

ORIGINAL NEW APPLICATION



0000109235

BEFORE THE ARIZONA CORPORATION COMMISSION

COMMISSIONERS

KRISTIN K. MAYES, Chairman  
GARY PIERCE  
PAUL NEWMAN  
SANDRA D. KENNEDY  
BOB STUMP

In the matter of

UBS SECURITIES LLC AND UBS  
FINANCIAL SERVICES INC.,

Respondents.

DOCKET NO. S-20732A-10-0095

FILING TO OPEN DOCKET

The Securities Division of the Arizona Corporation Commission requests that a Docket be opened for the purpose of assigning a docket number to a proposed Order to Cease and Desist, Order for Administrative Penalties, and Consent to Same by the above-referenced respondents.

Respondents' addresses are:

UBS Securities LLC  
677 Washington Boulevard  
Stamford, CT 06901

UBS Financial Services Inc.  
1200 Harbor Boulevard  
Weehawken, NJ 07086

RECEIVED  
2010 MAR 15 A 11: 29  
ARIZONA CORPORATION COMMISSION  
DOCKET CONTROL

Dated this 15th day of March 2010.

ARIZONA CORPORATION COMMISSION

By

*Cheryl T. Farson*  
Cheryl T. Farson  
General Counsel for the Securities Division  
of the Arizona Corporation Commission

Arizona Corporation Commission  
DOCKETED  
MAR 15 2010

DOCKETED BY *NR*

SERVICE LIST FOR: UBS SECURITIES LLC AND UBS FINANCIAL SERVICES INC.

- 1
- 2
- 3
- 4
- 5
- 6
- 7
- 8
- 9
- 10
- 11
- 12
- 13
- 14
- 15
- 16
- 17
- 18
- 19
- 20
- 21
- 22
- 23
- 24
- 25
- 26

Therese L. Surprenant, Eq.  
UBS Financial Services Inc.  
Suite 600  
98 San Jacinto Blvd.  
Austin, TX 78701