

UOB GLOBAL EQUITY SALES LLC¹

CUSTOMER RELATIONSHIP SUMMARY JUNE 30, 2020

INTRODUCTION

UOB Global Equity Sales LLC (“UOBGES”, “we”, “us”, or “our”) is a firm founded in 2002. We are a broker-dealer registered with the Securities and Exchange Commission (“SEC”). Brokerage and investment advisory services and fees differ and it is important for you to understand the differences. Free and simple tools are available at Investor.gov/CRS, which also provides educational materials about broker-dealers, investment advisers, and investing.

WHAT INVESTMENT SERVICES AND ADVICE CAN YOU PROVIDE ME?

We do not make investment recommendations to retail investors. Our brokerage services are limited to offering private funds to retail investors² advised or sub-advised by third party managers. We do not maintain customer accounts or offer custody services for private fund interests. Each private fund typically has a minimum investment amount, which the private fund or its manager may waive at their discretion. We offer interests in a limited number of private funds.

For more information, please email info@uobglobal.com or contact us at 212-398-6633.

CONVERSATION STARTERS: ASK YOUR FINANCIAL PROFESSIONAL –

- Given my financial situation, should I choose a brokerage service? Why or why not?
- How will you choose investments to recommend to me?
- What is your relevant experience, including your licenses, education and other qualifications?
- What do these qualifications mean?

WHAT FEES WILL I PAY?

You do not pay us fees or commissions for any private fund in which you invest. The manager of the private fund pays us a portion of the management fee and carried interest, if any, that it earns.

Private funds charge fees for management and administrative services that will reduce the value of your investment over time. These fees are disclosed in the private fund’s offering documents that are provided to you at or about the time of your investment.

You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying.

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CONVERSATION STARTERS: ASK YOUR FINANCIAL PROFESSIONAL –

- Help me understand how these fees and costs might affect my investments. If I give you \$10,000 to invest, how much will go to fees and costs, and how much will be invested for me?

¹ This disclosure is provided to comply with the SEC’s Form CRS disclosure requirements. It does not create or modify any agreement, relationship, or obligation between you and UOB Global Equity Sales LLC.

² For the purposes of Form CRS, “retail investor” is defined as “a natural person, or the legal representative of a natural person, who receives or seeks to receive services primarily for personal, family, or household purposes.” You are not a retail investor if you use our services primarily for purposes other than personal, family, or household purposes.

WHAT ARE YOUR LEGAL OBLIGATIONS TO ME WHEN PROVIDING RECOMMENDATIONS? HOW ELSE DOES YOUR FIRM MAKE MONEY AND WHAT CONFLICTS OF INTEREST DO YOU HAVE?

We do not provide recommendations. The way we make money creates some conflicts with you interests. You should understand and ask us about these conflicts because they can affect the services we provide you. Here are some examples to help you understand what this means.

We only offer private funds managed by third parties with whom we have a private placement/referral agreement, which means that we and the third party manager will benefit from the management fees you pay and the carried interest earned. We therefore have an incentive to offer those funds whose managers pay us fees. We also only offer investments in a limited number of funds. There may be other fund investments that we do not offer that better suit your needs.

For more information about our conflicts of interest, please email info@uobglobal.com or contact us at 212-398-6633.

CONVERSATION STARTERS: ASK YOUR FINANCIAL PROFESSIONAL –

 **How might your conflicts of interest affect me, and how will you address them?**

HOW DO YOUR FINANCIAL PROFESSIONALS MAKE MONEY?

Our employees earn a base salary and can earn a bonus based on factors including the firm's profitability and their long-term contribution to the firm. We do not pay employees based on the amount of private fund interests they sell. They do not earn commissions or service fees. We do not pay employees for customer referrals.

DO YOU AND YOUR FINANCIAL PROFESSIONALS HAVE LEGAL OR DISCIPLINARY HISTORY?

No. Visit Investor.gov/CRS for a free and simple search tool to research us and our financial professionals.



CONVERSATION STARTERS: ASK YOUR FINANCIAL PROFESSIONAL –

 **As a financial professional, do you have any disciplinary history? For what type of conduct?**

ADDITIONAL INFORMATION

For more information about our services, or to request up-to-date information or a copy of this relationship summary, please email us at info@uobglobal.com or contact us by phone at 1-212-398-6633.

CONVERSATION STARTERS: ASK YOUR FINANCIAL PROFESSIONAL –

 **Who is my primary contact person? Is he or she a representative of an investment adviser or a broker-dealer?**
 **Who can I talk to if I have concerns about how this person is treating me?**