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# National Futures Association

Firm Application (7R) Filed December 13, 2012

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**OMB Number** 3038-0072

**NFA ID** 0338960 UBS AG

**Submitted By** COOPERR2 ROBIN COOPER

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## Instructions

**READ THESE INSTRUCTIONS CAREFULLY BEFORE COMPLETING OR REVIEWING THE APPLICATION. THE FAILURE TO ANSWER ALL QUESTIONS COMPLETELY AND ACCURATELY OR THE OMISSION OF REQUIRED INFORMATION MAY RESULT IN THE DENIAL OR REVOCATION OF REGISTRATION.**

### DEFINED TERMS

Words that are underlined in this form are defined terms and have the meanings contained in the Definition of Terms section.

### GENERAL

Read the Instructions and Questions Carefully

A question that is answered incorrectly because it was misread or misinterpreted can result in severe consequences, including denial or revocation of registration. Although this applies to all questions in the application, it is particularly important to the questions in the Disciplinary Information Section.

Rely Only on Advice from NFA Staff

A question that is answered incorrectly because of advice received from a lawyer, employer, a judge or anyone else (other than a member of NFA's Registration, Compliance, Legal or Information Center ("RCLI") departments) can result in severe consequences, including denial or revocation of registration. This also applies to all questions in the form, but is particularly important regarding the Disciplinary Information Section. If the language of a question in the Disciplinary Information Section requires disclosure of a matter, a "Yes" answer to the question is required no matter what other advice has been received from anyone other than NFA's RCLI staff. Additionally, the applicant or registrant remains responsible for failures to disclose even if someone completes the form on the applicant's or registrant's behalf.

Update the Information on the Application

If information provided on the application changes or a matter that would have required disclosure on the application occurs after the application is filed, the new information must be promptly filed. APs and Principals should advise their Sponsors of the new information, and the Sponsor must file the update on their behalf. The failure to promptly update information can result in severe consequences, including denial or revocation of registration.

Compliance with Disclosure Requirements of Another Regulatory Body is not Sufficient

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With some exceptions, which are described below in the Regulatory and Financial Questions sections, if any question requires the provision of information, that information must be provided. In particular, if a question in the Disciplinary Information Section requires disclosure of a matter, the question must be answered "Yes" and additional documents must be provided even if the matter has been disclosed to another regulatory body such as FINRA, an exchange or a state regulator. Similarly, disclosure is required even if another regulatory body does NOT require disclosure of the same matter.

## Call NFA with Questions

If there is any question about whether particular information must be provided, whether a particular matter must be disclosed or whether a particular question requires a "Yes" answer, call the NFA Information Center at (312) 781-1410. Representatives are available from 8:00 a.m. to 5:00 p.m., Central Time, Monday through Friday. If the advice of NFA staff is sought, a written record containing the date of the conversation, the name of the NFA staff person giving the advice and a description of the advice should be made during the conversation and kept in the event an issue concerning disclosure of the matter arises later.

## DISCIPLINARY INFORMATION SECTION

### Criminal Disclosures

Some common mistakes in answering the criminal disclosure questions involve expungements, diversion programs and similar processes. The Commodity Futures Trading Commission requires a "Yes" answer even if the matter has been expunged or the records sealed, there was no adjudication or finding of guilt, the guilty plea was vacated or set aside or the matter was dismissed upon completion of the diversion program.

Another common error regarding criminal matters concerns matters that do not involve the futures industry. All criminal matters must be disclosed, even if a matter is unrelated to the futures industry, unless the case was decided in a juvenile court or under a Youth Offender law.

### Regulatory Disclosures

Regulatory actions taken by the Commodity Futures Trading Commission, NFA or domestic futures exchanges do not need to be disclosed since NFA is already aware of them once they are entered into NFA's BASIC system.

### Financial Disclosures

It is not necessary to disclose arbitration or CFTC reparations matters unless the applicant or registrant has failed to pay an award issued in a futures-related arbitration or an order entered in a

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reparations matter.

Only adversary actions that a bankruptcy trustee or a trustee's attorney files must be disclosed. Adversary actions that creditors file are not disclosable. A [person](#) named as a party to an adversary action in a bankruptcy proceeding must disclose the action, even if the [person](#) is not the bankrupt [person](#).

## ADDITIONAL DOCUMENTS

For any matter that caused a "Yes" answer, a written explanation detailing the events and conduct must be provided. That explanation can be entered on the Matter pages by giving it a name, e.g., the docket number of the case, and describing it in the text box. Alternatively, the explanation can be sent in hard copy format to NFA.

In addition to the required explanation, other documents about the matter must be sent to NFA. If court documents are unavailable, a letter from the court verifying that must be sent to NFA. If documents other than court documents are unavailable, the [person](#) must provide a written explanation for their unavailability.

Like answering the questions correctly, providing all documents to NFA is important. Failure to do so will delay the registration process and may result in a denial of the application.

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## Definition of Terms

(The following terms are defined solely for the purpose of using NFA's Online Registration System.)

**10% OR MORE INTEREST:** direct or indirect ownership of 10% or more of an applicant's or registrant's stock; entitlement to vote or empowered to sell 10% or more of an applicant's or registrant's voting securities; contribution of 10% or more of an applicant's or registrant's capital; or entitlement to 10% or more of an applicant's or registrant's net profits.

**ADJUDICATION:** in a criminal case, a determination by the court that the defendant is guilty or not guilty.

**ADVERSARY ACTION:** a lawsuit arising in or related to a bankruptcy case commenced by a creditor or bankruptcy trustee by filing a complaint with the bankruptcy court.

**ALIAS:** another name utilized by an individual or previously used by an [entity](#).

**CHARGE:** a formal complaint, information, indictment or equivalent instrument containing an accusation of a crime.

**DBA:** abbreviation for Doing Business As. The firm is doing its futures, retail off-exchange forex or swaps business by this name.

### DESIGNATED SUPERVISOR:

Solely for the purpose of determining whether the Branch Manager Examination (Series 30) is required, Designated Supervisor means a person who is registered with FINRA (formerly known as NASD) as a General Securities Representative and has been designated to act as the supervisor of an office that is not an Office of Supervisory Jurisdiction ("non-OSJ"), provided that:

- either the futures activity conducted in the non-OSJ that is subject to the Designated Supervisor's supervision is limited to activity not requiring the Series 3 Examination and both the Designated Supervisor and the Branch Manager of the Office of Supervisory Jurisdiction to which the non-OSJ reports have otherwise satisfied NFA's Proficiency Requirements appropriate to their supervisory activities; or
- the activity that is conducted in the non-OSJ that requires the Series 3 Examination is supervised by the Branch Manager of the Office of Supervisory Jurisdiction to which the non-OSJ reports and both the Designated Supervisor and Branch Office Manager have passed the Series 3 Examination.

**ENJOINED:** subject to an injunction.

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**ENTITY:** any [person](#) other than an individual.

**FELONY:** any crime classified as a felony and for states and countries that do not differentiate between a felony or misdemeanor, an offense that could result in imprisonment for any period of more than one year. The term also includes a general court martial.

**FINANCIAL SERVICES INDUSTRY:** the commodities, securities, accounting, banking, finance, insurance, law or real estate industries.

**FOUND:** subject to a determination that conduct or a rule violation has occurred. The term applies to dispositions of any type, including but not limited to consent decrees or settlements in which the findings are neither admitted nor denied or in which the findings are for settlement or record purposes only.

**INTERNAL REVENUE CODE:**

Section 7203: Willful Failure to File Return, Supply Information or Pay Tax

Section 7204: Fraudulent Statement or Failure to Make Statement

Section 7205: Fraudulent Withholding Exemption Certificate or Failure to Supply Information

Section 7207: Fraudulent Returns, Statements or Other Documents

**INVESTMENT RELATED STATUTES:**

- The Commodity Exchange Act
- The Securities Act of 1933
- The Securities Exchange Act of 1934
- The Public Utility Holding Company Act of 1935
- The Trust Indenture Act of 1939
- The Investment Advisers Act of 1940
- The Investment Company Act of 1940
- The Securities Investors Protection Act of 1970
- The Foreign Corrupt Practices Act of 1977
- Chapter 96 of Title 18 of the United States Code
- Any similar statute of a State or foreign jurisdiction
- Any rule, regulation or order under any such statutes; and
- The rules of the Municipal Securities Rulemaking Board

**MISDEMEANOR:** any crime classified as a misdemeanor and for states and countries that do not differentiate between a felony or misdemeanor, an offense that could result in imprisonment for any period of at least six days but not more than one year. By way of example, an offense for which the maximum period of imprisonment is 60 days would be considered a misdemeanor. The term also includes a special court martial.

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**OTHER NAME:** For firms or sole proprietors, any other name that the applicant uses or has used in the past for its futures, retail off-exchange forex or swaps business but not the name of any other legal entity that the applicant has an affiliation or association with (see [DBA](#)). For individuals, this is any name the person is or has been known by. For example, a maiden name, an alias name that you use or are known by, or a previous name if you have changed your legal name.

**PERSON:** an individual, association, partnership, corporation, limited liability company, limited liability partnership, trust, or other form of business organization.

**PRINCIPAL:** an individual who is:

- a sole proprietor of a sole proprietorship; or
- a general partner of a partnership; or
- a director, president, chief executive officer, chief operating officer or chief financial officer of a corporation, limited liability company or limited partnership; or
- in charge of a business unit, division or function of a corporation, limited liability company or limited partnership if the unit, division or function is subject to regulation by the Commission; or
- a manager, managing member or a member vested with the management authority for a limited liability company or limited liability partnership; or

an individual who directly or indirectly, through agreement, holding companies, nominees, trusts or otherwise:

- is the owner of 10% or more of the outstanding shares of any class of a registrant's stock; or
- is entitled to vote 10% or more of any class of a registrant's voting securities; or
- has the power to sell or direct the sale of 10% or more of any class of a registrant's voting securities; or
- has contributed 10% or more of a registrant's capital; or
- is entitled to receive 10% or more of a registrant's net profits; or
- has the power to exercise a controlling influence over a registrant's activities that are subject to regulation by the Commission; or

an [entity](#) that:

- is a general partner of a registrant; or
  - is the direct owner of 10% or more of any class of a registrant's securities; or
  - has directly contributed 10% or more of a registrant's capital unless such capital contribution consists of subordinated debt contributed by:
    - an unaffiliated bank insured by the Federal Deposit Insurance Corporation; or
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- a United States branch or agency of an unaffiliated foreign bank that is licensed under the laws of the United States and regulated, supervised and examined by United States government authorities having regulatory responsibility for such financial institutions; or

- an insurance company subject to regulation by any State.

**SELF-REGULATORY ORGANIZATION (SRO):** a private, non-governmental organization authorized to set and enforce standards or conduct for an industry. NFA, FINRA (formerly known as NASD), and the securities and futures exchanges in the U.S. are examples of domestic SROs.

**UNITED STATES CRIMINAL CODE:**

Section 152:	Concealment of assets, making false claims or bribery in connection with a bankruptcy
Section 1341, 1342 or 1343:	Mail fraud
Chapter 25:	Counterfeiting and forgery
Chapter 47:	Fraud or false statements in a matter within the jurisdiction of a United States department or agency
Chapter 95 or 96:	Racketeering and Racketeering Influence

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## Privacy Act and Paperwork Reduction Act Notice

The information in Forms 7-R, 7-W, 8-R and 8-T and on the fingerprint card is being collected pursuant to authority granted in Sections 2c, 4f, 4k, 4n, 4s, 8a and 19 of the Commodity Exchange Act [7 U.S.C. §§ 6f, 6k, 6n, 6s, 12a and 23]. Under Section 2c, it is unlawful for anyone to engage in off-exchange foreign currency futures transactions or off-exchange foreign currency leveraged, margined or financed transactions with persons who are not eligible contract participants without registration, or exemption from registration, as a retail foreign exchange dealer, futures commission merchant, introducing broker, commodity pool operator or commodity trading advisor, as appropriate. Under Section 4d of the Commodity Exchange Act [7 U.S.C. §6d], it is unlawful for anyone to act as a futures commission merchant or introducing broker without being registered in that capacity under the Act. Under Section 4m of the Commodity Exchange Act [7 U.S.C. §6m], it is unlawful for a commodity trading advisor or commodity pool operator to make use of the mails or any means or instrumentality of interstate commerce in connection with his business as a commodity trading advisor or commodity pool operator without being registered in the appropriate capacity under the Act, except that a commodity trading advisor who, during the course of the preceding 12 months, has not furnished commodity trading advice to more than 15 persons and does not hold himself out generally to the public as a commodity trading advisor, need not register. Under Section 4s of the Commodity Exchange Act [7 U.S.C. §6s], it is unlawful for anyone to act as a swap dealer or major swap participant without being registered in that capacity under the Act. Under Section 19 of the Commodity Exchange Act [7 U.S.C. §23] and Section 31.5 of the CFTC's regulations, it is unlawful for anyone to act as a leverage transaction merchant without being registered in that capacity under the Act.

The information requested in Form 7-R is designed to assist NFA and the CFTC, as appropriate, in determining whether the application for registration should be granted or denied and to maintain the accuracy of registration files. The information in Form 7-W is designed to assist NFA and the CFTC in determining whether it would be contrary to the requirements of the Commodity Exchange Act, or any rule, regulation or order thereunder, or the public interest to permit withdrawal from registration.

The information requested in Form 8-R and on the fingerprint card will be used by the CFTC or NFA, as appropriate, as a basis for initiating an inquiry into the individual's fitness to be an associated person, floor broker or floor trader or to be a principal of a futures commission merchant, swap dealer, major swap participant, retail foreign exchange dealer, introducing broker, commodity trading advisor, commodity pool operator, leverage transaction merchant or non-natural person floor trader. Portions of the information requested in Form 8-R will be used by the CFTC and, in appropriate cases, by NFA, to confirm the registration of certain associated persons. The information requested in Form 8-T will be used by the CFTC, and, in appropriate cases, by NFA, to record the registration status of the individual and, in appropriate cases, as a basis for further inquiry into the individual's fitness to remain in business subject to the CFTC's jurisdiction.

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With the exception of the social security number, all information in Forms 8-R and 8-T must be furnished. Disclosure of the social security number is voluntary. Disclosure of the Federal employer identification number is voluntary. The social security number and the Federal employer identification number are sought pursuant to the Debt Collection Improvement Act of 1996. Under the Debt Collection Improvement Act, a social security number or a taxpayer identifying number furnished to the CFTC as part of the registration process can be used for purposes of collecting and reporting on any debt owed to the U.S. Government, including civil monetary penalties. The furnishing of a social security number or Federal employer identification number, however, assists the CFTC and NFA in identifying individuals and firms and therefore expedites the processing of those forms.

The failure by an applicant, registrant or principal to timely file a properly completed Form 7-R and all other related required filings may result in the denial of an application for registration or withdrawal thereof or, in the case of an annual records maintenance fee, treating the registrant as having petitioned for withdrawal. Failure by an applicant, registrant or principal to timely file or cause to be filed a properly completed Form 8-R or 8-T, any other required related filings, or a fingerprint card may result in the lapse, denial, suspension or revocation of registration, withdrawal of the application or other enforcement or disciplinary action by the CFTC or NFA.

With the exception of the fingerprint card, any information contained in the Personal Information Section and any information contained in Matter Information pages related to the Disciplinary Information Sections on Form 8-R and on Form 8-T or Item 7 on Form 8-W, the Forms 7-R, 7-W, 8-R and 8-T are considered by the CFTC to be public records and will be available for inspection by any person. Copies will be maintained by National Futures Association, Registration Department, Suite 1800, 300 S. Riverside Plaza, Chicago, IL 60606-6615. Further, the CFTC or NFA may disclose the fingerprint card and any other information described above to third parties pursuant to routine uses which the CFTC has published in the Federal Register or as otherwise authorized under the Privacy Act, [5 U.S.C. §552a], and the Commodity Exchange Act. Disclosure of such information may be made by the CFTC as follows: (1) in connection with administrative proceedings or matters in litigation; (2) in connection with investigations; (3) where the information is furnished to regulatory, self-regulatory and law enforcement or other governmental agencies to assist them in meeting responsibilities assigned to them by law or made available to any member of Congress who is acting in his or her capacity as a member of Congress; (4) where disclosure is required under the Freedom of Information Act [5 U.S.C. §552]; (5) in connection with an employer's hiring or retention of an employee; (6) in connection with the verification of information submitted for sponsorship purposes; (7) in other circumstances in which the withholding of such information appears unwarranted; and (8) in connection with legally required or authorized reports. Disclosure may be made by NFA in accordance with rules approved by the CFTC.

If an individual believes that the placing in the CFTC's or NFA's public files of any of the information contained in the Personal Information Section or in Matter Information pages related

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to Disciplinary Information on Form 8-R and on Form 8-T or Item 7 on Form 8-W, or on the fingerprint card would constitute an unwarranted invasion of his personal privacy, the individual may petition the CFTC, pursuant to 17 CFR 145.9, to treat such information as confidential in response to requests under the Freedom of Information Act (FOIA) [5 U.S.C. §552]. The CFTC will make no determination as to confidential treatment of information submitted unless and until the information is the subject of an FOIA request. The filing of a petition for confidential treatment, however, does not guarantee that the information will be treated confidentially in response to an FOIA request.

Forms which have not been prepared and executed in compliance with applicable requirements may not be acceptable for filing. Acceptance of this form shall not constitute any finding that the information is true, current or complete. Misstatements or omissions of fact may constitute federal criminal violations [7 U.S.C. §13 and 18 U.S.C. §1001] or grounds for disqualification from registration.

This notice is provided in accordance with the requirements of the Privacy Act [5 U.S.C. §552a(e)(3)] and summarizes some of an individual's rights under the Privacy Act [5 U.S.C. §552a] and the Freedom of Information Act [5 U.S.C. §552]. Individuals desiring further information should consult the CFTC's regulations under the Privacy Act, 17 CFR Part 146, and under the Freedom of Information Act, 17 CFR Part 145, and the CFTC's annual notice, published in the Federal Register, pursuant to the Privacy Act, of the existence and character of each system of records maintained by the CFTC.

You are not required to provide the information requested on a form subject to the Paperwork Reduction Act unless the form displays a valid OMB Control Number.

The time needed to complete and file Form 7-R, Form 3-R, Form 7-W, Form 8-R and Form 8-T and Form 8-W may vary depending upon individual circumstances. The estimated average times are:

**Form 7-R**

FCM	0.5 hours
SD	1.0 hours
MSP	1.0 hours
RFED	0.5 hours
IB	0.4 hours
CPO	0.4 hours
CTA	0.4 hours
FT	0.5 hours

Form 3-R	0.1 hours
Form 7-W	0.1 hours
Form 8-R	0.8 hours
Form 8-T	0.2 hours

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Form 8-W 0.1 hours.



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### Registration Categories

NFA MEMBER

SWAP DEALER

### Membership Information

Not applicable.



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### Business Information

<b>Business Address</b>	BAHNHOFSTRASSE 45 ZURICH CH 8001 SWITZERLAND
<b>Phone Number</b>	41-44-234 11 11
<b>Fax Number</b>	Not provided.
<b>E-mail Address</b>	Not provided.
<b>Website / URL</b>	Not provided.
<b>Federal EIN</b>	98-0186363
<b>CRD ID</b>	Not provided.
<b>Form of Organization</b>	CORPORATION
<b>Location</b>	SWITZERLAND
<b>Other Names</b>	SWISS BANK CORPORATION DBA NOT IN USE  UBS INC DBA NOT IN USE  UBS SA DBA NOT IN USE  UNION BANK BANC SWITZ DBA NOT IN USE

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### Location of Business Records

**Business Records Address**

BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**U.S. Address for Production of Business Records**

UBS  
677 WASHINGTON BLVD  
STAMFORD, CT 06901  
UNITED STATES

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### Holding Company Information

None.



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### Regulator Information

#### Non-U.S. Regulator(s) During The Past Five Years

FINMA, CHINA SECURITIES REGULATORY COMM, ASX LTD, CHINA BANKING REGULATORY COMM (CBRC), OFFICE OF THE SUPERINTENDENT OF FINANCIAL INSTITUTIONS CANADA (OSFI), CAYMAN ISLANDS MONETARY AUTHORITY, DUBAI (DFSA), HONG KONG MONETARY AUTHORITY, JERSEY FINANCIAL SERVICES COMM, FINANCIAL SUPERVISORY COMM (FSC), LABUAN FSA, FSA, RESERVE BANK OF INDIA (RBI), AUTORITÄT DE CONTRÔLE PRUDENTIEL (ACP), QATAR FINANCIAL CENTRE REGULATORY AUTHORITY (QFCRA), BANK OF KOREA (BOK), MONETARY AUTHORITY OF SINGAPORE (MAS), SWEDISH (FSA), FINANCIAL SUPERVISORY COMM (FSC), BANK OF JAPAN, JAPAN SECURITIES DEALERS ASSOCIATION (JSDA), FINANCIAL SERVICES BOARD (FSB), AUSTRALIAN PRUDENTIAL REGULATION AUTHORITY (APRA), SECURITIES AND FUTURES COMM (HONG KONG), ONTARIO SECURITIES COMM (OSC), AUTORITÄT DES MARCHÉS (AMF), FINANCIAL SERVICES COMMISSION (FSC) (SOUTH KOREA), FINANCIAL SUPERVISORY SERVICE (FSS), KOREA EXCHANGE (KRX), MINISTRY OF STRATEGY AND FINANCE (MOSF), MINISTRY OF FINANCE (JAPAN), THE FINANCIAL FUTURES ASSOCIATION OF JAPAN (FFA)

#### U.S. Regulator(s)

THE BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM  
THE OFFICE OF THE CONTROLLER OF THE CURRENCY  
THE SECURITIES AND EXCHANGE COMMISSION

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## Disciplinary Information

### Criminal Disclosures

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

**THE FIRM OR SOLE PROPRIETOR MUST ANSWER "YES" TO THE QUESTIONS ON THIS PAGE EVEN IF:**

- **ADJUDICATION OF GUILT WAS WITHHELD OR THERE WAS NO CONVICTION; OR**
- **THERE WAS A CONDITIONAL DISCHARGE OR POST-CONVICTION DISMISSAL AFTER SUCCESSFUL COMPLETION OF A SENTENCE; OR**
- **A STATE CERTIFICATE OF RELIEF FROM DISABILITIES OR SIMILAR DOCUMENT WAS ISSUED RELIEVING THE HOLDER OF FORFEITURES, DISABILITIES OR BARS RESULTING FROM A CONVICTION; OR**
- **THE RECORD WAS EXPUNGED OR SEALED; OR**
- **A PARDON WAS GRANTED.**

**THE FIRM OR SOLE PROPRIETOR MAY ANSWER "NO" IF THE CASE WAS DECIDED IN A JUVENILE COURT OR UNDER A YOUTH OFFENDER LAW.**

A. Has the firm or sole proprietor ever pled guilty or nolo contendere ("no contest") to or been convicted or found guilty of any [felony](#) in any domestic, foreign or military court? **NO**

B. Has the firm or sole proprietor ever pled guilty to or been convicted or found guilty of any [misdemeanor](#) in any domestic, foreign or military court which involves: **NO**

- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
  - violation of [sections 7203, 7204, 7205 or 7207 of the Internal Revenue Code of 1986](#); or
  - violation of [sections 152, 1341, 1342 or 1343 or chapters 25, 47, 95 or 96 of the United States Criminal Code](#); or
  - any transaction in or advice concerning futures, options, leverage transactions or
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securities?

C. Is the firm or sole proprietor a party to any action, or is there a [charge](#) pending, the resolution of which could result in a "Yes" answer to the above questions?

**NO**

For any "Yes" answer to the questions above, has the firm or sole proprietor previously provided NFA or the CFTC all supplemental documentation for all matters requiring a "Yes" answer?

**N/A**

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## Regulatory Disclosures

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

D. In any case brought by a domestic or foreign governmental body (other than the CFTC), has the firm or sole proprietor ever been permanently or temporarily [enjoined](#) after a hearing or default or as the result of a settlement, consent decree or other agreement, from engaging in or continuing any activity involving: **YES**

- any transaction in or advice concerning futures, options, leverage transactions or securities; or
- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property?

E. In any case brought by a domestic or foreign governmental body (other than the CFTC), has the firm or sole proprietor ever been [found](#) after a hearing or default or as the result of a settlement, consent decree or other agreement, to: **YES**

- have violated any provision of any [investment-related statute](#) or regulation; or
- have violated any statute, rule, regulation or order which involves embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
- have willfully aided, abetted, counseled, commanded, induced or procured such violation by any other person?

F. Has the firm or sole proprietor ever been debarred by any agency of the United States from contracting with the United States? **NO**

G. Has the firm or sole proprietor ever been the subject of any order issued by or a party to any agreement with a domestic or foreign regulatory authority (other than the CFTC), including but not limited to a licensing authority, or [self-regulatory organization](#) (other than NFA or a domestic futures exchange) that prevented or restricted the firm or sole proprietor's ability to engage in any business in the [financial services industry](#)? **YES**

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## National Futures Association

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**Submitted By** COOPERR2 ROBIN COOPER

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H. Are any of the orders or other agreements described in Question G currently in effect against the firm or sole proprietor? **YES**

I. Is the firm or sole proprietor a party to any action, or is there a [charge](#) pending, the resolution of which could result in a "Yes" answer to the above questions? **YES**

For any "Yes" answer to the questions above, has the firm or sole proprietor previously provided NFA or the CFTC all supplemental documentation for all matters requiring a "Yes" answer? **NO**



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### Financial Disclosures

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

J. Has the firm or sole proprietor ever been the subject of an [adversary action](#) brought by, or on behalf of, a bankruptcy trustee? **YES**

For any "Yes" answer to the question above, has the firm or sole proprietor previously provided NFA or the CFTC all supplemental documentation for all matters requiring a "Yes" answer? **NO**



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## Contact Information

### Registration Contact

EILEEN O'CONNELL ARCURI  
HEAD OF EMPLOYEE COMPLIANCE AMERICAS  
1000 HARBOR BLVD  
WEEHAWKEN, NJ 07086  
UNITED STATES  
Phone: 201-352-8967

### Membership Contact

EILEEN O'CONNELL ARCURI  
HEAD OF EMPLOYEE COMPLIANCE AMERICAS  
1000 HARBOR BLVD  
WEEHAWKEN, NJ 07086  
UNITED STATES  
Phone: 201-352-8967

### Accounting Contact

EILEEN O'CONNELL ARCURI  
HEAD OF EMPLOYEE COMPLIANCE AMERICAS  
1000 HARBOR BLVD  
WEEHAWKEN, NJ 07086  
UNITED STATES  
Phone: 201-352-8967

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## Arbitration Contact

DAVID KELLY  
677 WASHINGTON BLVD.  
STAMFORD, CT 06901  
UNITED STATES  
Phone: 203-719-5427

## Compliance Contact

BRYAN MURTAGH  
677 WASHINGTON BLVD.  
STAMFORD, CT 06901  
UNITED STATES  
Phone: 203-719-8955

## Chief Compliance Officer

ANDREW WILLIAMS  
PELIKANSTRASSE 9A  
8001 ZURICH  
ZURICH  
SWITZERLAND  
Phone: 4144 234 40 36

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### Enforcement/Compliance Communication Contact

DAVID KELLY  
677 WASHINGTON BLVD  
STAMFORD, CT 06901  
UNITED STATES  
Phone: 203-719-5427  
E-mail: DAVID.KELLY@UBS.COM

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## Firm Certification Statement

BY FILING THIS FORM 7-R, THE APPLICANT AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S

certification that the answers and the information provided in the Form 7-R are true, complete and accurate and that in light of the circumstances under which the applicant has given them, the answers and statements in the Form 7-R are not misleading in any material respect;

certification that the person who electronically files the Form 7-R on behalf of the applicant is authorized by the applicant to file the Form 7-R and to make the certifications, representations, requests, acknowledgements, authorizations and agreements contained in this agreement;

certification that, if the applicant is an applicant for registration as an SD or MSP, the applicant undertakes that, no later than ninety (90) days following the date this Form 7-R is filed, it will be and shall remain in compliance with the requirement of Section 4s(b)(6) of the Act that, except to the extent otherwise specifically provided by rule, regulation or order, the applicant will not permit any person associated with it who is subject to a statutory disqualification to effect or be involved in effecting swaps on behalf of the applicant, if the applicant knows, or in the exercise of reasonable care should know, of the statutory disqualification. For the purpose of this certification, "statutory disqualification" refers to the matters addressed in Sections 8a(2) and 8a(3) of the Act and "person" means an "associated person of a swap dealer or major swap participant" as defined in Section 1a(4) of the Act and CFTC regulations thereunder;

acknowledgement that the applicant is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the Form 7-R;

acknowledgement that the applicant is responsible at all times for maintaining the information in the Form 7-R in a complete, accurate and current manner by electronically filing updates to the information contained therein;

acknowledgement that the applicant may not act as an FCM, RFED, IB, CPO, CTA or FT until registration has been granted, that the applicant may not act as a Forex Firm or Forex Dealer Member until approval as a Forex Firm or designation as an approved Forex Dealer Member has been granted and that the applicant may not act as a Swap Firm until approval as a Swap Firm has been granted; in the case of an IB, until registration or a temporary license has been granted; or in the case of an SD or MSP, until registration or provisional registration has been granted;

or until confirmation of exemption from registration as an IB, CPO or CTA pursuant to CFTC Regulation 30.5 is granted;

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authorization that NFA may conduct an investigation to determine the applicant's fitness for registration or for confirmation of exemption from registration as an IB, CPO and CTA pursuant to CFTC Regulation 30.5 and, if applicable, NFA membership and agreement to cooperate promptly and fully, consistent with applicable Federal law, in such investigation, which investigation may include contacting foreign regulatory and law enforcement authorities, including the submission of documents and information to NFA that NFA, in its discretion, may require in connection with the applicant's application for registration, confirmation of exemption from registration as an IB, CPO and CTA pursuant to CFTC Regulation 30.5 or NFA membership;

authorization and request that any person, including but not limited to contract markets, furnish upon request to NFA or any agent acting on behalf of NFA any information requested by NFA in connection with any investigation conducted by NFA to determine the applicant's fitness for registration or for confirmation of exemption from registration as an IB, CPO and CTA pursuant to CFTC Regulation 30.5;

agreement that any person furnishing information to NFA or any agent acting on behalf of NFA in connection with the investigation so authorized is released from any and all liability of whatever nature by reason of furnishing such information to NFA or any agent acting on behalf of NFA;

agreement that, if the applicant is a foreign applicant:

subject to any applicable blocking, privacy or secrecy laws, the applicant's books and records will be available for inspection by the CFTC, the U.S. Department of Justice ("DOJ") and NFA for purposes of determining compliance with the Act, CFTC Regulations and NFA Requirements;

subject to any applicable blocking, privacy or secrecy laws, such books and records will be produced on 72 hours notice at the location in the United States stated in the Form 7-R or, in the case of an IB, CPO or CTA confirmed as exempt from registration pursuant to CFTC Regulation 30.5, at the location specified by the CFTC or DOJ, provided, however, if the applicant is applying for registration as an FCM, SD, MSP or RFED, upon specific request, such books and records will be produced on 24 hours notice except for good cause shown;

the applicant will immediately notify NFA of any changes to the location in the United States where such books and records will be produced;

except as the applicant has otherwise informed the CFTC in writing, the applicant is not subject to any blocking, privacy or secrecy laws which would interfere with or create an obstacle to full inspection of the applicant's books and records by the CFTC, DOJ and NFA;

subject to any applicable blocking, privacy or secrecy laws, the failure to provide the CFTC,

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DOJ or NFA with access to its books and records in accordance with this agreement may be grounds for enforcement and disciplinary sanctions, denial, suspension or revocation of registration, withdrawal of confirmation of exemption from registration as an IB, CPO or CTA pursuant to CFTC Regulation 30.5, and denial, suspension or termination of NFA membership; and

subject to any applicable blocking, privacy or secrecy laws, the applicant for registration shall provide to NFA copies of any audit or disciplinary report related to the applicant for registration issued by any non-U.S. regulatory authority or non-U.S. self-regulatory organization and any required notice that the applicant for registration provides to any non-U.S. regulatory authority or non-U.S. self-regulatory organization and shall provide these copies both as part of this application and thereafter immediately upon the applicant for registration's receipt of any such report or provision of any such notice;

representation that if the applicant is an applicant for exemption from registration as an IB, CPO or CTA pursuant to CFTC Regulation 30.5:

the applicant does not act as an IB, CPO or CTA, respectively, in connection with trading on or subject to the rules of a designated contract market in the United States by, for or on behalf of any U.S. customer, client or pool;

the applicant irrevocably agrees to the jurisdiction of the Commission and state and federal courts located in the U.S. with respect to activities and transactions subject to Part 30 of the CFTC's regulations; and

the applicant would not be statutorily disqualified from registration under §8a(2) or §8a(3) of the Act and is not disqualified from registration pursuant to the laws or regulations of its home country;

an express agreement that, whenever admitted to NFA membership, the applicant and its employees shall become and remain bound by all NFA requirements, including without limitation all applicable NFA Bylaws, Compliance Rules, Financial Requirements, Registration Rules, Code of Arbitration and Member Arbitration Rules, as then and thereafter in effect, and that this agreement shall apply each time the applicant becomes a Member of NFA; and

if the applicant is applying for NFA membership, certification that the applicant has authorized the person filing this application for NFA membership to file it on the Applicant's behalf.

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## Confidential Matter Information

### Regulatory Disclosures

**Matter Name** U.S. DOLLAR BANK NOTES

**Matter Details** DATE INITIATED - 5/10/2004

THE FEDERAL RESERVE BANK OF NEW YORK (FRBNY) HAS DETERMINED THAT (1) IN VIOLATION OF ITS CONTRACT WITH THE FRBNY TO DISTRIBUTE AND REPATRIATE U.S. CURRENCY, UBS AG ENGAGED IN U.S. DOLLAR BANKNOTE TRANSACTIONS WITH COUNTERPARTIES IN JURISDICTIONS SUBJECT TO U.S. SANCTIONS AND (2) IN VIOLATION OF LAW, CERTAIN FORMER OFFICERS AND EMPLOYEES OF UBS ENGAGED IN INTENTIONAL ACTS AIMED AT CONCEALING THOSE BANKNOTE TRANSACTIONS FROM THE FRBNY INCLUDING FALSIFICATION OF REPORTS TO THE FRBNY.

UBS AG, WITHOUT ADMITTING TO ANY ALLEGATIONS, CONSENTED TO THE ISSUANCE OF AN ORDER BY THE FEDERAL RESERVE BOARD, OF ASSESSMENT OF CIVIL MONEY PENALTY IN THE AMOUNT \$100,000,000.00.

RESOLUTION DATE - 5/10/2004

**Matter Name** CROSS BORDER BUSINESS

**Matter Details** DATE INITIATED - 2/18/2009  
ON FEBRUARY 18, 2009, FINMA, THE SWISS FINANCIAL MARKETS SUPERVISORY AUTHORITY, PUBLISHED THE RESULTS OF THE INVESTIGATION OF UBS AG'S CROSS-BORDER BUSINESS IN THE U.S. BY THE SWISS FEDERAL BANKING COMMISSION ("EBK"). THE EBK CONCLUDED THAT UBS AG HAD OPERATED ITS U.S. CROSS-BORDER BUSINESS IN A MANNER THAT "VIOLATED ITS WARRANTY AND ORGANIZATION REQUIREMENTS" UNDER THE SWISS BANKING ACT. THE EBK ENJOINED UBS AG FROM

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FURTHER OPERATING ITS CROSS-BORDER PRIVATE BANKING BUSINESS WITH PERSONS HAVING THEIR RESIDENCE OR DOMICILE IN THE USA THROUGH ANY UBS ENTITIES NOT REGISTERED WITH THE SEC.

RESOLUTION DATE - 2/18/2009  
THE INJUNCTION, WHICH WAS ISSUED ON DECEMBER 21, 2008, WAS MADE PUBLIC BY FINMA ON FEBRUARY 18, 2009. THE EBK BARRED UBS AG FROM FURTHER OPERATING THE CROSS-BORDER PRIVATE BANKING BUSINESS WITH PERSONS HAVING RESIDENCE OR DOMICILE IN THE USA THROUGH ANY UBS ENTITIES NOT REGISTERED WITH THE SEC.

**Matter Name** NEW YORK MERCANTILE EXCHANGE CASE 09-02 UBS AG

**Matter Details** DATE INITIATED - 1/28/2008

UBS AG, WAS CHARGED WITH VIOLATIONS OF RULE 8.55 (CONDUCT DETRIMENTAL TO EXCHANGE), RULE 9.27 (CURRENT DELIVERY MONTH POSITION LIMITS), AND RULE 8.25 (VIOLATION OF A PRIOR CEASE AND DESIST ORDER)

RESOLUTION DATE - 2/27/2009

THE MATTER WAS SETTLED, A \$50,000 FINE WAS IMPOSED AND A CEASE AND DESIST ORDER WAS ISSUED.

UBS AG, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, AGREED TO A FINDING THAT IT VIOLATED RULE 8.55 (CONDUCT DETRIMENTAL TO EXCHANGE), RULE 9.27 (CURRENT DELIVERY MONTH POSITION LIMITS), AND RULE 8.25 (VIOLATION OF A PRIOR CEASE AND DESIST ORDER)

**Matter Name** KREDITILSYNET CASE NUMBER 09/6731

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**OMB Number** 3038-0072

**NFA ID** 0338960 UBS AG

**Submitted By** COOPERR2 ROBIN COOPER

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**Matter Details**

DATE INITIATED - 1/27/2010

ON JUNE 17, 2009 UBS AG MADE A SUBSTANTIAL SHAREHOLDING DISCLOSURE IN THE ISSUER PETROLEUM GEO-SERVICES ASA 3 DAYS LATE.

RESOLUTION DATE - 2/1/2010

MATTER WAS RESOLVED BY ACCEPTANCE, WAIVER AND CONSENT. MONETARY FINE WAS 200,000.00 NORWEGIAN KRONERS.(\$33,780.46 U.S. DOLLARS)

**Matter Name**

SEC CASE 1:09-CV-00316

**Matter Details**

DATE INITIATED - 2/18/2009

THE SEC FILED A COMPLAINT ON FEBRUARY 18, 2009 ALLEGING THAT UBS AG PROVIDED BROKER-DEALER AND INVESTMENT ADVISOR SERVICES TO CLIENTS IN THE UNITED STATES WITHOUT BEING REGISTERED WITH SEC, IN VIOLATION OF THE SECURITIES AND EXCHANGE ACT OF 1934 AND THE INVESTMENT ADVISERS ACT OF 1940. UBS AG IS PERMANENTLY ENJOINED FROM VIOLATIONS OF THE EXCHANGE ACT AND THE ADVISERS ACT. UBS AG WILL PAY DISGORGEMENT OF \$200 MILLION TO THE SEC. UBS AG WILL TERMINATE ITS UNREGISTERED CROSS-BORDER BUSINESS IN THE U.S.

RESOLUTION DATE 3/19/2009

IN CONNECTION WITH THE SEC'S INVESTIGATION OF CROSS-BORDER SERVICES PROVIDED TO U.S. CLIENTS BY UBS AG, UBS AG ENTERED INTO A CONSENT DECREE WITH THE SEC WHICH PROVIDES, IN SUMMARY, THAT UBS AG NEITHER ADMITS NOR DENIES THE ALLEGATIONS IN THE COMPLAINT; UBS AG IS PERMANENTLY ENJOINED FROM VIOLATIONS OF THE EXCHANGE ACT AND THE ADVISERS ACT.

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**NFA ID** 0338960 UBS AG

**Submitted By** COOPERR2 ROBIN COOPER

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**Matter Name** KREDITTILSYNET

**Matter Details** DATE INITIATED - 2/11/2008

UBS AG MADE A SUBSTANTIAL SHAREHOLDING DISCLOSURE  
IN THE ISSUER SUBSEA 7 INC. 36 DAYS LATE.

MATTER WAS SETTLED.

RESOLUTION DATE - 4/17/2009

ACTUAL FINE WAS 100,000.00 NORWEGIAN KRONERS  
(\$15,000.00 U.S. DOLLARS).

**Matter Name** U.S. DISTRICT COURT FOR THE SOUTHERN DISTRICT OF  
FLORIDA CASE 09-6033

**Matter Details** DATE INITIATED - 2/18/2009

PURSUANT TO A DEFERRED PROSECUTION AGREEMENT  
WITH THE U.S. DEPARTMENT OF JUSTICE, UBS AG,  
CONSENTED TO THE FILING OF A ONE-COUNT INFORMATION  
BY THE UNITED STATES ATTORNEY IN THE SOUTHERN  
DISTRICT OF FLORIDA CHARGING UBS AG WITH CONSPIRACY  
TO DEFRAUD THE INTERNAL REVENUE SERVICE IN VIOLATION  
OF TITLE 18 U.S.C. SECTION 271. THIS WAS A FELONY  
CHARGE.

RESOLUTION DATE - 10/25/2010

THE DEPARTMENT OF JUSTICE DISMISSED ALL CRIMINAL  
CHARGES FOLLOWING UBS'S COMPLIANCE WITH THE  
DEFERRED PROSECUTION AGREEMENT.

**Matter Name** FINANCIAL SUPERVISORY COMMISSION RE TAIPEI BRANCH

**Matter Details** UBS TAIPEI BRANCH (A BRANCH OF UBS AG,) WAS ALLEGED  
TO HAVE BREACHED PARAGRAPH 45-1 OF THE BANKING LAW,  
AS PERMITTED UNDER ARTICLE 123 OF THE SAME LAW, IN  
NOT HAVING ESTABLISHED OR NOT HAVING PROPERLY

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IMPLEMENTED ADEQUATE INTERNAL CONTROLS.

RESOLUTION:

UBS TAIPEI BRANCH WAS FINED TWD 5 MILLION (\$159,250.00 U.S. DOLLARS).

IN ADDITION, IN ACCORDANCE WITH ARTICLE 61-1 OF THE BANKING LAW, UBS TAIPEI BRANCH WAS ORDERED TO DISMISS A FOREIGN EXCHANGE DEALER.

**Matter Name** JAPAN'S FINANCIAL SERVICES AGENCY- RE TIBOR

**Matter Details** THE SECURITIES AND EXCHANGE SURVEILLANCE COMMISSION ("SESC") CONDUCTED AN INSPECTION OF UBSSJ AND FOUND A VIOLATION OF ARTICLE 52(1)(IX) OF THE FINANCIAL INSTRUMENTS AND EXCHANGE ACT IN CONNECTION WITH ACTIVITIES INVOLVING TIBOR AND YEN LIBOR. ON THE BASIS OF THIS VIOLATION AND THE RECOMMENDATION OF THE SESC, THE FSA ISSUED ITS ADMINISTRATIVE ACTION AGAINST UBS AG, TOKYO BRANCH, BASED ON AN ON-SITE INSPECTION AND A REPORT SUBMITTED BY UBS AG, WHICH DETERMINED THAT INAPPROPRIATE PRACTICES INVOLVING TIBOR WERE NOT REPORTED TO UBS AG, TOKYO BRANCH'S MANAGEMENT TEAM.

RESOLUTION:

BUSINESS IMPROVEMENT ORDERS AGAINST UBS AG, TOKYO BRANCH.

UBS AG, TOKYO BRANCH MUST SUBMIT A BUSINESS IMPROVEMENT PLAN BY JANUARY 31, 2012 AND IMMEDIATELY IMPLEMENT THE PLAN. FOLLOWING IMPLEMENTATION, UBS AG, TOKYO BRANCH MUST SUBMIT A PROGRESS REPORT IN RESPECT OF THE PERIOD UP TO MARCH 30, 2012, AND EVERY THREE-MONTH PERIOD THEREAFTER UNTIL COMPLETION OF THE BUSINESS IMPROVEMENT PLAN.

**Matter Name** PENDING ACTIONS

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**Submitted By** COOPERR2 ROBIN COOPER

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**Matter Details** UBS MAY BE THE SUBJECT OF PENDING ACTIONS THAT MAY ULTIMATELY REQUIRE DISCLOSURE IF ANY RESULT IN A FORMAL CHARGE. WHEN EACH IS RESOLVED, MATTER PAGES WILL BE FILED IF NECESSARY.

**Matter Name** UNAUTHORIZED TRADING INCIDENT

**Matter Details** IN SEPTEMBER 2011, FINMA TOGETHER WITH THE FSA, LAUNCHED AN INDEPENDENT INVESTIGATION OF AN UNAUTHORIZED TRADING INCIDENT INVOLVING ACTIVITY FROM OCTOBER 2008 TO SEPTEMBER 2011.

ON 26TH NOVEMBER 2012, FINMA AND THE FSA ANNOUNCED THE FINDINGS OF THEIR INVESTIGATION INTO THE UNAUTHORIZED TRADING INCIDENT. FINMA IMPOSED A RANGE OF PREVENTATIVE MEASURES ON UBS INCLUDING RESTRICTIONS ON THE SIZE OF THE RISK WEIGHTED ASSETS IN THE INVESTMENT BANK. FSA IMPOSED A FINANCIAL PENALTY OF GBP 29.7 MILLION ON UBS AG.

### Financial Disclosures

**Matter Name** BANKRUPTCY TRUSTEE LITIGATION

**Matter Details** UBS, LIKE ALL LARGE FINANCIAL SERVICES COMPANIES, IS FROM TIME TO TIME, INVOLVED WITH CERTAIN BANKRUPTCY PROCEEDINGS

HOWEVER, AND MOST IMPORTANTLY, NEITHER UBS AG OR ITS US AFFILIATES, HAVE EVER FILED FOR BANKRUPTCY.

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OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0338960 UBS AG

### FIRM REGULATORY MATTER INFORMATION FILED

**MATTER NAME:** LIBOR MATTER

**MATTER DETAIL:** ON 19 DECEMBER 2012, UBS AG ENTERED SETTLEMENTS WITH THE US DEPARTMENT OF JUSTICE (DOJ), UK FINANCIAL SERVICES AUTHORITY, AND COMMODITY FUTURES TRADING COMMISSION (CFTC) IN CONNECTION WITH THEIR INVESTIGATIONS OF LIBOR AND OTHER BENCHMARK INTEREST RATES. THE SWISS FINANCIAL MARKET SUPERVISORY AUTHORITY (FINMA) HAS ALSO ISSUED AN ORDER CONCLUDING ITS FORMAL PROCEEDINGS WITH RESPECT TO UBS. UBS AGREED TO PAY A TOTAL OF APPROXIMATELY CHF 1.4 BILLION IN FINES AND DISGORGEMENT. UBS WILL PAY GBP 160 MILLION IN FINES TO THE FSA AND CHF 59 MILLION AS DISGORGEMENT OF ESTIMATED PROFITS TO FINMA. THE BOARD HAS AUTHORIZED A PAYMENT OF FINES TOTALING USD 1.2 BILLION TO THE DOJ AND CFTC. THESE MONIES WOULD BE PAID ACCORDING TO SPECIFIED PAYMENT SCHEDULES. THE CONDUCT DESCRIBED IN THE SETTLEMENTS INCLUDES THE FOLLOWING: CERTAIN UBS PERSONNEL ENGAGED IN EFFORTS TO MANIPULATE SUBMISSIONS FOR CERTAIN BENCHMARK RATES TO BENEFIT TRADING POSITIONS; CERTAIN EMPLOYEES AT THE BANK COLLUDED WITH EMPLOYEES AT OTHER BANKS AND CASH BROKERS TO INFLUENCE CERTAIN BENCHMARK RATES TO BENEFIT THEIR TRADING POSITIONS; CERTAIN PERSONNEL GAVE INAPPROPRIATE DIRECTIONS TO UBS SUBMITTERS THAT WERE IN PART MOTIVATED BY A DESIRE TO AVOID UNFAIR AND NEGATIVE MARKET AND MEDIA PERCEPTIONS DURING THE FINANCIAL CRISIS. THE CONDUCT ENCOMPASSED BY THE SETTLEMENTS INCLUDES YEN LIBOR, GBP LIBOR, CHF LIBOR, EURO LIBOR, USD LIBOR, EURIBOR AND EUROYEN TIBOR, ALTHOUGH THE NATURE AND EXTENT OF THE CONDUCT IN QUESTION VARIED SIGNIFICANTLY FROM ONE CURRENCY TO ANOTHER. UBS AG ENTERED INTO A NON-PROSECUTION AGREEMENT (NPA) WITH DOJ RELATING TO UBS AG AND ALL OF ITS SUBSIDIARIES AND AFFILIATES EXCEPT UBS SECURITIES JAPAN CO. LTD., (UBSSJ). UBSSJ, A SUBSIDIARY OF UBS AG, AGREED TO ENTER A PLEA OF GUILTY TO ONE COUNT OF WIRE FRAUD IN THE U.S. FEDERAL DISTRICT COURT FOR CONNECTICUT RELATING TO THE MANIPULATION OF CERTAIN BENCHMARK INTEREST RATES, INCLUDING YEN LIBOR.

**FILED BY:** ROBIN COOPER - COOPERR2**FILED ON:** 12/26/2012 12:13:31 PM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

certification that the answers and the information provided in the update are true, complete and accurate and that in light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the update are not misleading in any material respect; certification that the person who electronically files the update on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the update on behalf of the

applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the update.

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OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0338960 UBS AG

### FIRM REGULATORY MATTER INFORMATION FILED

**MATTER NAME:** LIBOR MATTER -FINMA FINALIZATION

**MATTER DETAIL:** ON 19 DECEMBER 2012 THE SWISS FINANCIAL MARKET SUPERVISORY AUTHORITY (FINMA) ANNOUNCED THAT IT CONCLUDED ITS ADMINISTRATIVE PROCEEDINGS AGAINST UBS AG IN CONNECTION WITH THE SUBMISSION OF BENCHMARK INTEREST RATES. IN ITS ORDER, FINMA ESTABLISHED THAT UBS VIOLATED SWISS FINANCIAL MARKET LEGISLATION, IMPOSED SUPERVISORY MEASURES AND DISGORGEMENT OF CHF 59 MILLION TO THE SWISS CONFEDERATION. THE ORDER BECAME FINAL ON 2/1/2013.

**FILED BY:** ROBIN COOPER - COOPERR2**FILED ON:** 3/1/2013 1:54:03 PM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

certification that the answers and the information provided in the update are true, complete and accurate and that in light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the update are not misleading in any material respect; certification that the person who electronically files the update on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the update on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the update.

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## National Futures Association

Business Locations (3R)

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**Filed** May 03, 2013

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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### Business Information

**Business Address** BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**Phone Number** 41-44-234 11 11

**Fax Number** Not provided.

**E-mail Address** Not provided.



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## National Futures Association

Business Locations (3R)

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**Filed** May 03, 2013

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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### Location of Business Records

**Business Records Address**

BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**U.S. Address for Production of Business Records**

UBS  
677 WASHINGTON BLVD  
STAMFORD, CT 06901  
UNITED STATES

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## National Futures Association

Business Locations (3R)

Page 3

**Filed** May 03, 2013

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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### Contact Information

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## National Futures Association

Business Locations (3R)

Page 4

**Filed** May 03, 2013

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**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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E-mail: DAVID.KELLY@UBS.COM

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SYDNEY NSW 2000  
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## National Futures Association

Business Locations (3R)

Page 5

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**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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Business Locations (3R)

Page 6

**Filed** May 03, 2013

**OMB Number** 3038-0072

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**NFA ID** 0338960

**Submitted By** ROBIN COOPER

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### Registrant Certification Statement

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## National Futures Association

Business Locations (3R)

Page 1

**Filed** March 27, 2013

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

---

### Business Information

**Business Address** BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**Phone Number** 41-44-234 11 11

**Fax Number** Not provided.

**E-mail Address** Not provided.



## National Futures Association

Page 2

**OMB Number** 3038-0072

**NFA ID** 0338960

**User ID** COOPERR2

## Location of Business Records

### Business Records Address

BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

### U.S. Address for Production of Business Records

UBS  
677 WASHINGTON BLVD  
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Business Locations (3R)

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Business Locations (3R)

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## National Futures Association

Business Locations (3R)

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**NFA ID** 0338960

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Business Locations (3R)

Page 6

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**NFA ID** 0338960

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## National Futures Association

Business Locations (3R)

Page 1

**Filed** January 06, 2014

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** SUSAN MARKUNAS

**User ID** MARKUNASS1

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### Business Information

**Business Address** BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**Phone Number** 41-44-234 11 11

**Fax Number** Not provided.

**E-mail Address** Not provided.



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## National Futures Association

Business Locations (3R)

Page 2

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**NFA ID** 0338960

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**User ID** MARKUNASS1

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### Location of Business Records

**Business Records Address**

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**U.S. Address for Production of Business Records**

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Business Locations (3R)

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## National Futures Association

Business Locations (3R)

Page 4

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**OMB Number** 3038-0072  
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## National Futures Association

Business Locations (3R)

Page 5

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**Submitted By** SUSAN MARKUNAS

**OMB Number** 3038-0072  
**NFA ID** 0338960  
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### Chief Compliance Officer

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Business Locations (3R)

Page 6

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**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

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Business Locations (3R)

Page 1

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**Submitted By** SUSAN MARKUNAS

**OMB Number** 3038-0072  
**NFA ID** 0338960  
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### Business Information

**Business Address** BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**Phone Number** 41-44-234 11 11

**Fax Number** Not provided.

**E-mail Address** Not provided.



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Business Locations (3R)

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### Location of Business Records

**Business Records Address**

BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**U.S. Address for Production of Business Records**

UBS  
677 WASHINGTON BLVD  
STAMFORD, CT 06901  
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Business Locations (3R)

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Business Locations (3R)

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Business Locations (3R)

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Business Locations (3R)

Page 1

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**OMB Number** 3038-0072

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**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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### Business Information

**Business Address** BAHNHOFSTRASSE 45  
ZURICH CH 8001  
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**Phone Number** 41-44-234 11 11

**Fax Number** Not provided.

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**User ID** COOPERR2

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### Chief Compliance Officer

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UNITED KINGDOM  
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E-mail: COLIN.BELL@UBS.COM

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## National Futures Association

Business Locations (3R)

Page 1

**Filed** May 22, 2014

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** JODY NEJAIME

**User ID** NEJAIMEJ2

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### Business Information

**Business Address** BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**Phone Number** 41-44-234 11 11

**Fax Number** Not provided.

**E-mail Address** Not provided.



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## National Futures Association

Business Locations (3R)

Page 2

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**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** JODY NEJAIME

**User ID** NEJAIMEJ2

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### Location of Business Records

**Business Records Address**

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## National Futures Association

Business Locations (3R)

Page 3

**Filed** May 22, 2014

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** JODY NEJAIME

**User ID** NEJAIMEJ2

---

### Contact Information

#### Registration Contact

EILEEN O'CONNELL ARCURI  
HEAD OF EMPLOYEE COMPLIANCE AMERICAS  
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E-mail: EILEEN.ARCURI@UBS.COM

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## National Futures Association

Business Locations (3R)

Page 4

**Filed** May 22, 2014

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** JODY NEJAIME

**User ID** NEJAIMEJ2

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### Arbitration Contact

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E-mail: BERT.FUQUA@UBS.COM

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E-mail: BRYAN.MURTAGH@UBS.COM

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Fax: 612-9324-2558  
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## National Futures Association

Business Locations (3R)

Page 5

**Filed** May 22, 2014

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** JODY NEJAIME

**User ID** NEJAIMEJ2

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### Chief Compliance Officer

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100 LIVERPOOL STREET  
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UNITED KINGDOM  
Phone: 44 20756 85941  
E-mail: COLIN.BELL@UBS.COM

### Enforcement/Compliance Communication Contact

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## National Futures Association

Business Locations (3R)

Page 6

**Filed** May 22, 2014

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** JODY NEJAIME

**User ID** NEJAIMEJ2

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### Registrant Certification Statement

BY FILING THIS FORM 3-R, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

certification that the answers and the information provided in the Form 3-R are true, complete and accurate and that in the light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the Form 3-R are not misleading in any material respect; certification that the person who electronically files the Form 3-R on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the Form 3-R on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the Form 3-R.



OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0338960 UBS AG

### ENFORCEMENT/COMPLIANCE COMMUNICATION CONTACT INFORMATION DELETED

**FIRST NAME:** DAVID  
**LAST NAME:** KELLY  
**TITLE:**  
**STREET ADDRESS 1:** 677 WASHINGTON BLVD  
**STREET ADDRESS 2:**  
**STREET ADDRESS 3:**  
**CITY:** STAMFORD  
**STATE:** CONNECTICUT  
**PROVINCE:**  
**COUNTRY:** UNITED STATES  
**ZIP CODE:** 06901  
**PHONE NUMBER:** 203-719-5427  
**FAX NUMBER:**  
**E-MAIL ADDRESS:** DAVID.KELLY@UBS.COM  
**FILED BY:** JODY NEJAIME - NEJAIMEJ2  
**FILED ON:** 5/22/2014 10:57:03 AM

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## National Futures Association

Business Locations (3R)

Page 1

**Filed** October 08, 2014

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

---

### Business Information

**Business Address** BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**Phone Number** 41-44-234 11 11

**Fax Number** Not provided.

**E-mail Address** Not provided.



---

## National Futures Association

Business Locations (3R)

Page 2

**Filed** October 08, 2014

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

---

### Location of Business Records

**Business Records Address**

BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**U.S. Address for Production of Business Records**

UBS  
677 WASHINGTON BLVD  
STAMFORD, CT 06901  
UNITED STATES

---

---

## National Futures Association

Business Locations (3R)

Page 3

**Filed** October 08, 2014

**OMB Number** 3038-0072

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### Contact Information

#### Registration Contact

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## National Futures Association

Business Locations (3R)

Page 4

**Filed** October 08, 2014

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**User ID** COOPERR2

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## National Futures Association

Business Locations (3R)

Page 5

**Filed** October 08, 2014

**OMB Number** 3038-0072

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**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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### Chief Compliance Officer

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## National Futures Association

Business Locations (3R)

Page 6

**Filed** October 08, 2014

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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### Registrant Certification Statement

BY FILING THIS FORM 3-R, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

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OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0338960 UBS AG

### FIRM REGULATORY MATTER INFORMATION FILED

**MATTER NAME:** EUROPEAN COMMISSION CASE**MATTER DETAIL:** IN OCTOBER 2014, UBS REACHED A SETTLEMENT WITH THE EUROPEAN COMMISSION REGARDING ITS INVESTIGATION OF BID-ASK SPREADS IN CONNECTION WITH SWISS FRANC INTEREST RATE DERIVATIVES AND AGREED TO PAY A EUR 12.65 MILLION FINE. THIS CONVERTED TO \$15,753,032.30**FILED BY:** ROBIN COOPER - COOPERR2**FILED ON:** 11/20/2014 2:36:59 PM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

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## National Futures Association

Business Locations (3R)

Page 1

**Filed** December 01, 2014

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

---

### Business Information

**Business Address** BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**Phone Number** 41-44-234 11 11

**Fax Number** Not provided.

**E-mail Address** Not provided.



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## National Futures Association

Business Locations (3R)

Page 2

**Filed** December 01, 2014

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

---

### Location of Business Records

**Business Records Address**

BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**U.S. Address for Production of Business Records**

UBS  
677 WASHINGTON BLVD  
STAMFORD, CT 06901  
UNITED STATES

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## National Futures Association

Business Locations (3R)

Page 3

**Filed** December 01, 2014

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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### Contact Information

#### Registration Contact

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WEEHAWKEN, NJ 07086  
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## National Futures Association

Business Locations (3R)

Page 4

**Filed** December 01, 2014

**OMB Number** 3038-0072

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**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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### Arbitration Contact

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## National Futures Association

Business Locations (3R)

Page 5

**Filed** December 01, 2014

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**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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### Chief Compliance Officer

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## National Futures Association

Business Locations (3R)

Page 6

**Filed** December 01, 2014

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**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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---

# National Futures Association

Holding Company (3R)

Page 1

**Filed** December 07, 2014

**OMB No.** 3038-0023

**Filed By** SUSAN MARKUNAS

**User ID** MARKUNASS1

---

**Sponsor Name** UBS AG

**Sponsor ID** 0338960

**Holding Company** UBS GROUP AG

**Ownership** 10% or more interest? YES

BY FILING THIS FORM 3-R, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

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---

OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0338960 UBS AG

### FIRM REGULATORY MATTER INFORMATION FILED

**MATTER NAME:** FOREX TRADING MATTER FINMA**MATTER DETAIL:** ON 12 NOVEMBER 2014, THE SWISS FINANCIAL MARKET SUPERVISORY AUTHORITY ANNOUNCED THAT IT HAD ISSUED AN ORDER CONCERNING UBS AG'S FOREIGN EXCHANGE AND PRECIOUS METALS TRADING IN ZURICH, SWITZERLAND. FINMA CONCLUDED THAT UBS AG HAD VIOLATED THE REGULATORY REQUIREMENTS FOR ENSURING PROPER BUSINESS CONDUCT, IMPOSED SUPERVISORY MEASURES, AND ORDERED DISGORGEMENT OF CHF 133.9 MILLION.**FILED BY:** ROBIN COOPER - COOPERR2**FILED ON:** 12/9/2014 11:30:49 AM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

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**National Futures Association**

Page 1

**OMB Number** 3038-0072

**NFA ID** 0338960

**User ID** ZIMMERNZ1

## Business Information

**Business Address**                      BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**Phone Number** 41-44-234 11 11

**Fax Number** Not provided.

<b>E-mail Address</b>	Not provided.
-----------------------	---------------



**National Futures Association**

Page 2

**OMB Number** 3038-0072

**NFA ID** 0338960

**User ID** ZIMMERNZ1

## Location of Business Records

### Business Records Address

BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

### U.S. Address for Production of Business Records

UBS  
677 WASHINGTON BLVD  
STAMFORD, CT 06901  
UNITED STATES



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## National Futures Association

Business Locations (3R)

Page 3

**Filed** May 14, 2015

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ZACK ZIMMERN

**User ID** ZIMMERNZ1

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### Contact Information

#### Registration Contact

RAYMOND ROBERTELLO  
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1000 HARBOR BLVD  
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## National Futures Association

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Page 4

**Filed** May 14, 2015

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**User ID** ZIMMERNZ1

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## National Futures Association

Business Locations (3R)

Page 7

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**NFA ID** 0338960

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### Registrant Certification Statement

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certification that the answers and the information provided in the Form 3-R are true, complete and accurate and that in the light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the Form 3-R are not misleading in any material respect; certification that the person who electronically files the Form 3-R on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the Form 3-R on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the Form 3-R.

OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0338960 UBS AG

**FIRM CRIMINAL SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO**

<b>SDDI PROCESS:</b>	FIRMWEB
<b>SDDI SECTION:</b>	CRIMINAL DISCLOSURES
<b>SUPPLEMENTAL DOCUMENTATION:</b>	NO
<b>FILED BY:</b>	ROBIN COOPER - COOPERR2
<b>FILED ON:</b>	6/10/2015 2:38:55 PM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

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OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0338960 UBS AG

### FIRM CRIMINAL MATTER INFORMATION FILED

**MATTER NAME:** FOREX MATTER

**MATTER DETAIL:** UNITED STATES DISTRICT COURT, DISTRICT OF CONNECTICUT, DOCKET/CASE 3:15CR76(RNC). CHARGED 5/20/2015, MATTER IS PENDING ONE COUNT FELONY PLED GUILTY WIRE FRAUD ON MAY 20, 2015, THE DEPARTMENT OF JUSTICE CRIMINAL DIVISION TERMINATED A DECEMBER 19, 2012 NON-PROSECUTION AGREEMENT (THE "NPA") WITH UBS AG. AS A RESULT, ON MAY 20, 2015, UBS AG ENTERED INTO A PLEA AGREEMENT WITH THE DEPARTMENT OF JUSTICE CRIMINAL DIVISION PURSUANT TO WHICH UBS AG AGREED TO AND DID PLEAD GUILTY TO A ONE-COUNT CRIMINAL INFORMATION FILED IN THE DISTRICT OF CONNECTICUT CHARGING UBS AG WITH ONE COUNT OF WIRE FRAUD IN VIOLATION OF 18 USC SECTIONS 1343 AND 1342. AS PART OF THE PLEA AGREEMENT, UBS AG AGREED TO PAY A \$203 MILLION PENALTY. THE CRIMINAL INFORMATION CHARGES THAT BETWEEN APPROXIMATELY 2001 AND 2010, UBS AG ENGAGED IN SCHEME TO DEFRAUD COUNTERPARTIES TO INTEREST RATE DERIVATIVES TRANSACTIONS BY MANIPULATING BENCHMARK INTEREST RATES, INCLUDING YEN LIBOR. THE CRIMINAL DIVISION TERMINATED THE NPA BASED ON ITS DETERMINATION, IN ITS SOLE DISCRETION, THAT CERTAIN OF ITS EMPLOYEES COMMITTED CRIMINAL CONDUCT THAT VIOLATED THE NPA, INCLUDING FRAUDULENT AND DECEPTIVE CURRENCY TRADING AND SALES PRACTICES IN CONDUCTING CERTAIN FOREIGN EXCHANGE MARKET TRANSACTIONS WITH CUSTOMERS AND COLLUSION WITH OTHER PARTICIPANTS IN CERTAIN FX MARKETS.

**FILED BY:** ROBIN COOPER - COOPERR2**FILED ON:** 6/10/2015 2:45:02 PM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

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OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0338960 UBS AG

### FIRM CRIMINAL DISCLOSURE QUESTION A CHANGED

**QUESTION:** Has the firm or sole proprietor ever pled guilty or nolo contendere ("no contest") to or been convicted or found guilty of any [felony](#) in any domestic, foreign or military court?

**ANSWER:** YES

**FILED BY:** ROBIN COOPER - COOPERR2

**FILED ON:** 6/10/2015 2:38:55 PM

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## Registration Information Change

NFA ID 0338960 UBS AG

### ENFORCEMENT/COMPLIANCE COMMUNICATION CONTACT INFORMATION DELETED

**FIRST NAME:** BRYAN  
**LAST NAME:** MURTAGH  
**TITLE:** MANAGING DIRECTOR  
**STREET ADDRESS 1:** 677 WASHINGTON BLVD.  
**STREET ADDRESS 2:**  
**STREET ADDRESS 3:**  
**CITY:** STAMFORD  
**STATE:** CONNECTICUT  
**PROVINCE:**  
**COUNTRY:** UNITED STATES  
**ZIP CODE:** 06901  
**PHONE NUMBER:** 203 719 8955  
**FAX NUMBER:**  
**E-MAIL ADDRESS:** BRYAN.MURTAGH@UBS.COM  
**FILED BY:** ROBIN COOPER - COOPERR2  
**FILED ON:** 10/19/2015 11:59:31 AM

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## National Futures Association

Business Locations (3R)

Page 1

**Filed** October 19, 2015

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

---

### Business Information

**Business Address** BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**Phone Number** 41-44-234 11 11

**Fax Number** Not provided.

**E-mail Address** Not provided.



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## National Futures Association

Business Locations (3R)

Page 2

**Filed** October 19, 2015

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### Location of Business Records

**Business Records Address**

BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**U.S. Address for Production of Business Records**

UBS  
677 WASHINGTON BLVD  
STAMFORD, CT 06901  
UNITED STATES

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## National Futures Association

Business Locations (3R)

Page 3

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**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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### Contact Information

#### Registration Contact

RAYMOND ROBERTELLO  
ASSISTANT DIRECTOR OF COMPLIANCE  
1000 HARBOR BLVD  
8TH FLOOR  
WEEHAWKEN, NJ 07086  
UNITED STATES  
Phone: 201-352-6038  
E-mail: RAYMOND.ROBERTELLO@UBS.COM

#### Membership Contact

RAYMOND ROBERTELLO  
ASSISTANT DIRECTOR OF COMPLIANCE  
1000 HARBOR BLVD  
8TH FLOOR  
WEEHAWKEN, NJ 07086  
UNITED STATES  
Phone: 201-352-6038  
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#### Accounting Contact

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1 FINSBURY AVENUE  
LONDON, UNITED KINGDOM EC2M 2PP  
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# National Futures Association

Business Locations (3R)

Page 4

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**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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## Arbitration Contact

BURT FUQUA  
MANAGING DIRECTOR  
153 WEST 51ST STREET  
NEW YORK, NY 10019  
UNITED STATES  
Phone: 212 821 6590  
E-mail: BERT.FUQUA@UBS.COM

## Compliance Contact

ZACHARY ZIMMERN  
1285 AVENUE OF THE AMERICAS  
NEW YORK, NY 10019  
UNITED STATES  
Phone: 212-719-3175  
E-mail: ZACHARY.ZIMMERN@UBS.COM

## Exempt Foreign Firm Contact

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SYDNEY NSW 2000  
AUSTRALIA  
Phone: 612-9324-2944  
Fax: 612-9324-2558  
E-mail: BELINDA.MACLAY@UBS.COM

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## National Futures Association

Business Locations (3R)

Page 5

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**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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### Chief Compliance Officer

COLIN BELL  
100 LIVERPOOL STREET  
LONDON  
UNITED KINGDOM  
Phone: 44 20756 85941  
E-mail: COLIN.BELL@UBS.COM

### Enforcement/Compliance Communication Contact

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EXECUTIVE DIRECTOR  
1285 AVENUE OF THE AMERICAS  
NEW YORK, NY 10019  
UNITED STATES  
Phone: 212 713 2986  
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## National Futures Association

Business Locations (3R)

Page 6

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**NFA ID** 0338960

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**User ID** COOPERR2

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## Registration Information Change

NFA ID 0338960 UBS AG

### FIRM REGULATORY MATTER INFORMATION FILED

**MATTER NAME:** SECURITIES AND EXCHANGE COMMISSION CASE NO. 3-16891

**MATTER DETAIL:** THE SECURITIES AND EXCHANGE COMMISSION ALLEGED THAT UBS NEGLIGENTLY MADE MISLEADING STATEMENTS AND OMISSIONS IN THE OFFER OR SALE OF SECURITIES, WHICH VIOLATED SECTION 17(A)(2) OF THE SECURITIES ACT. UBS HAS NEITHER ADMITTED OR DENIED THESE FINDINGS. UBS AG WAS ISSUED A CEASE AND DESIST ORDER, AND ORDERED TO PAY (1) \$10,000,000 IN DISGORGEMENT, (2) \$1.5 MILLION IN PREJUDGMENT INTEREST; AND (3) \$8,000,000 CIVIL MONETARY PENALTY.

**FILED BY:** ROBIN COOPER - COOPERR2

**FILED ON:** 10/20/2015 2:10:23 PM

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## National Futures Association

Business Locations (3R)

Page 1

**Filed** December 07, 2015

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

---

### Business Information

**Business Address** BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**Phone Number** 41-44-234 11 11

**Fax Number** Not provided.

**E-mail Address** Not provided.



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## National Futures Association

Business Locations (3R)

Page 2

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**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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### Location of Business Records

**Business Records Address**

BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**U.S. Address for Production of Business Records**

UBS  
677 WASHINGTON BLVD  
STAMFORD, CT 06901  
UNITED STATES

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## National Futures Association

Business Locations (3R)

Page 3

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**User ID** COOPERR2

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### Contact Information

#### Registration Contact

RAYMOND ROBERTELLO  
ASSISTANT DIRECTOR OF COMPLIANCE  
1000 HARBOR BLVD  
8TH FLOOR  
WEEHAWKEN, NJ 07086  
UNITED STATES  
Phone: 201-352-6038  
E-mail: RAYMOND.ROBERTELLO@UBS.COM

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# National Futures Association

Business Locations (3R)

Page 4

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E-mail: ZACHARY.ZIMMERN@UBS.COM

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2 CHIFLEY SQUARE  
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## National Futures Association

Business Locations (3R)

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### Chief Compliance Officer

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## National Futures Association

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## National Futures Association

Business Locations (3R)

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**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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### Business Information

**Business Address** BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**Phone Number** 41-44-234 11 11

**Fax Number** Not provided.

**E-mail Address** Not provided.



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## National Futures Association

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Page 3

**Filed** December 18, 2015

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

---

### Contact Information

#### Registration Contact

RAYMOND ROBERTELLO  
ASSISTANT DIRECTOR OF COMPLIANCE  
1000 HARBOR BLVD  
8TH FLOOR  
WEEHAWKEN, NJ 07086  
UNITED STATES  
Phone: 201-352-6038  
E-mail: RAYMOND.ROBERTELLO@UBS.COM

#### Membership Contact

RAYMOND ROBERTELLO  
ASSISTANT DIRECTOR OF COMPLIANCE  
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WEEHAWKEN, NJ 07086  
UNITED STATES  
Phone: 201-352-6038  
E-mail: RAYMOND.ROBERTELLO@UBS.COM

#### Accounting Contact

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1 FINSBURY AVENUE  
LONDON, UNITED KINGDOM EC2M 2PP  
UNITED KINGDOM  
Phone: 201-352-6038  
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# National Futures Association

Business Locations (3R)

Page 4

**Filed** December 18, 2015

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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## Arbitration Contact

BURT FUQUA  
MANAGING DIRECTOR  
153 WEST 51ST STREET  
NEW YORK, NY 10019  
UNITED STATES  
Phone: 212 821 6590  
E-mail: BERT.FUQUA@UBS.COM

## Compliance Contact

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1285 AVENUE OF THE AMERICAS  
NEW YORK, NY 10019  
UNITED STATES  
Phone: 212-713-3175  
E-mail: ZACHARY.ZIMMERN@UBS.COM

## Exempt Foreign Firm Contact

BELINDA MACLAY  
LEVEL 16  
CHIFLEY TOWER  
2 CHIFLEY SQUARE  
SYDNEY NSW 2000  
AUSTRALIA  
Phone: 612-9324-2944  
Fax: 612-9324-2558  
E-mail: BELINDA.MACLAY@UBS.COM

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## National Futures Association

Business Locations (3R)

Page 5

**Filed** December 18, 2015

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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### Chief Compliance Officer

COLIN BELL  
100 LIVERPOOL STREET  
LONDON  
UNITED KINGDOM  
Phone: 44 20756 85941  
E-mail: COLIN.BELL@UBS.COM

### Enforcement/Compliance Communication Contact

ZACHARY ZIMMERN  
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NEW YORK, NY 10019  
UNITED STATES  
Phone: 212-821-2300  
E-mail: ZACHARY.ZIMMERN@UBS.COM

### Enforcement/Compliance Communication Contact

PATRICK DIMARCO  
EXECUTIVE DIRECTOR  
ONE NORTH WACKER DRIVE  
CHICAGO, IL 60606  
UNITED STATES  
Phone: 312 525 6518  
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## National Futures Association

Business Locations (3R)

Page 6

**Filed** December 18, 2015

**OMB Number** 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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### Registrant Certification Statement

BY FILING THIS FORM 3-R, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

certification that the answers and the information provided in the Form 3-R are true, complete and accurate and that in the light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the Form 3-R are not misleading in any material respect; certification that the person who electronically files the Form 3-R on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the Form 3-R on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the Form 3-R.

**National Futures Association**

Page 1

**OMB Numbers** 3038-0023 and 3038-0072

**NFA ID** 0338960

**User ID** COOPERR2

---

**Business Address**                      BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

Phone Number	41-44-234 11 11
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**Fax Number** Not provided.

<b>E-mail Address</b>	Not provided.
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# National Futures Association

Business Locations (3R)

Page 2

**Filed** March 31, 2016

**OMB Numbers** 3038-0023 and 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

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## Location of Business Records

### Business Records Address

BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

### U.S. Address for Production of Business Records

UBS  
677 WASHINGTON BLVD  
STAMFORD, CT 06901  
UNITED STATES

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# National Futures Association

Business Locations (3R)

Page 3

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**Submitted By** ROBIN COOPER

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# National Futures Association

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2 CHIFLEY SQUARE  
SYDNEY NSW 2000  
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# National Futures Association

Business Locations (3R)

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**Filed** March 31, 2016

**OMB Numbers** 3038-0023 and 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

## Chief Compliance Officer

JAMES OATES  
GROUP MANAGING DIRECTOR  
1285 AVENUE OF THE AMERICAS  
NEW YORK, NY 10019  
UNITED STATES  
Phone: 212-821-6428  
E-mail: JAMES.OATES@UBS.COM

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EXECUTIVE DIRECTOR  
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CHICAGO, IL 60606  
UNITED STATES  
Phone: 312 525 6518  
E-mail: PATRICK.DIMARCO@UBS.COM

# National Futures Association

Business Locations (3R)

Page 6

**Filed** March 31, 2016

**OMB Numbers** 3038-0023 and 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

## Registrant Certification Statement

BY FILING THIS FORM 3-R, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

certification that the answers and the information provided in the Form 3-R are true, complete and accurate and that in the light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the Form 3-R are not misleading in any material respect; certification that the person who electronically files the Form 3-R on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the Form 3-R on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the Form 3-R.

## Registration Information Change

NFA ID 0338960 UBS AG

### ENFORCEMENT/COMPLIANCE COMMUNICATION CONTACT INFORMATION DELETED

**FIRST NAME:** ZACHARY  
**LAST NAME:** ZIMMERN  
**TITLE:** ASSOCIATE DIRECTOR  
**STREET ADDRESS 1:** 1285 AVENUE OF THE AMERICAS  
**STREET ADDRESS 2:**  
**STREET ADDRESS 3:**  
**CITY:** NEW YORK  
**STATE:** NEW YORK  
**PROVINCE:**  
**COUNTRY:** UNITED STATES  
**ZIP CODE:** 10019  
**PHONE NUMBER:** 212-713-3175  
**FAX NUMBER:**  
**E-MAIL ADDRESS:** ZACHARY.ZIMMERN@UBS.COM  
**FILED BY:** ROBIN COOPER - COOPERR2  
**FILED ON:** 6/2/2017 12:01:31 PM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

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# National Futures Association

Business Locations (3R)

Page 1

**Filed** June 02, 2017

**OMB Numbers** 3038-0023 and 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** ROBIN COOPER

**User ID** COOPERR2

## Business Information

**Business Address** BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**Phone Number** 41-44-234 11 11

**Fax Number** Not provided.

**E-mail Address** Not provided.

---

# National Futures Association

Business Locations (3R)

Page 2

**Filed** June 02, 2017

**OMB Numbers** 3038-0023 and 3038-0072

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## Location of Business Records

### Business Records Address

BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

### U.S. Address for Production of Business Records

UBS  
600 WASHINGTON BLVD  
STAMFORD, CT 06901  
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Business Locations (3R)

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## Contact Information

### Registration Contact

RAYMOND ROBERTELLO  
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1000 HARBOR BLVD  
8TH FLOOR  
WEEHAWKEN, NJ 07086  
UNITED STATES  
Phone: 201-352-6038  
E-mail: RAYMOND.ROBERTELLO@UBS.COM

### Membership Contact

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# National Futures Association

Business Locations (3R)

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## Arbitration Contact

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Business Locations (3R)

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## Chief Compliance Officer

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## Business Information

**Business Address** BAHNHOFSTRASSE 45  
ZURICH CH 8001  
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**Phone Number** 41-44-234 11 11

**Fax Number** Not provided.

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# National Futures Association

Business Locations (3R)

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**Submitted By** ROBIN COOPER

**User ID** COOPERR2

## Arbitration Contact

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Business Locations (3R)

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## Registration Information Change

NFA ID 0338960 UBS AG

### FIRM REGULATORY MATTER INFORMATION FILED

**MATTER NAME:** OCC MAY 31, 2018 SETTLEMENT

**MATTER DETAIL:** UBS AG, STAMFORD BRANCH, UBS AG, MIAMI BRANCH, (COLLECTIVELY, THE "UBS BRANCHES") CONSENTED TO THE ENTRY OF THE CONSENT ORDER ON MAY 31, 2018, PURSUANT TO WHICH THE UBS BRANCHES SHALL COMPLY WITH THE UNDERTAKINGS SET FORTH IN THE CONSENT ORDER, INCLUDING SUBMITTING WRITTEN PROPOSALS FOR APPROVAL BY THE OCC, COVERING THE UBS BRANCHES' BANK SECRECY ACT AND ANTI-MONEY LAUNDERING COMPLIANCE PROGRAM.

**FILED BY:** MOLLIE WAKEFIELD - WAKEFIELDM1

**FILED ON:** 6/29/2018 10:08:48 AM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

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# National Futures Association

Firm Application (7R) Filed June 25, 2019

Page 1

**OMB Numbers** 3038-0023 and 3038-0072

**NFA ID** 0338960 UBS AG

**Submitted By** TAYLORC4 CONSTANCE TAYLOR

## Definition of Terms

(The following terms are defined solely for the purpose of using NFA's Online Registration System.)

**10% OR MORE INTEREST:** direct or [indirect ownership](#) of 10% or more of an [entity's](#) stock; entitlement to vote or empowered to sell 10% or more of an [entity's](#) voting securities; contribution of 10% or more of an [entity's](#) capital; or entitlement to 10% or more of an [entity's](#) net profits.

**ADJUDICATION:** in a criminal case, a determination by the court that the defendant is guilty or not guilty.

**ADVERSARY ACTION:** a lawsuit arising in or related to a bankruptcy case commenced by a creditor or bankruptcy trustee by filing a complaint with the bankruptcy court.

**ALIAS:** another name utilized by an individual or previously used by an [entity](#).

**CHARGE:** a formal complaint, information, indictment or equivalent instrument containing an accusation of a crime.

**DBA:** abbreviation for Doing Business As. The firm is doing its futures, retail off-exchange forex or swaps business by this name.

**DESIGNATED SUPERVISOR:** Solely for the purpose of determining whether the Branch Manager Examination (Series 30) is required, Designated Supervisor means a person who is registered with FINRA (formerly known as NASD) as a General Securities Representative and has been designated to act as the supervisor of an office that is not an Office of Supervisory Jurisdiction ("non-OSJ"), provided that:

- either the futures activity conducted in the non-OSJ that is subject to the Designated Supervisor's supervision is limited to activity not requiring the Series 3 Examination and both the Designated Supervisor and the Branch Manager of the Office of Supervisory Jurisdiction to which the non-OSJ reports have otherwise satisfied NFA's Proficiency Requirements appropriate to their supervisory activities; or
- the activity that is conducted in the non-OSJ that requires the Series 3 Examination is supervised by the Branch Manager of the Office of Supervisory Jurisdiction to which the non-OSJ reports and both the Designated Supervisor and Branch Office Manager have passed the Series 3 Examination.

**ENJOINED:** subject to an injunction.

**ENTITY:** any [person](#) other than an individual.

# National Futures Association

Firm Application (7R) Filed June 25, 2019

Page 2

**OMB Numbers** 3038-0023 and 3038-0072

**NFA ID** 0338960 UBS AG

**Submitted By** TAYLORC4 CONSTANCE TAYLOR

**ENTITY FLOOR TRADER:** an applicant that files or registrant that filed a Form 7-R to apply for registration as a floor trader.

**FELONY:** any crime classified as a felony and for states and countries that do not differentiate between a felony or [misdemeanor](#), an offense that could result in imprisonment for any period of more than one year. The term also includes a general court martial.

**FINANCIAL SERVICES INDUSTRY:** the commodities, securities, accounting, banking, finance, insurance, law or real estate industries.

**FLOOR TRADER ORDER ENTERER:** an individual responsible for entry of orders from an [Entity Floor Trader's](#) own account.

**FOUND:** subject to a determination that conduct or a rule violation has occurred. The term applies to dispositions of any type, including but not limited to consent decrees or settlements in which the findings are neither admitted nor denied or in which the findings are for settlement or record purposes only.

**INDIRECT OWNER:** an individual who through agreement, holding companies, nominees, trusts or otherwise:

- is the owner of 10% or more of the outstanding shares of any class of an [entity's](#) equity securities, other than non-voting securities;
- is entitled to vote 10% or more of the outstanding shares of any class of an [entity's](#) equity securities, other than non-voting securities;
- has the power to sell or direct the sale of 10% or more of the outstanding shares of any class of an [entity's](#) equity securities, other than non-voting securities;
- is entitled to receive 10% or more of an [entity's](#) net profits; or
- has the power to exercise a controlling influence over an [entity's](#) activities that are subject to regulation by the Commission.

## INTERNAL REVENUE CODE:

Section 7203: Willful Failure to File Return, Supply Information or Pay Tax

Section 7204: Fraudulent Statement or Failure to Make Statement

Section 7205: Fraudulent Withholding Exemption Certificate or Failure to Supply Information

Section 7207: Fraudulent Returns, Statements or Other Documents

## INVESTMENT RELATED STATUTES:

- The Commodity Exchange Act
- The Securities Act of 1933
- The Securities Exchange Act of 1934
- The Public Utility Holding Company Act of 1935

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- The Trust Indenture Act of 1939
- The Investment Advisers Act of 1940
- The Investment Company Act of 1940
- The Securities Investors Protection Act of 1970
- The Foreign Corrupt Practices Act of 1977
- Chapter 96 of Title 18 of the United States Code
- Any similar statute of a State or foreign jurisdiction
- Any rule, regulation or order under any such statutes; and
- The rules of the Municipal Securities Rulemaking Board

**MISDEMEANOR:** any crime classified as a misdemeanor and for states and countries that do not differentiate between a [felony](#) or misdemeanor, an offense that could result in imprisonment for any period of at least six days but not more than one year. By way of example, an offense for which the maximum period of imprisonment is 60 days would be considered a misdemeanor. The term also includes a special court martial.

**NON-U.S. NATURAL PERSON:** an individual who has not resided in the U.S. since reaching the age of 18 years.

**OTHER NAME:** For firms or sole proprietors, any other name that the applicant uses or has used in the past for its futures, retail off-exchange forex or swaps business but not the name of any other legal [entity](#) that the applicant has an affiliation or association with (see [DBA](#)). For individuals, this is any name the person is or has been known by. For example, a maiden name, an [alias](#) name that you use or are known by, or a previous name if you have changed your legal name.

**OUTSIDE DIRECTOR:** an individual who is director of an applicant or registrant and who:

- is not an officer or employee of the applicant or registrant;
- is not engaged in or have direct supervisory responsibility over persons engaged in the solicitation of
  - or acceptance of customers' orders or retail forex customers' orders;
  - funds, securities or property for participation in a commodity pool;
  - a client's or prospective client's discretionary account;
  - leverage customers' orders for leverage transactions;
  - or acceptance of a swap agreement; or
- does not regularly have access to the keeping, handling or processing of:

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- transactions involving "commodity interests", as that term is defined in CFTC Regulation 1.3(yy);

- customer funds, retail forex customer funds, leverage customer funds, foreign futures or foreign options secured amount, or adjusted net capital.

**PERSON:** an individual, association, partnership, corporation, limited liability company, limited liability partnership, trust, or other form of business organization.

**PRINCIPAL** - means, with respect to an applicant, a registrant, or a [person](#) required to be registered under the Act:

(1) an individual who is:

- a sole proprietor of a sole proprietorship;
- a general partner of a partnership;
- a director, president, chief executive officer, chief operating officer, chief financial officer, or a person in charge of a business unit, division or function subject to regulation by the Commission of a corporation, limited liability company or limited liability partnership;
- a manager, managing member or a member vested with the management authority for a limited liability company or limited liability partnership; or
- a chief compliance officer; or

(2) an individual who directly or indirectly, through agreement, holding companies, nominees, trusts or otherwise:

- is the owner of 10% or more of the outstanding shares of any class of an applicant or registrant's equity securities, other than non-voting securities;
- is entitled to vote 10% or more of the outstanding shares of any class of an applicant or registrant's equity securities, other than non-voting securities;
- has the power to sell or direct the sale of 10% or more of the outstanding shares of any class of an applicant or registrant's equity securities, other than non-voting securities;
- is entitled to receive 10% or more of an applicant or registrant's net profits; or
- has the power to exercise a controlling influence over an applicant or registrant's activities that are subject to regulation by the Commission; or

(3) an [entity](#) that:

- is a general partner of a partnership; or
- is the direct owner of 10% or more of the outstanding shares of any class of an applicant or registrant's equity securities, other than non-voting securities; or

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(4) an individual who or an [entity](#) that:

- has contributed 10% or more of an applicant or registrant's capital unless such capital contribution consists of subordinated debt contributed by:
  - an unaffiliated bank insured by the Federal Deposit Insurance Corporation;
  - an unaffiliated "foreign bank," as defined in 12 CFR 211.21(n) that currently operates an "office of a foreign bank," as defined in 12 CFR 211.21(t), which is licensed under 12 CFR 211.24(a);
  - such office of an unaffiliated, licensed foreign bank; or
  - an insurance company subject to regulation by any State,

provided such debt is not guaranteed by an individual who or [entity](#) that is not a principal of the applicant or registrant.

For the purpose of answering Questions A, B, C, D, E, F, G, I and K of the Disciplinary Information sections, PRINCIPAL also means an individual described in (1), (2) or (4) above with respect to any [entity](#) whether or not the [entity](#) is an applicant, registrant, or a [person](#) required to be registered under the Act.

**SELF-REGULATORY ORGANIZATION (SRO):** a private, non-governmental organization authorized to set and enforce standards of conduct for an industry. NFA, FINRA (formerly known as NASD), and the securities and futures exchanges in the U.S. are examples of domestic SROs.

**UNITED STATES CRIMINAL CODE:**Section 152: Concealment of assets,  
making false claims or bribery in connection with a bankruptcy  
Section 1341, 1342 or 1343: Mail fraud  
Chapter 25: Counterfeiting and forgery  
Chapter 47: Fraud or false statements in a matter within the jurisdiction of a  
United States department or agency  
Chapter 95 or 96: Racketeering and Racketeering Influence

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**Submitted By** TAYLORC4 CONSTANCE TAYLOR

## Privacy Act and Paperwork Reduction Act Notice

### Privacy Act Notice

The information in Forms 7-R, 7-W, 8-R and 8-T and on the fingerprint card is being collected pursuant to authority granted in Sections 2(c), 4f, 4k, 4n, 4s, 8a and 19 of the Commodity Exchange Act, 7 U.S.C. §§ 2(c), 6f, 6k, 6n, 6s, 12a and 23. Under Section 2(c), it is unlawful for anyone to engage in off-exchange foreign currency futures transactions or off-exchange foreign currency leveraged, margined or financed transactions with persons who are not eligible contract participants without registration, or exemption from registration, as a retail foreign exchange dealer, futures commission merchant, introducing broker, commodity pool operator or commodity trading advisor, as appropriate. Under Section 4d of the Commodity Exchange Act, 7 U.S.C. §6d, it is unlawful for anyone to act as a futures commission merchant or introducing broker without being registered in that capacity under the Act. Under Section 4m of the Commodity Exchange Act, 7 U.S.C. §6m, it is unlawful for a commodity trading advisor or commodity pool operator to make use of the mails or any means or instrumentality of interstate commerce in connection with his business as a commodity trading advisor or commodity pool operator without being registered in the appropriate capacity under the Act, except that a commodity trading advisor who, during the course of the preceding 12 months, has not furnished commodity trading advice to more than 15 persons and does not hold himself out generally to the public as a commodity trading advisor, need not register. Under Section 4s of the Commodity Exchange Act, 7 U.S.C. §6s, it is unlawful for anyone to act as a swap dealer or major swap participant without being registered in that capacity under the Act. Under Section 19 of the Commodity Exchange Act, 7 U.S.C. §23 and Section 31.5 of the CFTC's regulations, it is unlawful for anyone to act as a leverage transaction merchant without being registered in that capacity under the Act.

The information requested in Form 7-R is designed to assist NFA and the CFTC, as appropriate, in determining whether the application for registration should be granted or denied and to maintain the accuracy of registration files. The information in Form 7-W is designed to assist NFA and the CFTC in determining whether it would be contrary to the requirements of the Commodity Exchange Act, or any rule, regulation or order thereunder, or the public interest to permit withdrawal from registration.

The information requested in Form 8-R and on the fingerprint card will be used by the CFTC or NFA, as appropriate, as a basis for conducting an inquiry into the individual's fitness to be an associated person, floor broker or floor trader or to be a principal of a futures commission merchant, swap dealer, major swap participant, retail foreign exchange dealer, introducing broker, commodity trading advisor, commodity pool operator, leverage transaction merchant or non-natural person floor trader.

Portions of the information requested in Form 8-R will be used by the CFTC and, in appropriate cases, by NFA, to confirm the registration of certain associated persons. The information

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requested in Form 8-T will be used by the CFTC, and, in appropriate cases, by NFA, to record the registration status of the individual and, in appropriate cases, as a basis for further inquiry into the individual's fitness to remain in business subject to the CFTC's jurisdiction.

With the exception of the social security number and Federal employer identification number, all information in Forms 8-R and 8-T must be furnished. Disclosure of the social security number and Federal employer identification number is voluntary. The social security number and the Federal employer identification number are sought pursuant to the Debt Collection Improvement Act of 1996, which allows the CFTC to use the social security number or taxpayer identifying number furnished to the CFTC as part of the registration process for purposes of collecting and reporting on any debt owed to the U.S. Government, including civil monetary penalties. Although voluntary, the furnishing of a social security number or Federal employer identification number assists the CFTC and NFA in identifying individuals and firms, and therefore expedites the processing of those forms.

The failure by an applicant, registrant or principal to timely file a properly completed Form 7-R and all other related required filings may result in the denial of an application for registration or withdrawal thereof or, in the case of an annual records maintenance fee, treating the registrant as having petitioned for withdrawal. Failure by an applicant, registrant or principal to timely file or cause to be filed a properly completed Form 8-R or 8-T, any other required related filings, or a fingerprint card may result in the lapse, denial, suspension or revocation of registration, withdrawal of the application or other enforcement or disciplinary action by the CFTC or NFA.

NFA makes available to the public on NFA website(s), including the Background Affiliation Status Information Center (BASIC), firm directories, business addresses, telephone numbers, registration categories, effective dates of registration, registration status, and disciplinary action taken concerning futures commission merchants, introducing brokers, commodity pool operators, commodity trading advisors, swap dealers, major swap participants and retail foreign exchange dealers and their associated persons and principals; non-natural person floor traders and their principals; and floor trader order enterers.

Additional information on Forms 7-R, 7-W, 8-R and 8-T is publicly available, and may be accessed by contacting the National Futures Association, Registration Department, Suite 1800, 300 S. Riverside Plaza, Chicago, IL 60606-6615, except for the following information, which is generally not available for public release unless required under the Freedom of Information Act (FOIA):

- The fingerprint card, including its demographic information;
- social security number;
- date of birth;
- location of birth;
- current residential address; and
- any supplementary information filed in response to the Form 8-R "Personal Information,"



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"Disciplinary Information," "Matter Information," or "Disclosure Matter" sections, Form 8-T "Withdrawal Reasons," "Disciplinary Information," or "Matter Information" sections, and Form 7-W, "Additional Customer Information" sections.

The CFTC, or NFA acting in accordance with rules approved by the CFTC, may disclose to third parties any information provided on Forms 7-R, 7-W, 8-R and 8-T pursuant to the Commodity Exchange Act, 7 U.S.C. §1 et. seq., Privacy Act of 1974, 5 U.S.C. §552a (Privacy Act), and the Commission's Privacy Act routine uses published in the Federal Register, which may include, but is not limited to, disclosure to Federal, state, local, or foreign law enforcement or regulatory authorities acting within the scope of their jurisdiction or for their use in meeting responsibilities assigned to them by law. The information will be maintained and disclosures will be made in accordance with CFTC Privacy Act System of Records Notice CFTC-12, National Futures Association (NFA) Applications Suite System (Exempted), CFTC-10, Investigatory Records (Exempted), or another relevant System of Records Notice, available from the CFTC "Privacy Program" page, <http://www.cftc.gov/Transparency/PrivacyOffice>.

If an individual believes that information on the forms is confidential, the individual may petition the CFTC, pursuant to 17 CFR 145.9, to treat such information as confidential in response to requests under FOIA. 5 U.S.C. §552. The filing of a petition for confidential treatment, however, does not guarantee that the information will be treated confidentially in response to a FOIA request. The CFTC will make no determination as to confidential treatment of information submitted unless and until the information is the subject of an FOIA request.

This notice is provided in accordance with the requirements of the Privacy Act, 5 U.S.C. §552a(e)(3), and summarizes some of an individual's rights under the Privacy Act, 5 U.S.C. §552a. Individuals desiring further information should consult the CFTC's regulations under the Privacy Act, 17 CFR Part 146, and under the Freedom of Information Act, 17 CFR Part 145, and the CFTC's published System of Records Notices, which describe the existence and character of each system of records maintained by the CFTC, available at the CFTC "Privacy Program" page.

Forms which have not been prepared and executed in compliance with applicable requirements may not be acceptable for filing. Acceptance of this form shall not constitute any finding that the information is true, current or complete. Misstatements or omissions of fact may constitute federal criminal violations [7 U.S.C. §13 and 18 U.S.C. §1001] or grounds for disqualification from registration.

Paperwork Reduction Act Notice

OMB Numbers 3038-0023 and 3038-0072

You are not required to provide the information requested on a form subject to the Paperwork



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Reduction Act unless the form displays a valid OMB Control Number.

The time needed to complete and file Form 7-R, Form 7-W, Form 8-R and Form 8-T may vary depending upon individual circumstances. The estimated average times are:

Form 7-R

FCM	0.6 hours
SD	1.1 hours
MSP	1.1 hours
RFED	0.6 hours
IB	0.5 hours
CPO	0.5 hours
CTA	0.5 hours
FT	0.6 hours

Form 7-W	0.1 hours
Form 8-R	1.0 hours
Form 8-T	0.2 hours.

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## Registration Categories

INTRODUCING BROKER

Will the firm be undertaking activities involving off-exchange foreign currency transactions as described in Sections 2(c)(2)(B) or 2(c)(2)(C) of the Act? **NO**

Will the firm's commodity interest activities involve swaps transactions subject to the jurisdiction of the Commodity Futures Trading Commission? **NO**

## Membership Information

Category in which the Member intends to vote on NFA membership matters. **SWAP DEALER**

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### Branch Office Information

No new branch office information.



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**Submitted By** TAYLORC4 CONSTANCE TAYLOR

## Firm Certification Statement

BY FILING THIS FORM 7-R, THE APPLICANT AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S

certification that the answers and the information provided in the Form 7-R are true, complete and accurate and that in light of the circumstances under which the applicant has given them, the answers and statements in the Form 7-R are not misleading in any material respect;

certification that the person who electronically files the Form 7-R on behalf of the applicant is authorized by the applicant to file the Form 7-R and to make the certifications, representations, requests, acknowledgements, authorizations and agreements contained in this agreement;

certification that, if the applicant is an applicant for registration as an SD or MSP, the applicant undertakes that, no later than ninety (90) days following the date this Form 7-R is filed, it will be and shall remain in compliance with the requirement of Section 4s(b)(6) of the Act that, except to the extent otherwise specifically provided by rule, regulation or order, the applicant will not permit any person associated with it who is subject to a statutory disqualification to effect or be involved in effecting swaps on behalf of the applicant, if the applicant knows, or in the exercise of reasonable care should know, of the statutory disqualification. For the purpose of this certification, "statutory disqualification" refers to the matters addressed in Sections 8a(2) and 8a(3) of the Act and "person" means an "associated person of a swap dealer or major swap participant" as defined in Section 1a(4) of the Act and CFTC regulations thereunder;

acknowledgement that the applicant is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the Form 7-R;

acknowledgement that the applicant is responsible at all times for maintaining the information in the Form 7-R in a complete, accurate and current manner by electronically filing updates to the information contained therein;

acknowledgement that the applicant may not act as an FCM, RFED, IB, CPO, CTA or FT until registration has been granted, that the applicant may not act as a Forex Firm or Forex Dealer Member until approval as a Forex Firm or designation as an approved Forex Dealer Member has been granted and that the applicant may not act as a Swap Firm until approval as a Swap Firm has been granted; in the case of an IB, until registration or a temporary license has been granted; or in the case of an SD or MSP, until registration or provisional registration has been granted;

or until confirmation of exemption from registration as an IB, CPO or CTA pursuant to CFTC Regulation 30.5 is granted;

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authorization that NFA may conduct an investigation to determine the applicant's fitness for registration or for confirmation of exemption from registration as an IB, CPO and CTA pursuant to CFTC Regulation 30.5 and, if applicable, NFA membership and agreement to cooperate promptly and fully, consistent with applicable Federal law, in such investigation, which investigation may include contacting foreign regulatory and law enforcement authorities, including the submission of documents and information to NFA that NFA, in its discretion, may require in connection with the applicant's application for registration, confirmation of exemption from registration as an IB, CPO and CTA pursuant to CFTC Regulation 30.5 or NFA membership;

authorization and request that any person, including but not limited to contract markets, furnish upon request to NFA or any agent acting on behalf of NFA any information requested by NFA in connection with any investigation conducted by NFA to determine the applicant's fitness for registration or for confirmation of exemption from registration as an IB, CPO and CTA pursuant to CFTC Regulation 30.5;

agreement that any person furnishing information to NFA or any agent acting on behalf of NFA in connection with the investigation so authorized is released from any and all liability of whatever nature by reason of furnishing such information to NFA or any agent acting on behalf of NFA;

agreement that, if the applicant is a foreign applicant:

subject to any applicable blocking, privacy or secrecy laws, the applicant's books and records will be available for inspection by the CFTC, the U.S. Department of Justice ("DOJ") and NFA for purposes of determining compliance with the Act, CFTC Regulations and NFA Requirements;

subject to any applicable blocking, privacy or secrecy laws, such books and records will be produced on 72 hours notice at the location in the United States stated in the Form 7-R or, in the case of an IB, CPO or CTA confirmed as exempt from registration pursuant to CFTC Regulation 30.5, at the location specified by the CFTC or DOJ, provided, however, if the applicant is applying for registration as an FCM, SD, MSP or RFED, upon specific request, such books and records will be produced on 24 hours notice except for good cause shown;

the applicant will immediately notify NFA of any changes to the location in the United States where such books and records will be produced;

except as the applicant has otherwise informed the CFTC in writing, the applicant is not subject to any blocking, privacy or secrecy laws which would interfere with or create an obstacle to full inspection of the applicant's books and records by the CFTC, DOJ and NFA;

subject to any applicable blocking, privacy or secrecy laws, the failure to provide the CFTC,

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DOJ or NFA with access to its books and records in accordance with this agreement may be grounds for enforcement and disciplinary sanctions, denial, suspension or revocation of registration, withdrawal of confirmation of exemption from registration as an IB, CPO or CTA pursuant to CFTC Regulation 30.5, and denial, suspension or termination of NFA membership; and

subject to any applicable blocking, privacy or secrecy laws, the applicant for registration shall provide to NFA copies of any audit or disciplinary report related to the applicant for registration issued by any non-U.S. regulatory authority or non-U.S. self-regulatory organization and any required notice that the applicant for registration provides to any non-U.S. regulatory authority or non-U.S. self-regulatory organization and shall provide these copies both as part of this application and thereafter immediately upon the applicant for registration's receipt of any such report or provision of any such notice;

representation that if the applicant is an applicant for exemption from registration as an IB, CPO or CTA pursuant to CFTC Regulation 30.5:

the applicant does not act as an IB, CPO or CTA, respectively, in connection with trading on or subject to the rules of a designated contract market in the United States by, for or on behalf of any U.S. customer, client or pool;

the applicant irrevocably agrees to the jurisdiction of the Commission and state and federal courts located in the U.S. with respect to activities and transactions subject to Part 30 of the CFTC's regulations; and

the applicant would not be statutorily disqualified from registration under §8a(2) or §8a(3) of the Act and is not disqualified from registration pursuant to the laws or regulations of its home country;

an express agreement that, whenever admitted to NFA membership, the applicant and its employees shall become and remain bound by all NFA requirements, including without limitation all applicable NFA Bylaws, Compliance Rules, Financial Requirements, Registration Rules, Code of Arbitration and Member Arbitration Rules, as then and thereafter in effect, and that this agreement shall apply each time the applicant becomes a Member of NFA; and

if the applicant is applying for NFA membership, certification that the applicant has authorized the person filing this application for NFA membership to file it on the Applicant's behalf.

## Registration Information Change

NFA ID 0338960 UBS AG

### FIRM CRIMINAL DISCLOSURE QUESTION C CHANGED

**QUESTION:** Is the firm or sole proprietor a party to any action, or is there a [charge](#) pending, the resolution of which could result in a "Yes" answer to the above questions?

**ANSWER:** YES

**FILED BY:** MOLLIE WAKEFIELD - WAKEFIELDM1

**FILED ON:** 7/12/2019 10:15:51 AM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

certification that the answers and the information provided in the update are true, complete and accurate and that in light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the update are not misleading in any material respect; certification that the person who electronically files the update on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the update on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the update.

## Registration Information Change

NFA ID 0338960 UBS AG

### FIRM CRIMINAL MATTER INFORMATION FILED

**MATTER NAME:** FRENCH VERDICT MATTER

**MATTER DETAIL:** DOCUMENTATION WITH DETAILS REQUESTED HERE WILL BE PROVIDED DIRECTLY.

**FILED BY:** MOLLIE WAKEFIELD - WAKEFIELDM1

**FILED ON:** 7/12/2019 10:16:48 AM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

certification that the answers and the information provided in the update are true, complete and accurate and that in light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the update are not misleading in any material respect; certification that the person who electronically files the update on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the update on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the update.



## Registration Information Change

NFA ID 0338960 UBS AG

### FIRM CRIMINAL SUPPLEMENTAL DOCUMENTATION QUESTION ANSWERED NO

<b>SDDI PROCESS:</b>	FIRMWEB
<b>SDDI SECTION:</b>	CRIMINAL DISCLOSURES
<b>SUPPLEMENTAL DOCUMENTATION:</b>	NO
<b>FILED BY:</b>	MOLLIE WAKEFIELD - WAKEFIELDM1
<b>FILED ON:</b>	7/12/2019 10:15:51 AM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

certification that the answers and the information provided in the update are true, complete and accurate and that in light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the update are not misleading in any material respect; certification that the person who electronically files the update on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the update on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the update.

# National Futures Association

Business Locations

Page 1

**Filed** July 18, 2019

**OMB Numbers** 3038-0023 and 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** JODY NEJAIME

**User ID** NEJAIMEJ2

## Business Information

**Business Address** BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**Phone Number** 41-44-234 11 11

**Fax Number** Not provided.

**E-mail Address** Not provided.

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# National Futures Association

Business Locations

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**OMB Numbers** 3038-0023 and 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** JODY NEJAIME

**User ID** NEJAIMEJ2

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## Location of Business Records

### Business Records Address

BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

### U.S. Address for Production of Business Records

UBS  
600 WASHINGTON BLVD  
STAMFORD, CT 06901  
UNITED STATES

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# National Futures Association

Business Locations

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**OMB Numbers** 3038-0023 and 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** JODY NEJAIME

**User ID** NEJAIMEJ2

## Contact Information

### Registration Contact

JODY NEJAIME  
DIRECTOR  
600 WASHINGTON BLVD  
STAMFORD, CT 06901  
UNITED STATES  
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# National Futures Association

Business Locations

Page 4

**Filed** July 18, 2019

**OMB Numbers** 3038-0023 and 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** JODY NEJAIME

**User ID** NEJAIMEJ2

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# National Futures Association

Business Locations

Page 5

**Filed** July 18, 2019

**OMB Numbers** 3038-0023 and 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** JODY NEJAIME

**User ID** NEJAIMEJ2

## Chief Compliance Officer

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# National Futures Association

Business Locations

Page 6

**Filed** July 18, 2019

**OMB Numbers** 3038-0023 and 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** JODY NEJAIME

**User ID** NEJAIMEJ2

## Registrant Certification Statement

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S

certification that the answers and the information provided in the update are true, complete and accurate and that in light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the update are not misleading in any material respect; certification that the person who electronically files the update on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the update on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the update.

# National Futures Association

Business Locations

Page 1

**Filed** August 21, 2019

**OMB Numbers** 3038-0023 and 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** JODY NEJAIME

**User ID** NEJAIMEJ2

## Business Information

**Business Address** BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

**Phone Number** 41-44-234 11 11

**Fax Number** Not provided.

**E-mail Address** Not provided.



# National Futures Association

Business Locations

Page 2

**Filed** August 21, 2019

**OMB Numbers** 3038-0023 and 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** JODY NEJAIME

**User ID** NEJAIMEJ2

## Location of Business Records

### Business Records Address

BAHNHOFSTRASSE 45  
ZURICH CH 8001  
SWITZERLAND

### U.S. Address for Production of Business Records

UBS  
600 WASHINGTON BLVD  
STAMFORD, CT 06901  
UNITED STATES

# National Futures Association

Business Locations

Page 3

**Filed** August 21, 2019

**OMB Numbers** 3038-0023 and 3038-0072

**Registrant** UBS AG

**NFA ID** 0338960

**Submitted By** JODY NEJAIME

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Business Locations

Page 5

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**Submitted By** JODY NEJAIME

**User ID** NEJAIMEJ2

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# National Futures Association

Business Locations

Page 6

**Filed** August 21, 2019

**OMB Numbers** 3038-0023 and 3038-0072

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**NFA ID** 0338960

**Submitted By** JODY NEJAIME

**User ID** NEJAIMEJ2

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## Firm Regulatory Disclosure Matter Page

### NATIONAL FUTURES ASSOCIATION

---

Filed on December 11, 2019

NFA ID 0338960 UBS AG

Submitted by MOLLIE WAKEFIELD (WAKEFIELDM1)

---

The question(s) you are disclosing the regulatory action under:

☒ E.

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC), has the firm ever been found, after a hearing or default or as the result of a settlement, consent decree or other agreement, to:

- have violated any provision of any investment-related statute or regulation thereunder; or
- have violated any statute, rule, regulation or order which involves embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
- have willfully aided, abetted, counseled, commanded, induced or procured such violation by any other person; or
- have failed to supervise another person's activities under any investment-related statute or regulation thereunder?

### Regulatory Case Information

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#### Regulatory Information

Regulatory/Civil Action initiated by NON-U.S. REGULATOR: MONETARY AUTHORITY OF SINGAPORE (MAS)

#### Case Information

Case Number	NONE
Case Status	FINAL
Date Resolved	November 2019
Sanctions imposed	OTHER: CIVIL PENALTY AND REPRIMAND

### Comments

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<https://www.mas.gov.sg/regulation/enforcement/enforcement-actions/mas-imposes-civil-penalty-on-ubs-for->

---

deceptive-trades-by-its-client-advisors

Please see attached filing made to FINRA for further details.

### Supporting Documentation

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Description	FINRA FILING
File Name	FORM BD 7654 filing for UBS AG MAS matter 121119.pdf

## Firm Regulatory Disclosure Matter Page

NATIONAL FUTURES ASSOCIATION

---

Filed on September 03, 2021

NFA ID 0338960 UBS AG

Submitted by MARIA PISANI (PISANIM1)

---

The question(s) you are disclosing the regulatory action under:

☒ G.

Has the firm ever been the subject of any order issued by or a party to any agreement with a U.S. or non-U.S. regulatory authority (other than the CFTC), including but not limited to a licensing authority, or self-regulatory organization (other than NFA or a U.S. futures exchange) that prevented or restricted the firm's ability to engage in any business in the financial services industry?

### Regulatory Case Information

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#### Regulatory Information

Regulatory/Civil Action initiated by NON-U.S. REGULATOR: KOREA EXCHANGE (KRX)

#### Case Information

Case Number GAMSIGONGGAM-111

Case Status FINAL

Date Resolved July 2021

Sanctions imposed

RESTRICTIONS/CONDITIONS

### Comments

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ON 25 MAY 2021, UBS AG INADVERTENTLY CONDUCTED PARTIALLY UNCOVERED SHORT SELLING IN KOREA. THIS IS A ONE-OFF INCIDENT INVOLVING MIS-BOOKING BY HUMAN ERROR WHICH OCCURRED AS RESULT OF A STANDARD MANUAL PROCESS REQUIRED WHEN GLOBALONE (THE GLOBAL BOOKS AND RECORDS FOR STOCK, BORROW & LENDING) WAS OFFLINE FOR ITS DAILY BATCH RUNS. THIS LED TO AN INCORRECT LEVEL OF AVAILABLE INVENTORY RECORDED, RESULTING IN THE UNCOVERED TRADES. REMEDIATION ACTIONS HAVE BEEN PUT IN PLACE TO ENHANCE SYSTEMS CONFIGURATIONS TO AVOID THE MANUAL PROCESS.

KRX IMPOSED RESTRICTION ON UBS AG WHEN ENGAGING IN NEW SHORT SELLING ACTIVITY IN KOREA FOR A PERIOD OF 80 DAYS. IF THERE IS COVERED SHORT SELL ORDER BY UBS AG, THERE IS REQUIREMENT OF PRE-DELIVERY OF BORROWED SHARES TO THE BROKER BEFORE ORDER (PRE-MARGINING REQUIREMENT). THE RESTRICTION AND PRE-MARGINING REQUIREMENT IMPOSED ON UBS AG (AS DETAILED IN THE RESPONSE TO ITEM 12B ABOVE) WAS COMMUNICATED BY KRX ON 28 JULY 2021, WITH THE EFFECTIVE START DATE OF THE 80-DAY RESTRICTION OF 29 JULY 2021.

UBS AG HAS REQUESTED CLIENTS THAT UTILIZE SYNTHETIC SHORT ACCESS PRODUCT RELATED TO KOREA MARKET OFFERED BY UBS AG TO TRADE THROUGH ALTERNATIVE PROVIDERS DURING THIS



PERIOD.

## Supporting Documentation

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Description	KRX ACTION LETTER
File Name	KRX action letter20210728.pdf

## Firm Business Locations

COMMODITY FUTURES TRADING COMMISSION  
NATIONAL FUTURES ASSOCIATION

---

Filed on October 28, 2021

NFA ID 0338960 UBS AG

Submitted by VINAY BARVE (BARVEV3)

---

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Email	Not provided
Website/URL	Not provided
CRD/IARD ID	Not provided

## Exempt Foreign Firm Contact Information

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### Location of Business Records

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## Registration Certification Statement

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OMB Numbers 3038-0023 and 3038-0072

## Registration Information Change

NFA ID 0338960 UBS AG

### NON-U.S. REGULATOR INFORMATION UPDATED

#### NON-U.S. REGULATOR(S) DURING THE PAST FIVE YEARS:

AUSTRALIAN SECURITIES & INVESTMENTS COMMISSION (ASIC)  
FINANCIAL SUPERVISORY COMMISSION OF TAIWAN  
JAPAN SECURITIES DEALERS ASSOCIATION (JSDA)  
PRUDENTIAL REGULATION AUTHORITY (PRA)  
AUSTRALIAN PRUDENTIAL REGULATION AUTHORITY (APRA)  
BANK OF JAPAN (BOJ)  
CAYMAN ISLANDS MONETARY AUTHORITY  
CHINA SECURITIES REGULATORY COMMISSION  
DUBAI FINANCIAL SERVICES AUTHORITY (DFSA)  
FINANCIAL CONDUCT AUTHORITY (FCA)  
FINANCIAL SECTOR CONDUCT AUTHORITY (FSCA)  
FINANCIAL SERVICES AGENCY (FSA)  
HONG KONG MONETARY AUTHORITY  
JERSEY FINANCIAL SERVICES COMMISSION  
MINISTRY OF FINANCE (JAPAN)  
MONETARY AUTHORITY OF SINGAPORE (MAS)  
SECURITIES AND FUTURES COMMISSION (HONG KONG)  
SINGAPORE EXCHANGE DERIVATIVES CLEARING LIMITED (SGX-DC)  
SINGAPORE EXCHANGE DERIVATIVES TRADING LIMITED (SGX-DT)  
SWISS FINANCIAL MARKET SUPERVISORY AUTHORITY (FINMA)  
THE FINANCIAL FUTURES ASSOCIATION OF JAPAN (FFA)  
OFFICE OF THE SUPERINTENDENT OF FINANCIAL INSTITUTIONS CANADA (OSFI)  
QATAR FINANCIAL CENTRE REGULATORY AUTHORITY (QFCRA)  
BANK OF ENGLAND  
KOREA EXCHANGE (KRX)  
BANK OF KOREA (BOK)  
FINANCIAL SUPERVISORY SERVICE (FSS)  
FINANCIAL SERVICES COMMISSION (FSC) (SOUTH KOREA)  
MINISTRY OF STRATEGY AND FINANCE (MOSF)  
ASX LIMITED  
SWEDISH FINANCIAL SUPERVISORY AUTHORITY (FSA)

#### FILED BY:

VINAY BARVE - barvev3

#### FILED ON:

10/28/2021 3:49:33 AM

BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S,

## REGISTRANT'S OR SPONSOR'S

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## Firm Business Locations

COMMODITY FUTURES TRADING COMMISSION  
NATIONAL FUTURES ASSOCIATION

---

Filed on October 29, 2021

NFA ID 0338960 UBS AG

Submitted by VINAY BARVE (BARVEV3)

---

### Business Information

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Street Address 1	BAHNHOFSTRASSE 45
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Country	SWITZERLAND
Phone Number	41-44-234 11 11
Fax Number	Not provided
Email	Not provided
Website/URL	Not provided
CRD/IARD ID	Not provided

## Exempt Foreign Firm Contact Information

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## Firm Business Locations

COMMODITY FUTURES TRADING COMMISSION  
NATIONAL FUTURES ASSOCIATION

---

Filed on February 09, 2022

NFA ID 0338960 UBS AG

Submitted by CONSTANCE TAYLOR (TAYLORC4)

---

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Website/URL	Not provided
CRD/IARD ID	Not provided



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### Location of Business Records

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## Membership Contact Information

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### Membership Contact

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Chief Compliance Officer Contact

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## Registration Certification Statement

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BY FILING THIS UPDATE, THE APPLICANT, REGISTRANT OR SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S, REGISTRANT'S OR SPONSOR'S certification that the answers and the information provided in the update are true, complete and accurate and that in light of the circumstances under which the applicant, registrant or sponsor has given them, the answers and statements in the update are not misleading in any material respect; certification that the person who electronically files the update on behalf of the applicant, registrant or sponsor is authorized by the applicant, registrant or sponsor to file the update on behalf of the applicant, registrant or sponsor and to make all required certifications and acknowledgements; and acknowledgement that the applicant, registrant or sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the update.