



Ira Staro <irastaro@gmail.com>

First and Second Queries - UBS (Bahamas) Ltd. - UBS AG, Postfach CH-8098 Zurich - approval or registration as a facility - custody services

Писем: 2

Ira Staro <irastaro@gmail.com>

5 ноября 2018 г., 13:02

Кому: gward@scb.gov.bs

**FAO The Enforcement Department
Securities Commission of The Bahamas**

Dear Mr. Ward,

Thank you very much for your message timed to 17:35, 2nd November 2018.

The information contained in that message is a **sufficient answer** to both First and Second Queries, and more particularly that:

1. **Only two (2) individuals** employed by, associated or shared premises with UBS (Bahamas) Ltd., **Mr. Beat Paoletto and Ms. Cherise Cox-Nottage and no any other**, were registered by the Commission to carry on the securities business or to be engaged in the activities of trading or dealing in securities or supervising any of the aforementioned activities in The Bahamas in the period 12th June to 10th October 2013;

2. **UBS AG, Postfach CH-8098 Zurich, is not reflected in the Commission's records as a registrant.**

Sincerely Yours,

Yuri and Irina Starostenko<https://letsmaketheworldfairer.wordpress.com/>*+1-242-558-1158 Cell/WhatsApp, email: irastaro@gmail.com**Illegally evicted and homeless since 27 February 2018,**and still have not been heard by the Court of Appeal since 15 February 2018**New Providence, The Bahamas*

пт, 2 нояб. 2018 г. в 17:35, Gawaine Ward <gward@scb.gov.bs>:

Dear Mr. Starostenko,

Please note that the information sent via the Commission's emails dated 19 October 2018 and 1 November 2018, both indicate what the Commission has in its files concerning UBS (Bahamas) Ltd. (In Liquidation) and its registered personnel for the year 2013. Note that the information provided indicates what services UBS (Bahamas) Ltd. (and by extension, its registered personnel) was registered to provide/engage in during 2013, and their registration status remained the same throughout the year 2013.

Your query below, and the subject line, appear to relate to another entity (i.e. UBS AG), which is not reflected in the Commission's records as a registrant.

The Commission is unaware of the context of your queries, noting that you are using statutory provisions which may or may not relate to the information provided. Therefore, note that this and any other information provided is given solely in response to your emailed query concerning registration status of entities, and is provided "as is" without any assurance that it concerns the provisions you have cited.

Clarification, should it be required, will need to be obtained from the Commission via a formal written request for same.

Sincerely,

From: Ira Staro <irastaro@gmail.com>

Sent: 02 November 2018 10:28 AM

To: Gawaine Ward <gward@scb.gov.bs>; Jonique Webb <jwebb@scb.gov.bs>

Subject: Second Query - UBS AG, Postfach CH-8098 Zurich - approval or registration as a facility - custody services

FAO **The Enforcement Department**

Securities Commission of The Bahamas

Dear Mr. Ward,

Thank you again for Your message timed 13:07, 1st November 2018, which answered the second part of our first query regarding associated or shared premises with UBS (Bahamas) Ltd. registered to carry on the securities business by the Commission in the period 12th June to 10th October 2013 for the purpose of Sections 71 and 74 of the Securities Industry Regulations, 2012.

With the present we address to You our second query regarding UBS AG's approval or registration with the Commission to provide custody services in the period 12th June to 10th October 2013.

The purpose of this query is proof of compliance of UBS AG with Section 20 of the Securities Industry Act, 2011, which reads:

"20. A company desiring to provide clearing, settlement, depository, custody or other services which facilitate or are ancillary to the operations of a Securities Exchange may not do so until it has been approved and registered by the Commission which shall have the exclusive authority to approve and register companies engaged in such services, and such company shall be referred to individually as a "facility"."

Sincerely Yours,

Yuri and Irina Starostenko

<https://letsmaketheworldfairer.wordpress.com/>

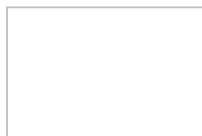
+1-242-558-1158 Cell/WhatsApp, email: irastaro@gmail.com

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New Providence, The Bahamas



Gawaine Ward . Manager

Enforcement

e-mail: gward@scb.gov.bs

telephone: (242) 397-4123

fax: (242) 356-7530

Web: www.scb.gov.bs

3rd Floor Charlotte House | Shirley and Charlotte Streets | P. O. Box N-8347 | Nassau Bahamas

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1K

Ira Staro <irastaro@gmail.com>

5 ноября 2018 г., 13:03

Кому: Jonique Webb <jwebb@scb.gov.bs>, info@scb.gov.bs

COPY OF MESSAGE TO MR. WARD

Yuri and Irina Starostenko<https://letsmaketheworldfairer.wordpress.com/>*+1-242-558-1158 Cell/WhatsApp, email: irastaro@gmail.com**Illegally evicted and homeless since 27 February 2018,**and still have not been heard by the Court of Appeal since 15 February 2018**New Providence, The Bahamas*

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