

FORM SBSE-A Page 1 (Execution Page)		Application for Registration as a Security-based Swap Dealer and Major Security-based Swap Participant that is Registered or Registering with the CFTC as a Swap Dealer or Major Swap Participant		Official Use Only
		Date: 11/01/2021	Applicant NFA Number: 0338960	
WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of business as an SBS Entity, would violate the Federal securities laws and the laws of the jurisdictions and may result in disciplinary, administrative, injunctive or criminal action.				
INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE FEDERAL CRIMINAL VIOLATIONS. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a)				
<input checked="" type="checkbox"/> APPLICATION <input type="checkbox"/> AMENDMENT				
1. Exact name, principal business address, mailing address, if different, and telephone number of the applicant:				
A. Full name of the applicant: UBS AG				
B. IRS Empl. Ident. No.: 33-0186363				
C. Applicant's NFA ID #: 0338960 Applicant's CIK # (if any): 0001114448 Applicant's UIC # (if any): BFA8T61C12L1QCENK30				
D. Applicant's Main Address: (Do not use a P.O. Box)				
Number and Street 1: 6801 Hollibaugh 45 Number and Street 2:				
City: Zurich State: Zurich Country: Switzerland Zip/Postal Code: 8001				
E. Mailing Address, if different:				
Number and Street 1: Number and Street 2:				
City: State: Country: Zip/Postal Code:				
F. Business Telephone Number: +41-44-234 11 11				
G. Website/URL: www.ubs.com				
H. Contact Employee:				
Name: Andrew Weg Title: Executive Director				
Telephone Number: +1 212 882-8809 Email Address: andrew.weg@ubs.com				
I. Chief Compliance Officer designated by the applicant in accordance with Exchange Act Section 15F(k):				
Name: Richard Kennedy Title: Chief Compliance Officer				
Telephone Number: +44 20736 64478 Email Address: richard.kennedy@ubs.com				
EXECUTION:				
The applicant consents that service of any civil action brought by or notice of any proceeding before the Securities and Exchange Commission in connection with the applicant's security-based swap activities, unless the applicant is a nonresident SBS Entity, may be given by registered or certified mail or confirmed telegram to the applicant's contact employee at the main address, or mailing address if different, given in items 1E and 1F. If the applicant is a nonresident SBS Entity, it must complete Schedule F to designate a U.S. agent for service of process.				
The undersigned certifies that he/she has executed this form on behalf of, and with the authority of, said applicant. The undersigned and applicant represent that the information and statements contained herein, including schedules attached hereto, and other information filed herewith are current, true and complete. The undersigned and applicant further represent that to the extent any information previously submitted is not amended such information is currently accurate and complete.				
Date (MM/DD/YYYY) 10-28-2021				
By: [Signature] UBS AG				
Name of Applicant Robert Karofsky, President, UBS Investment Bank				
Name and Title of Person Signing on Applicant's behalf				
This page must always be completed in full.				
DO NOT WRITE BELOW THIS LINE - FOR OFFICIAL USE ONLY				