 5:15PM

CORPORATION SERVICE COMPANY

NO. 6000 P. 3/3

MO20000002814

Report Directors
UBS Securities LLC.
State of Florida

Managers

Full Legal Name: Teresa Ressel ✓
Business Addr: 677 Washington Boulevard
Stamford, CT 06901

Full Legal Name: Reinhardt Olsen ✓
Business Addr: 677 Washington Boulevard
Stamford, CT 06901

Full Legal Name: David Bleustein ✓
Business Addr: 677 Washington Boulevard
Stamford, CT 06901

Full Legal Name: Per Dyrvik ✓
Business Addr: 677 Washington Boulevard
Stamford, CT 06901

Full Legal Name: Ryan F. Primmer ✓
Business Addr: 677 Washington Boulevard
Stamford, CT 06901

Full Legal Name: Christopher Phino ✓
Business Addr: 677 Washington Boulevard
Stamford, CT 06901

* Full Legal Name: Christopher Leone
Business Addr: 677 Washington Boulevard
Stamford, CT 06901

* Full Legal Name: Kanishk Arora
Business Addr: 677 Washington Boulevard
Stamford, CT 06901

* Full Legal Name: Arvabh Borikoff
Business Addr: 677 Washington Boulevard
Stamford, CT 06901