

## UBS Financial Services Inc.

Information Relating to Possession or Control  
Requirements Under 17 CFR 240.15c3-3As of December 31, 2015  
(Amounts in Thousands of Dollars)

1. Customers' fully paid securities and excess margin securities not in the respondent's possession or control as of December 31, 2015 (for which instructions to reduce to possession or control had been issued as of December 31, 2015) but for which the required action was not taken by respondent within the time frames specified under Rule 15c3-3.	<u>\$ 471</u>
Number of items	<u>16</u>
2. Customers' fully paid securities and excess margin securities for which instructions to reduce to possession or control had not been issued as of December 31, 2015, excluding items arising from "temporary lags which result from normal business operations" as permitted under Rule 15c3-3.	<u>\$ 0</u>
Number of items	<u>0</u>

*There are no material differences between the amounts presented above and the amounts presented in the Company's December 31, 2015 unaudited FOCUS Part II Report filed March 10, 2016.*