



UBS Financial Services Inc.
[Redacted]

Resource Management Account

February 2014

Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL
[Redacted]

Questions about your statement?

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account 029023568.

Visit our website:

www.ubs.com/financialservices

Account name: GHISLAINE MAXWELL

Friendly account name: [Redacted]

Account number: [Redacted]

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Current income & capital appreciation

Your risk profile:

Primary - Moderate

Investment eligibility consideration - None selected

Value of your account

	on January 31 (\$)	on February 28 (\$)
Your assets	0.00	1,981,915.66
Your liabilities	0.00	0.00
Value of your account	\$0.00	\$1,981,915.66

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

Change in the value of your account

	February 2014 (\$)	Year to date (\$)
Opening account value	\$0.00	\$0.00
Deposits, including investments transferred in	1,966,430.85	1,966,430.85
Change in market value	15,484.81	15,484.81
Closing account value	\$1,981,915.66	\$1,981,915.66

CONFIDENTIAL



Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	February 2014 (\$)	Year to date (\$)
Opening balances	\$0.00	\$0.00
<i>Additions</i>		
Deposits and other funds credited	20,390.04	20,390.04
Total additions	\$20,390.04	\$20,390.04
Net cash flow	\$20,390.04	\$20,390.04
Closing balances	\$20,390.04	\$20,390.04

CONFIDENTIAL



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on Feb 1 (\$)	Closing balance on Feb 28 (\$)	Price per share on Feb 28 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	0.00	20,390.04					250,000.00

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Feb 28 (\$)	Value on Feb 28 (\$)	Unrealized gain or loss (\$)	Holding period
ANALOG DEVICES INC Symbol: ADI Exchange: OTC EAI: \$2,591 Current yield: 2.91%		1,751.000	---	---	50.820	88,985.82		
AUTOMATIC DATA PROCESSING INC Symbol: ADP Exchange: OTC EAI: \$2,442 Current yield: 2.47%		1,272.000	---	---	77.780	98,936.16		
BAXTER INTL INC Symbol: BAX Exchange: NYSE EAI: \$3,050 Current yield: 2.82%		1,556.000	---	---	69.500	108,142.00		
BLACKROCK INC Symbol: BLK Exchange: NYSE EAI: \$2,872 Current yield: 2.53%		372.000	---	---	304.840	113,400.48		

continued next page

CONFIDENTIAL



Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Feb 28 (\$)	Value on Feb 28 (\$)	Unrealized gain or loss (\$)	Holding period
CATERPILLAR INC Symbol: CAT Exchange: NYSE EAI: \$2,664 Current yield: 2.47%		1,110.000	---	---	96.970	107,636.70		
COLGATE PALMOLIVE CO Symbol: CL Exchange: NYSE EAI: \$2,051 Current yield: 2.16%		1,508.000	---	---	62.830	94,747.64		
CONOCOPHILLIPS Symbol: COP Exchange: NYSE EAI: \$4,085 Current yield: 4.15%		1,480.000	---	---	66.500	98,420.00		
GENL MILLS INC Symbol: GIS Exchange: NYSE EAI: \$2,861 Current yield: 3.04%		1,882.000	---	---	50.030	94,156.46		
ILLINOIS TOOL WORKS INC Symbol: ITW Exchange: NYSE EAI: \$1,967 Current yield: 2.04%		1,171.000	---	---	82.500	96,607.50		
JOHNSON & JOHNSON COM Symbol: JNJ Exchange: NYSE EAI: \$2,814 Current yield: 2.87%		1,066.000	---	---	92.120	98,199.92		
MCDONALDS CORP Symbol: MCD Exchange: NYSE EAI: \$3,298 Current yield: 3.40%		1,018.000	---	---	95.150	96,862.70		
NEXTERA ENERGY INC COM Symbol: NEE Exchange: NYSE EAI: \$3,370 Current yield: 3.17%		1,162.000	---	---	91.390	106,195.18		
OCCIDENTAL PETROLEUM CRP Symbol: OXY Exchange: NYSE EAI: \$2,791 Current yield: 2.98%		969.000	---	---	96.520	93,527.88		
PEPSICO INC Symbol: PEP Exchange: NYSE EAI: \$2,620 Current yield: 2.84%		1,154.000	---	---	80.070	92,400.78		
PROCTER & GAMBLE CO Symbol: PG Exchange: NYSE EAI: \$2,728 Current yield: 3.06%		1,134.000	---	---	78.660	89,200.44		

continued next page

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Feb 28 (\$)	Value on Feb 28 (\$)	Unrealized gain or loss (\$)	Holding period
STAPLES INC Symbol: SPLS Exchange: OTC EAI: \$3,249 Current yield: 3.53%		6,769.000	---	---	13.590	91,990.71		
TARGET CORP Symbol: TGT Exchange: NYSE EAI: \$2,752 Current yield: 2.75%		1,600.000	---	---	62.540	100,064.00		
TRAVELERS COS INC/THE Symbol: TRV Exchange: NYSE EAI: \$2,304 Current yield: 2.39%		1,152.000	---	---	83.840	96,583.68		
UNITED PARCEL SERVICE INC CL B Symbol: UPS Exchange: NYSE EAI: \$2,843 Current yield: 2.80%		1,061.000	---	---	95.770	101,611.97		
XILINX INC Symbol: XLNX Exchange: OTC EAI: \$2,086 Current yield: 2.22%		1,798.000	---	---	52.200	93,855.60		
Total						\$1,961,525.62		
Total estimated annual income: \$55,438								

Your total assets

		Value on Feb 28 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	20,390.04	1.03%	20,390.04		
Equities	* Common stock	1,961,525.62	98.97%		55,438.00	
Total		\$1,981,915.66	100.00%	\$20,390.04	\$55,438.00	

* Missing cost basis information.

Account activity this month

	Date	Activity	Description	Amount (\$)
Deposits and other funds credited	Feb 26	Deposit	CHECK DEPOSIT	20,390.04
	Total deposits and other funds credited			\$20,390.04

CONFIDENTIAL



Account activity this month (continued)

Investment transactions

For more information about the price value shown for restricted securities, see *Important information about your statement* at the end of this document.

Date	Activity	Description	Quantity	Value (\$)	Price (\$)	Proceeds from investment transactions (\$)	Funds withdrawn for investments bought (\$)	Accrued interest (\$)
Feb 26	Receive Dtc	ANALOG DEVICES INC	1,751.000	89,020.84				
Feb 26	Receive Dtc	AUTOMATIC DATA PROCESSNG INC	1,272.000	98,478.24				
Feb 26	Receive Dtc	BAXTER INTL INC	1,556.000	107,690.76				
Feb 26	Receive Dtc	CATERPILLAR INC	1,110.000	107,892.00				
Feb 26	Receive Dtc	BLACKROCK INC	372.000	110,718.36				
Feb 26	Receive Dtc	COLGATE PALMOLIVE CO	1,508.000	93,420.60				
Feb 26	Receive Dtc	CONOCOPHILLIPS	1,480.000	97,872.40				
Feb 26	Receive Dtc	GENL MILLS INC	1,882.000	93,460.12				
Feb 26	Receive Dtc	ILLINOIS TOOL WORKS INC	1,171.000	96,548.95				
Feb 26	Receive Dtc	JOHNSON & JOHNSON COM	1,066.000	97,123.26				
Feb 26	Receive Dtc	MCDONALDS CORP	1,018.000	97,616.02				
Feb 26	Receive Dtc	NEXTERA ENERGY INC COM	1,162.000	105,114.52				
Feb 26	Receive Dtc	OCCIDENTAL PETROLEUM CRP	969.000	92,248.80				
Feb 26	Receive Dtc	PEPSICO INC	1,154.000	90,762.10				
Feb 26	Receive Dtc	PROCTER & GAMBLE CO	1,134.000	88,293.24				
Feb 26	Receive Dtc	STAPLES INC	6,769.000	92,058.40				
Feb 26	Receive Dtc	TRAVELERS COS INC/THE	1,152.000	96,111.36				
Feb 26	Receive Dtc	TARGET CORP	1,600.000	96,784.00				
Feb 26	Receive Dtc	UNITED PARCEL SERVICE INC CL B	1,061.000	101,007.20				
Feb 26	Receive Dtc	XILJNX INC	1,798.000	93,819.64				

Total

Securities transferred in **\$1,946,040.81**

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
Money balance activities	Jan 31	Balance forward		\$0.00
	Feb 27	Deposit	UBS BANK USA DEPOSIT ACCOUNT	20,390.04
	Feb 28	Closing UBS Bank USA Deposit Account		\$20,390.04

The UBS Bank USA Deposit Account is your primary sweep option.

CONFIDENTIAL



Your notes

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
 - If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.
- All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.
- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
 - In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: RMA/BSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm

sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweep/yields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity.

The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account holder on the books and records of the applicable issuer or transfer agent);
- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP; partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each

account held, you choose one of the following investment objectives:

- *Produce Current Income:* Investments seeking the generation of income only.
- *Achieve Capital Appreciation:* Investments seeking growth of principal rather than the generation of income.
- *Produce Combination of Income and Capital Appreciation:* Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- *Conservative:* Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- *Moderate:* Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- *Aggressive:* Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- *Value of your account/portfolio.* Net of assets and liabilities.
- *Assets.* Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- *Liabilities.* Includes debit balances, outstanding margin loans, credit line, short account balances.
- *Cash/money balances.* Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

SDNY_GM_00020489

CONFIDENTIAL

EFTA_00131109

EFTA01273316

Important information about your statement (continued)

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accountdisclosures.

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

• **Cost basis.** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

• **Unrealized gains/losses.** When data is available, estimated unrealized gains/losses are calculated for individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

• **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield; complete information will be provided upon request.

• **Certificates of deposit (CDs).** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.

• **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that

you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.

- We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
- Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
- Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
- Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
- For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation. To obtain current quotations, when available, contact your Financial Advisor.

• Private investments and structured products.

Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.

- These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
- Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
- Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
- You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.
- Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
- When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.

- "Distributions to date" may include return of capital, income or both.
- "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

• **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

• Est. (estimated) income, current yields and rates.

- An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.
- Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
 - Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
 - An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

• Assets not held by UBS Financial Services.

Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

• Revenue sharing and additional compensation.

- In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
- We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the number of accounts at the broker-dealer holding mutual funds of that fund family.

- In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
- We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value

RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management Account are registered service marks of UBS Financial Services Inc.

Visa Signature is a registered service mark of Visa International. UBS Visa Signature credit cards and UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated.

UBS Financial Services Inc.

Rev. 201402

SDNY_GM_00020490

CONFIDENTIAL

EFTA_00131110

EFTA01273317



UBS Financial Services Inc.
299 Park Avenue
25th Floor
New York NY 10171-0002

CNP70064797550314 X1 ■ 0

Resource Management Account

March 2014

GHISLAINE MAXWELL
116 E 65TH STREET
NEW YORK NY 10065-7007

Account name: GHISLAINE MAXWELL

Friendly account name: [REDACTED]

Account number: [REDACTED] 55

Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED]

Questions about your statement?

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account 029023568.

Visit our website:

www.ubs.com/financialservices

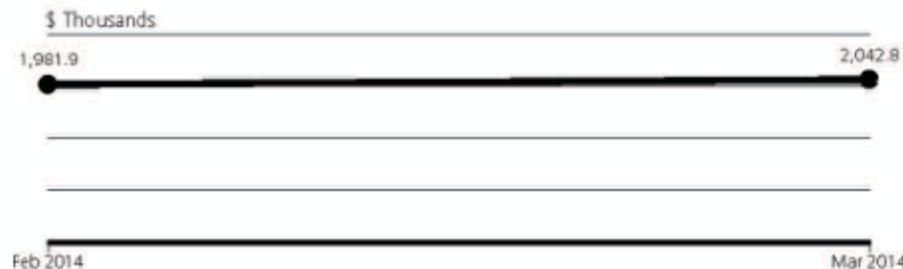
Items for your attention

- If you use UBS Online Services, consider changing your User Name and Password regularly to protect your personal data. Not enrolled? Go to ubs.com/onlineservices.

Value of your account

	on February 28 (\$)	on March 31 (\$)
Your assets	1,981,915.66	2,042,844.98
Your liabilities	0.00	0.00
Value of your account	\$1,981,915.66	\$2,042,844.98

Tracking the value of your account



Sources of your account growth during 2014

Value of your account at year end 2013	\$0.00
Net deposits and withdrawals	\$1,988,593.85
Your investment return:	
Dividend and interest income	\$4,263.84
Change in market value	\$49,987.29
Value of your account on Mar 31, 2014	\$2,042,844.98

CONFIDENTIAL



Your account balance sheet

Summary of your assets

	Value on March 31 (\$)	Percentage of your account
A Cash and money balances	46,816.88	2.29%
B Cash alternatives	0.00	0.00%
C Equities	1,996,028.10	97.71%
D Fixed income	0.00	0.00%
E Non-traditional	0.00	0.00%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$2,042,844.98	100.00%

Value of your account **\$2,042,844.98**

Your current asset allocation



► *Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.*

Eye on the markets

Index	Percentage change	
	March 2014	Year to date
S&P 500	0.84%	1.81%
Russell 3000	0.53%	1.97%
MSCI - Europe, Australia & Far East	-0.57%	0.77%
Barclays Capital U.S. Aggregate Bond Index	-0.17%	1.84%

Interest rates on March 31, 2014

3-month Treasury bills: 0.04%
One-month LIBOR: 0.15%

CONFIDENTIAL



Change in the value of your account

	March 2014 (\$)	Year to date (\$)
Opening account value	\$1,981,915.66	\$0.00
Deposits, including investments transferred in	22,163.00	1,988,593.85
Dividend and interest income	4,263.84	4,263.84
Change in market value	34,502.48	49,987.29
Closing account value	\$2,042,844.98	\$2,042,844.98

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	March 2014 (\$)	Year to date (\$)
Taxable dividends	4,263.76	4,263.76
Taxable interest	0.08	0.08
Total current year	\$4,263.84	\$4,263.84
Total dividend & interest	\$4,263.84	\$4,263.84

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)
	March 2014 (\$)	Year to date (\$)	
Short term	0.00	0.00	68,692.37
Long term	0.00	0.00	211,386.11
Total	\$0.00	\$0.00	\$280,078.48

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	March 2014 (\$)	Year to date (\$)
Opening balances	\$20,390.04	\$0.00
<i>Additions</i>		
Deposits and other funds credited	22,163.00	42,553.04
Dividend and interest income	4,263.84	4,263.84
Total additions	\$26,426.84	\$46,816.88
Net cash flow	\$26,426.84	\$46,816.88
Closing balances	\$46,816.88	\$46,816.88

CONFIDENTIAL



UBS Bank USA Deposit Account APY

Interest period Feb 7 - Mar 6

Opening UBS Bank USA Deposit balance Feb 7	\$0.00
Closing UBS Bank USA Deposit balance Mar 6	\$20,390.12
Number of days in interest period	28
Average daily balance	\$5,825.73
Interest earned	\$0.08
Annual percentage yield earned	0.02%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Current income & capital appreciation

Your risk profile:

Primary - Moderate

Investment eligibility consideration - None selected

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

CONFIDENTIAL



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on Mar 1 (\$)	Closing balance on Mar 31 (\$)	Price per share on Mar 31 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	20,390.04	46,816.88					250,000.00

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Mar 31 (\$)	Value on Mar 31 (\$)	Unrealized gain or loss (\$)	Holding period
ANALOG DEVICES INC								
Symbol: ADI Exchange: OTC								
EAI: \$2,591 Current yield: 2.78%								
	Nov 16, 11	13.000	37.316	485.12	53.140	690.82	205.70	LT
	Nov 17, 11	13.000	35.393	460.12	53.140	690.82	230.70	LT
	Nov 18, 11	35.000	35.502	1,242.58	53.140	1,859.90	617.32	LT
	Nov 21, 11	18.000	34.371	618.68	53.140	956.52	337.84	LT
	Nov 22, 11	15.000	33.338	500.07	53.140	797.10	297.03	LT
	Nov 23, 11	22.000	32.655	718.43	53.140	1,169.08	450.65	LT
	Nov 25, 11	7.000	32.460	227.22	53.140	371.98	144.76	LT
	Nov 28, 11	30.000	32.951	988.55	53.140	1,594.20	605.65	LT
	Nov 29, 11	18.000	33.472	602.51	53.140	956.52	354.01	LT
	Nov 29, 11	5.000	33.622	168.11	53.140	265.70	97.59	LT
	Apr 24, 12	30.000	37.567	1,127.01	53.140	1,594.20	467.19	LT

continued next page

SDNY_GM_00020495

CNP70009006479759 NP7000300405 00002 0314 030575004 [REDACTED] 23568550 100000

Page 13 of 86

CONFIDENTIAL

EFTA_00131115

EFTA01273322



Your assets » Equities » Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Mar 31 (\$)	Value on Mar 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Jan 23, 13	1,056.000	43.209	45,628.81	53.140	56,115.84	10,487.03	LT
	Apr 22, 13	489.000	42.447	20,756.68	53.140	25,985.46	5,228.78	ST
Security total		1,751.000	41.990	73,523.89		93,048.14	19,524.25	
AUTOMATIC DATA PROCESSNG INC								
Symbol: ADP Exchange: OTC								
EAI: \$2,442 Current yield: 2.48%								
	Aug 4, 11	146.000	48.469	7,076.53	77.260	11,279.96	4,203.43	LT
	Aug 12, 11	4.000	46.880	187.52	77.260	309.04	121.52	LT
	Jan 23, 13	767.000	59.890	45,936.09	77.260	59,258.42	13,322.33	LT
	Apr 22, 13	355.000	65.098	23,110.04	77.260	27,427.30	4,317.26	ST
Security total		1,272.000	59.992	76,310.18		98,274.72	21,964.54	
BAXTER INTL INC								
Symbol: BAX Exchange: NYSE								
EAI: \$3,050 Current yield: 2.66%								
	Jun 20, 12	30.000	51.594	1,547.84	73.580	2,207.40	659.56	LT
	Jun 20, 12	17.000	51.522	875.89	73.580	1,250.86	374.97	LT
	Jun 21, 12	29.000	52.077	1,510.25	73.580	2,133.82	623.57	LT
	Jun 21, 12	7.000	51.500	360.50	73.580	515.06	154.56	LT
	Jun 21, 12	5.000	52.216	261.08	73.580	367.90	106.82	LT
	Jun 22, 12	61.000	51.890	3,165.29	73.580	4,488.38	1,323.09	LT
	Jan 23, 13	768.000	66.658	51,193.80	73.580	56,509.44	5,315.64	LT
	Apr 22, 13	355.000	69.318	24,608.00	73.580	26,120.90	1,512.90	ST
	Sep 19, 13	74.000	72.165	5,340.28	73.580	5,444.92	104.64	ST
	Sep 19, 13	6.000	71.875	431.25	73.580	441.48	10.23	ST
	Sep 19, 13	3.000	71.880	215.64	73.580	220.74	5.10	ST
	Sep 20, 13	47.000	71.987	3,383.41	73.580	3,458.26	74.85	ST
	Oct 3, 13	154.000	64.600	9,948.49	73.580	11,331.32	1,382.83	ST
Security total		1,556.000	66.094	102,841.72		114,490.48	11,648.76	
BLACKROCK INC								
Symbol: BLK Exchange: NYSE								
EAI: \$2,872 Current yield: 2.45%								
	Oct 5, 12	7.000	189.932	1,329.53	314.480	2,201.36	871.83	LT
	Oct 5, 12	3.000	187.820	563.46	314.480	943.44	379.98	LT
	Oct 5, 12	2.000	186.670	373.34	314.480	628.96	255.62	LT
	Oct 8, 12	8.000	188.783	1,510.27	314.480	2,515.84	1,005.57	LT
	Oct 9, 12	15.000	189.186	2,837.79	314.480	4,717.20	1,879.41	LT

continued next page

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Mar 31 (\$)	Value on Mar 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Oct 9, 12	2.000	189.010	378.02	314.480	628.96	250.94	LT
	Oct 10, 12	3.000	187.720	563.16	314.480	943.44	380.28	LT
	Oct 10, 12	2.000	187.670	375.34	314.480	628.96	253.62	LT
	Oct 10, 12	2.000	187.995	375.99	314.480	628.96	252.97	LT
	Jan 23, 13	224.000	236.966	53,080.41	314.480	70,443.52	17,363.11	LT
	Apr 22, 13	104.000	251.093	26,113.69	314.480	32,705.92	6,592.23	ST
Security total		372.000	235.218	87,501.00		116,986.56	29,485.56	
CATERPILLAR INC								
Symbol: CAT Exchange: NYSE								
EAI: \$2,664 Current yield: 2.42%								
	Jun 19, 13	72.000	84.718	6,099.75	99.370	7,154.64	1,054.89	ST
	Jun 20, 13	121.000	83.141	10,060.15	99.370	12,023.77	1,963.62	ST
	Jun 20, 13	78.000	83.030	6,476.39	99.370	7,750.86	1,274.47	ST
	Jun 21, 13	204.000	82.904	16,912.44	99.370	20,271.48	3,359.04	ST
	Jun 24, 13	111.000	81.517	9,048.46	99.370	11,030.07	1,981.61	ST
	Jun 25, 13	73.000	82.354	6,011.86	99.370	7,254.01	1,242.15	ST
	Jun 26, 13	69.000	82.259	5,675.90	99.370	6,856.53	1,180.63	ST
	Jun 27, 13	141.000	82.951	11,696.12	99.370	14,011.17	2,315.05	ST
	Jun 27, 13	7.000	82.925	580.48	99.370	695.59	115.11	ST
	Jun 28, 13	169.000	82.774	13,988.92	99.370	16,793.53	2,804.61	ST
	Jul 1, 13	65.000	82.781	5,380.78	99.370	6,459.05	1,078.27	ST
Security total		1,110.000	82.821	91,931.25		110,300.70	18,369.45	
COLGATE PALMOLIVE CO								
Symbol: CL Exchange: NYSE								
EAI: \$2,172 Current yield: 2.22%								
	Aug 4, 11	174.000	41.632	7,244.05	64.870	11,287.38	4,043.33	LT
	Aug 12, 11	4.000	42.450	169.80	64.870	259.48	89.68	LT
	Jan 23, 13	910.000	54.240	49,358.63	64.870	59,031.70	9,673.07	LT
	Apr 22, 13	420.000	59.788	25,111.32	64.870	27,245.40	2,134.08	ST
Security total		1,508.000	54.300	81,883.80		97,823.96	15,940.16	
CONOCOPHILLIPS								
Symbol: COP Exchange: NYSE								
EAI: \$4,085 Current yield: 3.92%								
	Aug 4, 11	106.000	52.109	5,523.58	70.350	7,457.10	1,933.52	LT
	Aug 12, 11	2.000	51.435	102.87	70.350	140.70	37.83	LT

continued next page

SDNY_GM_00020497

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Mar 31 (\$)	Value on Mar 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Aug 12, 11	3.000	85.910	257.73	98.030	294.09	36.36	LT
	Nov 29, 12	8.000	86.456	691.65	98.030	784.24	92.59	LT
	Jan 23, 13	555.000	93.053	51,644.75	98.030	54,406.65	2,761.90	LT
	Apr 22, 13	255.000	99.318	25,326.32	98.030	24,997.65	-328.67	ST
	Sep 19, 13	78.000	97.879	7,634.63	98.030	7,646.34	11.71	ST
	Sep 19, 13	22.000	97.425	2,143.36	98.030	2,156.66	13.30	ST
	Sep 19, 13	2.000	97.830	195.66	98.030	196.06	0.40	ST
Security total		1,018.000	94.269	95,966.16		99,794.54	3,828.38	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$3,370 Current yield: 3.03%								
	Aug 4, 11	134.000	52.960	7,096.75	95.620	12,813.08	5,716.33	LT
	Aug 12, 11	3.000	52.530	157.59	95.620	286.86	129.27	LT
	Jan 23, 13	700.000	71.610	50,127.21	95.620	66,934.00	16,806.79	LT
	Apr 22, 13	325.000	79.757	25,921.06	95.620	31,076.50	5,155.44	ST
Security total		1,162.000	71.689	83,302.61		111,110.44	27,807.83	
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,791 Current yield: 3.02%								
	Feb 12, 14	148.000	92.171	13,641.35	95.290	14,102.92	461.57	ST
	Feb 12, 14	117.000	92.203	10,787.77	95.290	11,148.93	361.16	ST
	Feb 12, 14	32.000	92.215	2,950.91	95.290	3,049.28	98.37	ST
	Feb 12, 14	7.000	92.065	644.46	95.290	667.03	22.57	ST
	Feb 13, 14	110.000	92.095	10,130.45	95.290	10,481.90	351.45	ST
	Feb 13, 14	68.000	91.911	6,250.00	95.290	6,479.72	229.72	ST
	Feb 13, 14	33.000	91.560	3,021.49	95.290	3,144.57	123.08	ST
	Feb 13, 14	6.000	91.615	549.69	95.290	571.74	22.05	ST
	Feb 14, 14	334.000	95.389	31,860.13	95.290	31,826.86	-33.27	ST
	Feb 18, 14	114.000	96.023	10,946.72	95.290	10,863.06	-83.66	ST
Security total		969.000	93.687	90,782.97		92,336.01	1,553.04	
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$2,620 Current yield: 2.72%								
	Aug 4, 11	115.000	63.979	7,357.65	83.500	9,602.50	2,244.85	LT
	Aug 12, 11	3.000	63.023	189.07	83.500	250.50	61.43	LT

continued next page

SDNY_GM_00020499

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Mar 31 (\$)	Value on Mar 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 1, 12	1.000	11.600	11.60	11.340	11.34	-0.26	LT
	Nov 2, 12	31.000	11.552	358.12	11.340	351.54	-6.58	LT
	Nov 5, 12	31.000	11.465	355.43	11.340	351.54	-3.89	LT
	Nov 5, 12	7.000	11.590	81.13	11.340	79.38	-1.75	LT
	Nov 6, 12	51.000	11.820	602.87	11.340	578.34	-24.53	LT
	Nov 6, 12	26.000	11.812	307.13	11.340	294.84	-12.29	LT
	Nov 7, 12	48.000	11.597	556.70	11.340	544.32	-12.38	LT
	Nov 7, 12	22.000	11.582	254.82	11.340	249.48	-5.34	LT
	Nov 8, 12	57.000	11.446	652.43	11.340	646.38	-6.05	LT
	Nov 8, 12	30.000	11.672	350.16	11.340	340.20	-9.96	LT
	Nov 8, 12	3.000	11.666	35.00	11.340	34.02	-0.98	LT
	Nov 29, 12	26.000	11.778	306.24	11.340	294.84	-11.40	LT
	Nov 29, 12	8.000	11.778	94.23	11.340	90.72	-3.51	LT
	Nov 29, 12	6.000	11.765	70.59	11.340	68.04	-2.55	LT
	Nov 30, 12	37.000	11.714	433.45	11.340	419.58	-13.87	LT
	Nov 30, 12	16.000	11.677	186.84	11.340	181.44	-5.40	LT
	Nov 30, 12	11.000	11.688	128.57	11.340	124.74	-3.83	LT
	Nov 30, 12	1.000	11.750	11.75	11.340	11.34	-0.41	LT
	Jan 23, 13	3,076.000	13.260	40,788.38	11.340	34,881.84	-5,906.54	LT
	Mar 7, 13	399.000	12.626	5,037.93	11.340	4,524.66	-513.27	LT
	Apr 22, 13	1,918.000	12.912	24,767.13	11.340	21,750.12	-3,017.01	ST
	Aug 26, 13	203.000	14.401	2,923.46	11.340	2,302.02	-621.44	ST
	Aug 26, 13	181.000	14.412	2,608.63	11.340	2,052.54	-556.09	ST
	Aug 27, 13	253.000	14.105	3,568.74	11.340	2,869.02	-699.72	ST
Security total		6,769.000	13.036	88,237.30		76,760.46	-11,476.84	
TARGET CORP								
Symbol: TGT Exchange: NYSE								
EAI: \$2,752 Current yield: 2.84%								
	Sep 23, 13	68.000	64.391	4,378.59	60.510	4,114.68	-263.91	ST
	Sep 23, 13	6.000	64.405	386.43	60.510	363.06	-23.37	ST
	Sep 24, 13	180.000	63.999	11,519.91	60.510	10,891.80	-628.11	ST
	Sep 24, 13	82.000	64.133	5,258.97	60.510	4,961.82	-297.15	ST

continued next page

SDNY_GM_00020501

CNP70009006479765 NP7000300405 00002 0314 030575004 Y123568550 100000

Page 19 of 86

CONFIDENTIAL

EFTA_00131121

EFTA01273328



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Mar 31 (\$)	Value on Mar 31 (\$)	Unrealized gain or loss (\$)	Holding period
	May 1, 12	15.000	64.637	969.56	85.100	1,276.50	306.94	LT
	May 1, 12	6.000	64.715	388.29	85.100	510.60	122.31	LT
	May 1, 12	6.000	64.975	389.85	85.100	510.60	120.75	LT
	May 1, 12	2.000	64.850	129.70	85.100	170.20	40.50	LT
	May 1, 12	1.000	64.820	64.82	85.100	85.10	20.28	LT
	May 2, 12	7.000	64.374	450.62	85.100	595.70	145.08	LT
	May 2, 12	4.000	64.410	257.64	85.100	340.40	82.76	LT
	May 2, 12	2.000	64.320	128.64	85.100	170.20	41.56	LT
	May 3, 12	4.000	64.960	259.84	85.100	340.40	80.56	LT
	May 3, 12	2.000	64.675	129.35	85.100	170.20	40.85	LT
	May 3, 12	2.000	64.910	129.82	85.100	170.20	40.38	LT
	Jan 23, 13	629.000	77.560	48,785.62	85.100	53,527.90	4,742.28	LT
	Apr 22, 13	290.000	84.719	24,568.68	85.100	24,679.00	110.32	ST
	May 22, 13	111.000	83.807	9,302.58	85.100	9,446.10	143.52	ST
Security total		1,152.000	78.533	90,469.50		98,035.20	7,565.70	
UNITED PARCEL SERVICE INC CL B								
Symbol: UPS Exchange: NYSE								
EAI: \$2,843 Current yield: 2.75%								
	Sep 19, 13	82.000	91.779	7,525.90	97.380	7,985.16	459.26	ST
	Sep 19, 13	19.000	91.625	1,740.88	97.380	1,850.22	109.34	ST
	Sep 20, 13	107.000	91.805	9,823.18	97.380	10,419.66	596.48	ST
	Sep 20, 13	26.000	91.835	2,387.71	97.380	2,531.88	144.17	ST
	Sep 23, 13	93.000	91.049	8,467.59	97.380	9,056.34	588.75	ST
	Sep 24, 13	93.000	91.612	8,520.00	97.380	9,056.34	536.34	ST
	Sep 24, 13	41.000	91.663	3,758.20	97.380	3,992.58	234.38	ST
	Sep 25, 13	62.000	91.138	5,650.56	97.380	6,037.56	387.00	ST
	Sep 25, 13	11.000	91.090	1,001.99	97.380	1,071.18	69.19	ST
	Sep 26, 13	64.000	91.489	5,855.30	97.380	6,232.32	377.02	ST
	Sep 27, 13	54.000	91.117	4,920.33	97.380	5,258.52	338.19	ST
	Sep 30, 13	46.000	91.475	4,207.86	97.380	4,479.48	271.62	ST
	Oct 1, 13	46.000	91.668	4,216.73	97.380	4,479.48	262.75	ST
	Oct 1, 13	6.000	91.650	549.90	97.380	584.28	34.38	ST

continued next page

SDNY_GM_00020503

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Mar 31 (\$)	Value on Mar 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Oct 2, 13	61.000	91.128	5,558.84	97.380	5,940.18	381.34	ST
	Oct 2, 13	19.000	91.067	1,730.29	97.380	1,850.22	119.93	ST
	Oct 3, 13	55.000	90.337	4,968.58	97.380	5,355.90	387.32	ST
	Oct 4, 13	55.000	90.653	4,985.96	97.380	5,355.90	369.94	ST
	Jan 17, 14	121.000	99.231	12,007.00	97.380	11,782.98	-224.02	ST
Security total		1,061.000	92.250	97,876.80		103,320.18	5,443.38	
XILINX INC								
Symbol: XLNX Exchange: OTC								
EAI: \$2,086 Current yield: 2.14%								
	Sep 7, 12	25.000	34.770	869.27	54.270	1,356.75	487.48	LT
	Sep 7, 12	5.000	34.846	174.23	54.270	271.35	97.12	LT
	Sep 10, 12	37.000	34.845	1,289.29	54.270	2,007.99	718.70	LT
	Sep 10, 12	3.000	34.660	103.98	54.270	162.81	58.83	LT
	Sep 11, 12	20.000	34.853	697.06	54.270	1,085.40	388.34	LT
	Sep 12, 12	18.000	35.006	630.11	54.270	976.86	346.75	LT
	Sep 13, 12	21.000	34.886	732.61	54.270	1,139.67	407.06	LT
	Sep 14, 12	19.000	35.536	675.19	54.270	1,031.13	355.94	LT
	Sep 17, 12	7.000	35.151	246.06	54.270	379.89	133.83	LT
	Oct 24, 12	3.000	32.523	97.57	54.270	162.81	65.24	LT
	Oct 25, 12	5.000	32.522	162.61	54.270	271.35	108.74	LT
	Oct 26, 12	3.000	32.776	98.33	54.270	162.81	64.48	LT
	Oct 31, 12	1.000	32.770	32.77	54.270	54.27	21.50	LT
	Nov 1, 12	2.000	33.360	66.72	54.270	108.54	41.82	LT
	Nov 1, 12	1.000	33.520	33.52	54.270	54.27	20.75	LT
	Nov 1, 12	1.000	33.530	33.53	54.270	54.27	20.74	LT
	Nov 2, 12	1.000	33.550	33.55	54.270	54.27	20.72	LT
	Nov 5, 12	1.000	33.190	33.19	54.270	54.27	21.08	LT
	Nov 6, 12	3.000	33.886	101.66	54.270	162.81	61.15	LT
	Nov 7, 12	2.000	34.025	68.05	54.270	108.54	40.49	LT
	Nov 7, 12	1.000	33.910	33.91	54.270	54.27	20.36	LT
	Nov 8, 12	4.000	34.032	136.13	54.270	217.08	80.95	LT
	Nov 8, 12	1.000	33.860	33.86	54.270	54.27	20.41	LT
	Nov 28, 12	4.000	34.312	137.25	54.270	217.08	79.83	LT

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Mar 31 (\$)	Value on Mar 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 28, 12	3,000	34.410	103.23	54.270	162.81	59.58	LT
	Nov 29, 12	15,000	34.583	518.75	54.270	814.05	295.30	LT
	Nov 29, 12	3,000	34.493	103.48	54.270	162.81	59.33	LT
	Jan 23, 13	1,087,000	36.805	40,008.01	54.270	58,991.49	18,983.48	LT
	Apr 22, 13	502,000	35.691	17,917.23	54.270	27,243.54	9,326.31	ST
Security total		1,798,000	36.246	65,171.15		97,577.46	32,406.31	
Total				\$1,715,949.62		\$1,996,028.10	\$280,078.48	

Total estimated annual income: \$55,784

Your total assets

		Value on Mar 31 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	46,816.88	2.29%	46,816.88		
Equities	Common stock	1,996,028.10	97.71%	1,715,949.62	55,784.00	280,078.48
Total		\$2,042,844.98	100.00%	\$1,762,766.50	\$55,784.00	\$280,078.48

Account activity this month

	Date	Activity	Description	Amount (\$)
Deposits and other funds credited	Mar 10	Deposit	CHECK DEPOSIT	19,300.57
	Mar 17	Deposit	CHECK DEPOSIT	2,862.43
	Total deposits and other funds credited			\$22,163.00

	Date	Activity	Description	Amount (\$)
Dividend and interest income <i>Taxable dividends</i>	Mar 11	Dividend	ANALOG DEVICES INC PAID ON 1751	647.87
	Mar 17	Dividend	MCDONALDS CORP PAID ON 1018	824.58
	Mar 17	Dividend	NEXTERA ENERGY INC COM PAID ON 1162	842.45
	Mar 24	Dividend	BLACKROCK INC PAID ON 372	717.96
	Mar 28	Dividend	PEPSICO INC PAID ON 1154	654.90
	Mar 28	Dividend	TRAVELERS COS INC/THE PAID ON 1152	576.00
	Total taxable dividends			\$4,263.76

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
Dividend and interest income (continued)				
<i>Taxable interest</i>	Mar 7	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 03/06/14	0.08
		Total taxable interest		\$0.08
		Total dividend and interest income		\$4,263.84
Money balance activities				
	Feb 28	Balance forward		\$20,390.04
	Mar 7	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 03/06/14	0.08
	Mar 11	Deposit	UBS BANK USA DEPOSIT ACCOUNT	19,300.57
	Mar 12	Deposit	UBS BANK USA DEPOSIT ACCOUNT	647.87
	Mar 18	Deposit	UBS BANK USA DEPOSIT ACCOUNT	4,529.46
	Mar 25	Deposit	UBS BANK USA DEPOSIT ACCOUNT	717.96
	Mar 31	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,230.90
	Mar 31	Closing UBS Bank USA Deposit Account		\$46,816.88

The UBS Bank USA Deposit Account is your primary sweep option.

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).

- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.

All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.

- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.

- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: RMA/BSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm

sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweep/yields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity.

The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account holder on the books and records of the applicable issuer or transfer agent);
- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP; partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each

account held, you choose one of the following investment objectives:

- *Produce Current Income:* Investments seeking the generation of income only.
- *Achieve Capital Appreciation:* Investments seeking growth of principal rather than the generation of income.
- *Produce Combination of Income and Capital Appreciation:* Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- *Conservative:* Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- *Moderate:* Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- *Aggressive:* Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- *Value of your account/portfolio.* Net of assets and liabilities.
- *Assets.* Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- *Liabilities.* Includes debit balances, outstanding margin loans, credit line, short account balances.
- *Cash/money balances.* Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

SDNY_GM_00020507

CONFIDENTIAL

EFTA_00131127

EFTA01273334

Important information about your statement (continued)

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accountdisclosures.

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

• **Cost basis.** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

• **Unrealized gains/losses.** When data is available, estimated unrealized gains/losses are calculated for individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

• **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield; complete information will be provided upon request.

• **Certificates of deposit (CDs).** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.

• **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that

you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.

- We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
- Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
- Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
- Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
- For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation. To obtain current quotations, when available, contact your Financial Advisor.

• Private investments and structured products.

Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.

- These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
- Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
- Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
- You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.
- Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
- When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.

- "Distributions to date" may include return of capital, income or both.
- "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

• **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

• Est. (estimated) income, current yields and rates.

- An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.
- Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
 - Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
 - An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

• Assets not held by UBS Financial Services.

Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

• Revenue sharing and additional compensation.

- In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
- We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the number of accounts at the broker-dealer holding mutual funds of that fund family.

- In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
- We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value

RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management Account are registered service marks of UBS Financial Services Inc.

Visa Signature is a registered service mark of Visa International. UBS Visa Signature credit cards and UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated.

UBS Financial Services Inc.

Rev. 201402

SDNY_GM_00020508

CONFIDENTIAL

EFTA_00131128

EFTA01273335



UBS Financial Services Inc.
299 Park Avenue
25th Floor
New York NY 10171-0002

CNP7005688631 0414 ■ 0

Resource Management Account

April 2014

GHISLAINE MAXWELL
116 E 65TH STREET
NEW YORK NY 10065-7007

Account name: GHISLAINE MAXWELL

Friendly account name: [REDACTED]

Account number: [REDACTED] 55

Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED]

Questions about your statement?

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account 029023568.

Visit our website:

www.ubs.com/financialservices

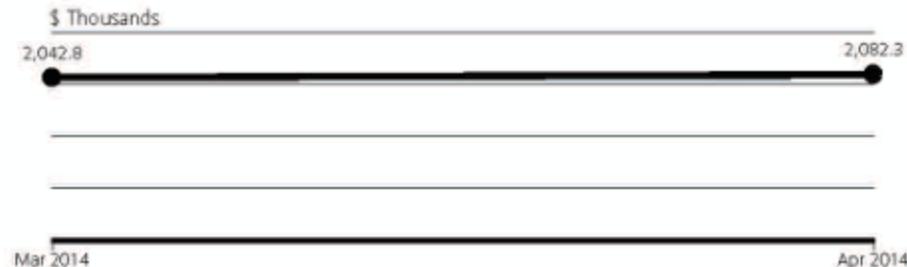
Items for your attention

- ▶ If you use UBS Online Services, consider changing your User Name and Password regularly to protect your personal data. Not enrolled? Go to ubs.com/onlineservices.

Value of your account

	on March 31 (\$)	on April 30 (\$)
Your assets	2,042,844.98	2,082,282.04
Your liabilities	0.00	0.00
Value of your account	\$2,042,844.98	\$2,082,282.04

Tracking the value of your account



Sources of your account growth during 2014

Value of your account at year end 2013	\$0.00
Net deposits and withdrawals	\$1,988,593.85
Your investment return:	
Dividend and interest income	\$7,639.71
Change in market value	\$86,048.48
Value of your account on Apr 30, 2014	\$2,082,282.04

CONFIDENTIAL



Your account balance sheet

Summary of your assets

	Value on April 30 (\$)	Percentage of your account
A Cash and money balances	50,192.75	2.41%
B Cash alternatives	0.00	0.00%
C Equities	2,032,089.29	97.59%
D Fixed income	0.00	0.00%
E Non-traditional	0.00	0.00%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$2,082,282.04	100.00%

Value of your account **\$2,082,282.04**

Your current asset allocation



► Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.

Eye on the markets

Index	Percentage change	
	April 2014	Year to date
S&P 500	0.74%	2.56%
Russell 3000	0.12%	2.10%
MSCI - Europe, Australia & Far East	1.53%	2.31%
Barclays Capital U.S. Aggregate Bond Index	0.84%	2.70%

Interest rates on April 30, 2014

3-month Treasury bills: 0.02%
One-month LIBOR: 0.15%

CONFIDENTIAL



Change in the value of your account

	April 2014 (\$)	Year to date (\$)
Opening account value	\$2,042,844.98	\$0.00
Deposits, including investments transferred in	0.00	1,988,593.85
Dividend and interest income	3,375.87	7,639.71
Change in market value	36,061.19	86,048.48
Closing account value	\$2,082,282.04	\$2,082,282.04

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	April 2014 (\$)	Year to date (\$)
Taxable dividends	3,374.78	7,638.54
Taxable interest	1.09	1.17
Total current year	\$3,375.87	\$7,639.71
Total dividend & interest	\$3,375.87	\$7,639.71

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)
	April 2014 (\$)	Year to date (\$)	
Short term	0.00	0.00	32,632.93
Long term	0.00	0.00	283,506.74
Total	\$0.00	\$0.00	\$316,139.67

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	April 2014 (\$)	Year to date (\$)
Opening balances	\$46,816.88	\$0.00
<i>Additions</i>		
Deposits and other funds credited	0.00	42,553.04
Dividend and interest income	3,375.87	7,639.71
Total additions	\$3,375.87	\$50,192.75
Net cash flow	\$3,375.87	\$50,192.75
Closing balances	\$50,192.75	\$50,192.75

CONFIDENTIAL



UBS Bank USA Deposit Account APY

Interest period Mar 7 - Apr 6

Opening UBS Bank USA Deposit balance Mar 7	\$20,390.12
Closing UBS Bank USA Deposit balance Apr 6	\$48,190.97
Number of days in interest period	31
Average daily balance	\$41,466.38
Interest earned	\$1.09
Annual percentage yield earned	0.03%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Current income & capital appreciation

Your risk profile:

Primary - Moderate

Investment eligibility consideration - None selected

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

CONFIDENTIAL



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on Apr 1 (\$)	Closing balance on Apr 30 (\$)	Price per share on Apr 30 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	46,816.88	50,192.75					250,000.00

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Apr 30 (\$)	Value on Apr 30 (\$)	Unrealized gain or loss (\$)	Holding period
ANALOG DEVICES INC								
Symbol: ADI Exchange: OTC								
EAI: \$2,591 Current yield: 2.89%								
	Nov 16, 11	13.000	37.316	485.12	51.290	666.77	181.65	LT
	Nov 17, 11	13.000	35.393	460.12	51.290	666.77	206.65	LT
	Nov 18, 11	35.000	35.502	1,242.58	51.290	1,795.15	552.57	LT
	Nov 21, 11	18.000	34.371	618.68	51.290	923.22	304.54	LT
	Nov 22, 11	15.000	33.338	500.07	51.290	769.35	269.28	LT
	Nov 23, 11	22.000	32.655	718.43	51.290	1,128.38	409.95	LT
	Nov 25, 11	7.000	32.460	227.22	51.290	359.03	131.81	LT
	Nov 28, 11	30.000	32.951	988.55	51.290	1,538.70	550.15	LT
	Nov 29, 11	18.000	33.472	602.51	51.290	923.22	320.71	LT
	Nov 29, 11	5.000	33.622	168.11	51.290	256.45	88.34	LT
	Apr 24, 12	30.000	37.567	1,127.01	51.290	1,538.70	411.69	LT

continued next page

SDNY_GM_00020513

CNP70009005688635 NP7000191745 00002 0414 030575004 Y123568550 000000

Page 13 of 98

CONFIDENTIAL

EFTA_00131133

EFTA01273340



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Apr 30 (\$)	Value on Apr 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Oct 9, 12	2.000	189.010	378.02	301.000	602.00	223.98	LT
	Oct 10, 12	3.000	187.720	563.16	301.000	903.00	339.84	LT
	Oct 10, 12	2.000	187.670	375.34	301.000	602.00	226.66	LT
	Oct 10, 12	2.000	187.995	375.99	301.000	602.00	226.01	LT
	Jan 23, 13	224.000	236.966	53,080.41	301.000	67,424.00	14,343.59	LT
	Apr 22, 13	104.000	251.093	26,113.69	301.000	31,304.00	5,190.31	LT
Security total		372.000	235.218	87,501.00		111,972.00	24,471.00	
CATERPILLAR INC								
Symbol: CAT Exchange: NYSE								
EAI: \$2,664 Current yield: 2.28%								
	Jun 19, 13	72.000	84.718	6,099.75	105.400	7,588.80	1,489.05	ST
	Jun 20, 13	121.000	83.141	10,060.15	105.400	12,753.40	2,693.25	ST
	Jun 20, 13	78.000	83.030	6,476.39	105.400	8,221.20	1,744.81	ST
	Jun 21, 13	204.000	82.904	16,912.44	105.400	21,501.60	4,589.16	ST
	Jun 24, 13	111.000	81.517	9,048.46	105.400	11,699.40	2,650.94	ST
	Jun 25, 13	73.000	82.354	6,011.86	105.400	7,694.20	1,682.34	ST
	Jun 26, 13	69.000	82.259	5,675.90	105.400	7,272.60	1,596.70	ST
	Jun 27, 13	141.000	82.951	11,696.12	105.400	14,861.40	3,165.28	ST
	Jun 27, 13	7.000	82.925	580.48	105.400	737.80	157.32	ST
	Jun 28, 13	169.000	82.774	13,988.92	105.400	17,812.60	3,823.68	ST
	Jul 1, 13	65.000	82.781	5,380.78	105.400	6,851.00	1,470.22	ST
Security total		1,110.000	82.821	91,931.25		116,994.00	25,062.75	
COLGATE PALMOLIVE CO								
Symbol: CL Exchange: NYSE								
EAI: \$2,172 Current yield: 2.14%								
	Aug 4, 11	174.000	41.632	7,244.05	67.300	11,710.20	4,466.15	LT
	Aug 12, 11	4.000	42.450	169.80	67.300	269.20	99.40	LT
	Jan 23, 13	910.000	54.240	49,358.63	67.300	61,243.00	11,884.37	LT
	Apr 22, 13	420.000	59.788	25,111.32	67.300	28,266.00	3,154.68	LT
Security total		1,508.000	54.300	81,883.80		101,488.40	19,604.60	
CONOCOPHILLIPS								
Symbol: COP Exchange: NYSE								
EAI: \$4,085 Current yield: 3.71%								
	Aug 4, 11	106.000	52.109	5,523.58	74.310	7,876.86	2,353.28	LT
	Aug 12, 11	2.000	51.435	102.87	74.310	148.62	45.75	LT

continued next page

SDNY_GM_00020515

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Apr 30 (\$)	Value on Apr 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Aug 12, 11	3.000	85.910	257.73	101.380	304.14	46.41	LT
	Nov 29, 12	8.000	86.456	691.65	101.380	811.04	119.39	LT
	Jan 23, 13	555.000	93.053	51,644.75	101.380	56,265.90	4,621.15	LT
	Apr 22, 13	255.000	99.318	25,326.32	101.380	25,851.90	525.58	LT
	Sep 19, 13	78.000	97.879	7,634.63	101.380	7,907.64	273.01	ST
	Sep 19, 13	22.000	97.425	2,143.36	101.380	2,230.36	87.00	ST
	Sep 19, 13	2.000	97.830	195.66	101.380	202.76	7.10	ST
Security total		1,018.000	94.269	95,966.16		103,204.84	7,238.68	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$3,370 Current yield: 2.90%								
	Aug 4, 11	134.000	52.960	7,096.75	99.850	13,379.90	6,283.15	LT
	Aug 12, 11	3.000	52.530	157.59	99.850	299.55	141.96	LT
	Jan 23, 13	700.000	71.610	50,127.21	99.850	69,895.00	19,767.79	LT
	Apr 22, 13	325.000	79.757	25,921.06	99.850	32,451.25	6,530.19	LT
Security total		1,162.000	71.689	83,302.61		116,025.70	32,723.09	
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,791 Current yield: 3.01%								
	Feb 12, 14	148.000	92.171	13,641.35	95.750	14,171.00	529.65	ST
	Feb 12, 14	117.000	92.203	10,787.77	95.750	11,202.75	414.98	ST
	Feb 12, 14	32.000	92.215	2,950.91	95.750	3,064.00	113.09	ST
	Feb 12, 14	7.000	92.065	644.46	95.750	670.25	25.79	ST
	Feb 13, 14	110.000	92.095	10,130.45	95.750	10,532.50	402.05	ST
	Feb 13, 14	68.000	91.911	6,250.00	95.750	6,511.00	261.00	ST
	Feb 13, 14	33.000	91.560	3,021.49	95.750	3,159.75	138.26	ST
	Feb 13, 14	6.000	91.615	549.69	95.750	574.50	24.81	ST
	Feb 14, 14	334.000	95.389	31,860.13	95.750	31,980.50	120.37	ST
	Feb 18, 14	114.000	96.023	10,946.72	95.750	10,915.50	-31.22	ST
Security total		969.000	93.687	90,782.97		92,781.75	1,998.78	
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$2,620 Current yield: 2.64%								
	Aug 4, 11	115.000	63.979	7,357.65	85.890	9,877.35	2,519.70	LT
	Aug 12, 11	3.000	63.023	189.07	85.890	257.67	68.60	LT

continued next page

SDNY_GM_00020517

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Apr 30 (\$)	Value on Apr 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 1, 12	1.000	11.600	11.60	12.500	12.50	0.90	LT
	Nov 2, 12	31.000	11.552	358.12	12.500	387.50	29.38	LT
	Nov 5, 12	31.000	11.465	355.43	12.500	387.50	32.07	LT
	Nov 5, 12	7.000	11.590	81.13	12.500	87.50	6.37	LT
	Nov 6, 12	51.000	11.820	602.87	12.500	637.50	34.63	LT
	Nov 6, 12	26.000	11.812	307.13	12.500	325.00	17.87	LT
	Nov 7, 12	48.000	11.597	556.70	12.500	600.00	43.30	LT
	Nov 7, 12	22.000	11.582	254.82	12.500	275.00	20.18	LT
	Nov 8, 12	57.000	11.446	652.43	12.500	712.50	60.07	LT
	Nov 8, 12	30.000	11.672	350.16	12.500	375.00	24.84	LT
	Nov 8, 12	3.000	11.666	35.00	12.500	37.50	2.50	LT
	Nov 29, 12	26.000	11.778	306.24	12.500	325.00	18.76	LT
	Nov 29, 12	8.000	11.778	94.23	12.500	100.00	5.77	LT
	Nov 29, 12	6.000	11.765	70.59	12.500	75.00	4.41	LT
	Nov 30, 12	37.000	11.714	433.45	12.500	462.50	29.05	LT
	Nov 30, 12	16.000	11.677	186.84	12.500	200.00	13.16	LT
	Nov 30, 12	11.000	11.688	128.57	12.500	137.50	8.93	LT
	Nov 30, 12	1.000	11.750	11.75	12.500	12.50	0.75	LT
	Jan 23, 13	3,076.000	13.260	40,788.38	12.500	38,450.00	-2,338.38	LT
	Mar 7, 13	399.000	12.626	5,037.93	12.500	4,987.50	-50.43	LT
	Apr 22, 13	1,918.000	12.912	24,767.13	12.500	23,975.00	-792.13	LT
	Aug 26, 13	203.000	14.401	2,923.46	12.500	2,537.50	-385.96	ST
	Aug 26, 13	181.000	14.412	2,608.63	12.500	2,262.50	-346.13	ST
	Aug 27, 13	253.000	14.105	3,568.74	12.500	3,162.50	-406.24	ST
Security total		6,769.000	13.036	88,237.30		84,612.50	-3,624.80	
TARGET CORP								
Symbol: TGT Exchange: NYSE								
EAI: \$2,752 Current yield: 2.79%								
	Sep 23, 13	68.000	64.391	4,378.59	61.750	4,199.00	-179.59	ST
	Sep 23, 13	6.000	64.405	386.43	61.750	370.50	-15.93	ST
	Sep 24, 13	180.000	63.999	11,519.91	61.750	11,115.00	-404.91	ST
	Sep 24, 13	82.000	64.133	5,258.97	61.750	5,063.50	-195.47	ST

continued next page

SDNY_GM_00020519

CNP70009005688641 NP7000191745 00002 0414 030575004 Y123568550 000000

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Apr 30 (\$)	Value on Apr 30 (\$)	Unrealized gain or loss (\$)	Holding period
	May 1, 12	15.000	64.637	969.56	90.580	1,358.70	389.14	LT
	May 1, 12	6.000	64.715	388.29	90.580	543.48	155.19	LT
	May 1, 12	6.000	64.975	389.85	90.580	543.48	153.63	LT
	May 1, 12	2.000	64.850	129.70	90.580	181.16	51.46	LT
	May 1, 12	1.000	64.820	64.82	90.580	90.58	25.76	LT
	May 2, 12	7.000	64.374	450.62	90.580	634.06	183.44	LT
	May 2, 12	4.000	64.410	257.64	90.580	362.32	104.68	LT
	May 2, 12	2.000	64.320	128.64	90.580	181.16	52.52	LT
	May 3, 12	4.000	64.960	259.84	90.580	362.32	102.48	LT
	May 3, 12	2.000	64.675	129.35	90.580	181.16	51.81	LT
	May 3, 12	2.000	64.910	129.82	90.580	181.16	51.34	LT
	Jan 23, 13	629.000	77.560	48,785.62	90.580	56,974.82	8,189.20	LT
	Apr 22, 13	290.000	84.719	24,568.68	90.580	26,268.20	1,699.52	LT
	May 22, 13	111.000	83.807	9,302.58	90.580	10,054.38	751.80	ST
Security total		1,152.000	78.533	90,469.50		104,348.16	13,878.66	
UNITED PARCEL SERVICE INC CL B								
Symbol: UPS Exchange: NYSE								
EAI: \$2,843 Current yield: 2.72%								
	Sep 19, 13	82.000	91.779	7,525.90	98.500	8,077.00	551.10	ST
	Sep 19, 13	19.000	91.625	1,740.88	98.500	1,871.50	130.62	ST
	Sep 20, 13	107.000	91.805	9,823.18	98.500	10,539.50	716.32	ST
	Sep 20, 13	26.000	91.835	2,387.71	98.500	2,561.00	173.29	ST
	Sep 23, 13	93.000	91.049	8,467.59	98.500	9,160.50	692.91	ST
	Sep 24, 13	93.000	91.612	8,520.00	98.500	9,160.50	640.50	ST
	Sep 24, 13	41.000	91.663	3,758.20	98.500	4,038.50	280.30	ST
	Sep 25, 13	62.000	91.138	5,650.56	98.500	6,107.00	456.44	ST
	Sep 25, 13	11.000	91.090	1,001.99	98.500	1,083.50	81.51	ST
	Sep 26, 13	64.000	91.489	5,855.30	98.500	6,304.00	448.70	ST
	Sep 27, 13	54.000	91.117	4,920.33	98.500	5,319.00	398.67	ST
	Sep 30, 13	46.000	91.475	4,207.86	98.500	4,531.00	323.14	ST
	Oct 1, 13	46.000	91.668	4,216.73	98.500	4,531.00	314.27	ST
	Oct 1, 13	6.000	91.650	549.90	98.500	591.00	41.10	ST

continued next page

SDNY_GM_00020521

CNP70009005688643 NP7000191745 00002 0414 030575004 Y123568550 000000

Page 21 of 98

CONFIDENTIAL

EFTA_00131141

EFTA01273348



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Apr 30 (\$)	Value on Apr 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 28, 12	3.000	34.410	103.23	47.190	141.57	38.34	LT
	Nov 29, 12	15.000	34.583	518.75	47.190	707.85	189.10	LT
	Nov 29, 12	3.000	34.493	103.48	47.190	141.57	38.09	LT
	Jan 23, 13	1,087.000	36.805	40,008.01	47.190	51,295.53	11,287.52	LT
	Apr 22, 13	502.000	35.691	17,917.23	47.190	23,689.38	5,772.15	LT
Security total		1,798.000	36.246	65,171.15		84,847.62	19,676.47	
Total				\$1,715,949.62		\$2,032,089.29	\$316,139.67	

Total estimated annual income: \$56,376

Your total assets

		Value on Apr 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	50,192.75	2.41%	50,192.75		
Equities	Common stock	2,032,089.29	97.59%	1,715,949.62	56,376.00	316,139.67
Total		\$2,082,282.04	100.00%	\$1,766,142.37	\$56,376.00	\$316,139.67

Account activity this month

	Date	Activity	Description	Amount (\$)
Dividend and interest income				
<i>Taxable dividends</i>	Apr 1	Dividend	AUTOMATIC DATA PROCESSNG INC PAID ON 1272	610.56
	Apr 1	Dividend	BAXTER INTL INC PAID ON 1556	762.44
	Apr 8	Dividend	ILLINOIS TOOL WORKS INC PAID ON 1171	491.82
	Apr 15	Dividend	OCCIDENTAL PETROLEUM CRP PAID ON 969	697.68
	Apr 17	Dividend	STAPLES INC PAID ON 6769	812.28
		Total taxable dividends		\$3,374.78
<i>Taxable interest</i>	Apr 7	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 04/04/14	1.09
		Total taxable interest		\$1.09
		Total dividend and interest income		\$3,375.87

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.

All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.

- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: RMA/BSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm

sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweep/yields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity.

The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account holder on the books and records of the applicable issuer or transfer agent);
- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP; partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each

account held, you choose one of the following investment objectives:

- *Produce Current Income:* Investments seeking the generation of income only.
- *Achieve Capital Appreciation:* Investments seeking growth of principal rather than the generation of income.
- *Produce Combination of Income and Capital Appreciation:* Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- *Conservative:* Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- *Moderate:* Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- *Aggressive:* Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- *Value of your account/portfolio.* Net of assets and liabilities.
- *Assets.* Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- *Liabilities.* Includes debit balances, outstanding margin loans, credit line, short account balances.
- *Cash/money balances.* Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

SDNY_GM_00020525

CONFIDENTIAL

EFTA_00131145

EFTA01273352

Important information about your statement (continued)

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accountdisclosures.

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

• **Cost basis.** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

• **Unrealized gains/losses.** When data is available, estimated unrealized gains/losses are calculated for individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

• **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield; complete information will be provided upon request.

• **Certificates of deposit (CDs).** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.

• **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that

you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.

- We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
- Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
- Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
- Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
- For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation. To obtain current quotations, when available, contact your Financial Advisor.

• Private investments and structured products.

Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.

- These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
- Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
- Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
- You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.
- Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
- When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.

- "Distributions to date" may include return of capital, income or both.
- "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

• **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

• Est. (estimated) income, current yields and rates.

- An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.
- Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
 - Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
 - An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

• Assets not held by UBS Financial Services.

Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

• Revenue sharing and additional compensation.

- In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
- We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the number of accounts at the broker-dealer holding mutual funds of that fund family.

- In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
- We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value

RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management Account are registered service marks of UBS Financial Services Inc.

Visa Signature is a registered service mark of Visa International. UBS Visa Signature credit cards and UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated.

UBS Financial Services Inc.

Rev. 201402

SDNY_GM_00020526

CONFIDENTIAL

EFTA_00131146

EFTA01273353



UBS Financial Services Inc.
299 Park Avenue
25th Floor
New York NY 10171-0002

CNP7005631653 0514 ■ 0

Resource Management Account

May 2014

GHISLAINE MAXWELL
116 E 65TH STREET
NEW YORK NY 10065-7007

Account name: GHISLAINE MAXWELL

Friendly account name: [REDACTED]

Account number: [REDACTED] 55

Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED]

Questions about your statement?

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account 029023568.

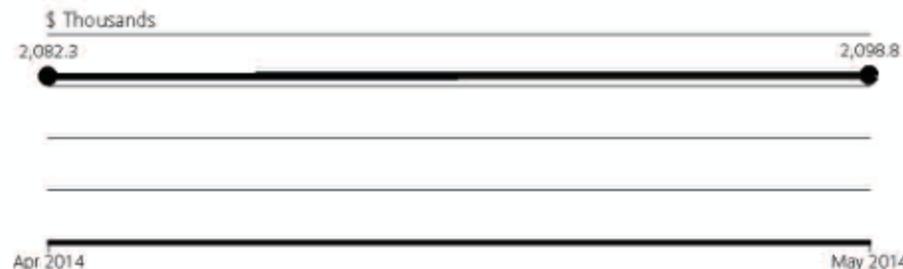
Visit our website:

www.ubs.com/financialservices

Value of your account

	on April 30 (\$)	on May 30 (\$)
Your assets	2,082,282.04	2,098,806.52
Your liabilities	0.00	0.00
Value of your account	\$2,082,282.04	\$2,098,806.52

Tracking the value of your account



Sources of your account growth during 2014

Value of your account at year end 2013	\$0.00
Net deposits and withdrawals	\$1,988,593.85
Your investment return:	
Dividend and interest income	\$10,351.25
Change in market value	\$99,861.42
Value of your account on May 30, 2014	\$2,098,806.52

CONFIDENTIAL



Your account balance sheet

Summary of your assets

	Value on May 30 (\$)	Percentage of your account
A Cash and money balances	52,904.29	2.52%
B Cash alternatives	0.00	0.00%
C Equities	2,045,902.23	97.48%
D Fixed income	0.00	0.00%
E Non-traditional	0.00	0.00%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$2,098,806.52	100.00%

Value of your account **\$2,098,806.52**

Your current asset allocation



► *Cash and money balances* may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.

Eye on the markets

Index	Percentage change	
	May 2014	Year to date
S&P 500	2.35%	4.97%
Russell 3000	2.18%	4.32%
MSCI - Europe, Australia & Far East	1.76%	4.11%
Barclays Capital U.S. Aggregate Bond Index	1.14%	3.87%

Interest rates on May 30, 2014

3-month Treasury bills: 0.04%
One-month LIBOR: 0.15%

CONFIDENTIAL



Change in the value of your account

	May 2014 (\$)	Year to date (\$)
Opening account value	\$2,082,282.04	\$0.00
Deposits, including investments transferred in	0.00	1,988,593.85
Dividend and interest income	2,711.54	10,351.25
Change in market value	13,812.94	99,861.42
Closing account value	\$2,098,806.52	\$2,098,806.52

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	May 2014 (\$)	Year to date (\$)
Taxable dividends	2,710.34	10,348.88
Taxable interest	1.20	2.37
Total current year	\$2,711.54	\$10,351.25
Total dividend & interest	\$2,711.54	\$10,351.25

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)
	May 2014 (\$)	Year to date (\$)	
Short term	0.00	0.00	29,995.51
Long term	0.00	0.00	299,957.10
Total	\$0.00	\$0.00	\$329,952.61

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	May 2014 (\$)	Year to date (\$)
Opening balances	\$50,192.75	\$0.00
<i>Additions</i>		
Deposits and other funds credited	0.00	42,553.04
Dividend and interest income	2,711.54	10,351.25
Total additions	\$2,711.54	\$52,904.29
Net cash flow	\$2,711.54	\$52,904.29
Closing balances	\$52,904.29	\$52,904.29

CONFIDENTIAL



UBS Bank USA Deposit Account APY

Interest period Apr 7 - May 6

Opening UBS Bank USA Deposit balance Apr 7	\$48,190.97
Closing UBS Bank USA Deposit balance May 6	\$50,965.57
Number of days in interest period	30
Average daily balance	\$49,700.20
Interest earned	\$1.20
Annual percentage yield earned	0.03%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Current income & capital appreciation

Your risk profile:

Primary - Moderate

Investment eligibility consideration - None selected

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

CONFIDENTIAL



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on May 1 (\$)	Closing balance on May 30 (\$)	Price per share on May 30 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	50,192.75	52,904.29					250,000.00

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on May 30 (\$)	Value on May 30 (\$)	Unrealized gain or loss (\$)	Holding period
ANALOG DEVICES INC Symbol: ADI Exchange: OTC EAI: \$2,591 Current yield: 2.82%	Nov 16, 11	13.000	37.316	485.12	52.380	680.94	195.82	LT
	Nov 17, 11	13.000	35.393	460.12	52.380	680.94	220.82	LT
	Nov 18, 11	35.000	35.502	1,242.58	52.380	1,833.30	590.72	LT
	Nov 21, 11	18.000	34.371	618.68	52.380	942.84	324.16	LT
	Nov 22, 11	15.000	33.338	500.07	52.380	785.70	285.63	LT
	Nov 23, 11	22.000	32.655	718.43	52.380	1,152.36	433.93	LT
	Nov 25, 11	7.000	32.460	227.22	52.380	366.66	139.44	LT
	Nov 28, 11	30.000	32.951	988.55	52.380	1,571.40	582.85	LT
	Nov 29, 11	18.000	33.472	602.51	52.380	942.84	340.33	LT
	Nov 29, 11	5.000	33.622	168.11	52.380	261.90	93.79	LT
	Apr 24, 12	30.000	37.567	1,127.01	52.380	1,571.40	444.39	LT

continued next page

SDNY_GM_00020531

CNP70008005631657 NP7000190246 00002 0514 030575004 [REDACTED] 23568550 000000

Page 13 of 98

CONFIDENTIAL

EFTA_00131151

EFTA01273358



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on May 30 (\$)	Value on May 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Oct 9, 12	2.000	189.010	378.02	304.900	609.80	231.78	LT
	Oct 10, 12	3.000	187.720	563.16	304.900	914.70	351.54	LT
	Oct 10, 12	2.000	187.670	375.34	304.900	609.80	234.46	LT
	Oct 10, 12	2.000	187.995	375.99	304.900	609.80	233.81	LT
	Jan 23, 13	224.000	236.966	53,080.41	304.900	68,297.60	15,217.19	LT
	Apr 22, 13	104.000	251.093	26,113.69	304.900	31,709.60	5,595.91	LT
Security total		372.000	235.218	87,501.00		113,422.80	25,921.80	
CATERPILLAR INC								
Symbol: CAT Exchange: NYSE								
EAI: \$2,664 Current yield: 2.35%								
	Jun 19, 13	72.000	84.718	6,099.75	102.230	7,360.56	1,260.81	ST
	Jun 20, 13	121.000	83.141	10,060.15	102.230	12,369.83	2,309.68	ST
	Jun 20, 13	78.000	83.030	6,476.39	102.230	7,973.94	1,497.55	ST
	Jun 21, 13	204.000	82.904	16,912.44	102.230	20,854.92	3,942.48	ST
	Jun 24, 13	111.000	81.517	9,048.46	102.230	11,347.53	2,299.07	ST
	Jun 25, 13	73.000	82.354	6,011.86	102.230	7,462.79	1,450.93	ST
	Jun 26, 13	69.000	82.259	5,675.90	102.230	7,053.87	1,377.97	ST
	Jun 27, 13	141.000	82.951	11,696.12	102.230	14,414.43	2,718.31	ST
	Jun 27, 13	7.000	82.925	580.48	102.230	715.61	135.13	ST
	Jun 28, 13	169.000	82.774	13,988.92	102.230	17,276.87	3,287.95	ST
	Jul 1, 13	65.000	82.781	5,380.78	102.230	6,644.95	1,264.17	ST
Security total		1,110.000	82.821	91,931.25		113,475.30	21,544.05	
COLGATE PALMOLIVE CO								
Symbol: CL Exchange: NYSE								
EAI: \$2,172 Current yield: 2.11%								
	Aug 4, 11	174.000	41.632	7,244.05	68.400	11,901.60	4,657.55	LT
	Aug 12, 11	4.000	42.450	169.80	68.400	273.60	103.80	LT
	Jan 23, 13	910.000	54.240	49,358.63	68.400	62,244.00	12,885.37	LT
	Apr 22, 13	420.000	59.788	25,111.32	68.400	28,728.00	3,616.68	LT
Security total		1,508.000	54.300	81,883.80		103,147.20	21,263.40	
CONOCOPHILLIPS								
Symbol: COP Exchange: NYSE								
EAI: \$4,085 Current yield: 3.45%								
	Aug 4, 11	106.000	52.109	5,523.58	79.940	8,473.64	2,950.06	LT
	Aug 12, 11	2.000	51.435	102.87	79.940	159.88	57.01	LT

continued next page

SDNY_GM_00020533

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on May 30 (\$)	Value on May 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Aug 12, 11	3.000	85.910	257.73	101.430	304.29	46.56	LT
	Nov 29, 12	8.000	86.456	691.65	101.430	811.44	119.79	LT
	Jan 23, 13	555.000	93.053	51,644.75	101.430	56,293.65	4,648.90	LT
	Apr 22, 13	255.000	99.318	25,326.32	101.430	25,864.65	538.33	LT
	Sep 19, 13	78.000	97.879	7,634.63	101.430	7,911.54	276.91	ST
	Sep 19, 13	22.000	97.425	2,143.36	101.430	2,231.46	88.10	ST
	Sep 19, 13	2.000	97.830	195.66	101.430	202.86	7.20	ST
Security total		1,018.000	94.269	95,966.16		103,255.74	7,289.58	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$3,370 Current yield: 2.98%								
	Aug 4, 11	134.000	52.960	7,096.75	97.360	13,046.24	5,949.49	LT
	Aug 12, 11	3.000	52.530	157.59	97.360	292.08	134.49	LT
	Jan 23, 13	700.000	71.610	50,127.21	97.360	68,152.00	18,024.79	LT
	Apr 22, 13	325.000	79.757	25,921.06	97.360	31,642.00	5,720.94	LT
Security total		1,162.000	71.689	83,302.61		113,132.32	29,829.71	
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,791 Current yield: 2.89%								
	Feb 12, 14	148.000	92.171	13,641.35	99.690	14,754.12	1,112.77	ST
	Feb 12, 14	117.000	92.203	10,787.77	99.690	11,663.73	875.96	ST
	Feb 12, 14	32.000	92.215	2,950.91	99.690	3,190.08	239.17	ST
	Feb 12, 14	7.000	92.065	644.46	99.690	697.83	53.37	ST
	Feb 13, 14	110.000	92.095	10,130.45	99.690	10,965.90	835.45	ST
	Feb 13, 14	68.000	91.911	6,250.00	99.690	6,778.92	528.92	ST
	Feb 13, 14	33.000	91.560	3,021.49	99.690	3,289.77	268.28	ST
	Feb 13, 14	6.000	91.615	549.69	99.690	598.14	48.45	ST
	Feb 14, 14	334.000	95.389	31,860.13	99.690	33,296.46	1,436.33	ST
	Feb 18, 14	114.000	96.023	10,946.72	99.690	11,364.66	417.94	ST
Security total		969.000	93.687	90,782.97		96,599.61	5,816.64	
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,023 Current yield: 2.97%								
	Aug 4, 11	115.000	63.979	7,357.65	88.330	10,157.95	2,800.30	LT
	Aug 12, 11	3.000	63.023	189.07	88.330	264.99	75.92	LT

continued next page

SDNY_GM_00020535

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on May 30 (\$)	Value on May 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 1, 12	1.000	11.600	11.60	11.250	11.25	-0.35	LT
	Nov 2, 12	31.000	11.552	358.12	11.250	348.75	-9.37	LT
	Nov 5, 12	31.000	11.465	355.43	11.250	348.75	-6.68	LT
	Nov 5, 12	7.000	11.590	81.13	11.250	78.75	-2.38	LT
	Nov 6, 12	51.000	11.820	602.87	11.250	573.75	-29.12	LT
	Nov 6, 12	26.000	11.812	307.13	11.250	292.50	-14.63	LT
	Nov 7, 12	48.000	11.597	556.70	11.250	540.00	-16.70	LT
	Nov 7, 12	22.000	11.582	254.82	11.250	247.50	-7.32	LT
	Nov 8, 12	57.000	11.446	652.43	11.250	641.25	-11.18	LT
	Nov 8, 12	30.000	11.672	350.16	11.250	337.50	-12.66	LT
	Nov 8, 12	3.000	11.666	35.00	11.250	33.75	-1.25	LT
	Nov 29, 12	26.000	11.778	306.24	11.250	292.50	-13.74	LT
	Nov 29, 12	8.000	11.778	94.23	11.250	90.00	-4.23	LT
	Nov 29, 12	6.000	11.765	70.59	11.250	67.50	-3.09	LT
	Nov 30, 12	37.000	11.714	433.45	11.250	416.25	-17.20	LT
	Nov 30, 12	16.000	11.677	186.84	11.250	180.00	-6.84	LT
	Nov 30, 12	11.000	11.688	128.57	11.250	123.75	-4.82	LT
	Nov 30, 12	1.000	11.750	11.75	11.250	11.25	-0.50	LT
	Jan 23, 13	3,076.000	13.260	40,788.38	11.250	34,605.00	-6,183.38	LT
	Mar 7, 13	399.000	12.626	5,037.93	11.250	4,488.75	-549.18	LT
	Apr 22, 13	1,918.000	12.912	24,767.13	11.250	21,577.50	-3,189.63	LT
	Aug 26, 13	203.000	14.401	2,923.46	11.250	2,283.75	-639.71	ST
	Aug 26, 13	181.000	14.412	2,608.63	11.250	2,036.25	-572.38	ST
	Aug 27, 13	253.000	14.105	3,568.74	11.250	2,846.25	-722.49	ST
Security total		6,769.000	13.036	88,237.30		76,151.25	-12,086.05	
TARGET CORP								
Symbol: TGT Exchange: NYSE								
EAI: \$2,752 Current yield: 3.03%								
	Sep 23, 13	68.000	64.391	4,378.59	56.760	3,859.68	-518.91	ST
	Sep 23, 13	6.000	64.405	386.43	56.760	340.56	-45.87	ST
	Sep 24, 13	180.000	63.999	11,519.91	56.760	10,216.80	-1,303.11	ST
	Sep 24, 13	82.000	64.133	5,258.97	56.760	4,654.32	-604.65	ST

continued next page

SDNY_GM_00020537

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on May 30 (\$)	Value on May 30 (\$)	Unrealized gain or loss (\$)	Holding period
	May 1, 12	15.000	64.637	969.56	93.450	1,401.75	432.19	LT
	May 1, 12	6.000	64.715	388.29	93.450	560.70	172.41	LT
	May 1, 12	6.000	64.975	389.85	93.450	560.70	170.85	LT
	May 1, 12	2.000	64.850	129.70	93.450	186.90	57.20	LT
	May 1, 12	1.000	64.820	64.82	93.450	93.45	28.63	LT
	May 2, 12	7.000	64.374	450.62	93.450	654.15	203.53	LT
	May 2, 12	4.000	64.410	257.64	93.450	373.80	116.16	LT
	May 2, 12	2.000	64.320	128.64	93.450	186.90	58.26	LT
	May 3, 12	4.000	64.960	259.84	93.450	373.80	113.96	LT
	May 3, 12	2.000	64.675	129.35	93.450	186.90	57.55	LT
	May 3, 12	2.000	64.910	129.82	93.450	186.90	57.08	LT
	Jan 23, 13	629.000	77.560	48,785.62	93.450	58,780.05	9,994.43	LT
	Apr 22, 13	290.000	84.719	24,568.68	93.450	27,100.50	2,531.82	LT
	May 22, 13	111.000	83.807	9,302.58	93.450	10,372.95	1,070.37	LT
Security total		1,152.000	78.533	90,469.50		107,654.40	17,184.90	
UNITED PARCEL SERVICE INC CL B								
Symbol: UPS Exchange: NYSE								
EAI: \$2,843 Current yield: 2.58%								
	Sep 19, 13	82.000	91.779	7,525.90	103.880	8,518.16	992.26	ST
	Sep 19, 13	19.000	91.625	1,740.88	103.880	1,973.72	232.84	ST
	Sep 20, 13	107.000	91.805	9,823.18	103.880	11,115.16	1,291.98	ST
	Sep 20, 13	26.000	91.835	2,387.71	103.880	2,700.88	313.17	ST
	Sep 23, 13	93.000	91.049	8,467.59	103.880	9,660.84	1,193.25	ST
	Sep 24, 13	93.000	91.612	8,520.00	103.880	9,660.84	1,140.84	ST
	Sep 24, 13	41.000	91.663	3,758.20	103.880	4,259.08	500.88	ST
	Sep 25, 13	62.000	91.138	5,650.56	103.880	6,440.56	790.00	ST
	Sep 25, 13	11.000	91.090	1,001.99	103.880	1,142.68	140.69	ST
	Sep 26, 13	64.000	91.489	5,855.30	103.880	6,648.32	793.02	ST
	Sep 27, 13	54.000	91.117	4,920.33	103.880	5,609.52	689.19	ST
	Sep 30, 13	46.000	91.475	4,207.86	103.880	4,778.48	570.62	ST
	Oct 1, 13	46.000	91.668	4,216.73	103.880	4,778.48	561.75	ST
	Oct 1, 13	6.000	91.650	549.90	103.880	623.28	73.38	ST

continued next page

SDNY_GM_00020539

CNP70008005631665 NP7000190246 00002 0514 030575004 Y123568550 000000

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on May 30 (\$)	Value on May 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 28, 12	3.000	34.410	103.23	46.960	140.88	37.65	LT
	Nov 29, 12	15.000	34.583	518.75	46.960	704.40	185.65	LT
	Nov 29, 12	3.000	34.493	103.48	46.960	140.88	37.40	LT
	Jan 23, 13	1,087.000	36.805	40,008.01	46.960	51,045.52	11,037.51	LT
	Apr 22, 13	502.000	35.691	17,917.23	46.960	23,573.92	5,656.69	LT
Security total		1,798.000	36.246	65,171.15		84,434.08	19,262.93	
Total				\$1,715,949.62		\$2,045,902.23	\$329,952.61	

Total estimated annual income: **\$56,965**

Your total assets

		Value on May 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	52,904.29	2.52%	52,904.29		
Equities	Common stock	2,045,902.23	97.48%	1,715,949.62	56,965.00	329,952.61
Total		\$2,098,806.52	100.00%	\$1,768,853.91	\$56,965.00	\$329,952.61

Account activity this month

	Date	Activity	Description	Amount (\$)
Dividend and interest income				
<i>Taxable dividends</i>	May 1	Dividend	GENL MILLS INC PAID ON 1882	771.62
	May 15	Dividend	COLGATE PALMOLIVE CO PAID ON 1508	542.88
	May 15	Dividend	PROCTER & GAMBLE CO PAID ON 1134	729.84
	May 20	Dividend	CATERPILLAR INC PAID ON 1110	666.00
		Total taxable dividends		\$2,710.34
<i>Taxable interest</i>	May 7	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 05/06/14	1.20
		Total taxable interest		\$1.20
		Total dividend and interest income		\$2,711.54

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
Money balance activities	Apr 30	Balance forward		\$50,192.75
	May 2	Deposit	UBS BANK USA DEPOSIT ACCOUNT	771.62
	May 7	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 05/06/14	1.20
	May 16	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,272.72
	May 21	Deposit	UBS BANK USA DEPOSIT ACCOUNT	666.00
	May 30	Closing UBS Bank USA Deposit Account		\$52,904.29

The UBS Bank, USA Deposit Account is your primary sweep option.

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).

- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.

All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.

- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.

- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: RMA/BSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm

sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweep/yields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity.

The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account holder on the books and records of the applicable issuer or transfer agent);
- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP; partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each

account held, you choose one of the following investment objectives:

- *Produce Current Income:* Investments seeking the generation of income only.
- *Achieve Capital Appreciation:* Investments seeking growth of principal rather than the generation of income.
- *Produce Combination of Income and Capital Appreciation:* Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- *Conservative:* Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- *Moderate:* Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- *Aggressive:* Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- *Value of your account/portfolio.* Net of assets and liabilities.
- *Assets.* Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- *Liabilities.* Includes debit balances, outstanding margin loans, credit line, short account balances.
- *Cash/money balances.* Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

SDNY_GM_00020543

CONFIDENTIAL

EFTA_00131163

EFTA01273370

Important information about your statement (continued)

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accountdisclosures.

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

• **Cost basis.** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

• **Unrealized gains/losses.** When data is available, estimated unrealized gains/losses are calculated for individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

• **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield; complete information will be provided upon request.

• **Certificates of deposit (CDs).** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.

• **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that

you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.

- We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
- Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
- Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
- Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
- For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation. To obtain current quotations, when available, contact your Financial Advisor.

• Private investments and structured products.

Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.

- These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
- Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
- Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
- You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.
- Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
- When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.

- "Distributions to date" may include return of capital, income or both.
- "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

• **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

• Est. (estimated) income, current yields and rates.

- An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.
- Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
 - Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
 - An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

• Assets not held by UBS Financial Services.

Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

• Revenue sharing and additional compensation.

- In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
- We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the number of accounts at the broker-dealer holding mutual funds of that fund family.

- In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
- We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value

RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management Account are registered service marks of UBS Financial Services Inc.

Visa Signature is a registered service mark of Visa International. UBS Visa Signature credit cards and UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated.

UBS Financial Services Inc.

Rev. 201402

SDNY_GM_00020544

CONFIDENTIAL

EFTA_00131164

EFTA01273371



UBS Financial Services Inc.
299 Park Avenue
25th Floor
New York NY 10171-0002

CNP70064988950614 X123 ■ 0

UBS Strategic Advisor

June 2014

GHISLAINE MAXWELL
116 E 65TH STREET
NEW YORK NY 10065-7007

Account name: GHISLAINE MAXWELL

Friendly account name: [REDACTED]

Account number: [REDACTED] 55

Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED]

Questions about your statement?

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account 029023568.

Visit our website:

www.ubs.com/financialservices

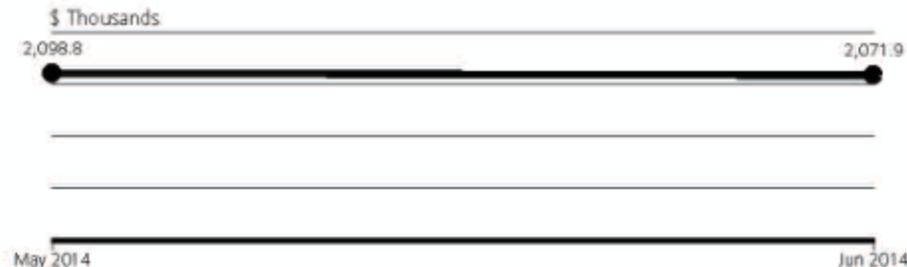
Items for your attention

► Reminder: Certain mutual fund shares held in select UBS Investment Advisory Programs will be converted starting in June. See your statement activity for details.

Value of your account

	on May 30 (\$)	on June 30 (\$)
Your assets	2,098,806.52	2,071,921.44
Your liabilities	0.00	0.00
Value of your account	\$2,098,806.52	\$2,071,921.44

Tracking the value of your account



Sources of your account growth during 2014

Value of your account at year end 2013	\$0.00
Net deposits and withdrawals	\$1,927,577.43
Your investment return:	
Dividend and interest income	\$18,463.38
Change in market value	\$125,880.63
Value of your account on Jun 30, 2014	\$2,071,921.44

CONFIDENTIAL



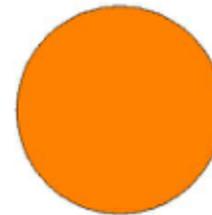
Your account balance sheet

Summary of your assets

	Value on June 30 (\$)	Percentage of your account
A Cash and money balances	0.00	0.00%
B Cash alternatives	0.00	0.00%
C Equities	2,071,921.44	100.00%
D Fixed income	0.00	0.00%
E Non-traditional	0.00	0.00%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$2,071,921.44	100.00%

Value of your account **\$2,071,921.44**

Your current asset allocation



C

► Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.

Eye on the markets

Index	Percentage change	
	June 2014	Year to date
S&P 500	2.07%	7.14%
Russell 3000	2.51%	6.94%
MSCI - Europe, Australia & Far East	0.99%	5.14%
Barclays Capital U.S. Aggregate Bond Index	0.05%	3.93%

Interest rates on June 30, 2014

3-month Treasury bills: 0.04%
One-month LIBOR: 0.16%

CONFIDENTIAL



Change in the value of your account

	June 2014 (\$)	Year to date (\$)
Opening account value	\$2,098,806.52	\$0.00
Deposits, including investments transferred in	367.91	1,988,961.76
Withdrawals and fees, including investments transferred out	-61,384.33	-61,384.33
Dividend and interest income	8,112.13	18,463.38
Change in market value	26,019.21	125,880.63
Closing account value	\$2,071,921.44	\$2,071,921.44

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	June 2014 (\$)	Year to date (\$)
Taxable dividends	8,110.02	18,458.90
Taxable interest	2.11	4.48
Total current year	\$8,112.13	\$18,463.38
Total dividend & interest	\$8,112.13	\$18,463.38

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)
	June 2014 (\$)	Year to date (\$)	
Short term	0.00	0.00	11,521.87
Long term	0.00	0.00	344,449.95
Total	\$0.00	\$0.00	\$355,971.82

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	June 2014 (\$)	Year to date (\$)
Opening balances	\$52,904.29	\$0.00
<i>Additions</i>		
Deposits and other funds credited	367.91	42,920.95
Dividend and interest income	8,112.13	18,463.38
Total additions	\$8,480.04	\$61,384.33
<i>Subtractions</i>		
Professional management fees and related services	-367.91	-367.91
Other funds debited	-61,016.42	-61,016.42
Total subtractions	-\$61,384.33	-\$61,384.33
Net cash flow	-\$52,904.29	\$0.00
Closing balances	\$0.00	\$0.00

CONFIDENTIAL



UBS Bank USA Deposit Account APY

Interest period May 7 - Jun 5

Opening UBS Bank USA Deposit balance May 7	\$50,965.57
Closing UBS Bank USA Deposit balance Jun 5	\$55,159.89
Number of days in interest period	30
Average daily balance	\$52,354.87
Interest earned	\$2.11
Annual percentage yield earned	0.05%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Current income & capital appreciation

Your risk profile:

Primary - Aggressive

Investment eligibility consideration - None selected

Your account instructions

- Your account is currently coded for margin.
- Your account cost basis default closing method is FIFO, First In, First Out.

CONFIDENTIAL



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on Jun 1 (\$)	Closing balance on Jun 30 (\$)	Price per share on Jun 30 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
Cash	0.00	-1,389.47					
UBS BANK USA DEP ACCT	52,904.29	1,389.47					250,000.00
Total	\$52,904.29	\$0.00					

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
ANALOG DEVICES INC								
Symbol: ADI Exchange: OTC								
EAI: \$2,591 Current yield: 2.74%								
	Nov 16, 11	13.000	37.316	485.12	54.070	702.91	217.79	LT
	Nov 17, 11	13.000	35.393	460.12	54.070	702.91	242.79	LT
	Nov 18, 11	35.000	35.502	1,242.58	54.070	1,892.45	649.87	LT
	Nov 21, 11	18.000	34.371	618.68	54.070	973.26	354.58	LT
	Nov 22, 11	15.000	33.338	500.07	54.070	811.05	310.98	LT
	Nov 23, 11	22.000	32.655	718.43	54.070	1,189.54	471.11	LT
	Nov 25, 11	7.000	32.460	227.22	54.070	378.49	151.27	LT
	Nov 28, 11	30.000	32.951	988.55	54.070	1,622.10	633.55	LT
	Nov 29, 11	18.000	33.472	602.51	54.070	973.26	370.75	LT

continued next page

SDNY_GM_00020549

CNP70009006498899 NP7000298741 00002 0614 030575004 Y123568550 111000

Page 13 of 102

CONFIDENTIAL

EFTA_00131169

EFTA01273376



Your assets » Equities » Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 29, 11	5.000	33.622	168.11	54.070	270.35	102.24	LT
	Apr 24, 12	30.000	37.567	1,127.01	54.070	1,622.10	495.09	LT
	Jan 23, 13	1,056.000	43.209	45,628.81	54.070	57,097.92	11,469.11	LT
	Apr 22, 13	489.000	42.447	20,756.68	54.070	26,440.23	5,683.55	LT
Security total		1,751.000	41.990	73,523.89		94,676.57	21,152.68	
AUTOMATIC DATA PROCESSNG INC								
Symbol: ADP Exchange: OTC								
EAI: \$2,442 Current yield: 2.42%								
	Aug 4, 11	146.000	48.469	7,076.53	79.280	11,574.88	4,498.35	LT
	Aug 12, 11	4.000	46.880	187.52	79.280	317.12	129.60	LT
	Jan 23, 13	767.000	59.890	45,936.09	79.280	60,807.76	14,871.67	LT
	Apr 22, 13	355.000	65.098	23,110.04	79.280	28,144.40	5,034.36	LT
Security total		1,272.000	59.992	76,310.18		100,844.16	24,533.98	
BAXTER INTL INC								
Symbol: BAX Exchange: NYSE								
EAI: \$3,236 Current yield: 2.88%								
	Jun 20, 12	30.000	51.594	1,547.84	72.300	2,169.00	621.16	LT
	Jun 20, 12	17.000	51.522	875.89	72.300	1,229.10	353.21	LT
	Jun 21, 12	29.000	52.077	1,510.25	72.300	2,096.70	586.45	LT
	Jun 21, 12	7.000	51.500	360.50	72.300	506.10	145.60	LT
	Jun 21, 12	5.000	52.216	261.08	72.300	361.50	100.42	LT
	Jun 22, 12	61.000	51.890	3,165.29	72.300	4,410.30	1,245.01	LT
	Jan 23, 13	768.000	66.658	51,193.80	72.300	55,526.40	4,332.60	LT
	Apr 22, 13	355.000	69.318	24,608.00	72.300	25,666.50	1,058.50	LT
	Sep 19, 13	74.000	72.165	5,340.28	72.300	5,350.20	9.92	ST
	Sep 19, 13	6.000	71.875	431.25	72.300	433.80	2.55	ST
	Sep 19, 13	3.000	71.880	215.64	72.300	216.90	1.26	ST
	Sep 20, 13	47.000	71.987	3,383.41	72.300	3,398.10	14.69	ST
	Oct 3, 13	154.000	64.600	9,948.49	72.300	11,134.20	1,185.71	ST
Security total		1,556.000	66.094	102,841.72		112,498.80	9,657.08	
BLACKROCK INC								
Symbol: BLK Exchange: NYSE								
EAI: \$2,872 Current yield: 2.42%								
	Oct 5, 12	7.000	189.932	1,329.53	319.600	2,237.20	907.67	LT
	Oct 5, 12	3.000	187.820	563.46	319.600	958.80	395.34	LT
	Oct 5, 12	2.000	186.670	373.34	319.600	639.20	265.86	LT

continued next page

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Oct 8, 12	8.000	188.783	1,510.27	319.600	2,556.80	1,046.53	LT
	Oct 9, 12	15.000	189.186	2,837.79	319.600	4,794.00	1,956.21	LT
	Oct 9, 12	2.000	189.010	378.02	319.600	639.20	261.18	LT
	Oct 10, 12	3.000	187.720	563.16	319.600	958.80	395.64	LT
	Oct 10, 12	2.000	187.670	375.34	319.600	639.20	263.86	LT
	Oct 10, 12	2.000	187.995	375.99	319.600	639.20	263.21	LT
	Jan 23, 13	224.000	236.966	53,080.41	319.600	71,590.40	18,509.99	LT
	Apr 22, 13	104.000	251.093	26,113.69	319.600	33,238.40	7,124.71	LT
Security total		372.000	235.218	87,501.00		118,891.20	31,390.20	
CATERPILLAR INC								
Symbol: CAT Exchange: NYSE								
EAI: \$3,108 Current yield: 2.58%								
	Jun 19, 13	72.000	84.718	6,099.75	108.670	7,824.24	1,724.49	LT
	Jun 20, 13	121.000	83.141	10,060.15	108.670	13,149.07	3,088.92	LT
	Jun 20, 13	78.000	83.030	6,476.39	108.670	8,476.26	1,999.87	LT
	Jun 21, 13	204.000	82.904	16,912.44	108.670	22,168.68	5,256.24	LT
	Jun 24, 13	111.000	81.517	9,048.46	108.670	12,062.37	3,013.91	LT
	Jun 25, 13	73.000	82.354	6,011.86	108.670	7,932.91	1,921.05	LT
	Jun 26, 13	69.000	82.259	5,675.90	108.670	7,498.23	1,822.33	LT
	Jun 27, 13	141.000	82.951	11,696.12	108.670	15,322.47	3,626.35	LT
	Jun 27, 13	7.000	82.925	580.48	108.670	760.69	180.21	LT
	Jun 28, 13	169.000	82.774	13,988.92	108.670	18,365.23	4,376.31	LT
	Jul 1, 13	65.000	82.781	5,380.78	108.670	7,063.55	1,682.77	ST
Security total		1,110.000	82.821	91,931.25		120,623.70	28,692.45	
COLGATE PALMOLIVE CO								
Symbol: CL Exchange: NYSE								
EAI: \$2,172 Current yield: 2.11%								
	Aug 4, 11	174.000	41.632	7,244.05	68.180	11,863.32	4,619.27	LT
	Aug 12, 11	4.000	42.450	169.80	68.180	272.72	102.92	LT
	Jan 23, 13	910.000	54.240	49,358.63	68.180	62,043.80	12,685.17	LT
	Apr 22, 13	420.000	59.788	25,111.32	68.180	28,635.60	3,524.28	LT
Security total		1,508.000	54.300	81,883.80		102,815.44	20,931.64	

continued next page

CONFIDENTIAL



Your assets » Equities » Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
CONOCOPHILLIPS								
Symbol: COP Exchange: NYSE EAI: \$4,085 Current yield: 3.22%								
	Aug 4, 11	106.000	52.109	5,523.58	85.730	9,087.38	3,563.80	LT
	Aug 12, 11	2.000	51.435	102.87	85.730	171.46	68.59	LT
	May 8, 12	16.000	53.400	854.40	85.730	1,371.68	517.28	LT
	May 8, 12	13.000	53.287	692.74	85.730	1,114.49	421.75	LT
	Jul 17, 12	14.000	55.940	783.17	85.730	1,200.22	417.05	LT
	Jan 23, 13	789.000	59.815	47,194.59	85.730	67,640.97	20,446.38	LT
	Mar 19, 13	138.000	59.137	8,160.98	85.730	11,830.74	3,669.76	LT
	Apr 22, 13	402.000	57.707	23,198.25	85.730	34,463.46	11,265.21	LT
Security total		1,480.000	58.453	86,510.58		126,880.40	40,369.82	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE EAI: \$3,086 Current yield: 3.12%								
	Aug 4, 11	191.000	36.265	6,926.77	52.540	10,035.14	3,108.37	LT
	Aug 12, 11	5.000	35.754	178.77	52.540	262.70	83.93	LT
	Jan 23, 13	1,001.000	41.387	41,428.89	52.540	52,592.54	11,163.65	LT
	Apr 22, 13	464.000	50.287	23,333.21	52.540	24,378.56	1,045.35	LT
	Jun 17, 13	148.000	49.739	7,361.45	52.540	7,775.92	414.47	LT
	Jun 18, 13	73.000	49.836	3,638.07	52.540	3,835.42	197.35	LT
Security total		1,882.000	44.031	82,867.16		98,880.28	16,013.12	
ILLINOIS TOOL WORKS INC								
Symbol: ITW Exchange: NYSE EAI: \$1,967 Current yield: 1.92%								
	Aug 4, 11	135.000	47.128	6,362.35	87.560	11,820.60	5,458.25	LT
	Aug 12, 11	3.000	45.240	135.72	87.560	262.68	126.96	LT
	Jan 23, 13	706.000	63.704	44,975.31	87.560	61,817.36	16,842.05	LT
	Apr 22, 13	327.000	60.685	19,844.22	87.560	28,632.12	8,787.90	LT
Security total		1,171.000	60.903	71,317.60		102,532.76	31,215.16	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE EAI: \$2,985 Current yield: 2.68%								
	Aug 4, 11	123.000	62.377	7,672.38	104.620	12,868.26	5,195.88	LT
	Aug 12, 11	3.000	63.730	191.19	104.620	313.86	122.67	LT
	Jan 23, 13	642.000	72.736	46,696.71	104.620	67,166.04	20,469.33	LT
	Apr 22, 13	298.000	84.721	25,247.10	104.620	31,176.76	5,929.66	LT

continued next page

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
Security total		1,066,000	74.866	79,807.38		111,524.92	31,717.54	
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,298 Current yield: 3.22%								
	Aug 4, 11	95,000	84.969	8,072.06	100.740	9,570.30	1,498.24	LT
	Aug 12, 11	3,000	85.910	257.73	100.740	302.22	44.49	LT
	Nov 29, 12	8,000	86.456	691.65	100.740	805.92	114.27	LT
	Jan 23, 13	555,000	93.053	51,644.75	100.740	55,910.70	4,265.95	LT
	Apr 22, 13	255,000	99.318	25,326.32	100.740	25,688.70	362.38	LT
	Sep 19, 13	78,000	97.879	7,634.63	100.740	7,857.72	223.09	ST
	Sep 19, 13	22,000	97.425	2,143.36	100.740	2,216.28	72.92	ST
	Sep 19, 13	2,000	97.830	195.66	100.740	201.48	5.82	ST
Security total		1,018,000	94.269	95,966.16		102,553.32	6,587.16	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$3,370 Current yield: 2.83%								
	Aug 4, 11	134,000	52.960	7,096.75	102.480	13,732.32	6,635.57	LT
	Aug 12, 11	3,000	52.530	157.59	102.480	307.44	149.85	LT
	Jan 23, 13	700,000	71.610	50,127.21	102.480	71,736.00	21,608.79	LT
	Apr 22, 13	325,000	79.757	25,921.06	102.480	33,306.00	7,384.94	LT
Security total		1,162,000	71.689	83,302.61		119,081.76	35,779.15	
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,791 Current yield: 2.81%								
	Feb 12, 14	148,000	92.171	13,641.35	102.630	15,189.24	1,547.89	ST
	Feb 12, 14	117,000	92.203	10,787.77	102.630	12,007.71	1,219.94	ST
	Feb 12, 14	32,000	92.215	2,950.91	102.630	3,284.16	333.25	ST
	Feb 12, 14	7,000	92.065	644.46	102.630	718.41	73.95	ST
	Feb 13, 14	110,000	92.095	10,130.45	102.630	11,289.30	1,158.85	ST
	Feb 13, 14	68,000	91.911	6,250.00	102.630	6,978.84	728.84	ST
	Feb 13, 14	33,000	91.560	3,021.49	102.630	3,386.79	365.30	ST
	Feb 13, 14	6,000	91.615	549.69	102.630	615.78	66.09	ST
	Feb 14, 14	334,000	95.389	31,860.13	102.630	34,278.42	2,418.29	ST
	Feb 18, 14	114,000	96.023	10,946.72	102.630	11,699.82	753.10	ST
Security total		969,000	93.687	90,782.97		99,448.47	8,665.50	

continued next page

SDNY_GM_00020553

CONFIDENTIAL



Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,023 Current yield: 2.93%								
	Aug 4, 11	115.000	63.979	7,357.65	89.340	10,274.10	2,916.45	LT
	Aug 12, 11	3.000	63.023	189.07	89.340	268.02	78.95	LT
	May 16, 12	6.000	68.535	411.21	89.340	536.04	124.83	LT
	Oct 24, 12	1.000	68.690	68.69	89.340	89.34	20.65	LT
	Oct 25, 12	2.000	68.810	137.62	89.340	178.68	41.06	LT
	Oct 26, 12	1.000	68.890	68.89	89.340	89.34	20.45	LT
	Oct 31, 12	1.000	69.370	69.37	89.340	89.34	19.97	LT
	Nov 6, 12	1.000	69.370	69.37	89.340	89.34	19.97	LT
	Nov 7, 12	1.000	69.150	69.15	89.340	89.34	20.19	LT
	Nov 8, 12	2.000	69.090	138.18	89.340	178.68	40.50	LT
	Jan 23, 13	699.000	72.166	50,444.31	89.340	62,448.66	12,004.35	LT
	Apr 22, 13	322.000	82.251	26,484.85	89.340	28,767.48	2,282.63	LT
Security total		1,154.000	74.097	85,508.36		103,098.36	17,590.00	
PROCTER & GAMBLE CO								
Symbol: PG Exchange: NYSE								
EAI: \$2,919 Current yield: 3.28%								
	Aug 4, 11	118.000	60.103	7,092.22	78.590	9,273.62	2,181.40	LT
	Aug 12, 11	3.000	60.896	182.69	78.590	235.77	53.08	LT
	Jan 23, 13	619.000	69.941	43,293.73	78.590	48,647.21	5,353.48	LT
	Apr 22, 13	286.000	81.332	23,261.18	78.590	22,476.74	-784.44	LT
	Apr 24, 13	108.000	77.762	8,398.32	78.590	8,487.72	89.40	LT
Security total		1,134.000	72.512	82,228.14		89,121.06	6,892.92	
STAPLES INC								
Symbol: SPLS Exchange: OTC								
EAI: \$3,249 Current yield: 4.43%								
	Oct 24, 12	63.000	11.313	712.74	10.840	682.92	-29.82	LT
	Oct 24, 12	1.000	11.360	11.36	10.840	10.84	-0.52	LT
	Oct 25, 12	57.000	11.391	649.29	10.840	617.88	-31.41	LT
	Oct 25, 12	46.000	11.420	525.36	10.840	498.64	-26.72	LT
	Oct 25, 12	8.000	11.430	91.44	10.840	86.72	-4.72	LT
	Oct 26, 12	51.000	11.400	581.42	10.840	552.84	-28.58	LT
	Oct 31, 12	12.000	11.526	138.32	10.840	130.08	-8.24	LT
	Oct 31, 12	3.000	11.566	34.70	10.840	32.52	-2.18	LT

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 1, 12	46.000	11.677	537.17	10.840	498.64	-38.53	LT
	Nov 1, 12	33.000	11.605	382.99	10.840	357.72	-25.27	LT
	Nov 1, 12	7.000	11.597	81.18	10.840	75.88	-5.30	LT
	Nov 1, 12	1.000	11.600	11.60	10.840	10.84	-0.76	LT
	Nov 2, 12	31.000	11.552	358.12	10.840	336.04	-22.08	LT
	Nov 5, 12	31.000	11.465	355.43	10.840	336.04	-19.39	LT
	Nov 5, 12	7.000	11.590	81.13	10.840	75.88	-5.25	LT
	Nov 6, 12	51.000	11.820	602.87	10.840	552.84	-50.03	LT
	Nov 6, 12	26.000	11.812	307.13	10.840	281.84	-25.29	LT
	Nov 7, 12	48.000	11.597	556.70	10.840	520.32	-36.38	LT
	Nov 7, 12	22.000	11.582	254.82	10.840	238.48	-16.34	LT
	Nov 8, 12	57.000	11.446	652.43	10.840	617.88	-34.55	LT
	Nov 8, 12	30.000	11.672	350.16	10.840	325.20	-24.96	LT
	Nov 8, 12	3.000	11.666	35.00	10.840	32.52	-2.48	LT
	Nov 29, 12	26.000	11.778	306.24	10.840	281.84	-24.40	LT
	Nov 29, 12	8.000	11.778	94.23	10.840	86.72	-7.51	LT
	Nov 29, 12	6.000	11.765	70.59	10.840	65.04	-5.55	LT
	Nov 30, 12	37.000	11.714	433.45	10.840	401.08	-32.37	LT
	Nov 30, 12	16.000	11.677	186.84	10.840	173.44	-13.40	LT
	Nov 30, 12	11.000	11.688	128.57	10.840	119.24	-9.33	LT
	Nov 30, 12	1.000	11.750	11.75	10.840	10.84	-0.91	LT
	Jan 23, 13	3,076.000	13.260	40,788.38	10.840	33,343.84	-7,444.54	LT
	Mar 7, 13	399.000	12.626	5,037.93	10.840	4,325.16	-712.77	LT
	Apr 22, 13	1,918.000	12.912	24,767.13	10.840	20,791.12	-3,976.01	LT
	Aug 26, 13	203.000	14.401	2,923.46	10.840	2,200.52	-722.94	ST
	Aug 26, 13	181.000	14.412	2,608.63	10.840	1,962.04	-646.59	ST
	Aug 27, 13	253.000	14.105	3,568.74	10.840	2,742.52	-826.22	ST
Security total		6,769.000	13.036	88,237.30		73,375.96	-14,861.34	
TARGET CORP								
Symbol: TGT Exchange: NYSE								
EAI: \$3,328 Current yield: 3.59%	Sep 23, 13	68.000	64.391	4,378.59	57.950	3,940.60	-437.99	ST

continued next page

SDNY_GM_00020555

CONFIDENTIAL



Your assets » **Equities** » **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Sep 23, 13	6.000	64.405	386.43	57.950	347.70	-38.73	ST
	Sep 24, 13	180.000	63.999	11,519.91	57.950	10,431.00	-1,088.91	ST
	Sep 24, 13	82.000	64.133	5,258.97	57.950	4,751.90	-507.07	ST
	Sep 25, 13	152.000	63.446	9,643.85	57.950	8,808.40	-835.45	ST
	Sep 25, 13	92.000	63.598	5,851.05	57.950	5,331.40	-519.65	ST
	Sep 25, 13	18.000	63.735	1,147.23	57.950	1,043.10	-104.13	ST
	Sep 25, 13	13.000	63.620	827.06	57.950	753.35	-73.71	ST
	Sep 26, 13	114.000	63.436	7,231.76	57.950	6,606.30	-625.46	ST
	Sep 27, 13	193.000	63.993	12,350.76	57.950	11,184.35	-1,166.41	ST
	Sep 30, 13	104.000	63.785	6,633.64	57.950	6,026.80	-606.84	ST
	Sep 30, 13	51.000	63.888	3,258.30	57.950	2,955.45	-302.85	ST
	Sep 30, 13	27.000	63.812	1,722.95	57.950	1,564.65	-158.30	ST
	Oct 1, 13	139.000	63.851	8,875.42	57.950	8,055.05	-820.37	ST
	Oct 1, 13	53.000	63.856	3,384.40	57.950	3,071.35	-313.05	ST
	Oct 1, 13	38.000	63.757	2,422.80	57.950	2,202.10	-220.70	ST
	Oct 1, 13	38.000	63.813	2,424.93	57.950	2,202.10	-222.83	ST
	Jan 7, 14	197.000	62.889	12,389.28	57.950	11,416.15	-973.13	ST
	Jan 7, 14	32.000	63.004	2,016.15	57.950	1,854.40	-161.75	ST
	Jan 7, 14	3.000	62.863	188.59	57.950	173.85	-14.74	ST
Security total		1,600.000	63.695	101,912.07		92,720.00	-9,192.07	
TRAVELERS COS INC/THE								
Symbol: TRV Exchange: NYSE								
EAI: \$2,534 Current yield: 2.34%								
	Apr 24, 12	20.000	63.432	1,268.64	94.070	1,881.40	612.76	LT
	Apr 24, 12	4.000	63.350	253.40	94.070	376.28	122.88	LT
	Apr 24, 12	1.000	63.560	63.56	94.070	94.07	30.51	LT
	Apr 25, 12	10.000	63.520	635.20	94.070	940.70	305.50	LT
	Apr 25, 12	10.000	63.617	636.17	94.070	940.70	304.53	LT
	Apr 25, 12	10.000	63.659	636.59	94.070	940.70	304.11	LT
	Apr 25, 12	2.000	63.545	127.09	94.070	188.14	61.05	LT
	Apr 25, 12	2.000	63.645	127.29	94.070	188.14	60.85	LT
	Apr 25, 12	2.000	63.745	127.49	94.070	188.14	60.65	LT
	Apr 26, 12	5.000	63.928	319.64	94.070	470.35	150.71	LT

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Apr 26, 12	2.000	63.920	127.84	94.070	188.14	60.30	LT
	Apr 26, 12	2.000	63.930	127.86	94.070	188.14	60.28	LT
	Apr 26, 12	1.000	63.720	63.72	94.070	94.07	30.35	LT
	May 1, 12	15.000	64.637	969.56	94.070	1,411.05	441.49	LT
	May 1, 12	6.000	64.715	388.29	94.070	564.42	176.13	LT
	May 1, 12	6.000	64.975	389.85	94.070	564.42	174.57	LT
	May 1, 12	2.000	64.850	129.70	94.070	188.14	58.44	LT
	May 1, 12	1.000	64.820	64.82	94.070	94.07	29.25	LT
	May 2, 12	7.000	64.374	450.62	94.070	658.49	207.87	LT
	May 2, 12	4.000	64.410	257.64	94.070	376.28	118.64	LT
	May 2, 12	2.000	64.320	128.64	94.070	188.14	59.50	LT
	May 3, 12	4.000	64.960	259.84	94.070	376.28	116.44	LT
	May 3, 12	2.000	64.675	129.35	94.070	188.14	58.79	LT
	May 3, 12	2.000	64.910	129.82	94.070	188.14	58.32	LT
	Jan 23, 13	629.000	77.560	48,785.62	94.070	59,170.03	10,384.41	LT
	Apr 22, 13	290.000	84.719	24,568.68	94.070	27,280.30	2,711.62	LT
	May 22, 13	111.000	83.807	9,302.58	94.070	10,441.77	1,139.19	LT
Security total		1,152.000	78.533	90,469.50		108,368.64	17,899.14	
UNITED PARCEL SERVICE INC CL B								
Symbol: UPS Exchange: NYSE								
EAI: \$2,843 Current yield: 2.61%								
	Sep 19, 13	82.000	91.779	7,525.90	102.660	8,418.12	892.22	ST
	Sep 19, 13	19.000	91.625	1,740.88	102.660	1,950.54	209.66	ST
	Sep 20, 13	107.000	91.805	9,823.18	102.660	10,984.62	1,161.44	ST
	Sep 20, 13	26.000	91.835	2,387.71	102.660	2,669.16	281.45	ST
	Sep 23, 13	93.000	91.049	8,467.59	102.660	9,547.38	1,079.79	ST
	Sep 24, 13	93.000	91.612	8,520.00	102.660	9,547.38	1,027.38	ST
	Sep 24, 13	41.000	91.663	3,758.20	102.660	4,209.06	450.86	ST
	Sep 25, 13	62.000	91.138	5,650.56	102.660	6,364.92	714.36	ST
	Sep 25, 13	11.000	91.090	1,001.99	102.660	1,129.26	127.27	ST
	Sep 26, 13	64.000	91.489	5,855.30	102.660	6,570.24	714.94	ST
	Sep 27, 13	54.000	91.117	4,920.33	102.660	5,543.64	623.31	ST

continued next page

SDNY_GM_00020557

CNP70009006498907 NP7000298741 00002 0614 030575004 Y123568550 111000

Page 21 of 102

CONFIDENTIAL

EFTA_00131177

EFTA01273384



Your assets » Equities » Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Sep 30, 13	46.000	91.475	4,207.86	102.660	4,722.36	514.50	ST
	Oct 1, 13	46.000	91.668	4,216.73	102.660	4,722.36	505.63	ST
	Oct 1, 13	6.000	91.650	549.90	102.660	615.96	66.06	ST
	Oct 2, 13	61.000	91.128	5,558.84	102.660	6,262.26	703.42	ST
	Oct 2, 13	19.000	91.067	1,730.29	102.660	1,950.54	220.25	ST
	Oct 3, 13	55.000	90.337	4,968.58	102.660	5,646.30	677.72	ST
	Oct 4, 13	55.000	90.653	4,985.96	102.660	5,646.30	660.34	ST
	Jan 17, 14	121.000	99.231	12,007.00	102.660	12,421.86	414.86	ST
Security total		1,061.000	92.250	97,876.80		108,922.26	11,045.46	
XILINX INC								
Symbol: XLNX Exchange: OTC								
EAI: \$2,086 Current yield: 2.45%								
	Sep 7, 12	25.000	34.770	869.27	47.310	1,182.75	313.48	LT
	Sep 7, 12	5.000	34.846	174.23	47.310	236.55	62.32	LT
	Sep 10, 12	37.000	34.845	1,289.29	47.310	1,750.47	461.18	LT
	Sep 10, 12	3.000	34.660	103.98	47.310	141.93	37.95	LT
	Sep 11, 12	20.000	34.853	697.06	47.310	946.20	249.14	LT
	Sep 12, 12	18.000	35.006	630.11	47.310	851.58	221.47	LT
	Sep 13, 12	21.000	34.886	732.61	47.310	993.51	260.90	LT
	Sep 14, 12	19.000	35.536	675.19	47.310	898.89	223.70	LT
	Sep 17, 12	7.000	35.151	246.06	47.310	331.17	85.11	LT
	Oct 24, 12	3.000	32.523	97.57	47.310	141.93	44.36	LT
	Oct 25, 12	5.000	32.522	162.61	47.310	236.55	73.94	LT
	Oct 26, 12	3.000	32.776	98.33	47.310	141.93	43.60	LT
	Oct 31, 12	1.000	32.770	32.77	47.310	47.31	14.54	LT
	Nov 1, 12	2.000	33.360	66.72	47.310	94.62	27.90	LT
	Nov 1, 12	1.000	33.520	33.52	47.310	47.31	13.79	LT
	Nov 1, 12	1.000	33.530	33.53	47.310	47.31	13.78	LT
	Nov 2, 12	1.000	33.550	33.55	47.310	47.31	13.76	LT
	Nov 5, 12	1.000	33.190	33.19	47.310	47.31	14.12	LT
	Nov 6, 12	3.000	33.886	101.66	47.310	141.93	40.27	LT
	Nov 7, 12	2.000	34.025	68.05	47.310	94.62	26.57	LT
	Nov 7, 12	1.000	33.910	33.91	47.310	47.31	13.40	LT

continued next page

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 8, 12	4.000	34.032	136.13	47.310	189.24	53.11	LT
	Nov 8, 12	1.000	33.860	33.86	47.310	47.31	13.45	LT
	Nov 28, 12	4.000	34.312	137.25	47.310	189.24	51.99	LT
	Nov 28, 12	3.000	34.410	103.23	47.310	141.93	38.70	LT
	Nov 29, 12	15.000	34.583	518.75	47.310	709.65	190.90	LT
	Nov 29, 12	3.000	34.493	103.48	47.310	141.93	38.45	LT
	Jan 23, 13	1,087.000	36.805	40,008.01	47.310	51,425.97	11,417.96	LT
	Apr 22, 13	502.000	35.691	17,917.23	47.310	23,749.62	5,832.39	LT
Security total		1,798.000	36.246	65,171.15		85,063.38	19,892.23	
Total				\$1,715,949.62		\$2,071,921.44	\$355,971.82	

Total estimated annual income: \$57,985

Your total assets

	Value on Jun 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Equities	2,071,921.44	100.00%	1,715,949.62	57,985.00	355,971.82
Total	\$2,071,921.44	100.00%	\$1,715,949.62	\$57,985.00	\$355,971.82

Account activity this month

	Date	Activity	Description	Amount (\$)
Deposits and other funds credited	Jun 27	Transfer	FM [REDACTED] 23575 0100	367.91
	Total deposits and other funds credited			\$367.91
Dividend and interest income <i>Taxable dividends</i>	Jun 2	Dividend	CONOCOPHILLIPS PAID ON 1480	1,021.20
	Jun 4	Dividend	UNITED PARCEL SERVICE INC CL B PAID ON 1061	710.87
	Jun 4	Dividend	XILINX INC PAID ON 1798	521.42
	Jun 10	Dividend	ANALOG DEVICES INC PAID ON 1751	647.87
	Jun 10	Dividend	JOHNSON & JOHNSON COM PAID ON 1066	746.20
	Jun 10	Dividend	TARGET CORP PAID ON 1600	688.00

continued next page

SDNY_GM_00020559

CNP70009006498909 NP7000298741 00002 0614 030575004 Y123568550 111000

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
Dividend and interest income (continued)				
<i>Taxable dividends (continued)</i>				
	Jun 16	Dividend	MCDONALDS CORP PAID ON 1018	824.58
	Jun 16	Dividend	NEXTERA ENERGY INC COM PAID ON 1162	842.45
	Jun 23	Dividend	BLACKROCK INC PAID ON 372	717.96
	Jun 27	Dividend	PEPSICO INC PAID ON 1154	755.87
	Jun 27	Dividend	TRAVELERS COS INC/THE PAID ON 1152	633.60
			Total taxable dividends	\$8,110.02
<i>Taxable interest</i>				
	Jun 6	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 06/05/14	2.11
			Total taxable interest	\$2.11
			Total dividend and interest income	\$8,112.13
Fees				
	Jun 26	Fee Charged	INITIAL FEE	-367.91
			Total professional management fees	-\$367.91
Other funds debited				
	Jun 6	Transfer	TO [REDACTED] 23575 0100	-55,157.78
	Jun 9	Transfer	TO [REDACTED] 23575 0100	-2.11
	Jun 16	Transfer	TO [REDACTED] 23575 0100	-2,082.07
	Jun 19	Transfer	TO [REDACTED] 23575 0100	-1,667.03
	Jun 24	Transfer	TO [REDACTED] 23575 0100	-717.96
	Jun 30	Transfer	TO Y1 23575 0100	-1,389.47
			Total other funds debited	-\$61,016.42
Money balance activities				
	May 30		Balance forward	\$52,904.29
	Jun 3	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,021.20
	Jun 5	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,232.29
	Jun 6	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 06/05/14	2.11
	Jun 9	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 06/06/14	-55,157.78
	Jun 10	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 06/09/14	-2.11
	Jun 11	Deposit	UBS BANK USA DEPOSIT ACCOUNT	2,082.07
	Jun 17	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 06/16/14	-415.04
	Jun 20	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 06/19/14	-1,667.03
	Jun 24	Deposit	UBS BANK USA DEPOSIT ACCOUNT	717.96

continued next page

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
Money balance activities (continued)	Jun 25	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 06/24/14	-717.96
	Jun 30	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,389.47
	Jun 30	Closing UBS Bank USA Deposit Account		\$1,389.47

The UBS Bank USA Deposit Account is your primary sweep option.

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).

- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.

All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.

- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.

- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: RMA/BSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm

sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweep/yields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity.

The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account holder on the books and records of the applicable issuer or transfer agent);
- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP; partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each

account held, you choose one of the following investment objectives:

- *Produce Current Income:* Investments seeking the generation of income only.
- *Achieve Capital Appreciation:* Investments seeking growth of principal rather than the generation of income.
- *Produce Combination of Income and Capital Appreciation:* Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- *Conservative:* Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- *Moderate:* Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- *Aggressive:* Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- *Value of your account/portfolio.* Net of assets and liabilities.
- *Assets.* Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- *Liabilities.* Includes debit balances, outstanding margin loans, credit line, short account balances.
- *Cash/money balances.* Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

SDNY_GM_00020563

CONFIDENTIAL

EFTA_00131183

EFTA01273390

Important information about your statement (continued)

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accountdisclosures.

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

• **Cost basis.** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

• **Unrealized gains/losses.** When data is available, estimated unrealized gains/losses are calculated for individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

• **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield; complete information will be provided upon request.

• **Certificates of deposit (CDs).** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.

• **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that

you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.

- We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
- Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
- Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
- Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
- For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation. To obtain current quotations, when available, contact your Financial Advisor.

• Private investments and structured products.

Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.

- These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
- Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
- Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
- You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.
- Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
- When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.

- "Distributions to date" may include return of capital, income or both.
- "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

• **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

• Est. (estimated) income, current yields and rates.

- An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.
- Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
 - Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
 - An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

• Assets not held by UBS Financial Services.

Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

• Revenue sharing and additional compensation.

- In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
- We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the number of accounts at the broker-dealer holding mutual funds of that fund family.

- In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
- We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value

RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management Account are registered service marks of UBS Financial Services Inc.

Visa Signature is a registered service mark of Visa International. UBS Visa Signature credit cards and UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated.

UBS Financial Services Inc.

Rev. 201402

SDNY_GM_00020564

CONFIDENTIAL

EFTA_00131184

EFTA01273391



UBS Financial Services Inc.
299 Park Avenue
25th Floor
New York NY 10171-0002

CNP70057894250714 X2 0

UBS Strategic Advisor

July 2014

GHISLAINE MAXWELL
116 E 65TH STREET
NEW YORK NY 10065-7007

Account name: GHISLAINE MAXWELL

Friendly account name: indiv. [REDACTED]

Account number: [REDACTED] SS

Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED]

Questions about your statement?

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account 029023568.

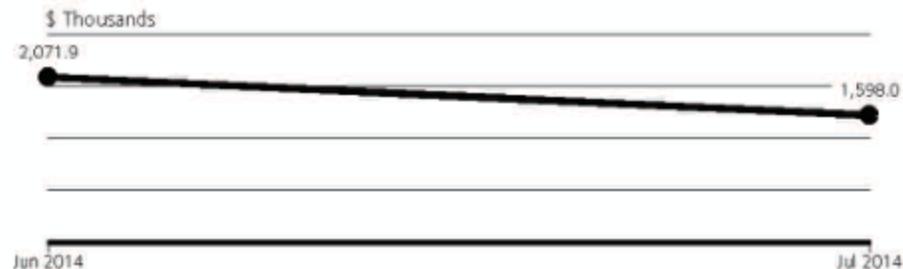
Visit our website:

www.ubs.com/financialservices

Value of your account

	on June 30 (\$)	on July 31 (\$)
Your assets	2,071,921.44	1,597,952.47
Your liabilities	0.00	0.00
Value of your account	\$2,071,921.44	\$1,597,952.47

Tracking the value of your account



Sources of your account growth during 2014

Value of your account at year end 2013	\$0.00
Net deposits and withdrawals	\$1,525,578.34
Your investment return:	
Dividend and interest income	\$21,884.84
Change in market value	\$50,489.29
Value of your account on Jul 31, 2014	\$1,597,952.47

CONFIDENTIAL



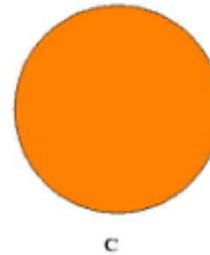
Your account balance sheet

Summary of your assets

	Value on July 31 (\$)	Percentage of your account
A Cash and money balances	0.00	0.00%
B Cash alternatives	0.00	0.00%
C Equities	1,597,952.47	100.00%
D Fixed income	0.00	0.00%
E Non-traditional	0.00	0.00%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$1,597,952.47	100.00%

Value of your account **\$1,597,952.47**

Your current asset allocation



Eye on the markets

Index	Percentage change	
	July 2014	Year to date
S&P 500	-1.38%	5.66%
Russell 3000	-1.97%	4.83%
MSCI - Europe, Australia & Far East	-1.96%	3.08%
Barclays Capital U.S. Aggregate Bond Index	-0.25%	3.66%

Interest rates on July 31, 2014

3-month Treasury bills: 0.03%
One-month LIBOR: 0.16%

CONFIDENTIAL



Change in the value of your account

	July 2014 (\$)	Year to date (\$)
Opening account value	\$2,071,921.44	\$0.00
Deposits, including investments transferred in	5,920.06	1,994,881.82
Withdrawals and fees, including investments transferred out	-407,919.15	-469,303.48
Dividend and interest income	3,421.46	21,884.84
Change in market value	-75,391.34	50,489.29
Closing account value	\$1,597,952.47	\$1,597,952.47

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	July 2014 (\$)	Year to date (\$)
Taxable dividends	3,421.46	21,880.36
Taxable interest	0.00	4.48
Total current year	\$3,421.46	\$21,884.84
Total dividend & interest	\$3,421.46	\$21,884.84

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)
	July 2014 (\$)	Year to date (\$)	
Short term	-7,125.69	-7,125.69	10,598.07
Long term	57,725.77	57,725.77	219,382.33
Total	\$50,600.08	\$50,600.08	\$229,980.40

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	July 2014 (\$)	Year to date (\$)
Opening balances	\$0.00	\$0.00
<i>Additions</i>		
Deposits and other funds credited	5,920.06	48,841.01
Dividend and interest income	3,421.46	21,884.84
Proceeds from investment transactions	398,577.63	398,577.63
Total additions	\$407,919.15	\$469,303.48
<i>Subtractions</i>		
Professional management fees and related services	-2,611.19	-2,979.10
Other funds debited	-405,307.96	-466,324.38
Total subtractions	-\$407,919.15	-\$469,303.48
Closing balances	\$0.00	\$0.00

CONFIDENTIAL



UBS Bank USA Deposit Account APY

Interest period Jun 6 - Jul 7

Opening UBS Bank USA Deposit balance Jun 6	\$55,159.89
Closing UBS Bank USA Deposit balance Jul 7	\$0.00
Number of days in interest period	32
Average daily balance	\$481.81
Interest earned	\$0.00
Annual percentage yield earned	0.00%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Current income & capital appreciation

Your risk profile:

Primary - Aggressive

Investment eligibility consideration - None selected

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

CONFIDENTIAL



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Holding	Opening balance on Jul 1 (\$)	Closing balance on Jul 31 (\$)	Price per share on Jul 31 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
Cash	-1,389.47	0.00					
UBS BANK USA DEP ACCT	1,389.47	0.00					250,000.00
Total	\$0.00	\$0.00					

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jul 31 (\$)	Value on Jul 31 (\$)	Unrealized gain or loss (\$)	Holding period
ANALOG DEVICES INC								
Symbol: ADI Exchange: OTC								
EAI: \$2,591 Current yield: 2.98%								
	Nov 16, 11	13.000	37.316	485.12	49.630	645.19	160.07	LT
	Nov 17, 11	13.000	35.393	460.12	49.630	645.19	185.07	LT
	Nov 18, 11	35.000	35.502	1,242.58	49.630	1,737.05	494.47	LT
	Nov 21, 11	18.000	34.371	618.68	49.630	893.34	274.66	LT
	Nov 22, 11	15.000	33.338	500.07	49.630	744.45	244.38	LT
	Nov 23, 11	22.000	32.655	718.43	49.630	1,091.86	373.43	LT
	Nov 25, 11	7.000	32.460	227.22	49.630	347.41	120.19	LT
	Nov 28, 11	30.000	32.951	988.55	49.630	1,488.90	500.35	LT
	Nov 29, 11	18.000	33.472	602.51	49.630	893.34	290.83	LT
	Nov 29, 11	5.000	33.622	168.11	49.630	248.15	80.04	LT
	Apr 24, 12	30.000	37.567	1,127.01	49.630	1,488.90	361.89	LT
	Jan 23, 13	1,056.000	43.209	45,628.81	49.630	52,409.28	6,780.47	LT
	Apr 22, 13	489.000	42.447	20,756.68	49.630	24,269.07	3,512.39	LT
Security total		1,751.000	41.990	73,523.89		86,902.13	13,378.24	

continued next page

SDNY_GM_00020569

CNP70009005789429 NP7000188665 00002 0714 030575004 Y123568550 010000

Page 13 of 100

CONFIDENTIAL

EFTA_00131189

EFTA01273396



Your assets » Equities » Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jul 31 (\$)	Value on Jul 31 (\$)	Unrealized gain or loss (\$)	Holding period
AUTOMATIC DATA PROCESSING INC								
Symbol: ADP Exchange: OTC								
EAI: \$2,442 Current yield: 2.36%								
	Aug 4, 11	146.000	48.469	7,076.53	81.310	11,871.26	4,794.73	LT
	Aug 12, 11	4.000	46.880	187.52	81.310	325.24	137.72	LT
	Jan 23, 13	767.000	59.890	45,936.09	81.310	62,364.77	16,428.68	LT
	Apr 22, 13	355.000	65.098	23,110.04	81.310	28,865.05	5,755.01	LT
Security total		1,272.000	59.992	76,310.18		103,426.32	27,116.14	
BAXTER INTL INC								
Symbol: BAX Exchange: NYSE								
EAI: \$3,236 Current yield: 2.78%								
	Jun 20, 12	30.000	51.594	1,547.84	74.690	2,240.70	692.86	LT
	Jun 20, 12	17.000	51.522	875.89	74.690	1,269.73	393.84	LT
	Jun 21, 12	29.000	52.077	1,510.25	74.690	2,166.01	655.76	LT
	Jun 21, 12	7.000	51.500	360.50	74.690	522.83	162.33	LT
	Jun 21, 12	5.000	52.216	261.08	74.690	373.45	112.37	LT
	Jun 22, 12	61.000	51.890	3,165.29	74.690	4,556.09	1,390.80	LT
	Jan 23, 13	768.000	66.658	51,193.80	74.690	57,361.92	6,168.12	LT
	Apr 22, 13	355.000	69.318	24,608.00	74.690	26,514.95	1,906.95	LT
	Sep 19, 13	74.000	72.165	5,340.28	74.690	5,527.06	186.78	ST
	Sep 19, 13	6.000	71.875	431.25	74.690	448.14	16.89	ST
	Sep 19, 13	3.000	71.880	215.64	74.690	224.07	8.43	ST
	Sep 20, 13	47.000	71.987	3,383.41	74.690	3,510.43	127.02	ST
	Oct 3, 13	154.000	64.600	9,948.49	74.690	11,502.26	1,553.77	ST
Security total		1,556.000	66.094	102,841.72		116,217.64	13,375.92	
BLACKROCK INC								
Symbol: BLK Exchange: NYSE								
EAI: \$2,872 Current yield: 2.53%								
	Oct 5, 12	7.000	189.932	1,329.53	304.730	2,133.11	803.58	LT
	Oct 5, 12	3.000	187.820	563.46	304.730	914.19	350.73	LT
	Oct 5, 12	2.000	186.670	373.34	304.730	609.46	236.12	LT
	Oct 8, 12	8.000	188.783	1,510.27	304.730	2,437.84	927.57	LT
	Oct 9, 12	15.000	189.186	2,837.79	304.730	4,570.95	1,733.16	LT
	Oct 9, 12	2.000	189.010	378.02	304.730	609.46	231.44	LT
	Oct 10, 12	3.000	187.720	563.16	304.730	914.19	351.03	LT
	Oct 10, 12	2.000	187.670	375.34	304.730	609.46	234.12	LT

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jul 31 (\$)	Value on Jul 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Oct 10, 12	2.000	187.995	375.99	304.730	609.46	233.47	LT
	Jan 23, 13	224.000	236.966	53,080.41	304.730	68,259.52	15,179.11	LT
	Apr 22, 13	104.000	251.093	26,113.69	304.730	31,691.92	5,578.23	LT
Security total		372.000	235.218	87,501.00		113,359.56	25,858.56	
CATERPILLAR INC								
Symbol: CAT Exchange: NYSE								
EAI: \$3,108 Current yield: 2.78%								
	Jun 19, 13	72.000	84.718	6,099.75	100.750	7,254.00	1,154.25	LT
	Jun 20, 13	121.000	83.141	10,060.15	100.750	12,190.75	2,130.60	LT
	Jun 20, 13	78.000	83.030	6,476.39	100.750	7,858.50	1,382.11	LT
	Jun 21, 13	204.000	82.904	16,912.44	100.750	20,553.00	3,640.56	LT
	Jun 24, 13	111.000	81.517	9,048.46	100.750	11,183.25	2,134.79	LT
	Jun 25, 13	73.000	82.354	6,011.86	100.750	7,354.75	1,342.89	LT
	Jun 26, 13	69.000	82.259	5,675.90	100.750	6,951.75	1,275.85	LT
	Jun 27, 13	141.000	82.951	11,696.12	100.750	14,205.75	2,509.63	LT
	Jun 27, 13	7.000	82.925	580.48	100.750	705.25	124.77	LT
	Jun 28, 13	169.000	82.774	13,988.92	100.750	17,026.75	3,037.83	LT
	Jul 1, 13	65.000	82.781	5,380.78	100.750	6,548.75	1,167.97	LT
Security total		1,110.000	82.821	91,931.25		111,832.50	19,901.25	
COLGATE PALMOLIVE CO								
Symbol: CL Exchange: NYSE								
EAI: \$2,172 Current yield: 2.27%								
	Aug 4, 11	174.000	41.632	7,244.05	63.400	11,031.60	3,787.55	LT
	Aug 12, 11	4.000	42.450	169.80	63.400	253.60	83.80	LT
	Jan 23, 13	910.000	54.240	49,358.63	63.400	57,694.00	8,335.37	LT
	Apr 22, 13	420.000	59.788	25,111.32	63.400	26,628.00	1,516.68	LT
Security total		1,508.000	54.300	81,883.80		95,607.20	13,723.40	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE								
EAI: \$3,086 Current yield: 3.27%								
	Aug 4, 11	191.000	36.265	6,926.77	50.150	9,578.65	2,651.88	LT
	Aug 12, 11	5.000	35.754	178.77	50.150	250.75	71.98	LT
	Jan 23, 13	1,001.000	41.387	41,428.89	50.150	50,200.15	8,771.26	LT
	Apr 22, 13	464.000	50.287	23,333.21	50.150	23,269.60	-63.61	LT
	Jun 17, 13	148.000	49.739	7,361.45	50.150	7,422.20	60.75	LT

continued next page

SDNY_GM_00020571

CONFIDENTIAL



Your assets » Equities » Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jul 31 (\$)	Value on Jul 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Jun 18, 13	73.000	49.836	3,638.07	50.150	3,660.95	22.88	LT
Security total		1,882.000	44.031	82,867.16		94,382.30	11,515.14	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$2,985 Current yield: 2.80%								
	Aug 4, 11	123.000	62.377	7,672.38	100.090	12,311.07	4,638.69	LT
	Aug 12, 11	3.000	63.730	191.19	100.090	300.27	109.08	LT
	Jan 23, 13	642.000	72.736	46,696.71	100.090	64,257.78	17,561.07	LT
	Apr 22, 13	298.000	84.721	25,247.10	100.090	29,826.82	4,579.72	LT
Security total		1,066.000	74.866	79,807.38		106,695.94	26,888.56	
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,298 Current yield: 3.43%								
	Aug 4, 11	95.000	84.969	8,072.06	94.560	8,983.20	911.14	LT
	Aug 12, 11	3.000	85.910	257.73	94.560	283.68	25.95	LT
	Nov 29, 12	8.000	86.456	691.65	94.560	756.48	64.83	LT
	Jan 23, 13	555.000	93.053	51,644.75	94.560	52,480.80	836.05	LT
	Apr 22, 13	255.000	99.318	25,326.32	94.560	24,112.80	-1,213.52	LT
	Sep 19, 13	78.000	97.879	7,634.63	94.560	7,375.68	-258.95	ST
	Sep 19, 13	22.000	97.425	2,143.36	94.560	2,080.32	-63.04	ST
	Sep 19, 13	2.000	97.830	195.66	94.560	189.12	-6.54	ST
Security total		1,018.000	94.269	95,966.16		96,262.08	295.92	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$3,370 Current yield: 3.09%								
	Aug 4, 11	134.000	52.960	7,096.75	93.890	12,581.26	5,484.51	LT
	Aug 12, 11	3.000	52.530	157.59	93.890	281.67	124.08	LT
	Jan 23, 13	700.000	71.610	50,127.21	93.890	65,723.00	15,595.79	LT
	Apr 22, 13	325.000	79.757	25,921.06	93.890	30,514.25	4,593.19	LT
Security total		1,162.000	71.689	83,302.61		109,100.18	25,797.57	
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,791 Current yield: 2.95%								
	Feb 12, 14	148.000	92.171	13,641.35	97.710	14,461.08	819.73	ST
	Feb 12, 14	117.000	92.203	10,787.77	97.710	11,432.07	644.30	ST
	Feb 12, 14	32.000	92.215	2,950.91	97.710	3,126.72	175.81	ST
	Feb 12, 14	7.000	92.065	644.46	97.710	683.97	39.51	ST

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jul 31 (\$)	Value on Jul 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Feb 13, 14	110.000	92.095	10,130.45	97.710	10,748.10	617.65	ST
	Feb 13, 14	68.000	91.911	6,250.00	97.710	6,644.28	394.28	ST
	Feb 13, 14	33.000	91.560	3,021.49	97.710	3,224.43	202.94	ST
	Feb 13, 14	6.000	91.615	549.69	97.710	586.26	36.57	ST
	Feb 14, 14	334.000	95.389	31,860.13	97.710	32,635.14	775.01	ST
	Feb 18, 14	114.000	96.023	10,946.72	97.710	11,138.94	192.22	ST
Security total		969.000	93.687	90,782.97		94,680.99	3,898.02	
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,023 Current yield: 2.97%								
	Aug 4, 11	115.000	63.979	7,357.65	88.100	10,131.50	2,773.85	LT
	Aug 12, 11	3.000	63.023	189.07	88.100	264.30	75.23	LT
	May 16, 12	6.000	68.535	411.21	88.100	528.60	117.39	LT
	Oct 24, 12	1.000	68.690	68.69	88.100	88.10	19.41	LT
	Oct 25, 12	2.000	68.810	137.62	88.100	176.20	38.58	LT
	Oct 26, 12	1.000	68.890	68.89	88.100	88.10	19.21	LT
	Oct 31, 12	1.000	69.370	69.37	88.100	88.10	18.73	LT
	Nov 6, 12	1.000	69.370	69.37	88.100	88.10	18.73	LT
	Nov 7, 12	1.000	69.150	69.15	88.100	88.10	18.95	LT
	Nov 8, 12	2.000	69.090	138.18	88.100	176.20	38.02	LT
	Jan 23, 13	699.000	72.166	50,444.31	88.100	61,581.90	11,137.59	LT
	Apr 22, 13	322.000	82.251	26,484.85	88.100	28,368.20	1,883.35	LT
Security total		1,154.000	74.097	85,508.36		101,667.40	16,159.04	
PROCTER & GAMBLE CO								
Symbol: PG Exchange: NYSE								
EAI: \$2,919 Current yield: 3.33%								
	Aug 4, 11	118.000	60.103	7,092.22	77.320	9,123.76	2,031.54	LT
	Aug 12, 11	3.000	60.896	182.69	77.320	231.96	49.27	LT
	Jan 23, 13	619.000	69.941	43,293.73	77.320	47,861.08	4,567.35	LT
	Apr 22, 13	286.000	81.332	23,261.18	77.320	22,113.52	-1,147.66	LT
	Apr 24, 13	108.000	77.762	8,398.32	77.320	8,350.56	-47.76	LT
Security total		1,134.000	72.512	82,228.14		87,680.88	5,452.74	

continued next page

CONFIDENTIAL



Your assets » Equities » Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jul 31 (\$)	Value on Jul 31 (\$)	Unrealized gain or loss (\$)	Holding period
TRAVELERS COS INC/THE								
Symbol: TRV Exchange: NYSE								
EAI: \$2,534 Current yield: 2.46%								
	Apr 24, 12	20.000	63.432	1,268.64	89.560	1,791.20	522.56	LT
	Apr 24, 12	4.000	63.350	253.40	89.560	358.24	104.84	LT
	Apr 24, 12	1.000	63.560	63.56	89.560	89.56	26.00	LT
	Apr 25, 12	10.000	63.520	635.20	89.560	895.60	260.40	LT
	Apr 25, 12	10.000	63.617	636.17	89.560	895.60	259.43	LT
	Apr 25, 12	10.000	63.659	636.59	89.560	895.60	259.01	LT
	Apr 25, 12	2.000	63.545	127.09	89.560	179.12	52.03	LT
	Apr 25, 12	2.000	63.645	127.29	89.560	179.12	51.83	LT
	Apr 25, 12	2.000	63.745	127.49	89.560	179.12	51.63	LT
	Apr 26, 12	5.000	63.928	319.64	89.560	447.80	128.16	LT
	Apr 26, 12	2.000	63.920	127.84	89.560	179.12	51.28	LT
	Apr 26, 12	2.000	63.930	127.86	89.560	179.12	51.26	LT
	Apr 26, 12	1.000	63.720	63.72	89.560	89.56	25.84	LT
	May 1, 12	15.000	64.637	969.56	89.560	1,343.40	373.84	LT
	May 1, 12	6.000	64.715	388.29	89.560	537.36	149.07	LT
	May 1, 12	6.000	64.975	389.85	89.560	537.36	147.51	LT
	May 1, 12	2.000	64.850	129.70	89.560	179.12	49.42	LT
	May 1, 12	1.000	64.820	64.82	89.560	89.56	24.74	LT
	May 2, 12	7.000	64.374	450.62	89.560	626.92	176.30	LT
	May 2, 12	4.000	64.410	257.64	89.560	358.24	100.60	LT
	May 2, 12	2.000	64.320	128.64	89.560	179.12	50.48	LT
	May 3, 12	4.000	64.960	259.84	89.560	358.24	98.40	LT
	May 3, 12	2.000	64.675	129.35	89.560	179.12	49.77	LT
	May 3, 12	2.000	64.910	129.82	89.560	179.12	49.30	LT
	Jan 23, 13	629.000	77.560	48,785.62	89.560	56,333.24	7,547.62	LT
	Apr 22, 13	290.000	84.719	24,568.68	89.560	25,972.40	1,403.72	LT
	May 22, 13	111.000	83.807	9,302.58	89.560	9,941.16	638.58	LT
Security total		1,152.000	78.533	90,469.50		103,173.12	12,703.62	

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jul 31 (\$)	Value on Jul 31 (\$)	Unrealized gain or loss (\$)	Holding period
UNITED PARCEL SERVICE INC CL B								
Symbol: UPS Exchange: NYSE								
EAI: \$2,843 Current yield: 2.76%								
	Sep 19, 13	82.000	91.779	7,525.90	97.090	7,961.38	435.48	ST
	Sep 19, 13	19.000	91.625	1,740.88	97.090	1,844.71	103.83	ST
	Sep 20, 13	107.000	91.805	9,823.18	97.090	10,388.63	565.45	ST
	Sep 20, 13	26.000	91.835	2,387.71	97.090	2,524.34	136.63	ST
	Sep 23, 13	93.000	91.049	8,467.59	97.090	9,029.37	561.78	ST
	Sep 24, 13	93.000	91.612	8,520.00	97.090	9,029.37	509.37	ST
	Sep 24, 13	41.000	91.663	3,758.20	97.090	3,980.69	222.49	ST
	Sep 25, 13	62.000	91.138	5,650.56	97.090	6,019.58	369.02	ST
	Sep 25, 13	11.000	91.090	1,001.99	97.090	1,067.99	66.00	ST
	Sep 26, 13	64.000	91.489	5,855.30	97.090	6,213.76	358.46	ST
	Sep 27, 13	54.000	91.117	4,920.33	97.090	5,242.86	322.53	ST
	Sep 30, 13	46.000	91.475	4,207.86	97.090	4,466.14	258.28	ST
	Oct 1, 13	46.000	91.668	4,216.73	97.090	4,466.14	249.41	ST
	Oct 1, 13	6.000	91.650	549.90	97.090	582.54	32.64	ST
	Oct 2, 13	61.000	91.128	5,558.84	97.090	5,922.49	363.65	ST
	Oct 2, 13	19.000	91.067	1,730.29	97.090	1,844.71	114.42	ST
	Oct 3, 13	55.000	90.337	4,968.58	97.090	5,339.95	371.37	ST
	Oct 4, 13	55.000	90.653	4,985.96	97.090	5,339.95	353.99	ST
	Jan 17, 14	121.000	99.231	12,007.00	97.090	11,747.89	-259.11	ST
Security total		1,061.000	92.250	97,876.80		103,012.49	5,135.69	
XILINX INC								
Symbol: XLNX Exchange: OTC								
EAI: \$2,086 Current yield: 2.82%								
	Sep 7, 12	25.000	34.770	869.27	41.130	1,028.25	158.98	LT
	Sep 7, 12	5.000	34.846	174.23	41.130	205.65	31.42	LT
	Sep 10, 12	37.000	34.845	1,289.29	41.130	1,521.81	232.52	LT
	Sep 10, 12	3.000	34.660	103.98	41.130	123.39	19.41	LT
	Sep 11, 12	20.000	34.853	697.06	41.130	822.60	125.54	LT
	Sep 12, 12	18.000	35.006	630.11	41.130	740.34	110.23	LT
	Sep 13, 12	21.000	34.886	732.61	41.130	863.73	131.12	LT
	Sep 14, 12	19.000	35.536	675.19	41.130	781.47	106.28	LT

SDNY_GM_00020575 *continued next page*

CONFIDENTIAL



Your assets » **Equities** » **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jul 31 (\$)	Value on Jul 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Sep 17, 12	7.000	35.151	246.06	41.130	287.91	41.85	LT
	Oct 24, 12	3.000	32.523	97.57	41.130	123.39	25.82	LT
	Oct 25, 12	5.000	32.522	162.61	41.130	205.65	43.04	LT
	Oct 26, 12	3.000	32.776	98.33	41.130	123.39	25.06	LT
	Oct 31, 12	1.000	32.770	32.77	41.130	41.13	8.36	LT
	Nov 1, 12	2.000	33.360	66.72	41.130	82.26	15.54	LT
	Nov 1, 12	1.000	33.520	33.52	41.130	41.13	7.61	LT
	Nov 1, 12	1.000	33.530	33.53	41.130	41.13	7.60	LT
	Nov 2, 12	1.000	33.550	33.55	41.130	41.13	7.58	LT
	Nov 5, 12	1.000	33.190	33.19	41.130	41.13	7.94	LT
	Nov 6, 12	3.000	33.886	101.66	41.130	123.39	21.73	LT
	Nov 7, 12	2.000	34.025	68.05	41.130	82.26	14.21	LT
	Nov 7, 12	1.000	33.910	33.91	41.130	41.13	7.22	LT
	Nov 8, 12	4.000	34.032	136.13	41.130	164.52	28.39	LT
	Nov 8, 12	1.000	33.860	33.86	41.130	41.13	7.27	LT
	Nov 28, 12	4.000	34.312	137.25	41.130	164.52	27.27	LT
	Nov 28, 12	3.000	34.410	103.23	41.130	123.39	20.16	LT
	Nov 29, 12	15.000	34.583	518.75	41.130	616.95	98.20	LT
	Nov 29, 12	3.000	34.493	103.48	41.130	123.39	19.91	LT
	Jan 23, 13	1,087.000	36.805	40,008.01	41.130	44,708.31	4,700.30	LT
	Apr 22, 13	502.000	35.691	17,917.23	41.130	20,647.26	2,730.03	LT
Security total		1,798.000	36.246	65,171.15		73,951.74	8,780.59	
Total				\$1,367,972.07		\$1,597,952.47	\$229,980.40	

Total estimated annual income: \$45,356

Your total assets

		Value on Jul 31 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Equities	Common stock	1,597,952.47	100.00%	1,367,972.07	45,356.00	229,980.40
Total		\$1,597,952.47	100.00%	\$1,367,972.07	\$45,356.00	\$229,980.40

CONFIDENTIAL



Account activity this month

	Date	Activity	Description	Amount (\$)
Deposits and other funds credited	Jul 14	Transfer	FM [REDACTED] 23575 0100	2,511.19
	Jul 18	Transfer	FM [REDACTED] 23575 0100	3,308.87
Total deposits and other funds credited				\$5,920.06

	Date	Activity	Description	Amount (\$)
Dividend and interest income <i>Taxable dividends</i>	Jul 1	Dividend	AUTOMATIC DATA PROCESSNG INC PAID ON 1272	610.56
	Jul 1	Dividend	BAXTER INTL INC PAID ON 1 556	809.12
	Jul 8	Dividend	ILLINOIS TOOL WORKS INC PAID ON 1171	491.82
	Jul 15	Dividend	OCCIDENTAL PETROLEUM CRP PAID ON 969	697.68
	Jul 17	Dividend	STAPLES INC PAID ON 6769	812.28
	Total taxable dividends			
Total dividend and interest income				\$3,421.46

	Date	Activity	Description	Amount (\$)
Fees	Jul 24	Fee Charged	QUARTERLY FEE	-2,611.19
Total professional management fees				-\$2,611.19

	Date	Activity	Description	Amount (\$)
Other funds debited	Jul 2	Transfer	TO [REDACTED] 23571 7100	-1,419.68
	Jul 9	Transfer	TO [REDACTED] 23575 0100	-491.82
	Jul 18	Transfer	TO [REDACTED] 23575 0100	-402,698.78
	Jul 25	Transfer	TO [REDACTED] 23575 0100	-697.68
Total other funds debited				-\$405,307.96

Investment transactions

For more information about the price/value shown for restricted securities, see *Important information about your statement* at the end of this document.

Date	Activity	Description	Quantity	Value (\$)	Price (\$)	Proceeds from investment transactions (\$)	Funds withdrawn for investments bought (\$)	Accrued interest (\$)
Jul 18	Sold	CONOCOPHILLIPS	-1,480,000		84.755000	125,434.63		
Jul 18	Sold	ILLINOIS TOOL WORKS INC	-1,171,000		86.303200	101,058.82		
Jul 18	Sold	STAPLES INC	-6,769,000		11.121734	75,281.36		

continued next page

SDNY_GM_00020577

CNP70009005789437 NP7000188665 00002 0714 030575004 Y123568550 010000

Page 21 of 100

CONFIDENTIAL

EFTA_00131197

EFTA01273404



Account activity this month (continued)

Investment transactions (continued)

Date	Activity	Description	Quantity	Value (\$)	Price (\$)	Proceeds from investment transactions (\$)	Funds withdrawn for investments bought (\$)	Accrued interest (\$)
Jul 18	Sold	TARGET CORP	-1,500.000		60.503100	96,802.82		
Total						\$398,577.63		

Date	Activity	Description	Amount (\$)
Jun 30	Balance forward		\$1,389.47
Jul 1	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 06/30/14	-1,389.47
Jul 2	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,419.68
Jul 3	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 07/02/14	-1,419.68
Jul 9	Deposit	UBS BANK USA DEPOSIT ACCOUNT	491.82
Jul 10	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 07/09/14	-491.82
Jul 15	Deposit	UBS BANK USA DEPOSIT ACCOUNT	2,611.19
Jul 16	Deposit	UBS BANK USA DEPOSIT ACCOUNT	697.68
Jul 18	Deposit	UBS BANK USA DEPOSIT ACCOUNT	812.28
Jul 21	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 07/18/14	-812.28
Jul 25	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 07/24/14	-2,611.19
Jul 28	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 07/25/14	-697.68
Jul 31	Closing UBS Bank USA Deposit Account		\$0.00

The UBS Bank USA Deposit Account is your primary sweep option.

Realized gains and losses

The estimated realized gains and losses shown below are not for tax purposes. Please note that gain or loss recognized on the sale or redemption of certain Structured Products, like Contingent Debt Securities, may be ordinary, and not capital, gain or loss. Please check with your tax advisor. To calculate gains and losses, we liquidate the oldest security lot first. This is known as the first-in, first-out or FIFO accounting method. We use this method unless you specified which tax lot to close when you placed your order. This is known as a versus purchases or VSP order. See *Important information about your statement* at the end of this document for more

information. We may not adjust gains and losses for all capital changes. We automatically adjust cost basis for tax-exempt and AMT coupon municipal securities for estimated amortization of bond premiums and for accreted OID for securities issued at a discount. If you requested that UBS adjust cost basis for the bond premium amortization on taxable debt securities then cost basis reflected for these securities has been adjusted. Estimates in the *Unclassified* section can not be classified as short term or long term because information is missing, or the product is one in which the gain/loss calculation is not provided.

Short-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount (\$)	Cost basis (\$)	Wash sale cost basis adjustment (\$)	Loss (\$)	Gain (\$)
STAPLES INC	FIFO	203.000	Aug 26, 13	Jul 15, 14	2,257.66	2,923.46		-665.80	
	FIFO	181.000	Aug 26, 13	Jul 15, 14	2,012.99	2,608.63		-595.64	

continued next page

CONFIDENTIAL



Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount (\$)	Cost basis (\$)	Wash sale cost basis adjustment(\$)	Loss (\$)	Gain (\$)
	FIFO	253.000	Aug 27, 13	Jul 15, 14	2,813.74	3,568.74		-755.00	
TARGET CORP	FIFO	68.000	Sep 23, 13	Jul 15, 14	4,114.12	4,378.59		-264.47	
	FIFO	6.000	Sep 23, 13	Jul 15, 14	363.01	386.43		-23.42	
	FIFO	180.000	Sep 24, 13	Jul 15, 14	10,890.32	11,519.91		-629.59	
	FIFO	82.000	Sep 24, 13	Jul 15, 14	4,961.14	5,258.97		-297.83	
	FIFO	92.000	Sep 25, 13	Jul 15, 14	5,566.16	5,851.05		-284.89	
	FIFO	18.000	Sep 25, 13	Jul 15, 14	1,089.04	1,147.23		-58.19	
	FIFO	152.000	Sep 25, 13	Jul 15, 14	9,196.26	9,643.85		-447.59	
	FIFO	13.000	Sep 25, 13	Jul 15, 14	786.53	827.06		-40.53	
	FIFO	114.000	Sep 26, 13	Jul 15, 14	6,897.20	7,231.76		-334.56	
	FIFO	193.000	Sep 27, 13	Jul 15, 14	11,676.84	12,350.76		-673.92	
	FIFO	27.000	Sep 30, 13	Jul 15, 14	1,633.55	1,722.95		-89.40	
	FIFO	104.000	Sep 30, 13	Jul 15, 14	6,292.18	6,633.64		-341.46	
	FIFO	51.000	Sep 30, 13	Jul 15, 14	3,085.59	3,258.30		-172.71	
	FIFO	139.000	Oct 01, 13	Jul 15, 14	8,409.74	8,875.42		-465.68	
	FIFO	53.000	Oct 01, 13	Jul 15, 14	3,206.60	3,384.40		-177.80	
	FIFO	38.000	Oct 01, 13	Jul 15, 14	2,299.06	2,422.80		-123.74	
	FIFO	38.000	Oct 01, 13	Jul 15, 14	2,299.07	2,424.93		-125.86	
	FIFO	197.000	Jan 07, 14	Jul 15, 14	11,918.85	12,389.28		-470.43	
	FIFO	32.000	Jan 07, 14	Jul 15, 14	1,936.05	2,016.15		-80.10	
	FIFO	3.000	Jan 07, 14	Jul 15, 14	181.51	188.59		-7.08	
Total					\$103,887.21	\$111,012.90		-\$7,125.69	
Net short-term capital gains and losses								-\$7,125.69	

Long-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount (\$)	Cost basis (\$)	Wash sale cost basis adjustment(\$)	Loss (\$)	Gain (\$)
CONOCOPHILLIPS	FIFO	106.000	Aug 04, 11	Jul 15, 14	8,983.83	5,523.58			3,460.25
	FIFO	2.000	Aug 12, 11	Jul 15, 14	169.51	102.87			66.64

continued next page

SDNY_GM_00020579

CONFIDENTIAL



Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount (\$)	Cost basis (\$)	Wash sale cost basis adjustment(\$)	Loss (\$)	Gain (\$)
	FIFO	16.000	May 08, 12	Jul 15, 14	1,356.05	854.40			501.65
	FIFO	13.000	May 08, 12	Jul 15, 14	1,101.79	692.74			409.05
	FIFO	14.000	Jul 17, 12	Jul 15, 14	1,186.54	783.17			403.37
	FIFO	789.000	Jan 23, 13	Jul 15, 14	66,870.22	47,194.59			19,675.63
	FIFO	138.000	Mar 19, 13	Jul 15, 14	11,695.93	8,160.98			3,534.95
	FIFO	402.000	Apr 22, 13	Jul 15, 14	34,070.76	23,198.25			10,872.51
ILLINOIS TOOL WORKS INC	FIFO	135.000	Aug 04, 11	Jul 15, 14	11,650.68	6,362.35			5,288.33
	FIFO	3.000	Aug 12, 11	Jul 15, 14	258.90	135.72			123.18
	FIFO	706.000	Jan 23, 13	Jul 15, 14	60,928.72	44,975.31			15,953.41
	FIFO	327.000	Apr 22, 13	Jul 15, 14	28,220.52	19,844.22			8,376.30
STAPLES INC	FIFO	1.000	Oct 24, 12	Jul 15, 14	11.12	11.36		-0.24	
	FIFO	63.000	Oct 24, 12	Jul 15, 14	700.66	712.74		-12.08	
	FIFO	8.000	Oct 25, 12	Jul 15, 14	88.97	91.44		-2.47	
	FIFO	46.000	Oct 25, 12	Jul 15, 14	511.59	525.36		-13.77	
	FIFO	57.000	Oct 25, 12	Jul 15, 14	633.92	649.29		-15.37	
	FIFO	51.000	Oct 26, 12	Jul 15, 14	567.20	581.42		-14.22	
	FIFO	12.000	Oct 31, 12	Jul 15, 14	133.45	138.32		-4.87	
	FIFO	3.000	Oct 31, 12	Jul 15, 14	33.37	34.70		-1.33	
	FIFO	7.000	Nov 01, 12	Jul 15, 14	77.85	81.18		-3.33	
	FIFO	46.000	Nov 01, 12	Jul 15, 14	511.59	537.17		-25.58	
	FIFO	33.000	Nov 01, 12	Jul 15, 14	367.01	382.99		-15.98	
	FIFO	1.000	Nov 01, 12	Jul 15, 14	11.12	11.60		-0.48	
	FIFO	31.000	Nov 02, 12	Jul 15, 14	344.76	358.12		-13.36	
	FIFO	7.000	Nov 05, 12	Jul 15, 14	77.86	81.13		-3.27	
	FIFO	31.000	Nov 05, 12	Jul 15, 14	344.76	355.43		-10.67	
	FIFO	51.000	Nov 06, 12	Jul 15, 14	567.20	602.87		-35.67	
	FIFO	26.000	Nov 06, 12	Jul 15, 14	289.16	307.13		-17.97	
	FIFO	22.000	Nov 07, 12	Jul 15, 14	244.67	254.82		-10.15	
	FIFO	48.000	Nov 07, 12	Jul 15, 14	533.83	556.70		-22.87	
	FIFO	3.000	Nov 08, 12	Jul 15, 14	33.36	35.00		-1.64	

continued next page

CONFIDENTIAL



Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount (\$)	Cost basis (\$)	Wash sale cost basis adjustment(\$)	Loss (\$)	Gain (\$)
	FIFO	57.000	Nov 08, 12	Jul 15, 14	633.93	652.43		-18.50	
	FIFO	30.000	Nov 08, 12	Jul 15, 14	333.64	350.16		-16.52	
	FIFO	26.000	Nov 29, 12	Jul 15, 14	289.16	306.24		-17.08	
	FIFO	8.000	Nov 29, 12	Jul 15, 14	88.97	94.23		-5.26	
	FIFO	6.000	Nov 29, 12	Jul 15, 14	66.73	70.59		-3.86	
	FIFO	37.000	Nov 30, 12	Jul 15, 14	411.50	433.45		-21.95	
	FIFO	11.000	Nov 30, 12	Jul 15, 14	122.34	128.57		-6.23	
	FIFO	16.000	Nov 30, 12	Jul 15, 14	177.94	186.84		-8.90	
	FIFO	1.000	Nov 30, 12	Jul 15, 14	11.12	11.75		-0.63	
	FIFO	3,076.000	Jan 23, 13	Jul 15, 14	34,209.70	40,788.38		-6,578.68	
	FIFO	399.000	Mar 07, 13	Jul 15, 14	4,437.48	5,037.93		-600.45	
	FIFO	1,918.000	Apr 22, 13	Jul 15, 14	21,331.01	24,767.13		-3,436.12	
Total					\$294,690.42	\$236,964.65		-\$10,939.50	\$68,665.27
Net long-term capital gains or losses									\$57,725.77
Net capital gains/losses:									\$50,600.08

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.

All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.

- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: RMBBSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweepyields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity. The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account

holder on the books and records of the applicable issuer or transfer agent).

- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org.

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP, partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each account held, you choose one of the following investment objectives:

- **Produce Current Income:** Investments seeking the generation of income only.
- **Achieve Capital Appreciation:** Investments seeking growth of principal rather than the generation of income.
- **Produce Combination of Income and Capital Appreciation:** Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- **Conservative:** Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- **Moderate:** Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- **Aggressive:** Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate

envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- **Value of your accounts/ portfolio:** Net of assets and liabilities.
- **Assets:** Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities/assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- **Liabilities:** Includes debit balances, outstanding margin loans, credit line, short account balances.
- **Cash/money balances:** Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accountinfo/terms

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

- **Cost basis:** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

- **Unrealized gains/losses:** When data is available, estimated unrealized gains/losses are calculated for

SDNY_GM_00020583

CONFIDENTIAL

EFTA_00131203

EFTA01273410

Important information about your statement (continued)

individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

- **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield. Complete information will be provided upon request.
- **Certificates of deposit (CDs)** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.
- **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.
 - We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
 - Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
 - Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
 - Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
 - For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation.To obtain current quotations, when available, contact your Financial Advisor.
- **Private investments and structured products.** Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.
 - These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
 - Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
 - Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
 - You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.

- Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
- When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.
- "Distributions to date" may include return of capital, income or both.
- "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

- **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

- **Est. (estimated) income, current yields and rates.** An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.
 - Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
 - Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
 - An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities' deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

- **Assets not held by UBS Financial Services.** Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

- **Revenue sharing and additional compensation.**
 - In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
 - We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the

number of accounts at the broker-dealer holding mutual funds of that fund family.

- In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
- We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Tax withholding on distributions from UBS Financial Services IRAs

Federal tax law requires UBS Financial Services to withhold income tax from your taxable IRA distributions, but you may elect not to have income tax withheld or, instead, you may elect to have tax withheld at a rate or in a fixed amount as you choose. Your election will remain in effect until revoked by you. You may revoke your election at any time by making a new election. If you do not have enough income tax withheld from your distributions, you may be responsible for the payment of estimated tax. You may incur penalties if the amounts withheld and your estimated tax payments are not equal to your tax obligation.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value

RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management

Account are registered service marks of UBS Financial Services Inc.

Visa Signature is a registered service mark of Visa International. UBS Visa Signature credit cards and UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated.

UBS Financial Services Inc.

Rev. 201407

SDNY_GM_00020584

CONFIDENTIAL

EFTA_00131204

EFTA01273411



UBS Financial Services Inc.
299 Park Avenue
25th Floor
New York NY 10171-0002

CNP7005782951 0814 X1 ■ 0

UBS Strategic Advisor

August 2014

GHISLAINE MAXWELL
116 E 65TH STREET
NEW YORK NY 10065-7007

Account name: GHISLAINE MAXWELL

Friendly account name: Indiv. [REDACTED]

Account number: [REDACTED] 55

Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED] [REDACTED]

Questions about your statement?

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account 029023568.

Visit our website:

www.ubs.com/financialservices

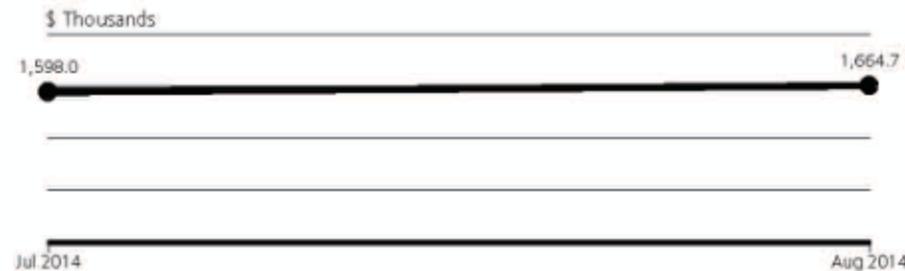
Items for your attention

► Certain mutual fund shares held in PACE Multi Strategic Advisor and Strategic Wealth Portfolio were converted in July and August. See your statement activity for details.

Value of your account

	on July 31 (\$)	on August 29 (\$)
Your assets	1,597,952.47	1,664,680.58
Your liabilities	0.00	0.00
Value of your account	\$1,597,952.47	\$1,664,680.58

Tracking the value of your account



Sources of your account growth during 2014

Value of your account at year end 2013	\$0.00
Net deposits and withdrawals	\$1,522,235.55
Your investment return:	
Dividend and interest income	\$25,227.63
Change in market value	\$117,217.40
Value of your account on Aug 29, 2014	\$1,664,680.58

CONFIDENTIAL



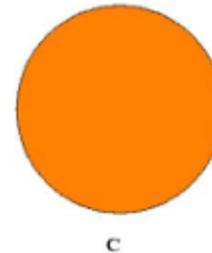
Your account balance sheet

Summary of your assets

	Value on August 29 (\$)	Percentage of your account
A Cash and money balances	0.00	0.00%
B Cash alternatives	0.00	0.00%
C Equities	1,664,680.58	100.00%
D Fixed income	0.00	0.00%
E Non-traditional	0.00	0.00%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$1,664,680.58	100.00%

Value of your account **\$1,664,680.58**

Your current asset allocation



Eye on the markets

Index	Percentage change	
	August 2014	Year to date
S&P 500	4.00%	9.89%
Russell 3000	4.20%	9.23%
MSCI - Europe, Australia & Far East	-0.15%	2.93%
Barclays Capital U.S. Aggregate Bond Index	1.10%	4.81%

Interest rates on August 29, 2014

3-month Treasury bills: 0.02%
One-month LIBOR: 0.16%

CONFIDENTIAL



Change in the value of your account

	August 2014 (\$)	Year to date (\$)
Opening account value	\$1,597,952.47	\$0.00
Deposits, including investments transferred in	0.00	1,994,881.82
Withdrawals and fees, including investments transferred out	-3,342.79	-472,646.27
Dividend and interest income	3,342.79	25,227.63
Change in market value	66,728.11	117,217.40
Closing account value	\$1,664,680.58	\$1,664,680.58

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	August 2014 (\$)	Year to date (\$)
Taxable dividends	3,342.76	25,223.12
Taxable interest	0.03	4.51
Total current year	\$3,342.79	\$25,227.63
Total dividend & interest	\$3,342.79	\$25,227.63

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)
	August 2014 (\$)	Year to date (\$)	
Short term	0.00	-7,125.69	16,682.77
Long term	0.00	57,725.77	280,025.74
Total	\$0.00	\$50,600.08	\$296,708.51

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	August 2014 (\$)	Year to date (\$)
Opening balances	\$0.00	\$0.00
<i>Additions</i>		
Deposits and other funds credited	0.00	48,841.01
Dividend and interest income	3,342.79	25,227.63
Proceeds from investment transactions	0.00	398,577.63
Total additions	\$3,342.79	\$472,646.27
<i>Subtractions</i>		
Professional management fees and related services	0.00	-2,979.10
Other funds debited	-3,342.79	-469,667.17
Total subtractions	-\$3,342.79	-\$472,646.27
Closing balances	\$0.00	\$0.00

CONFIDENTIAL



UBS Bank USA Deposit Account APY

Interest period Jul 8 - Aug 6

Opening UBS Bank USA Deposit balance Jul 8	\$0.00
Closing UBS Bank USA Deposit balance Aug 6	\$0.00
Number of days in interest period	30
Average daily balance	\$992.66
Interest earned	\$0.03
Annual percentage yield earned	0.04%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Current income & capital appreciation

Your risk profile:

Primary - Aggressive

Investment eligibility consideration - None selected

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

CONFIDENTIAL



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Aug 29 (\$)	Value on Aug 29 (\$)	Unrealized gain or loss (\$)	Holding period
ANALOG DEVICES INC								
Symbol: ADI Exchange: OTC								
EAI: \$2,591 Current yield: 2.89%								
	Nov 16, 11	13.000	37.316	485.12	51.120	664.56	179.44	LT
	Nov 17, 11	13.000	35.393	460.12	51.120	664.56	204.44	LT
	Nov 18, 11	35.000	35.502	1,242.58	51.120	1,789.20	546.62	LT
	Nov 21, 11	18.000	34.371	618.68	51.120	920.16	301.48	LT
	Nov 22, 11	15.000	33.338	500.07	51.120	766.80	266.73	LT
	Nov 23, 11	22.000	32.655	718.43	51.120	1,124.64	406.21	LT
	Nov 25, 11	7.000	32.460	227.22	51.120	357.84	130.62	LT
	Nov 28, 11	30.000	32.951	988.55	51.120	1,533.60	545.05	LT
	Nov 29, 11	18.000	33.472	602.51	51.120	920.16	317.65	LT
	Nov 29, 11	5.000	33.622	168.11	51.120	255.60	87.49	LT
	Apr 24, 12	30.000	37.567	1,127.01	51.120	1,533.60	406.59	LT
	Jan 23, 13	1,056.000	43.209	45,628.81	51.120	53,982.72	8,353.91	LT
	Apr 22, 13	489.000	42.447	20,756.68	51.120	24,997.68	4,241.00	LT
Security total		1,751.000	41.990	73,523.89		89,511.12	15,987.23	
AUTOMATIC DATA PROCESSING INC								
Symbol: ADP Exchange: OTC								
EAI: \$2,442 Current yield: 2.30%								
	Aug 4, 11	146.000	48.469	7,076.53	83.480	12,188.08	5,111.55	LT
	Aug 12, 11	4.000	46.880	187.52	83.480	333.92	146.40	LT
	Jan 23, 13	767.000	59.890	45,936.09	83.480	64,029.16	18,093.07	LT
	Apr 22, 13	355.000	65.098	23,110.04	83.480	29,635.40	6,525.36	LT
Security total		1,272.000	59.992	76,310.18		106,186.56	29,876.38	

continued next page

CONFIDENTIAL



Your assets » Equities » Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Aug 29 (\$)	Value on Aug 29 (\$)	Unrealized gain or loss (\$)	Holding period
BAXTER INTL INC								
Symbol: BAX Exchange: NYSE								
EAI: \$3,236 Current yield: 2.77%								
	Jun 20, 12	30.000	51.594	1,547.84	74.980	2,249.40	701.56	LT
	Jun 20, 12	17.000	51.522	875.89	74.980	1,274.66	398.77	LT
	Jun 21, 12	29.000	52.077	1,510.25	74.980	2,174.42	664.17	LT
	Jun 21, 12	7.000	51.500	360.50	74.980	524.86	164.36	LT
	Jun 21, 12	5.000	52.216	261.08	74.980	374.90	113.82	LT
	Jun 22, 12	61.000	51.890	3,165.29	74.980	4,573.78	1,408.49	LT
	Jan 23, 13	768.000	66.658	51,193.80	74.980	57,584.64	6,390.84	LT
	Apr 22, 13	355.000	69.318	24,608.00	74.980	26,617.90	2,009.90	LT
	Sep 19, 13	74.000	72.165	5,340.28	74.980	5,548.52	208.24	ST
	Sep 19, 13	6.000	71.875	431.25	74.980	449.88	18.63	ST
	Sep 19, 13	3.000	71.880	215.64	74.980	224.94	9.30	ST
	Sep 20, 13	47.000	71.987	3,383.41	74.980	3,524.06	140.65	ST
	Oct 3, 13	154.000	64.600	9,948.49	74.980	11,546.92	1,598.43	ST
Security total		1,556.000	66.094	102,841.72		116,668.88	13,827.16	
BLACKROCK INC								
Symbol: BLK Exchange: NYSE								
EAI: \$2,872 Current yield: 2.34%								
	Oct 5, 12	7.000	189.932	1,329.53	330.530	2,313.71	984.18	LT
	Oct 5, 12	3.000	187.820	563.46	330.530	991.59	428.13	LT
	Oct 5, 12	2.000	186.670	373.34	330.530	661.06	287.72	LT
	Oct 8, 12	8.000	188.783	1,510.27	330.530	2,644.24	1,133.97	LT
	Oct 9, 12	15.000	189.186	2,837.79	330.530	4,957.95	2,120.16	LT
	Oct 9, 12	2.000	189.010	378.02	330.530	661.06	283.04	LT
	Oct 10, 12	3.000	187.720	563.16	330.530	991.59	428.43	LT
	Oct 10, 12	2.000	187.670	375.34	330.530	661.06	285.72	LT
	Oct 10, 12	2.000	187.995	375.99	330.530	661.06	285.07	LT
	Jan 23, 13	224.000	236.966	53,080.41	330.530	74,038.72	20,958.31	LT
	Apr 22, 13	104.000	251.093	26,113.69	330.530	34,375.12	8,261.43	LT
Security total		372.000	235.218	87,501.00		122,957.16	35,456.16	
CATERPILLAR INC								
Symbol: CAT Exchange: NYSE								
EAI: \$3,108 Current yield: 2.57%								
	Jun 19, 13	72.000	84.718	6,099.75	109.070	7,853.04	1,753.29	LT

continued next page

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Aug 29 (\$)	Value on Aug 29 (\$)	Unrealized gain or loss (\$)	Holding period
	Jun 20, 13	121.000	83.141	10,060.15	109.070	13,197.47	3,137.32	LT
	Jun 20, 13	78.000	83.030	6,476.39	109.070	8,507.46	2,031.07	LT
	Jun 21, 13	204.000	82.904	16,912.44	109.070	22,250.28	5,337.84	LT
	Jun 24, 13	111.000	81.517	9,048.46	109.070	12,106.77	3,058.31	LT
	Jun 25, 13	73.000	82.354	6,011.86	109.070	7,962.11	1,950.25	LT
	Jun 26, 13	69.000	82.259	5,675.90	109.070	7,525.83	1,849.93	LT
	Jun 27, 13	141.000	82.951	11,696.12	109.070	15,378.87	3,682.75	LT
	Jun 27, 13	7.000	82.925	580.48	109.070	763.49	183.01	LT
	Jun 28, 13	169.000	82.774	13,988.92	109.070	18,432.83	4,443.91	LT
	Jul 1, 13	65.000	82.781	5,380.78	109.070	7,089.55	1,708.77	LT
Security total		1,110.000	82.821	91,931.25		121,067.70	29,136.45	
COLGATE PALMOLIVE CO								
Symbol: CL Exchange: NYSE								
EAI: \$2,172 Current yield: 2.23%								
	Aug 4, 11	174.000	41.632	7,244.05	64.730	11,263.02	4,018.97	LT
	Aug 12, 11	4.000	42.450	169.80	64.730	258.92	89.12	LT
	Jan 23, 13	910.000	54.240	49,358.63	64.730	58,904.30	9,545.67	LT
	Apr 22, 13	420.000	59.788	25,111.32	64.730	27,186.60	2,075.28	LT
Security total		1,508.000	54.300	81,883.80		97,612.84	15,729.04	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE								
EAI: \$3,086 Current yield: 3.07%								
	Aug 4, 11	191.000	36.265	6,926.77	53.380	10,195.58	3,268.81	LT
	Aug 12, 11	5.000	35.754	178.77	53.380	266.90	88.13	LT
	Jan 23, 13	1,001.000	41.387	41,428.89	53.380	53,433.38	12,004.49	LT
	Apr 22, 13	464.000	50.287	23,333.21	53.380	24,768.32	1,435.11	LT
	Jun 17, 13	148.000	49.739	7,361.45	53.380	7,900.24	538.79	LT
	Jun 18, 13	73.000	49.836	3,638.07	53.380	3,896.74	258.67	LT
Security total		1,882.000	44.031	82,867.16		100,461.16	17,594.00	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$2,985 Current yield: 2.70%								
	Aug 4, 11	123.000	62.377	7,672.38	103.730	12,758.79	5,086.41	LT
	Aug 12, 11	3.000	63.730	191.19	103.730	311.19	120.00	LT
	Jan 23, 13	642.000	72.736	46,696.71	103.730	66,594.66	19,897.95	LT

continued next page

SDNY_GM_00020591

CONFIDENTIAL



Your assets » Equities » Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Aug 29 (\$)	Value on Aug 29 (\$)	Unrealized gain or loss (\$)	Holding period
	Apr 22, 13	298.000	84.721	25,247.10	103.730	30,911.54	5,664.44	LT
Security total		1,066.000	74.866	79,807.38		110,576.18	30,768.80	
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,298 Current yield: 3.46%								
	Aug 4, 11	95.000	84.969	8,072.06	93.720	8,903.40	831.34	LT
	Aug 12, 11	3.000	85.910	257.73	93.720	281.16	23.43	LT
	Nov 29, 12	8.000	86.456	691.65	93.720	749.76	58.11	LT
	Jan 23, 13	555.000	93.053	51,644.75	93.720	52,014.60	369.85	LT
	Apr 22, 13	255.000	99.318	25,326.32	93.720	23,898.60	-1,427.72	LT
	Sep 19, 13	78.000	97.879	7,634.63	93.720	7,310.16	-324.47	ST
	Sep 19, 13	22.000	97.425	2,143.36	93.720	2,061.84	-81.52	ST
	Sep 19, 13	2.000	97.830	195.66	93.720	187.44	-8.22	ST
Security total		1,018.000	94.269	95,966.16		95,406.96	-559.20	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$3,370 Current yield: 2.95%								
	Aug 4, 11	134.000	52.960	7,096.75	98.450	13,192.30	6,095.55	LT
	Aug 12, 11	3.000	52.530	157.59	98.450	295.35	137.76	LT
	Jan 23, 13	700.000	71.610	50,127.21	98.450	68,915.00	18,787.79	LT
	Apr 22, 13	325.000	79.757	25,921.06	98.450	31,996.25	6,075.19	LT
Security total		1,162.000	71.689	83,302.61		114,398.90	31,096.29	
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,791 Current yield: 2.78%								
	Feb 12, 14	148.000	92.171	13,641.35	103.730	15,352.04	1,710.69	ST
	Feb 12, 14	117.000	92.203	10,787.77	103.730	12,136.41	1,348.64	ST
	Feb 12, 14	32.000	92.215	2,950.91	103.730	3,319.36	368.45	ST
	Feb 12, 14	7.000	92.065	644.46	103.730	726.11	81.65	ST
	Feb 13, 14	110.000	92.095	10,130.45	103.730	11,410.30	1,279.85	ST
	Feb 13, 14	68.000	91.911	6,250.00	103.730	7,053.64	803.64	ST
	Feb 13, 14	33.000	91.560	3,021.49	103.730	3,423.09	401.60	ST
	Feb 13, 14	6.000	91.615	549.69	103.730	622.38	72.69	ST
	Feb 14, 14	334.000	95.389	31,860.13	103.730	34,645.82	2,785.69	ST
	Feb 18, 14	114.000	96.023	10,946.72	103.730	11,825.22	878.50	ST
Security total		969.000	93.687	90,782.97		100,514.37	9,731.40	

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Aug 29 (\$)	Value on Aug 29 (\$)	Unrealized gain or loss (\$)	Holding period
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,023 Current yield: 2.83%								
	Aug 4, 11	115.000	63.979	7,357.65	92.490	10,636.35	3,278.70	LT
	Aug 12, 11	3.000	63.023	189.07	92.490	277.47	88.40	LT
	May 16, 12	6.000	68.535	411.21	92.490	554.94	143.73	LT
	Oct 24, 12	1.000	68.690	68.69	92.490	92.49	23.80	LT
	Oct 25, 12	2.000	68.810	137.62	92.490	184.98	47.36	LT
	Oct 26, 12	1.000	68.890	68.89	92.490	92.49	23.60	LT
	Oct 31, 12	1.000	69.370	69.37	92.490	92.49	23.12	LT
	Nov 6, 12	1.000	69.370	69.37	92.490	92.49	23.12	LT
	Nov 7, 12	1.000	69.150	69.15	92.490	92.49	23.34	LT
	Nov 8, 12	2.000	69.090	138.18	92.490	184.98	46.80	LT
	Jan 23, 13	699.000	72.166	50,444.31	92.490	64,650.51	14,206.20	LT
	Apr 22, 13	322.000	82.251	26,484.85	92.490	29,781.78	3,296.93	LT
Security total		1,154.000	74.097	85,508.36		106,733.46	21,225.10	
PROCTER & GAMBLE CO								
Symbol: PG Exchange: NYSE								
EAI: \$2,919 Current yield: 3.10%								
	Aug 4, 11	118.000	60.103	7,092.22	83.110	9,806.98	2,714.76	LT
	Aug 12, 11	3.000	60.896	182.69	83.110	249.33	66.64	LT
	Jan 23, 13	619.000	69.941	43,293.73	83.110	51,445.09	8,151.36	LT
	Apr 22, 13	286.000	81.332	23,261.18	83.110	23,769.46	508.28	LT
	Apr 24, 13	108.000	77.762	8,398.32	83.110	8,975.88	577.56	LT
Security total		1,134.000	72.512	82,228.14		94,246.74	12,018.60	
TRAVELERS COS INC/THE								
Symbol: TRV Exchange: NYSE								
EAI: \$2,534 Current yield: 2.32%								
	Apr 24, 12	20.000	63.432	1,268.64	94.710	1,894.20	625.56	LT
	Apr 24, 12	4.000	63.350	253.40	94.710	378.84	125.44	LT
	Apr 24, 12	1.000	63.560	63.56	94.710	94.71	31.15	LT
	Apr 25, 12	10.000	63.520	635.20	94.710	947.10	311.90	LT
	Apr 25, 12	10.000	63.617	636.17	94.710	947.10	310.93	LT
	Apr 25, 12	10.000	63.659	636.59	94.710	947.10	310.51	LT
	Apr 25, 12	2.000	63.545	127.09	94.710	189.42	62.33	LT

continued next page

SDNY_GM_00020593

CONFIDENTIAL



Your assets » Equities » Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Aug 29 (\$)	Value on Aug 29 (\$)	Unrealized gain or loss (\$)	Holding period
	Apr 25, 12	2.000	63.645	127.29	94.710	189.42	62.13	LT
	Apr 25, 12	2.000	63.745	127.49	94.710	189.42	61.93	LT
	Apr 26, 12	5.000	63.928	319.64	94.710	473.55	153.91	LT
	Apr 26, 12	2.000	63.920	127.84	94.710	189.42	61.58	LT
	Apr 26, 12	2.000	63.930	127.86	94.710	189.42	61.56	LT
	Apr 26, 12	1.000	63.720	63.72	94.710	94.71	30.99	LT
	May 1, 12	15.000	64.637	969.56	94.710	1,420.65	451.09	LT
	May 1, 12	6.000	64.715	388.29	94.710	568.26	179.97	LT
	May 1, 12	6.000	64.975	389.85	94.710	568.26	178.41	LT
	May 1, 12	2.000	64.850	129.70	94.710	189.42	59.72	LT
	May 1, 12	1.000	64.820	64.82	94.710	94.71	29.89	LT
	May 2, 12	7.000	64.374	450.62	94.710	662.97	212.35	LT
	May 2, 12	4.000	64.410	257.64	94.710	378.84	121.20	LT
	May 2, 12	2.000	64.320	128.64	94.710	189.42	60.78	LT
	May 3, 12	4.000	64.960	259.84	94.710	378.84	119.00	LT
	May 3, 12	2.000	64.675	129.35	94.710	189.42	60.07	LT
	May 3, 12	2.000	64.910	129.82	94.710	189.42	59.60	LT
	Jan 23, 13	629.000	77.560	48,785.62	94.710	59,572.59	10,786.97	LT
	Apr 22, 13	290.000	84.719	24,568.68	94.710	27,465.90	2,897.22	LT
	May 22, 13	111.000	83.807	9,302.58	94.710	10,512.81	1,210.23	LT
Security total		1,152.000	78.533	90,469.50		109,105.92	18,636.42	
UNITED PARCEL SERVICE INC CL B								
Symbol: UPS Exchange: NYSE								
EAI: \$2,843 Current yield: 2.75%								
	Sep 19, 13	82.000	91.779	7,525.90	97.330	7,981.06	455.16	ST
	Sep 19, 13	19.000	91.625	1,740.88	97.330	1,849.27	108.39	ST
	Sep 20, 13	107.000	91.805	9,823.18	97.330	10,414.31	591.13	ST
	Sep 20, 13	26.000	91.835	2,387.71	97.330	2,530.58	142.87	ST
	Sep 23, 13	93.000	91.049	8,467.59	97.330	9,051.69	584.10	ST
	Sep 24, 13	93.000	91.612	8,520.00	97.330	9,051.69	531.69	ST
	Sep 24, 13	41.000	91.663	3,758.20	97.330	3,990.53	232.33	ST
	Sep 25, 13	62.000	91.138	5,650.56	97.330	6,034.46	383.90	ST
	Sep 25, 13	11.000	91.090	1,001.99	97.330	1,070.63	68.64	ST

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Aug 29 (\$)	Value on Aug 29 (\$)	Unrealized gain or loss (\$)	Holding period
	Sep 26, 13	64.000	91.489	5,855.30	97.330	6,229.12	373.82	ST
	Sep 27, 13	54.000	91.117	4,920.33	97.330	5,255.82	335.49	ST
	Sep 30, 13	46.000	91.475	4,207.86	97.330	4,477.18	269.32	ST
	Oct 1, 13	46.000	91.668	4,216.73	97.330	4,477.18	260.45	ST
	Oct 1, 13	6.000	91.650	549.90	97.330	583.98	34.08	ST
	Oct 2, 13	61.000	91.128	5,558.84	97.330	5,937.13	378.29	ST
	Oct 2, 13	19.000	91.067	1,730.29	97.330	1,849.27	118.98	ST
	Oct 3, 13	55.000	90.337	4,968.58	97.330	5,353.15	384.57	ST
	Oct 4, 13	55.000	90.653	4,985.96	97.330	5,353.15	367.19	ST
	Jan 17, 14	121.000	99.231	12,007.00	97.330	11,776.93	-230.07	ST
Security total		1,061.000	92.250	97,876.80		103,267.13	5,390.33	
XILINX INC								
Symbol: XLNX Exchange: OTC								
EAI: \$2,086 Current yield: 2.75%								
	Sep 7, 12	25.000	34.770	869.27	42.250	1,056.25	186.98	LT
	Sep 7, 12	5.000	34.846	174.23	42.250	211.25	37.02	LT
	Sep 10, 12	37.000	34.845	1,289.29	42.250	1,563.25	273.96	LT
	Sep 10, 12	3.000	34.660	103.98	42.250	126.75	22.77	LT
	Sep 11, 12	20.000	34.853	697.06	42.250	845.00	147.94	LT
	Sep 12, 12	18.000	35.006	630.11	42.250	760.50	130.39	LT
	Sep 13, 12	21.000	34.886	732.61	42.250	887.25	154.64	LT
	Sep 14, 12	19.000	35.536	675.19	42.250	802.75	127.56	LT
	Sep 17, 12	7.000	35.151	246.06	42.250	295.75	49.69	LT
	Oct 24, 12	3.000	32.523	97.57	42.250	126.75	29.18	LT
	Oct 25, 12	5.000	32.522	162.61	42.250	211.25	48.64	LT
	Oct 26, 12	3.000	32.776	98.33	42.250	126.75	28.42	LT
	Oct 31, 12	1.000	32.770	32.77	42.250	42.25	9.48	LT
	Nov 1, 12	2.000	33.360	66.72	42.250	84.50	17.78	LT
	Nov 1, 12	1.000	33.520	33.52	42.250	42.25	8.73	LT
	Nov 1, 12	1.000	33.530	33.53	42.250	42.25	8.72	LT
	Nov 2, 12	1.000	33.550	33.55	42.250	42.25	8.70	LT
	Nov 5, 12	1.000	33.190	33.19	42.250	42.25	9.06	LT

continued next page

SDNY_GM_00020595

CONFIDENTIAL



Your assets » **Equities** » **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Aug 29 (\$)	Value on Aug 29 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 6, 12	3.000	33.886	101.66	42.250	126.75	25.09	LT
	Nov 7, 12	2.000	34.025	68.05	42.250	84.50	16.45	LT
	Nov 7, 12	1.000	33.910	33.91	42.250	42.25	8.34	LT
	Nov 8, 12	4.000	34.032	136.13	42.250	169.00	32.87	LT
	Nov 8, 12	1.000	33.860	33.86	42.250	42.25	8.39	LT
	Nov 28, 12	4.000	34.312	137.25	42.250	169.00	31.75	LT
	Nov 28, 12	3.000	34.410	103.23	42.250	126.75	23.52	LT
	Nov 29, 12	15.000	34.583	518.75	42.250	633.75	115.00	LT
	Nov 29, 12	3.000	34.493	103.48	42.250	126.75	23.27	LT
	Jan 23, 13	1,087.000	36.805	40,008.01	42.250	45,925.75	5,917.74	LT
	Apr 22, 13	502.000	35.691	17,917.23	42.250	21,209.50	3,292.27	LT
Security total		1,798.000	36.246	65,171.15		75,965.50	10,794.35	
Total				\$1,367,972.07		\$1,664,680.58	\$296,708.51	

Total estimated annual income: \$45,356

Your total assets

	Value on Aug 29 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Equities	Common stock	1,664,680.58	100.00%	1,367,972.07	45,356.00
Total	\$1,664,680.58	100.00%	\$1,367,972.07	\$45,356.00	\$296,708.51

Account activity this month

Date	Activity	Description	Amount (\$)
Dividend and interest income			
<i>Taxable dividends</i>			
Aug 1	Dividend	GENL MILLS INC PAID ON 1882	771.62
Aug 15	Dividend	COLGATE PALMOLIVE CO PAID ON 1508	542.88
Aug 15	Dividend	PROCTER & GAMBLE CO PAID ON 1134	729.84
Aug 20	Dividend	CATERPILLAR INC PAID ON 1110	777.00
Aug 27	Dividend	XILINX INC PAID ON 1798	521.42
Total taxable dividends			\$3,342.76

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
Dividend and interest income (continued)				
<i>Taxable interest</i>	Aug 7	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 08/06/14	0.03
		Total taxable interest		\$0.03
		Total dividend and interest income		\$3,342.79
Other funds debited				
	Aug 4	Transfer	TO [REDACTED] 23575 0100	-771.62
	Aug 11	Transfer	TO [REDACTED] 23575 0100	-0.03
	Aug 18	Transfer	TO [REDACTED] 23575 0100	-1,272.72
	Aug 21	Transfer	TO [REDACTED] 23575 0100	-777.00
	Aug 28	Transfer	TO [REDACTED] 23575 0100	-521.42
		Total other funds debited		-\$3,342.79
Money balance activities				
	Jul 31		Balance forward	\$0.00
	Aug 4	Deposit	UBS BANK USA DEPOSIT ACCOUNT	771.62
	Aug 5	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 08/04/14	-771.62
	Aug 18	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,272.72
	Aug 19	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 08/18/14	-1,272.72
	Aug 21	Deposit	UBS BANK USA DEPOSIT ACCOUNT	777.00
	Aug 22	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 08/21/14	-777.00
	Aug 28	Deposit	UBS BANK USA DEPOSIT ACCOUNT	521.42
	Aug 29	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 08/28/14	-521.42
	Aug 29		Closing UBS Bank USA Deposit Account	\$0.00

The UBS Bank USA Deposit Account is your primary sweep option.

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.

All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.

- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: RMB/BSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweepyields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity. The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account

holder on the books and records of the applicable issuer or transfer agent).

- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org.

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP, partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each account held, you choose one of the following investment objectives:

- **Produce Current Income:** Investments seeking the generation of income only.
- **Achieve Capital Appreciation:** Investments seeking growth of principal rather than the generation of income.
- **Produce Combination of Income and Capital Appreciation:** Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- **Conservative:** Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- **Moderate:** Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- **Aggressive:** Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate

envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- **Value of your accounts/portfolio:** Net of assets and liabilities.
- **Assets:** Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities/assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- **Liabilities:** Includes debit balances, outstanding margin loans, credit line, short account balances.
- **Cash/money balances:** Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accountdisclosures

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

- **Cost basis:** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

- **Unrealized gains/losses:** When data is available, estimated unrealized gains/losses are calculated for

SDNY_GM_00020599

CONFIDENTIAL

EFTA_00131219

EFTA01273426

Important information about your statement (continued)

individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

• **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield. Complete information will be provided upon request.

• **Certificates of deposit (CDs)** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.

• **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.

- We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
- Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
- Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
- Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
- For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation.

To obtain current quotations, when available, contact your Financial Advisor.

• **Private investments and structured products.** Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.

- These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
- Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
- Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
- You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.

- Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
- When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.
- "Distributions to date" may include return of capital, income or both.
- "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

• **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

• **Est. (estimated) income, current yields and rates.** An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.

- Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
- Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
- An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

• **Assets not held by UBS Financial Services.** Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

• **Revenue sharing and additional compensation.**

- In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
- We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the

number of accounts at the broker-dealer holding mutual funds of that fund family.

- In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
- We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Tax withholding on distributions from UBS Financial Services IRAs

Federal tax law requires UBS Financial Services to withhold income tax from your taxable IRA distributions, but you may elect not to have income tax withheld or, instead, you may elect to have tax withheld at a rate or in a fixed amount as you choose. Your election will remain in effect until revoked by you. You may revoke your election at any time by making a new election. If you do not have enough income tax withheld from your distributions, you may be responsible for the payment of estimated tax. You may incur penalties if the amounts withheld and your estimated tax payments are not equal to your tax obligation.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value

RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management

Account are registered service marks of UBS Financial Services Inc.

Visa Signature is a registered service mark of Visa International. UBS Visa Signature credit cards and UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated.

UBS Financial Services Inc.

Rev. 201407

SDNY_GM_00020600

CONFIDENTIAL

EFTA_00131220

EFTA01273427



UBS Financial Services Inc.
299 Park Avenue
25th Floor
New York NY 10171-0002

CNP7006552593 0914 X12 ■ 0

UBS Strategic Advisor

September 2014

GHISLAINE MAXWELL
116 E 65TH STREET
NEW YORK NY 10065-7007

Account name: GHISLAINE MAXWELL

Friendly account name: Indiv. [REDACTED]

Account number: [REDACTED] 55

Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED]

Questions about your statement?

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account 029023568.

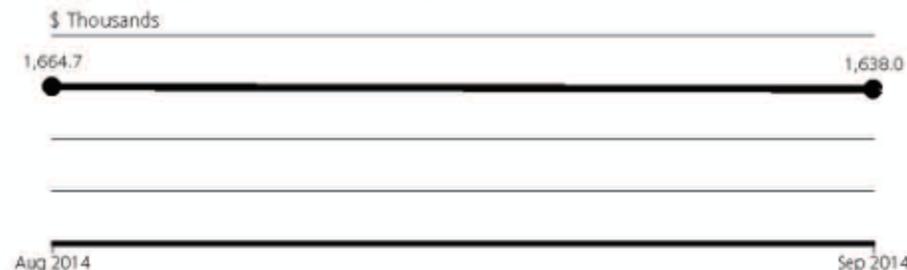
Visit our website:

www.ubs.com/financialservices

Value of your account

	on August 29 (\$)	on September 30 (\$)
Your assets	1,664,680.58	1,637,970.72
Your liabilities	0.00	0.00
Value of your account	\$1,664,680.58	\$1,637,970.72

Tracking the value of your account



Sources of your account growth during 2014

Value of your account at year end 2013	\$0.00
Net deposits and withdrawals	\$1,521,524.68
Your investment return:	
Dividend and interest income	\$31,107.03
Change in market value	\$85,339.01
Value of your account on Sep 30, 2014	\$1,637,970.72

CONFIDENTIAL



Your account balance sheet

Summary of your assets

	Value on September 30 (\$)	Percentage of your account
A Cash and money balances	5,168.53	0.32%
B Cash alternatives	0.00	0.00%
C Equities	1,632,802.19	99.68%
D Fixed income	0.00	0.00%
E Non-traditional	0.00	0.00%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$1,637,970.72	100.00%

Value of your account **\$1,637,970.72**

Your current asset allocation



► Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.

Eye on the markets

Index	Percentage change	
	September 2014	Year to date
S&P 500	-1.40%	8.34%
Russell 3000	-2.08%	6.95%
MSCI - Europe, Australia & Far East	-3.81%	-0.99%
Barclays Capital U.S. Aggregate Bond Index	-0.68%	4.10%

Interest rates on September 30, 2014

3-month Treasury bills: 0.02%
One-month LIBOR: 0.16%

CONFIDENTIAL



Change in the value of your account

	September 2014 (\$)	Year to date (\$)
Opening account value	\$1,664,680.58	\$0.00
Deposits, including investments transferred in	0.00	1,994,881.82
Withdrawals and fees, including investments transferred out	-710.87	-473,357.14
Dividend and interest income	5,879.40	31,107.03
Change in market value	-31,878.39	85,339.01
Closing account value	\$1,637,970.72	\$1,637,970.72

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	September 2014 (\$)	Year to date (\$)
Taxable dividends	5,879.40	31,102.52
Taxable interest	0.00	4.51
Total current year	\$5,879.40	\$31,107.03
Total dividend & interest	\$5,879.40	\$31,107.03

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)
	September 2014 (\$)	Year to date (\$)	
Short term	0.00	-7,125.69	5,465.92
Long term	0.00	57,725.77	259,364.20
Total	\$0.00	\$50,600.08	\$264,830.12

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	September 2014 (\$)	Year to date (\$)
Opening balances	\$0.00	\$0.00
<i>Additions</i>		
Deposits and other funds credited	0.00	48,841.01
Dividend and interest income	5,879.40	31,107.03
Proceeds from investment transactions	0.00	398,577.63
Total additions	\$5,879.40	\$478,525.67
<i>Subtractions</i>		
Professional management fees and related services	0.00	-2,979.10
Other funds debited	-710.87	-470,378.04
Total subtractions	-\$710.87	-\$473,357.14
Net cash flow	\$5,168.53	\$5,168.53
Closing balances	\$5,168.53	\$5,168.53

SDNY_GM_00020603

CNP70009006552595 NP7000298800 00002 0914 030575004 [REDACTED] 23568550 110000

Page 11 of 100

CONFIDENTIAL

EFTA_00131223

EFTA01273430



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on Sep 1 (\$)	Closing balance on Sep 30 (\$)	Price per share on Sep 30 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	0.00	5,168.53					250,000.00

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Cost basis (\$)	Price per share on Sep 30 (\$)	Value on Sep 30 (\$)	Unrealized gain or loss (\$)	Holding period
ANALOG DEVICES INC Symbol: ADI Exchange: OTC EAI: \$2,591 Current yield: 2.99%	Nov 16, 11	13.000	37.316	485.12	49.490	643.37	158.25	LT
	Nov 17, 11	13.000	35.393	460.12	49.490	643.37	183.25	LT
	Nov 18, 11	35.000	35.502	1,242.58	49.490	1,732.15	489.57	LT
	Nov 21, 11	18.000	34.371	618.68	49.490	890.82	272.14	LT
	Nov 22, 11	15.000	33.338	500.07	49.490	742.35	242.28	LT
	Nov 23, 11	22.000	32.655	718.43	49.490	1,088.78	370.35	LT
	Nov 25, 11	7.000	32.460	227.22	49.490	346.43	119.21	LT
	Nov 28, 11	30.000	32.951	988.55	49.490	1,484.70	496.15	LT
	Nov 29, 11	18.000	33.472	602.51	49.490	890.82	288.31	LT
	Nov 29, 11	5.000	33.622	168.11	49.490	247.45	79.34	LT
	Apr 24, 12	30.000	37.567	1,127.01	49.490	1,484.70	357.69	LT

continued next page

SDNY_GM_00020605

CNP70009006552597 NP7000298800 00002 0914 030575004 Y123568550 110000

Page 13 of 100

CONFIDENTIAL

EFTA_00131225

EFTA01273432



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Sep 30 (\$)	Value on Sep 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Oct 9, 12	2.000	189.010	378.02	328.320	656.64	278.62	LT
	Oct 10, 12	3.000	187.720	563.16	328.320	984.96	421.80	LT
	Oct 10, 12	2.000	187.670	375.34	328.320	656.64	281.30	LT
	Oct 10, 12	2.000	187.995	375.99	328.320	656.64	280.65	LT
	Jan 23, 13	224.000	236.966	53,080.41	328.320	73,543.68	20,463.27	LT
	Apr 22, 13	104.000	251.093	26,113.69	328.320	34,145.28	8,031.59	LT
Security total		372.000	235.218	87,501.00		122,135.04	34,634.04	
CATERPILLAR INC								
Symbol: CAT Exchange: NYSE								
EAI: \$3,108 Current yield: 2.83%								
	Jun 19, 13	72.000	84.718	6,099.75	99.030	7,130.16	1,030.41	LT
	Jun 20, 13	121.000	83.141	10,060.15	99.030	11,982.63	1,922.48	LT
	Jun 20, 13	78.000	83.030	6,476.39	99.030	7,724.34	1,247.95	LT
	Jun 21, 13	204.000	82.904	16,912.44	99.030	20,202.12	3,289.68	LT
	Jun 24, 13	111.000	81.517	9,048.46	99.030	10,992.33	1,943.87	LT
	Jun 25, 13	73.000	82.354	6,011.86	99.030	7,229.19	1,217.33	LT
	Jun 26, 13	69.000	82.259	5,675.90	99.030	6,833.07	1,157.17	LT
	Jun 27, 13	141.000	82.951	11,696.12	99.030	13,963.23	2,267.11	LT
	Jun 27, 13	7.000	82.925	580.48	99.030	693.21	112.73	LT
	Jun 28, 13	169.000	82.774	13,988.92	99.030	16,736.07	2,747.15	LT
	Jul 1, 13	65.000	82.781	5,380.78	99.030	6,436.95	1,056.17	LT
Security total		1,110.000	82.821	91,931.25		109,923.30	17,992.05	
COLGATE PALMOLIVE CO								
Symbol: CL Exchange: NYSE								
EAI: \$2,172 Current yield: 2.21%								
	Aug 4, 11	174.000	41.632	7,244.05	65.220	11,348.28	4,104.23	LT
	Aug 12, 11	4.000	42.450	169.80	65.220	260.88	91.08	LT
	Jan 23, 13	910.000	54.240	49,358.63	65.220	59,350.20	9,991.57	LT
	Apr 22, 13	420.000	59.788	25,111.32	65.220	27,392.40	2,281.08	LT
Security total		1,508.000	54.300	81,883.80		98,351.76	16,467.96	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE								
EAI: \$3,086 Current yield: 3.25%								
	Aug 4, 11	191.000	36.265	6,926.77	50.450	9,635.95	2,709.18	LT
	Aug 12, 11	5.000	35.754	178.77	50.450	252.25	73.48	LT

continued next page

SDNY_GM_00020607

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Sep 30 (\$)	Value on Sep 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Jan 23, 13	1,001.000	41.387	41,428.89	50.450	50,500.45	9,071.56	LT
	Apr 22, 13	464.000	50.287	23,333.21	50.450	23,408.80	75.59	LT
	Jun 17, 13	148.000	49.739	7,361.45	50.450	7,466.60	105.15	LT
	Jun 18, 13	73.000	49.836	3,638.07	50.450	3,682.85	44.78	LT
Security total		1,882.000	44.031	82,867.16		94,946.90	12,079.74	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$2,985 Current yield: 2.63%								
	Aug 4, 11	123.000	62.377	7,672.38	106.590	13,110.57	5,438.19	LT
	Aug 12, 11	3.000	63.730	191.19	106.590	319.77	128.58	LT
	Jan 23, 13	642.000	72.736	46,696.71	106.590	68,430.78	21,734.07	LT
	Apr 22, 13	298.000	84.721	25,247.10	106.590	31,763.82	6,516.72	LT
Security total		1,066.000	74.866	79,807.38		113,624.94	33,817.56	
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,461 Current yield: 3.59%								
	Aug 4, 11	95.000	84.969	8,072.06	94.810	9,006.95	934.89	LT
	Aug 12, 11	3.000	85.910	257.73	94.810	284.43	26.70	LT
	Nov 29, 12	8.000	86.456	691.65	94.810	758.48	66.83	LT
	Jan 23, 13	555.000	93.053	51,644.75	94.810	52,619.55	974.80	LT
	Apr 22, 13	255.000	99.318	25,326.32	94.810	24,176.55	-1,149.77	LT
	Sep 19, 13	78.000	97.879	7,634.63	94.810	7,395.18	-239.45	LT
	Sep 19, 13	22.000	97.425	2,143.36	94.810	2,085.82	-57.54	LT
	Sep 19, 13	2.000	97.830	195.66	94.810	189.62	-6.04	LT
Security total		1,018.000	94.269	95,966.16		96,516.58	550.42	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$3,370 Current yield: 3.09%								
	Aug 4, 11	134.000	52.960	7,096.75	93.880	12,579.92	5,483.17	LT
	Aug 12, 11	3.000	52.530	157.59	93.880	281.64	124.05	LT
	Jan 23, 13	700.000	71.610	50,127.21	93.880	65,716.00	15,588.79	LT
	Apr 22, 13	325.000	79.757	25,921.06	93.880	30,511.00	4,589.94	LT
Security total		1,162.000	71.689	83,302.61		109,088.56	25,785.95	
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,791 Current yield: 3.00%								
	Feb 12, 14	148.000	92.171	13,641.35	96.150	14,230.20	588.85	ST

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Sep 30 (\$)	Value on Sep 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Feb 12, 14	117.000	92.203	10,787.77	96.150	11,249.55	461.78	ST
	Feb 12, 14	32.000	92.215	2,950.91	96.150	3,076.80	125.89	ST
	Feb 12, 14	7.000	92.065	644.46	96.150	673.05	28.59	ST
	Feb 13, 14	110.000	92.095	10,130.45	96.150	10,576.50	446.05	ST
	Feb 13, 14	68.000	91.911	6,250.00	96.150	6,538.20	288.20	ST
	Feb 13, 14	33.000	91.560	3,021.49	96.150	3,172.95	151.46	ST
	Feb 13, 14	6.000	91.615	549.69	96.150	576.90	27.21	ST
	Feb 14, 14	334.000	95.389	31,860.13	96.150	32,114.10	253.97	ST
	Feb 18, 14	114.000	96.023	10,946.72	96.150	10,961.10	14.38	ST
Security total		969.000	93.687	90,782.97		93,169.35	2,386.38	
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,023 Current yield: 2.81%								
	Aug 4, 11	115.000	63.979	7,357.65	93.090	10,705.35	3,347.70	LT
	Aug 12, 11	3.000	63.023	189.07	93.090	279.27	90.20	LT
	May 16, 12	6.000	68.535	411.21	93.090	558.54	147.33	LT
	Oct 24, 12	1.000	68.690	68.69	93.090	93.09	24.40	LT
	Oct 25, 12	2.000	68.810	137.62	93.090	186.18	48.56	LT
	Oct 26, 12	1.000	68.890	68.89	93.090	93.09	24.20	LT
	Oct 31, 12	1.000	69.370	69.37	93.090	93.09	23.72	LT
	Nov 6, 12	1.000	69.370	69.37	93.090	93.09	23.72	LT
	Nov 7, 12	1.000	69.150	69.15	93.090	93.09	23.94	LT
	Nov 8, 12	2.000	69.090	138.18	93.090	186.18	48.00	LT
	Jan 23, 13	699.000	72.166	50,444.31	93.090	65,069.91	14,625.60	LT
	Apr 22, 13	322.000	82.251	26,484.85	93.090	29,974.98	3,490.13	LT
Security total		1,154.000	74.097	85,508.36		107,425.86	21,917.50	
PROCTER & GAMBLE CO								
Symbol: PG Exchange: NYSE								
EAI: \$2,919 Current yield: 3.07%								
	Aug 4, 11	118.000	60.103	7,092.22	83.740	9,881.32	2,789.10	LT
	Aug 12, 11	3.000	60.896	182.69	83.740	251.22	68.53	LT
	Jan 23, 13	619.000	69.941	43,293.73	83.740	51,835.06	8,541.33	LT
	Apr 22, 13	286.000	81.332	23,261.18	83.740	23,949.64	688.46	LT
	Apr 24, 13	108.000	77.762	8,398.32	83.740	9,043.92	645.60	LT

SDNY_GM_00020609 *continued next page*

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Sep 30 (\$)	Value on Sep 30 (\$)	Unrealized gain or loss (\$)	Holding period
Security total		1,134,000	72.512	82,228.14		94,961.16	12,733.02	
TRAVELERS COS INC/THE								
Symbol: TRV Exchange: NYSE								
EAI: \$2,534 Current yield: 2.34%								
	Apr 24, 12	20,000	63.432	1,268.64	93.940	1,878.80	610.16	LT
	Apr 24, 12	4,000	63.350	253.40	93.940	375.76	122.36	LT
	Apr 24, 12	1,000	63.560	63.56	93.940	93.94	30.38	LT
	Apr 25, 12	10,000	63.520	635.20	93.940	939.40	304.20	LT
	Apr 25, 12	10,000	63.617	636.17	93.940	939.40	303.23	LT
	Apr 25, 12	10,000	63.659	636.59	93.940	939.40	302.81	LT
	Apr 25, 12	2,000	63.545	127.09	93.940	187.88	60.79	LT
	Apr 25, 12	2,000	63.645	127.29	93.940	187.88	60.59	LT
	Apr 25, 12	2,000	63.745	127.49	93.940	187.88	60.39	LT
	Apr 26, 12	5,000	63.928	319.64	93.940	469.70	150.06	LT
	Apr 26, 12	2,000	63.920	127.84	93.940	187.88	60.04	LT
	Apr 26, 12	2,000	63.930	127.86	93.940	187.88	60.02	LT
	Apr 26, 12	1,000	63.720	63.72	93.940	93.94	30.22	LT
	May 1, 12	15,000	64.637	969.56	93.940	1,409.10	439.54	LT
	May 1, 12	6,000	64.715	388.29	93.940	563.64	175.35	LT
	May 1, 12	6,000	64.975	389.85	93.940	563.64	173.79	LT
	May 1, 12	2,000	64.850	129.70	93.940	187.88	58.18	LT
	May 1, 12	1,000	64.820	64.82	93.940	93.94	29.12	LT
	May 2, 12	7,000	64.374	450.62	93.940	657.58	206.96	LT
	May 2, 12	4,000	64.410	257.64	93.940	375.76	118.12	LT
	May 2, 12	2,000	64.320	128.64	93.940	187.88	59.24	LT
	May 3, 12	4,000	64.960	259.84	93.940	375.76	115.92	LT
	May 3, 12	2,000	64.675	129.35	93.940	187.88	58.53	LT
	May 3, 12	2,000	64.910	129.82	93.940	187.88	58.06	LT
	Jan 23, 13	629,000	77.560	48,785.62	93.940	59,088.26	10,302.64	LT
	Apr 22, 13	290,000	84.719	24,568.68	93.940	27,242.60	2,673.92	LT
	May 22, 13	111,000	83.807	9,302.58	93.940	10,427.34	1,124.76	LT
Security total		1,152,000	78.533	90,469.50		108,218.88	17,749.38	

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Sep 30 (\$)	Value on Sep 30 (\$)	Unrealized gain or loss (\$)	Holding period
UNITED PARCEL SERVICE INC CL B								
Symbol: UPS Exchange: NYSE								
EAI: \$2,843 Current yield: 2.73%								
	Sep 19, 13	82.000	91.779	7,525.90	98.290	8,059.78	533.88	LT
	Sep 19, 13	19.000	91.625	1,740.88	98.290	1,867.51	126.63	LT
	Sep 20, 13	107.000	91.805	9,823.18	98.290	10,517.03	693.85	LT
	Sep 20, 13	26.000	91.835	2,387.71	98.290	2,555.54	167.83	LT
	Sep 23, 13	93.000	91.049	8,467.59	98.290	9,140.97	673.38	LT
	Sep 24, 13	93.000	91.612	8,520.00	98.290	9,140.97	620.97	LT
	Sep 24, 13	41.000	91.663	3,758.20	98.290	4,029.89	271.69	LT
	Sep 25, 13	62.000	91.138	5,650.56	98.290	6,093.98	443.42	LT
	Sep 25, 13	11.000	91.090	1,001.99	98.290	1,081.19	79.20	LT
	Sep 26, 13	64.000	91.489	5,855.30	98.290	6,290.56	435.26	LT
	Sep 27, 13	54.000	91.117	4,920.33	98.290	5,307.66	387.33	LT
	Sep 30, 13	46.000	91.475	4,207.86	98.290	4,521.34	313.48	ST
	Oct 1, 13	46.000	91.668	4,216.73	98.290	4,521.34	304.61	ST
	Oct 1, 13	6.000	91.650	549.90	98.290	589.74	39.84	ST
	Oct 2, 13	61.000	91.128	5,558.84	98.290	5,995.69	436.85	ST
	Oct 2, 13	19.000	91.067	1,730.29	98.290	1,867.51	137.22	ST
	Oct 3, 13	55.000	90.337	4,968.58	98.290	5,405.95	437.37	ST
	Oct 4, 13	55.000	90.653	4,985.96	98.290	5,405.95	419.99	ST
	Jan 17, 14	121.000	99.231	12,007.00	98.290	11,893.09	-113.91	ST
Security total		1,061.000	92.250	97,876.80		104,285.69	6,408.89	
XILINX INC								
Symbol: XLNX Exchange: OTC								
EAI: \$2,086 Current yield: 2.74%								
	Sep 7, 12	25.000	34.770	869.27	42.350	1,058.75	189.48	LT
	Sep 7, 12	5.000	34.846	174.23	42.350	211.75	37.52	LT
	Sep 10, 12	37.000	34.845	1,289.29	42.350	1,566.95	277.66	LT
	Sep 10, 12	3.000	34.660	103.98	42.350	127.05	23.07	LT
	Sep 11, 12	20.000	34.853	697.06	42.350	847.00	149.94	LT
	Sep 12, 12	18.000	35.006	630.11	42.350	762.30	132.19	LT
	Sep 13, 12	21.000	34.886	732.61	42.350	889.35	156.74	LT
	Sep 14, 12	19.000	35.536	675.19	42.350	804.65	129.46	LT

SDNY_GM_00020611 *continued next page*

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Sep 30 (\$)	Value on Sep 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Sep 17, 12	7.000	35.151	246.06	42.350	296.45	50.39	LT
	Oct 24, 12	3.000	32.523	97.57	42.350	127.05	29.48	LT
	Oct 25, 12	5.000	32.522	162.61	42.350	211.75	49.14	LT
	Oct 26, 12	3.000	32.776	98.33	42.350	127.05	28.72	LT
	Oct 31, 12	1.000	32.770	32.77	42.350	42.35	9.58	LT
	Nov 1, 12	2.000	33.360	66.72	42.350	84.70	17.98	LT
	Nov 1, 12	1.000	33.520	33.52	42.350	42.35	8.83	LT
	Nov 1, 12	1.000	33.530	33.53	42.350	42.35	8.82	LT
	Nov 2, 12	1.000	33.550	33.55	42.350	42.35	8.80	LT
	Nov 5, 12	1.000	33.190	33.19	42.350	42.35	9.16	LT
	Nov 6, 12	3.000	33.886	101.66	42.350	127.05	25.39	LT
	Nov 7, 12	2.000	34.025	68.05	42.350	84.70	16.65	LT
	Nov 7, 12	1.000	33.910	33.91	42.350	42.35	8.44	LT
	Nov 8, 12	4.000	34.032	136.13	42.350	169.40	33.27	LT
	Nov 8, 12	1.000	33.860	33.86	42.350	42.35	8.49	LT
	Nov 28, 12	4.000	34.312	137.25	42.350	169.40	32.15	LT
	Nov 28, 12	3.000	34.410	103.23	42.350	127.05	23.82	LT
	Nov 29, 12	15.000	34.583	518.75	42.350	635.25	116.50	LT
	Nov 29, 12	3.000	34.493	103.48	42.350	127.05	23.57	LT
	Jan 23, 13	1,087.000	36.805	40,008.01	42.350	46,034.45	6,026.44	LT
	Apr 22, 13	502.000	35.691	17,917.23	42.350	21,259.70	3,342.47	LT
Security total		1,798.000	36.246	65,171.15		76,145.30	10,974.15	
Total				\$1,367,972.07		\$1,632,802.19	\$264,830.12	

Total estimated annual income: \$45,519

Your total assets

		Value on Sep 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	5,168.53	0.32%	5,168.53		
Equities	Common stock	1,632,802.19	99.68%	1,367,972.07	45,519.00	264,830.12
Total		\$1,637,970.72	100.00%	\$1,373,140.60	\$45,519.00	\$264,830.12

CONFIDENTIAL



Account activity this month

	Date	Activity	Description	Amount (\$)
Dividend and interest income				
<i>Taxable dividends</i>				
	Sep 3	Dividend	UNITED PARCEL SERVICE INC CL B PAID ON 1061	710.87
	Sep 9	Dividend	JOHNSON & JOHNSON COM PAID ON 1066	746.20
	Sep 15	Dividend	NEXTERA ENERGY INC COM PAID ON 1162	842.45
	Sep 16	Dividend	MCDONALDS CORP PAID ON 1018	824.58
	Sep 17	Dividend	ANALOG DEVICES INC PAID ON 1751	647.87
	Sep 22	Dividend	BLACKROCK INC PAID ON 372	717.96
	Sep 29	Dividend	PEPSICO INC PAID ON 1154	755.87
	Sep 29	Dividend	TRAVELERS COS INC/THE PAID ON 1152	633.60
		Total taxable dividends		\$5,879.40
		Total dividend and interest income		\$5,879.40
Other funds debited				
	Sep 4	Transfer	TO [REDACTED] 23575 0100	-710.87
		Total other funds debited		-\$710.87
Money balance activities				
	Aug 29	Balance forward		\$0.00
	Sep 4	Deposit	UBS BANK USA DEPOSIT ACCOUNT	710.87
	Sep 5	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 09/04/14	-710.87
	Sep 10	Deposit	UBS BANK USA DEPOSIT ACCOUNT	746.20
	Sep 16	Deposit	UBS BANK USA DEPOSIT ACCOUNT	842.45
	Sep 17	Deposit	UBS BANK USA DEPOSIT ACCOUNT	824.58
	Sep 18	Deposit	UBS BANK USA DEPOSIT ACCOUNT	647.87
	Sep 23	Deposit	UBS BANK USA DEPOSIT ACCOUNT	717.96
	Sep 30	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,389.47
	Sep 30	Closing UBS Bank USA Deposit Account		\$5,168.53

The UBS Bank, USA Deposit Account is your primary sweep option.

CONFIDENTIAL



Your notes

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.

All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.

- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: RMBBSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweepyields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity. The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account

holder on the books and records of the applicable issuer or transfer agent).

- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org.

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP, partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each account held, you choose one of the following investment objectives:

- **Produce Current Income:** Investments seeking the generation of income only.
- **Achieve Capital Appreciation:** Investments seeking growth of principal rather than the generation of income.
- **Produce Combination of Income and Capital Appreciation:** Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- **Conservative:** Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- **Moderate:** Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- **Aggressive:** Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate

envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- **Value of your accounts/portfolio:** Net of assets and liabilities.
- **Assets:** Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities/assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- **Liabilities:** Includes debit balances, outstanding margin loans, credit line, short account balances.
- **Cash/money balances:** Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accountdisclosures

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

- **Cost basis:** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

- **Unrealized gains/losses:** When data is available, estimated unrealized gains/losses are calculated for

SDNY_GM_00020615

CONFIDENTIAL

EFTA_00131235

EFTA01273442

Important information about your statement (continued)

individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

- **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield. Complete information will be provided upon request.
- **Certificates of deposit (CDs)** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.
- **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.
 - We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
 - Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
 - Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
 - Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
 - For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation.To obtain current quotations, when available, contact your Financial Advisor.
- **Private investments and structured products.** Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.
 - These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
 - Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
 - Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
 - You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.

- Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
- When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.
- "Distributions to date" may include return of capital, income or both.
- "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

- **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

- **Est. (estimated) income, current yields and rates.** An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.
 - Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
 - Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
 - An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities' deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

- **Assets not held by UBS Financial Services.** Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

- **Revenue sharing and additional compensation.**
 - In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
 - We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the

number of accounts at the broker-dealer holding mutual funds of that fund family.

- In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
- We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Tax withholding on distributions from UBS Financial Services IRAs

Federal tax law requires UBS Financial Services to withhold income tax from your taxable IRA distributions, but you may elect not to have income tax withheld or, instead, you may elect to have tax withheld at a rate or in a fixed amount as you choose. Your election will remain in effect until revoked by you. You may revoke your election at any time by making a new election. If you do not have enough income tax withheld from your distributions, you may be responsible for the payment of estimated tax. You may incur penalties if the amounts withheld and your estimated tax payments are not equal to your tax obligation.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value

RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management

Account are registered service marks of UBS Financial Services Inc.

Visa Signature is a registered service mark of Visa International. UBS Visa Signature credit cards and UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated.

UBS Financial Services Inc.

Rev. 201407

SDNY_GM_00020616

CONFIDENTIAL

EFTA_00131236

EFTA01273443



UBS Financial Services Inc.
299 Park Avenue
25th Floor
New York NY 10171-0002

CNP7005747987 1014 ■ 0

UBS Strategic Advisor

October 2014

GHISLAINE MAXWELL
116 E 65TH STREET
NEW YORK NY 10065-7007

Account name: GHISLAINE MAXWELL

Friendly account name: indiv. [REDACTED]

Account number: [REDACTED]

Your Financial Advisor:
SCOTT STACKMAN/LYLE CASRIEL
Phone: [REDACTED]

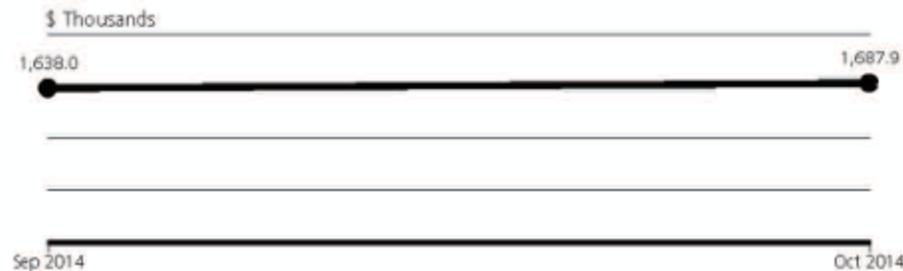
Questions about your statement?
Call your Financial Advisor or the
RMA ResourceLine at 800-RMA-1000,
account 029023568.

Visit our website:
www.ubs.com/financialservices

Value of your account

	on September 30 (\$)	on October 31 (\$)
Your assets	1,637,970.72	1,687,906.48
Your liabilities	0.00	0.00
Value of your account	\$1,637,970.72	\$1,687,906.48

Tracking the value of your account



Sources of your account growth during 2014

Value of your account at year end 2013	\$0.00
Net deposits and withdrawals	\$1,519,460.39
Your investment return:	
Dividend and interest income	\$33,224.53
Change in market value	\$135,221.56
Value of your account on Oct 31, 2014	\$1,687,906.48

CONFIDENTIAL



Your account balance sheet

Summary of your assets

	Value on October 31 (\$)	Percentage of your account
A Cash and money balances	5,221.74	0.31%
B Cash alternatives	0.00	0.00%
C Equities	1,682,684.74	99.69%
D Fixed income	0.00	0.00%
E Non-traditional	0.00	0.00%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$1,687,906.48	100.00%

Value of your account **\$1,687,906.48**

Your current asset allocation



► *Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.*

Eye on the markets

Index	Percentage change	
	October 2014	Year to date
S&P 500	2.44%	10.99%
Russell 3000	2.75%	9.90%
MSCI - Europe, Australia & Far East	-1.45%	-2.42%
Barclays Capital U.S. Aggregate Bond Index	0.98%	5.12%

Interest rates on October 31, 2014

3-month Treasury bills: 0.01%
One-month LIBOR: 0.16%

CONFIDENTIAL



Change in the value of your account

	October 2014 (\$)	Year to date (\$)
Opening account value	\$1,637,970.72	\$0.00
Deposits, including investments transferred in	0.00	1,994,881.82
Withdrawals and fees, including investments transferred out	-2,064.29	-475,421.43
Dividend and interest income	2,117.50	33,224.53
Change in market value	49,882.55	135,221.56
Closing account value	\$1,687,906.48	\$1,687,906.48

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	October 2014 (\$)	Year to date (\$)
Taxable dividends	2,117.36	33,219.88
Taxable interest	0.14	4.65
Total current year	\$2,117.50	\$33,224.53
Total dividend & interest	\$2,117.50	\$33,224.53

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)
	October 2014 (\$)	Year to date (\$)	
Short term	0.00	-7,125.69	-3,922.69
Long term	0.00	57,725.77	318,635.36
Total	\$0.00	\$50,600.08	\$314,712.67

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	October 2014 (\$)	Year to date (\$)
Opening balances	\$5,168.53	\$0.00
<i>Additions</i>		
Deposits and other funds credited	0.00	48,841.01
Dividend and interest income	2,117.50	33,224.53
Proceeds from investment transactions	0.00	398,577.63
Total additions	\$2,117.50	\$480,643.17
<i>Subtractions</i>		
Professional management fees and related services	-2,064.29	-5,043.39
Other funds debited	0.00	-470,378.04
Total subtractions	-\$2,064.29	-\$475,421.43
Net cash flow	\$53.21	\$5,221.74
Closing balances	\$5,221.74	\$5,221.74



UBS Bank USA Deposit Account APY

Interest period Sep 8 - Oct 6

Opening UBS Bank USA Deposit balance Sep 8	\$0.00
Closing UBS Bank USA Deposit balance Oct 6	\$6,588.35
Number of days in interest period	29
Average daily balance	\$3,224.69
Interest earned	\$0.14
Annual percentage yield earned	0.05%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Current income & capital appreciation

Your risk profile:

Primary - Aggressive

Investment eligibility consideration - None selected

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

CONFIDENTIAL



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on Oct 1 (\$)	Closing balance on Oct 31 (\$)	Price per share on Oct 31 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	5,168.53	5,221.74					250,000.00

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Cost basis (\$)	Price per share on Oct 31 (\$)	Value on Oct 31 (\$)	Unrealized gain or loss (\$)	Holding period
ANALOG DEVICES INC Symbol: ADI Exchange: OTC EAI: \$2,591 Current yield: 2.98%	Nov 16, 11	13.000	37.316	485.12	49.620	645.06	159.94	LT
	Nov 17, 11	13.000	35.393	460.12	49.620	645.06	184.94	LT
	Nov 18, 11	35.000	35.502	1,242.58	49.620	1,736.70	494.12	LT
	Nov 21, 11	18.000	34.371	618.68	49.620	893.16	274.48	LT
	Nov 22, 11	15.000	33.338	500.07	49.620	744.30	244.23	LT
	Nov 23, 11	22.000	32.655	718.43	49.620	1,091.64	373.21	LT
	Nov 25, 11	7.000	32.460	227.22	49.620	347.34	120.12	LT
	Nov 28, 11	30.000	32.951	988.55	49.620	1,488.60	500.05	LT
	Nov 29, 11	18.000	33.472	602.51	49.620	893.16	290.65	LT
	Nov 29, 11	5.000	33.622	168.11	49.620	248.10	79.99	LT
	Apr 24, 12	30.000	37.567	1,127.01	49.620	1,488.60	361.59	LT

continued next page

SDNY_GM_00020621

CNP70009005747991 NP7000188796 00002 1014 030575004 Y123568550 000000

Page 13 of 98

CONFIDENTIAL

EFTA_00131241

EFTA01273448



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Oct 31 (\$)	Value on Oct 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Oct 9, 12	2.000	189.010	378.02	341.110	682.22	304.20	LT
	Oct 10, 12	3.000	187.720	563.16	341.110	1,023.33	460.17	LT
	Oct 10, 12	2.000	187.670	375.34	341.110	682.22	306.88	LT
	Oct 10, 12	2.000	187.995	375.99	341.110	682.22	306.23	LT
	Jan 23, 13	224.000	236.966	53,080.41	341.110	76,408.64	23,328.23	LT
	Apr 22, 13	104.000	251.093	26,113.69	341.110	35,475.44	9,361.75	LT
Security total		372.000	235.218	87,501.00		126,892.92	39,391.92	
CATERPILLAR INC								
Symbol: CAT Exchange: NYSE								
EAI: \$3,108 Current yield: 2.76%								
	Jun 19, 13	72.000	84.718	6,099.75	101.410	7,301.52	1,201.77	LT
	Jun 20, 13	121.000	83.141	10,060.15	101.410	12,270.61	2,210.46	LT
	Jun 20, 13	78.000	83.030	6,476.39	101.410	7,909.98	1,433.59	LT
	Jun 21, 13	204.000	82.904	16,912.44	101.410	20,687.64	3,775.20	LT
	Jun 24, 13	111.000	81.517	9,048.46	101.410	11,256.51	2,208.05	LT
	Jun 25, 13	73.000	82.354	6,011.86	101.410	7,402.93	1,391.07	LT
	Jun 26, 13	69.000	82.259	5,675.90	101.410	6,997.29	1,321.39	LT
	Jun 27, 13	141.000	82.951	11,696.12	101.410	14,298.81	2,602.69	LT
	Jun 27, 13	7.000	82.925	580.48	101.410	709.87	129.39	LT
	Jun 28, 13	169.000	82.774	13,988.92	101.410	17,138.29	3,149.37	LT
	Jul 1, 13	65.000	82.781	5,380.78	101.410	6,591.65	1,210.87	LT
Security total		1,110.000	82.821	91,931.25		112,565.10	20,633.85	
CDK GLOBAL INC COM								
Symbol: CDK Exchange: OTC								
	Aug 4, 11	48.667	18.086	880.22	33.600	1,635.20	754.98	LT
	Aug 12, 11	1.333	17.490	23.32	33.600	44.80	21.48	LT
	Jan 23, 13	255.667	22.348	5,713.79	33.600	8,590.40	2,876.61	LT
	Apr 22, 13	118.333	24.292	2,874.56	33.600	3,976.00	1,101.44	LT
Security total		424.000	22.387	9,491.89		14,246.40	4,754.51	
COLGATE PALMOLIVE CO								
Symbol: CL Exchange: NYSE								
EAI: \$2,172 Current yield: 2.15%								
	Aug 4, 11	174.000	41.632	7,244.05	66.880	11,637.12	4,393.07	LT
	Aug 12, 11	4.000	42.450	169.80	66.880	267.52	97.72	LT
	Jan 23, 13	910.000	54.240	49,358.63	66.880	60,860.80	11,502.17	LT

continued next page
SDNY_GM_00020623

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Oct 31 (\$)	Value on Oct 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Jan 23, 13	700.000	71.610	50,127.21	100.220	70,154.00	20,026.79	LT
	Apr 22, 13	325.000	79.757	25,921.06	100.220	32,571.50	6,650.44	LT
Security total		1,162.000	71.689	83,302.61		116,455.64	33,153.03	
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,791 Current yield: 3.24%								
	Feb 12, 14	148.000	92.171	13,641.35	88.930	13,161.64	-479.71	ST
	Feb 12, 14	117.000	92.203	10,787.77	88.930	10,404.81	-382.96	ST
	Feb 12, 14	32.000	92.215	2,950.91	88.930	2,845.76	-105.15	ST
	Feb 12, 14	7.000	92.065	644.46	88.930	622.51	-21.95	ST
	Feb 13, 14	110.000	92.095	10,130.45	88.930	9,782.30	-348.15	ST
	Feb 13, 14	68.000	91.911	6,250.00	88.930	6,047.24	-202.76	ST
	Feb 13, 14	33.000	91.560	3,021.49	88.930	2,934.69	-86.80	ST
	Feb 13, 14	6.000	91.615	549.69	88.930	533.58	-16.11	ST
	Feb 14, 14	334.000	95.389	31,860.13	88.930	29,702.62	-2,157.51	ST
	Feb 18, 14	114.000	96.023	10,946.72	88.930	10,138.02	-808.70	ST
Security total		969.000	93.687	90,782.97		86,173.17	-4,609.80	
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,023 Current yield: 2.72%								
	Aug 4, 11	115.000	63.979	7,357.65	96.170	11,059.55	3,701.90	LT
	Aug 12, 11	3.000	63.023	189.07	96.170	288.51	99.44	LT
	May 16, 12	6.000	68.535	411.21	96.170	577.02	165.81	LT
	Oct 24, 12	1.000	68.690	68.69	96.170	96.17	27.48	LT
	Oct 25, 12	2.000	68.810	137.62	96.170	192.34	54.72	LT
	Oct 26, 12	1.000	68.890	68.89	96.170	96.17	27.28	LT
	Oct 31, 12	1.000	69.370	69.37	96.170	96.17	26.80	LT
	Nov 6, 12	1.000	69.370	69.37	96.170	96.17	26.80	LT
	Nov 7, 12	1.000	69.150	69.15	96.170	96.17	27.02	LT
	Nov 8, 12	2.000	69.090	138.18	96.170	192.34	54.16	LT
	Jan 23, 13	699.000	72.166	50,444.31	96.170	67,222.83	16,778.52	LT
	Apr 22, 13	322.000	82.251	26,484.85	96.170	30,966.74	4,481.89	LT
Security total		1,154.000	74.097	85,508.36		110,980.18	25,471.82	

continued next page

SDNY_GM_00020625

CNP70009005747995 NP7000188796 00002 1014 030575004 Y123568550 000000

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Oct 31 (\$)	Value on Oct 31 (\$)	Unrealized gain or loss (\$)	Holding period
	May 3, 12	2.000	64.675	129.35	100.800	201.60	72.25	LT
	May 3, 12	2.000	64.910	129.82	100.800	201.60	71.78	LT
	Jan 23, 13	629.000	77.560	48,785.62	100.800	63,403.20	14,617.58	LT
	Apr 22, 13	290.000	84.719	24,568.68	100.800	29,232.00	4,663.32	LT
	May 22, 13	111.000	83.807	9,302.58	100.800	11,188.80	1,886.22	LT
Security total		1,152.000	78.533	90,469.50		116,121.60	25,652.10	
UNITED PARCEL SERVICE INC CL B								
Symbol: UPS Exchange: NYSE								
EAI: \$2,843 Current yield: 2.55%								
	Sep 19, 13	82.000	91.779	7,525.90	104.910	8,602.62	1,076.72	LT
	Sep 19, 13	19.000	91.625	1,740.88	104.910	1,993.29	252.41	LT
	Sep 20, 13	107.000	91.805	9,823.18	104.910	11,225.37	1,402.19	LT
	Sep 20, 13	26.000	91.835	2,387.71	104.910	2,727.66	339.95	LT
	Sep 23, 13	93.000	91.049	8,467.59	104.910	9,756.63	1,289.04	LT
	Sep 24, 13	93.000	91.612	8,520.00	104.910	9,756.63	1,236.63	LT
	Sep 24, 13	41.000	91.663	3,758.20	104.910	4,301.31	543.11	LT
	Sep 25, 13	62.000	91.138	5,650.56	104.910	6,504.42	853.86	LT
	Sep 25, 13	11.000	91.090	1,001.99	104.910	1,154.01	152.02	LT
	Sep 26, 13	64.000	91.489	5,855.30	104.910	6,714.24	858.94	LT
	Sep 27, 13	54.000	91.117	4,920.33	104.910	5,665.14	744.81	LT
	Sep 30, 13	46.000	91.475	4,207.86	104.910	4,825.86	618.00	LT
	Oct 1, 13	46.000	91.668	4,216.73	104.910	4,825.86	609.13	LT
	Oct 1, 13	6.000	91.650	549.90	104.910	629.46	79.56	LT
	Oct 2, 13	61.000	91.128	5,558.84	104.910	6,399.51	840.67	LT
	Oct 2, 13	19.000	91.067	1,730.29	104.910	1,993.29	263.00	LT
	Oct 3, 13	55.000	90.337	4,968.58	104.910	5,770.05	801.47	LT
	Oct 4, 13	55.000	90.653	4,985.96	104.910	5,770.05	784.09	LT
	Jan 17, 14	121.000	99.231	12,007.00	104.910	12,694.11	687.11	ST
Security total		1,061.000	92.250	97,876.80		111,309.51	13,432.71	
XILINX INC								
Symbol: XLNX Exchange: OTC								
EAI: \$2,086 Current yield: 2.61%								
	Sep 7, 12	25.000	34.770	869.27	44.480	1,112.00	242.73	LT
	Sep 7, 12	5.000	34.846	174.23	44.480	222.40	48.17	LT

SDNY_GM_00020627 *continued next page*

CONFIDENTIAL



Your assets (continued)

Your total assets

		Value on Oct 31 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	5,221.74	0.31%	5,221.74		
Equities	Common stock	1,682,684.74	99.69%	1,367,972.07	45,519.00	314,712.67
Total		\$1,687,906.48	100.00%	\$1,373,193.81	\$45,519.00	\$314,712.67

Account activity this month

	Date	Activity	Description	Amount (\$)
Dividend and interest income				
<i>Taxable dividends</i>				
	Oct 1	Dividend	AUTOMATIC DATA PROCESSNG INC 03891100000333333334PAID ON 1272	610.56
	Oct 1	Dividend	BAXTER INTL INC PAID ON 1 556	809.12
	Oct 15	Dividend	OCCIDENTAL PETROLEUM CRP PAID ON 969	697.68
		Total taxable dividends		\$2,117.36
<i>Taxable interest</i>				
	Oct 7	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 10/06/14	0.14
		Total taxable interest		\$0.14
		Total dividend and interest income		\$2,117.50
Fees				
	Oct 24	Fee Charged	QUARTERLY FEE	-2,064.29
		Total professional management fees		-\$2,064.29

Investment transactions

For more information about the price/value shown for restricted securities, see *Important information about your statement* at the end of this document.

Date	Activity	Description	Quantity	Value (\$)	Price (\$)	Proceeds from investment transactions (\$)	Funds withdrawn for investments bought (\$)	Accrued interest (\$)
Oct 1	Spin Off	CDK GLOBAL INC COM SYMBOL: CDK FROM AUTOMATIC DATA PROCESSNG INC SYMBOL: ADP RATE: 0.333333334	424.000					
Total								

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
Money balance activities	Sep 30	Balance forward		\$5,168.53
	Oct 2	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,419.68
	Oct 7	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 10/06/14	0.14
	Oct 16	Deposit	UBS BANK USA DEPOSIT ACCOUNT	697.68
	Oct 27	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 10/24/14	-2,064.29
	Oct 31	Closing UBS Bank USA Deposit Account		\$5,221.74

The UBS Bank, USA Deposit Account is your primary sweep option.

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.

All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.

- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: #NABSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweepyields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity. The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account

holder on the books and records of the applicable issuer or transfer agent).

- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org.

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP, partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each account held, you choose one of the following investment objectives:

- **Produce Current Income:** Investments seeking the generation of income only.
- **Achieve Capital Appreciation:** Investments seeking growth of principal rather than the generation of income.
- **Produce Combination of Income and Capital Appreciation:** Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- **Conservative:** Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- **Moderate:** Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- **Aggressive:** Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate

envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- **Value of your accounts/ portfolio:** Net of assets and liabilities.
- **Assets:** Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities/assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- **Liabilities:** Includes debit balances, outstanding margin loans, credit line, short account balances.
- **Cash/money balances:** Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accountdisclosures

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

- **Cost basis:** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

- **Unrealized gains/losses:** When data is available, estimated unrealized gains/losses are calculated for

SDNY_GM_00020631

CONFIDENTIAL

EFTA_00131251

EFTA01273458

Important information about your statement (continued)

individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

- **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield. Complete information will be provided upon request.
- **Certificates of deposit (CDs)** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.
- **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.
 - We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
 - Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
 - Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
 - Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
 - For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation.To obtain current quotations, when available, contact your Financial Advisor.
- **Private investments and structured products.** Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.
 - These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
 - Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
 - Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
 - You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.

- Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
- When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.
- "Distributions to date" may include return of capital, income or both.
- "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

- **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

- **Est. (estimated) income, current yields and rates.** An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.
 - Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
 - Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
 - An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

- **Assets not held by UBS Financial Services.** Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

- **Revenue sharing and additional compensation.**
 - In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
 - We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the

number of accounts at the broker-dealer holding mutual funds of that fund family.

- In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
- We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Tax withholding on distributions from UBS Financial Services IRAs

Federal tax law requires UBS Financial Services to withhold income tax from your taxable IRA distributions, but you may elect not to have income tax withheld or, instead, you may elect to have tax withheld at a rate or in a fixed amount as you choose. Your election will remain in effect until revoked by you. You may revoke your election at any time by making a new election. If you do not have enough income tax withheld from your distributions, you may be responsible for the payment of estimated tax. You may incur penalties if the amounts withheld and your estimated tax payments are not equal to your tax obligation.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value

RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management

Account are registered service marks of UBS Financial Services Inc.

Visa Signature is a registered service mark of Visa International. UBS Visa Signature credit cards and UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated.

UBS Financial Services Inc.

Rev. 201407

SDNY_GM_00020632

CONFIDENTIAL

EFTA_00131252

EFTA01273459



UBS Financial Services Inc.
299 Park Avenue
25th Floor
New York NY 10171-0002

CNP70056752451114 X2 ■ 0

UBS Strategic Advisor

November 2014

GHISLAINE MAXWELL



Account name: GHISLAINE MAXWELL

Friendly account name: Indiv. [REDACTED]

Account number: [REDACTED]

Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED]

Questions about your statement?

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account 029023568.

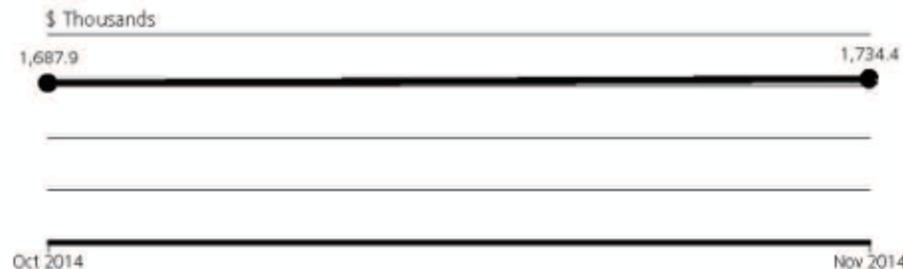
Visit our website:

www.ubs.com/financialservices

Value of your account

	on October 31 (\$)	on November 28 (\$)
Your assets	1,687,906.48	1,734,358.85
Your liabilities	0.00	0.00
Value of your account	\$1,687,906.48	\$1,734,358.85

Tracking the value of your account



Sources of your account growth during 2014

Value of your account at year end 2013	\$0.00
Net deposits and withdrawals	\$1,512,194.00
Your investment return:	
Dividend and interest income	\$36,567.60
Change in market value	\$185,597.25
Value of your account on Nov 28, 2014	\$1,734,358.85

CONFIDENTIAL



Your account balance sheet

Summary of your assets

	Value on November 28 (\$)	Percentage of your account
A Cash and money balances	1,298.42	0.07%
B Cash alternatives	0.00	0.00%
C Equities	1,733,060.43	99.93%
D Fixed income	0.00	0.00%
E Non-traditional	0.00	0.00%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$1,734,358.85	100.00%

Value of your account **\$1,734,358.85**

Your current asset allocation



► Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.

Eye on the markets

Index	Percentage change	
	November 2014	Year to date
S&P 500	2.69%	13.98%
Russell 3000	2.42%	12.56%
MSCI - Europe, Australia & Far East	1.37%	-1.08%
Barclays Capital U.S. Aggregate Bond Index	0.70%	5.86%

Interest rates on November 28, 2014

3-month Treasury bills: 0.01%
One-month LIBOR: 0.15%

CONFIDENTIAL



Change in the value of your account

	November 2014 (\$)	Year to date (\$)
Opening account value	\$1,687,906.48	\$0.00
Deposits, including investments transferred in	0.00	1,994,881.82
Withdrawals and fees, including investments transferred out	-7,266.39	-482,687.82
Dividend and interest income	3,343.07	36,567.60
Change in market value	50,375.69	185,597.25
Closing account value	\$1,734,358.85	\$1,734,358.85

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	November 2014 (\$)	Year to date (\$)
Taxable dividends	3,342.76	36,562.64
Taxable interest	0.31	4.96
Total current year	\$3,343.07	\$36,567.60
Total dividend & interest	\$3,343.07	\$36,567.60

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)
	November 2014 (\$)	Year to date (\$)	
Short term	0.00	-7,125.69	-12,192.52
Long term	0.00	57,725.77	377,280.88
Total	\$0.00	\$50,600.08	\$365,088.36

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	November 2014 (\$)	Year to date (\$)
Opening balances	\$5,221.74	\$0.00
<i>Additions</i>		
Deposits and other funds credited	0.00	48,841.01
Dividend and interest income	3,343.07	36,567.60
Proceeds from investment transactions	0.00	398,577.63
Total additions	\$3,343.07	\$483,986.24
<i>Subtractions</i>		
Professional management fees and related services	0.00	-5,043.39
Other funds debited	-7,266.39	-477,644.43
Total subtractions	-\$7,266.39	-\$482,687.82
Net cash flow	-\$3,923.32	\$1,298.42
Closing balances	\$1,298.42	\$1,298.42



UBS Bank USA Deposit Account APY

Interest period Oct 7 - Nov 6

Opening UBS Bank USA Deposit balance Oct 7	\$6,588.35
Closing UBS Bank USA Deposit balance Nov 6	\$5,993.67
Number of days in interest period	31
Average daily balance	\$6,225.89
Interest earned	\$0.31
Annual percentage yield earned	0.06%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Current income & capital appreciation

Your risk profile:

Primary - Aggressive

Investment eligibility consideration - None selected

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

CONFIDENTIAL



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on Nov 1 (\$)	Closing balance on Nov 28 (\$)	Price per share on Nov 28 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	5,221.74	1,298.42					250,000.00

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Nov 28 (\$)	Value on Nov 28 (\$)	Unrealized gain or loss (\$)	Holding period
ANALOG DEVICES INC Symbol: ADI Exchange: OTC EAI: \$2,591 Current yield: 2.71%	Nov 16, 11	13.000	37.316	485.12	54.640	710.32	225.20	LT
	Nov 17, 11	13.000	35.393	460.12	54.640	710.32	250.20	LT
	Nov 18, 11	35.000	35.502	1,242.58	54.640	1,912.40	669.82	LT
	Nov 21, 11	18.000	34.371	618.68	54.640	983.52	364.84	LT
	Nov 22, 11	15.000	33.338	500.07	54.640	819.60	319.53	LT
	Nov 23, 11	22.000	32.655	718.43	54.640	1,202.08	483.65	LT
	Nov 25, 11	7.000	32.460	227.22	54.640	382.48	155.26	LT
	Nov 28, 11	30.000	32.951	988.55	54.640	1,639.20	650.65	LT
	Nov 29, 11	18.000	33.472	602.51	54.640	983.52	381.01	LT
	Nov 29, 11	5.000	33.622	168.11	54.640	273.20	105.09	LT
	Apr 24, 12	30.000	37.567	1,127.01	54.640	1,639.20	512.19	LT

continued next page

SDNY_GM_00020637

CNP70006005675249 NP7000191999 00002 1114 030575004 Y123568550 010000

Page 13 of 96

CONFIDENTIAL

EFTA_00131257

EFTA01273464



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Nov 28 (\$)	Value on Nov 28 (\$)	Unrealized gain or loss (\$)	Holding period
	Jan 23, 13	1,056.000	43.209	45,628.81	54.640	57,699.84	12,071.03	LT
	Apr 22, 13	489.000	42.447	20,756.68	54.640	26,718.96	5,962.28	LT
Security total		1,751.000	41.990	73,523.89		95,674.64	22,150.75	
AUTOMATIC DATA PROCESSING INC								
Symbol: ADP Exchange: OTC								
EAI: \$2,493 Current yield: 2.29%								
	Aug 4, 11	146.000	42.343	6,182.08	85.640	12,503.44	6,321.36	LT
	Aug 12, 11	4.000	40.955	163.82	85.640	342.56	178.74	LT
	Jan 23, 13	767.000	52.320	40,129.93	85.640	65,685.88	25,555.95	LT
	Apr 22, 13	355.000	56.870	20,189.01	85.640	30,402.20	10,213.19	LT
Security total		1,272.000	52.409	66,664.84		108,934.08	42,269.24	
BAXTER INTL INC								
Symbol: BAX Exchange: NYSE								
EAI: \$3,236 Current yield: 2.85%								
	Jun 20, 12	30.000	51.594	1,547.84	73.000	2,190.00	642.16	LT
	Jun 20, 12	17.000	51.522	875.89	73.000	1,241.00	365.11	LT
	Jun 21, 12	29.000	52.077	1,510.25	73.000	2,117.00	606.75	LT
	Jun 21, 12	7.000	51.500	360.50	73.000	511.00	150.50	LT
	Jun 21, 12	5.000	52.216	261.08	73.000	365.00	103.92	LT
	Jun 22, 12	61.000	51.890	3,165.29	73.000	4,453.00	1,287.71	LT
	Jan 23, 13	768.000	66.658	51,193.80	73.000	56,064.00	4,870.20	LT
	Apr 22, 13	355.000	69.318	24,608.00	73.000	25,915.00	1,307.00	LT
	Sep 19, 13	74.000	72.165	5,340.28	73.000	5,402.00	61.72	LT
	Sep 19, 13	6.000	71.875	431.25	73.000	438.00	6.75	LT
	Sep 19, 13	3.000	71.880	215.64	73.000	219.00	3.36	LT
	Sep 20, 13	47.000	71.987	3,383.41	73.000	3,431.00	47.59	LT
	Oct 3, 13	154.000	64.600	9,948.49	73.000	11,242.00	1,293.51	LT
Security total		1,556.000	66.094	102,841.72		113,588.00	10,746.28	
BLACKROCK INC								
Symbol: BLK Exchange: NYSE								
EAI: \$2,872 Current yield: 2.15%								
	Oct 5, 12	7.000	189.932	1,329.53	359.080	2,513.56	1,184.03	LT
	Oct 5, 12	3.000	187.820	563.46	359.080	1,077.24	513.78	LT
	Oct 5, 12	2.000	186.670	373.34	359.080	718.16	344.82	LT
	Oct 8, 12	8.000	188.783	1,510.27	359.080	2,872.64	1,362.37	LT
	Oct 9, 12	15.000	189.186	2,837.79	359.080	5,386.20	2,548.41	LT

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Nov 28 (\$)	Value on Nov 28 (\$)	Unrealized gain or loss (\$)	Holding period
	Oct 9, 12	2.000	189.010	378.02	359.080	718.16	340.14	LT
	Oct 10, 12	3.000	187.720	563.16	359.080	1,077.24	514.08	LT
	Oct 10, 12	2.000	187.670	375.34	359.080	718.16	342.82	LT
	Oct 10, 12	2.000	187.995	375.99	359.080	718.16	342.17	LT
	Jan 23, 13	224.000	236.966	53,080.41	359.080	80,433.92	27,353.51	LT
	Apr 22, 13	104.000	251.093	26,113.69	359.080	37,344.32	11,230.63	LT
Security total		372.000	235.218	87,501.00		133,577.76	46,076.76	
CATERPILLAR INC								
Symbol: CAT Exchange: NYSE								
EAI: \$3,108 Current yield: 2.78%								
	Jun 19, 13	72.000	84.718	6,099.75	100.600	7,243.20	1,143.45	LT
	Jun 20, 13	121.000	83.141	10,060.15	100.600	12,172.60	2,112.45	LT
	Jun 20, 13	78.000	83.030	6,476.39	100.600	7,846.80	1,370.41	LT
	Jun 21, 13	204.000	82.904	16,912.44	100.600	20,522.40	3,609.96	LT
	Jun 24, 13	111.000	81.517	9,048.46	100.600	11,166.60	2,118.14	LT
	Jun 25, 13	73.000	82.354	6,011.86	100.600	7,343.80	1,331.94	LT
	Jun 26, 13	69.000	82.259	5,675.90	100.600	6,941.40	1,265.50	LT
	Jun 27, 13	141.000	82.951	11,696.12	100.600	14,184.60	2,488.48	LT
	Jun 27, 13	7.000	82.925	580.48	100.600	704.20	123.72	LT
	Jun 28, 13	169.000	82.774	13,988.92	100.600	17,001.40	3,012.48	LT
	Jul 1, 13	65.000	82.781	5,380.78	100.600	6,539.00	1,158.22	LT
Security total		1,110.000	82.821	91,931.25		111,666.00	19,734.75	
CDK GLOBAL INC COM								
Symbol: CDK Exchange: OTC								
EAI: \$204 Current yield: 1.26%								
	Aug 4, 11	48.667	18.379	894.45	38.070	1,852.74	958.29	LT
	Aug 12, 11	1.333	17.775	23.70	38.070	50.76	27.06	LT
	Jan 23, 13	255.667	22.709	5,806.16	38.070	9,733.23	3,927.07	LT
	Apr 22, 13	118.333	24.684	2,921.03	38.070	4,504.95	1,583.92	LT
Security total		424.000	22.748	9,645.34		16,141.68	6,496.34	
COLGATE PALMOLIVE CO								
Symbol: CL Exchange: NYSE								
EAI: \$2,172 Current yield: 2.07%								
	Aug 4, 11	174.000	41.632	7,244.05	69.590	12,108.66	4,864.61	LT
	Aug 12, 11	4.000	42.450	169.80	69.590	278.36	108.56	LT

continued next page

SDNY_GM_00020639

CONFIDENTIAL



Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Nov 28 (\$)	Value on Nov 28 (\$)	Unrealized gain or loss (\$)	Holding period
	Jan 23, 13	910.000	54.240	49,358.63	69.590	63,326.90	13,968.27	LT
	Apr 22, 13	420.000	59.788	25,111.32	69.590	29,227.80	4,116.48	LT
Security total		1,508.000	54.300	81,883.80		104,941.72	23,057.92	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE								
EAI: \$3,086 Current yield: 3.11%								
	Aug 4, 11	191.000	36.265	6,926.77	52.750	10,075.25	3,148.48	LT
	Aug 12, 11	5.000	35.754	178.77	52.750	263.75	84.98	LT
	Jan 23, 13	1,001.000	41.387	41,428.89	52.750	52,802.75	11,373.86	LT
	Apr 22, 13	464.000	50.287	23,333.21	52.750	24,476.00	1,142.79	LT
	Jun 17, 13	148.000	49.739	7,361.45	52.750	7,807.00	445.55	LT
	Jun 18, 13	73.000	49.836	3,638.07	52.750	3,850.75	212.68	LT
Security total		1,882.000	44.031	82,867.16		99,275.50	16,408.34	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$2,985 Current yield: 2.59%								
	Aug 4, 11	123.000	62.377	7,672.38	108.250	13,314.75	5,642.37	LT
	Aug 12, 11	3.000	63.730	191.19	108.250	324.75	133.56	LT
	Jan 23, 13	642.000	72.736	46,696.71	108.250	69,496.50	22,799.79	LT
	Apr 22, 13	298.000	84.721	25,247.10	108.250	32,258.50	7,011.40	LT
Security total		1,066.000	74.866	79,807.38		115,394.50	35,587.12	
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,461 Current yield: 3.51%								
	Aug 4, 11	95.000	84.969	8,072.06	96.810	9,196.95	1,124.89	LT
	Aug 12, 11	3.000	85.910	257.73	96.810	290.43	32.70	LT
	Nov 29, 12	8.000	86.456	691.65	96.810	774.48	82.83	LT
	Jan 23, 13	555.000	93.053	51,644.75	96.810	53,729.55	2,084.80	LT
	Apr 22, 13	255.000	99.318	25,326.32	96.810	24,686.55	-639.77	LT
	Sep 19, 13	78.000	97.879	7,634.63	96.810	7,551.18	-83.45	LT
	Sep 19, 13	22.000	97.425	2,143.36	96.810	2,129.82	-13.54	LT
	Sep 19, 13	2.000	97.830	195.66	96.810	193.62	-2.04	LT
Security total		1,018.000	94.269	95,966.16		98,552.58	2,586.42	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$3,370 Current yield: 2.78%								
	Aug 4, 11	134.000	52.960	7,096.75	104.390	13,988.26	6,891.51	LT

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Nov 28 (\$)	Value on Nov 28 (\$)	Unrealized gain or loss (\$)	Holding period
	Aug 12, 11	3.000	52.530	157.59	104.390	313.17	155.58	LT
	Jan 23, 13	700.000	71.610	50,127.21	104.390	73,073.00	22,945.79	LT
	Apr 22, 13	325.000	79.757	25,921.06	104.390	33,926.75	8,005.69	LT
Security total		1,162.000	71.689	83,302.61		121,301.18	37,998.57	
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,791 Current yield: 3.61%								
	Feb 12, 14	148.000	92.171	13,641.35	79.770	11,805.96	-1,835.39	ST
	Feb 12, 14	117.000	92.203	10,787.77	79.770	9,333.09	-1,454.68	ST
	Feb 12, 14	32.000	92.215	2,950.91	79.770	2,552.64	-398.27	ST
	Feb 12, 14	7.000	92.065	644.46	79.770	558.39	-86.07	ST
	Feb 13, 14	110.000	92.095	10,130.45	79.770	8,774.70	-1,355.75	ST
	Feb 13, 14	68.000	91.911	6,250.00	79.770	5,424.36	-825.64	ST
	Feb 13, 14	33.000	91.560	3,021.49	79.770	2,632.41	-389.08	ST
	Feb 13, 14	6.000	91.615	549.69	79.770	478.62	-71.07	ST
	Feb 14, 14	334.000	95.389	31,860.13	79.770	26,643.18	-5,216.95	ST
	Feb 18, 14	114.000	96.023	10,946.72	79.770	9,093.78	-1,852.94	ST
Security total		969.000	93.687	90,782.97		77,297.13	-13,485.84	
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,023 Current yield: 2.62%								
	Aug 4, 11	115.000	63.979	7,357.65	100.100	11,511.50	4,153.85	LT
	Aug 12, 11	3.000	63.023	189.07	100.100	300.30	111.23	LT
	May 16, 12	6.000	68.535	411.21	100.100	600.60	189.39	LT
	Oct 24, 12	1.000	68.690	68.69	100.100	100.10	31.41	LT
	Oct 25, 12	2.000	68.810	137.62	100.100	200.20	62.58	LT
	Oct 26, 12	1.000	68.890	68.89	100.100	100.10	31.21	LT
	Oct 31, 12	1.000	69.370	69.37	100.100	100.10	30.73	LT
	Nov 6, 12	1.000	69.370	69.37	100.100	100.10	30.73	LT
	Nov 7, 12	1.000	69.150	69.15	100.100	100.10	30.95	LT
	Nov 8, 12	2.000	69.090	138.18	100.100	200.20	62.02	LT
	Jan 23, 13	699.000	72.166	50,444.31	100.100	69,969.90	19,525.59	LT
	Apr 22, 13	322.000	82.251	26,484.85	100.100	32,232.20	5,747.35	LT
Security total		1,154.000	74.097	85,508.36		115,515.40	30,007.04	

SDNY_GM_00020641 *continued next page*

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Nov 28 (\$)	Value on Nov 28 (\$)	Unrealized gain or loss (\$)	Holding period
PROCTER & GAMBLE CO								
Symbol: PG Exchange: NYSE								
EAI: \$2,919 Current yield: 2.85%								
	Aug 4, 11	118.000	60.103	7,092.22	90.430	10,670.74	3,578.52	LT
	Aug 12, 11	3.000	60.896	182.69	90.430	271.29	88.60	LT
	Jan 23, 13	619.000	69.941	43,293.73	90.430	55,976.17	12,682.44	LT
	Apr 22, 13	286.000	81.332	23,261.18	90.430	25,862.98	2,601.80	LT
	Apr 24, 13	108.000	77.762	8,398.32	90.430	9,766.44	1,368.12	LT
Security total		1,134.000	72.512	82,228.14		102,547.62	20,319.48	
TRAVELERS COS INC/THE								
Symbol: TRV Exchange: NYSE								
EAI: \$2,534 Current yield: 2.11%								
	Apr 24, 12	20.000	63.432	1,268.64	104.450	2,089.00	820.36	LT
	Apr 24, 12	4.000	63.350	253.40	104.450	417.80	164.40	LT
	Apr 24, 12	1.000	63.560	63.56	104.450	104.45	40.89	LT
	Apr 25, 12	10.000	63.520	635.20	104.450	1,044.50	409.30	LT
	Apr 25, 12	10.000	63.617	636.17	104.450	1,044.50	408.33	LT
	Apr 25, 12	10.000	63.659	636.59	104.450	1,044.50	407.91	LT
	Apr 25, 12	2.000	63.545	127.09	104.450	208.90	81.81	LT
	Apr 25, 12	2.000	63.645	127.29	104.450	208.90	81.61	LT
	Apr 25, 12	2.000	63.745	127.49	104.450	208.90	81.41	LT
	Apr 26, 12	5.000	63.928	319.64	104.450	522.25	202.61	LT
	Apr 26, 12	2.000	63.920	127.84	104.450	208.90	81.06	LT
	Apr 26, 12	2.000	63.930	127.86	104.450	208.90	81.04	LT
	Apr 26, 12	1.000	63.720	63.72	104.450	104.45	40.73	LT
	May 1, 12	15.000	64.637	969.56	104.450	1,566.75	597.19	LT
	May 1, 12	6.000	64.715	388.29	104.450	626.70	238.41	LT
	May 1, 12	6.000	64.975	389.85	104.450	626.70	236.85	LT
	May 1, 12	2.000	64.850	129.70	104.450	208.90	79.20	LT
	May 1, 12	1.000	64.820	64.82	104.450	104.45	39.63	LT
	May 2, 12	7.000	64.374	450.62	104.450	731.15	280.53	LT
	May 2, 12	4.000	64.410	257.64	104.450	417.80	160.16	LT
	May 2, 12	2.000	64.320	128.64	104.450	208.90	80.26	LT
	May 3, 12	4.000	64.960	259.84	104.450	417.80	157.96	LT

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Nov 28 (\$)	Value on Nov 28 (\$)	Unrealized gain or loss (\$)	Holding period
	May 3, 12	2.000	64.675	129.35	104.450	208.90	79.55	LT
	May 3, 12	2.000	64.910	129.82	104.450	208.90	79.08	LT
	Jan 23, 13	629.000	77.560	48,785.62	104.450	65,699.05	16,913.43	LT
	Apr 22, 13	290.000	84.719	24,568.68	104.450	30,290.50	5,721.82	LT
	May 22, 13	111.000	83.807	9,302.58	104.450	11,593.95	2,291.37	LT
Security total		1,152.000	78.533	90,469.50		120,326.40	29,856.90	
UNITED PARCEL SERVICE INC CL B								
Symbol: UPS Exchange: NYSE								
EAI: \$2,843 Current yield: 2.44%								
	Sep 19, 13	82.000	91.779	7,525.90	109.920	9,013.44	1,487.54	LT
	Sep 19, 13	19.000	91.625	1,740.88	109.920	2,088.48	347.60	LT
	Sep 20, 13	107.000	91.805	9,823.18	109.920	11,761.44	1,938.26	LT
	Sep 20, 13	26.000	91.835	2,387.71	109.920	2,857.92	470.21	LT
	Sep 23, 13	93.000	91.049	8,467.59	109.920	10,222.56	1,754.97	LT
	Sep 24, 13	93.000	91.612	8,520.00	109.920	10,222.56	1,702.56	LT
	Sep 24, 13	41.000	91.663	3,758.20	109.920	4,506.72	748.52	LT
	Sep 25, 13	62.000	91.138	5,650.56	109.920	6,815.04	1,164.48	LT
	Sep 25, 13	11.000	91.090	1,001.99	109.920	1,209.12	207.13	LT
	Sep 26, 13	64.000	91.489	5,855.30	109.920	7,034.88	1,179.58	LT
	Sep 27, 13	54.000	91.117	4,920.33	109.920	5,935.68	1,015.35	LT
	Sep 30, 13	46.000	91.475	4,207.86	109.920	5,056.32	848.46	LT
	Oct 1, 13	46.000	91.668	4,216.73	109.920	5,056.32	839.59	LT
	Oct 1, 13	6.000	91.650	549.90	109.920	659.52	109.62	LT
	Oct 2, 13	61.000	91.128	5,558.84	109.920	6,705.12	1,146.28	LT
	Oct 2, 13	19.000	91.067	1,730.29	109.920	2,088.48	358.19	LT
	Oct 3, 13	55.000	90.337	4,968.58	109.920	6,045.60	1,077.02	LT
	Oct 4, 13	55.000	90.653	4,985.96	109.920	6,045.60	1,059.64	LT
	Jan 17, 14	121.000	99.231	12,007.00	109.920	13,300.32	1,293.32	ST
Security total		1,061.000	92.250	97,876.80		116,625.12	18,748.32	
XILINX INC								
Symbol: XLNX Exchange: OTC								
EAI: \$2,086 Current yield: 2.55%								
	Sep 7, 12	25.000	34.770	869.27	45.440	1,136.00	266.73	LT
	Sep 7, 12	5.000	34.846	174.23	45.440	227.20	52.97	LT

SDNY_GM_00020643 *continued next page*

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Nov 28 (\$)	Value on Nov 28 (\$)	Unrealized gain or loss (\$)	Holding period
	Sep 10, 12	37.000	34.845	1,289.29	45.440	1,681.28	391.99	LT
	Sep 10, 12	3.000	34.660	103.98	45.440	136.32	32.34	LT
	Sep 11, 12	20.000	34.853	697.06	45.440	908.80	211.74	LT
	Sep 12, 12	18.000	35.006	630.11	45.440	817.92	187.81	LT
	Sep 13, 12	21.000	34.886	732.61	45.440	954.24	221.63	LT
	Sep 14, 12	19.000	35.536	675.19	45.440	863.36	188.17	LT
	Sep 17, 12	7.000	35.151	246.06	45.440	318.08	72.02	LT
	Oct 24, 12	3.000	32.523	97.57	45.440	136.32	38.75	LT
	Oct 25, 12	5.000	32.522	162.61	45.440	227.20	64.59	LT
	Oct 26, 12	3.000	32.776	98.33	45.440	136.32	37.99	LT
	Oct 31, 12	1.000	32.770	32.77	45.440	45.44	12.67	LT
	Nov 1, 12	2.000	33.360	66.72	45.440	90.88	24.16	LT
	Nov 1, 12	1.000	33.520	33.52	45.440	45.44	11.92	LT
	Nov 1, 12	1.000	33.530	33.53	45.440	45.44	11.91	LT
	Nov 2, 12	1.000	33.550	33.55	45.440	45.44	11.89	LT
	Nov 5, 12	1.000	33.190	33.19	45.440	45.44	12.25	LT
	Nov 6, 12	3.000	33.886	101.66	45.440	136.32	34.66	LT
	Nov 7, 12	2.000	34.025	68.05	45.440	90.88	22.83	LT
	Nov 7, 12	1.000	33.910	33.91	45.440	45.44	11.53	LT
	Nov 8, 12	4.000	34.032	136.13	45.440	181.76	45.63	LT
	Nov 8, 12	1.000	33.860	33.86	45.440	45.44	11.58	LT
	Nov 28, 12	4.000	34.312	137.25	45.440	181.76	44.51	LT
	Nov 28, 12	3.000	34.410	103.23	45.440	136.32	33.09	LT
	Nov 29, 12	15.000	34.583	518.75	45.440	681.60	162.85	LT
	Nov 29, 12	3.000	34.493	103.48	45.440	136.32	32.84	LT
	Jan 23, 13	1,087.000	36.805	40,008.01	45.440	49,393.28	9,385.27	LT
	Apr 22, 13	502.000	35.691	17,917.23	45.440	22,810.88	4,893.65	LT
Security total		1,798.000	36.246	65,171.15		81,701.12	16,529.97	
Total				\$1,367,972.07		\$1,733,060.43	\$365,088.36	

Total estimated annual income: \$45,774

CONFIDENTIAL



Your assets (continued)

Your total assets

		Value on Nov 28 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	1,298.42	0.07%	1,298.42		
Equities	Common stock	1,733,060.43	99.93%	1,367,972.07	45,774.00	365,088.36
Total		\$1,734,358.85	100.00%	\$1,369,270.49	\$45,774.00	\$365,088.36

Account activity this month

	Date	Activity	Description	Amount (\$)
Dividend and interest income				
<i>Taxable dividends</i>				
	Nov 3	Dividend	GENL MILLS INC PAID ON 1882	771.62
	Nov 14	Dividend	COLGATE PALMOLIVE CO PAID ON 1508	542.88
	Nov 17	Dividend	PROCTER & GAMBLE CO PAID ON 1134	729.84
	Nov 20	Dividend	CATERPILLAR INC PAID ON 1110	777.00
	Nov 26	Dividend	XILINX INC PAID ON 1798	521.42
		Total taxable dividends		\$3,342.76
<i>Taxable interest</i>				
	Nov 7	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 11/06/14	0.31
		Total taxable interest		\$0.31
		Total dividend and interest income		\$3,343.07
Other funds debited				
	Nov 19	Transfer	TO [REDACTED] 23575 0100	-7,266.39
		Total other funds debited		-\$7,266.39
Money balance activities				
	Oct 31	Balance forward		\$5,221.74
	Nov 4	Deposit	UBS BANK USA DEPOSIT ACCOUNT	771.62
	Nov 7	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 11/06/14	0.31
	Nov 17	Deposit	UBS BANK USA DEPOSIT ACCOUNT	542.88
	Nov 18	Deposit	UBS BANK USA DEPOSIT ACCOUNT	729.84
	Nov 20	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 11/19/14	-7,266.39
	Nov 21	Deposit	UBS BANK USA DEPOSIT ACCOUNT	777.00

continued next page

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
Money balance activities (continued)	Nov 28	Deposit	UBS BANK USA DEPOSIT ACCOUNT	521.42
	Nov 28	Closing	UBS Bank USA Deposit Account	\$1,298.42

The UBS Bank USA Deposit Account is your primary sweep option.

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.

All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.

- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: #NABSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweepyields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity. The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account

holder on the books and records of the applicable issuer or transfer agent).

- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org.

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP, partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each account held, you choose one of the following investment objectives:

- **Produce Current Income:** Investments seeking the generation of income only.
- **Achieve Capital Appreciation:** Investments seeking growth of principal rather than the generation of income.
- **Produce Combination of Income and Capital Appreciation:** Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- **Conservative:** Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- **Moderate:** Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- **Aggressive:** Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate

envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- **Value of your accounts/ portfolio:** Net of assets and liabilities.
- **Assets:** Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities/assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- **Liabilities:** Includes debit balances, outstanding margin loans, credit line, short account balances.
- **Cash/money balances:** Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accounts/crb

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

- **Cost basis:** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

- **Unrealized gains/losses:** When data is available, estimated unrealized gains/losses are calculated for

SDNY_GM_00020647

CONFIDENTIAL

EFTA_00131267

EFTA01273474

Important information about your statement (continued)

individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

• **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield. Complete information will be provided upon request.

• **Certificates of deposit (CDs)** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.

• **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.

- We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
- Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
- Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
- Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
- For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation.

To obtain current quotations, when available, contact your Financial Advisor.

• **Private investments and structured products.** Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.

- These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
- Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
- Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
- You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.

- Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
- When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.
- "Distributions to date" may include return of capital, income or both.
- "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

• **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

• **Est. (estimated) income, current yields and rates.** An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.

- Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
- Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
- An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

• **Assets not held by UBS Financial Services.** Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

• **Revenue sharing and additional compensation.**

- In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
- We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the

number of accounts at the broker-dealer holding mutual funds of that fund family.

- In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
- We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Tax withholding on distributions from UBS Financial Services IRAs

Federal tax law requires UBS Financial Services to withhold income tax from your taxable IRA distributions, but you may elect not to have income tax withheld or, instead, you may elect to have tax withheld at a rate or in a fixed amount as you choose. Your election will remain in effect until revoked by you. You may revoke your election at any time by making a new election. If you do not have enough income tax withheld from your distributions, you may be responsible for the payment of estimated tax. You may incur penalties if the amounts withheld and your estimated tax payments are not equal to your tax obligation.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value

RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management

Account are registered service marks of UBS Financial Services Inc.

Visa Signature is a registered service mark of Visa International. UBS Visa Signature credit cards and UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated.

UBS Financial Services Inc.

Rev. 201407

SDNY_GM_00020648

CONFIDENTIAL

EFTA_00131268

EFTA01273475



UBS Financial Services Inc.
299 Park Avenue
25th Floor
New York NY 10171-0002

UBS Strategic Advisor

December 2014



GHISLAINE MAXWELL
116 E 65TH STREET
NEW YORK NY 10065-7007

Account name: GHISLAINE MAXWELL

Friendly account name: indiv. [REDACTED]

Account number: [REDACTED]

Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED]

Questions about your statement?

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account 029023568.

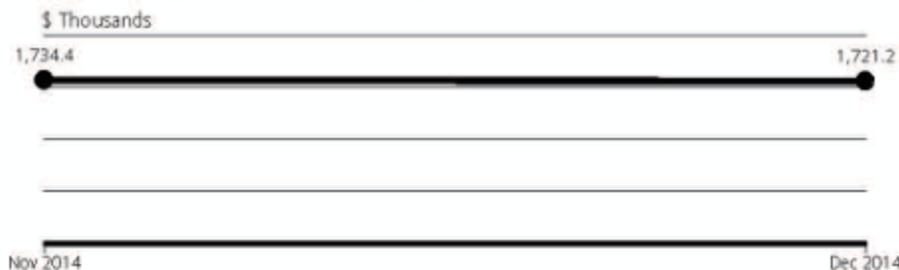
Visit our website:

www.ubs.com/financialservices

Value of your account

	on November 28 (\$)	on December 31 (\$)
Your assets	1,734,358.85	1,721,172.36
Your liabilities	0.00	0.00
Value of your account	\$1,734,358.85	\$1,721,172.36

Tracking the value of your account



Sources of your account growth during 2014

Value of your account at year end 2013	\$0.00
Net deposits and withdrawals	\$1,512,194.00
Your investment return:	
Dividend and interest income	\$41,782.85
Change in market value	\$167,195.51
Value of your account on Dec 31, 2014	\$1,721,172.36

CONFIDENTIAL



Your account balance sheet

Summary of your assets

	Value on December 31 (\$)	Percentage of your account
A Cash and money balances	6,517.57	0.38%
B Cash alternatives	0.00	0.00%
C Equities	1,714,654.79	99.62%
D Fixed income	0.00	0.00%
E Non-traditional	0.00	0.00%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$1,721,172.36	100.00%

Value of your account **\$1,721,172.36**

Your current asset allocation



► Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.

Eye on the markets

Index	Percentage change	
	December 2014	Year to date
S&P 500	-0.25%	13.69%
Russell 3000	-0.00%	12.56%
MSCI - Europe, Australia & Far East	-3.44%	-4.48%
Barclays Capital U.S. Aggregate Bond Index	0.09%	5.97%

Interest rates on December 31, 2014

3-month Treasury bills: 0.04%
One-month LIBOR: 0.17%

CONFIDENTIAL



Change in the value of your account

	December 2014 (\$)	Year to date (\$)
Opening account value	\$1,734,358.85	\$0.00
Deposits, including investments transferred in	0.00	1,994,881.82
Withdrawals and fees, including investments transferred out	0.00	-482,687.82
Dividend and interest income	5,215.25	41,782.85
Change in market value	-18,401.74	167,195.51
Closing account value	\$1,721,172.36	\$1,721,172.36

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	December 2014 (\$)	Year to date (\$)
Taxable dividends	5,215.13	41,777.77
Taxable interest	0.12	5.08
Total current year	\$5,215.25	\$41,782.85
Total dividend & interest	\$5,215.25	\$41,782.85

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)
	December 2014 (\$)	Year to date (\$)	
Short term	-0.92	-7,126.61	-9,090.12
Long term	0.00	57,725.77	355,777.66
Total	-\$0.92	\$50,599.16	\$346,687.54

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	December 2014 (\$)	Year to date (\$)
Opening balances	\$1,298.42	\$0.00
<i>Additions</i>		
Deposits and other funds credited	0.00	48,841.01
Dividend and interest income	5,215.25	41,782.85
Proceeds from investment transactions	3.90	398,581.53
Total additions	\$5,219.15	\$489,205.39
<i>Subtractions</i>		
Professional management fees and related services	0.00	-5,043.39
Other funds debited	0.00	-477,644.43
Total subtractions	\$0.00	-\$482,687.82
Net cash flow	\$5,219.15	\$6,517.57
Closing balances	\$6,517.57	\$6,517.57

SDNY_GM_00020651

CNP7001000807241 7 NP7000305739 00002 1214 030575004 Y1 23568550 101000

Page 11 of 104

CONFIDENTIAL

EFTA_00131271

EFTA01273478



UBS Bank USA Deposit Account APY

Interest period Nov 7 - Dec 4

Opening UBS Bank USA Deposit balance Nov 7	\$5,993.67
Closing UBS Bank USA Deposit balance Dec 4	\$2,013.31
Number of days in interest period	28
Average daily balance	\$3,178.22
Interest earned	\$0.12
Annual percentage yield earned	0.05%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Current income & capital appreciation

Your risk profile:

Primary - Aggressive

Investment eligibility consideration - None selected

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

CONFIDENTIAL



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on Dec 1 (\$)	Closing balance on Dec 31 (\$)	Price per share on Dec 31 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	1,298.42	6,517.57					250,000.00

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized gain or loss (\$)	Holding period
ANALOG DEVICES INC Symbol: ADI Exchange: OTC EAI: \$2,591 Current yield: 2.67%	Nov 16, 11	13.000	37.316	485.12	55.520	721.76	236.64	LT
	Nov 17, 11	13.000	35.393	460.12	55.520	721.76	261.64	LT
	Nov 18, 11	35.000	35.502	1,242.58	55.520	1,943.20	700.62	LT
	Nov 21, 11	18.000	34.371	618.68	55.520	999.36	380.68	LT
	Nov 22, 11	15.000	33.338	500.07	55.520	832.80	332.73	LT
	Nov 23, 11	22.000	32.655	718.43	55.520	1,221.44	503.01	LT
	Nov 25, 11	7.000	32.460	227.22	55.520	388.64	161.42	LT
	Nov 28, 11	30.000	32.951	988.55	55.520	1,665.60	677.05	LT
	Nov 29, 11	18.000	33.472	602.51	55.520	999.36	396.85	LT
	Nov 29, 11	5.000	33.622	168.11	55.520	277.60	109.49	LT
	Apr 24, 12	30.000	37.567	1,127.01	55.520	1,665.60	538.59	LT

continued next page

SDNY_GM_00020653

CNP70010008072419 NP7000305739 00002 1214 030575004 Y123568550 101000

Page 13 of 104

CONFIDENTIAL

EFTA_00131273

EFTA01273480



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Jan 23, 13	1,056,000	43.209	45,628.81	55.520	58,629.12	13,000.31	LT
	Apr 22, 13	489,000	42.447	20,756.68	55.520	27,149.28	6,392.60	LT
Security total		1,751,000	41.990	73,523.89		97,215.52	23,691.63	
AUTOMATIC DATA PROCESSING INC								
Symbol: ADP Exchange: OTC								
EAI: \$2,493 Current yield: 2.35%								
	Aug 4, 11	146,000	42.343	6,182.08	83.370	12,172.02	5,989.94	LT
	Aug 12, 11	4,000	40.955	163.82	83.370	333.48	169.66	LT
	Jan 23, 13	767,000	52.320	40,129.93	83.370	63,944.79	23,814.86	LT
	Apr 22, 13	355,000	56.870	20,189.01	83.370	29,596.35	9,407.34	LT
Security total		1,272,000	52.409	66,664.84		106,046.64	39,381.80	
BAXTER INTL INC								
Symbol: BAX Exchange: NYSE								
EAI: \$3,236 Current yield: 2.84%								
	Jun 20, 12	30,000	51.594	1,547.84	73.290	2,198.70	650.86	LT
	Jun 20, 12	17,000	51.522	875.89	73.290	1,245.93	370.04	LT
	Jun 21, 12	29,000	52.077	1,510.25	73.290	2,125.41	615.16	LT
	Jun 21, 12	7,000	51.500	360.50	73.290	513.03	152.53	LT
	Jun 21, 12	5,000	52.216	261.08	73.290	366.45	105.37	LT
	Jun 22, 12	61,000	51.890	3,165.29	73.290	4,470.69	1,305.40	LT
	Jan 23, 13	768,000	66.658	51,193.80	73.290	56,286.72	5,092.92	LT
	Apr 22, 13	355,000	69.318	24,608.00	73.290	26,017.95	1,409.95	LT
	Sep 19, 13	74,000	72.165	5,340.28	73.290	5,423.46	83.18	LT
	Sep 19, 13	6,000	71.875	431.25	73.290	439.74	8.49	LT
	Sep 19, 13	3,000	71.880	215.64	73.290	219.87	4.23	LT
	Sep 20, 13	47,000	71.987	3,383.41	73.290	3,444.63	61.22	LT
	Oct 3, 13	154,000	64.600	9,948.49	73.290	11,286.66	1,338.17	LT
Security total		1,556,000	66.094	102,841.72		114,039.24	11,197.52	
BLACKROCK INC								
Symbol: BLK Exchange: NYSE								
EAI: \$2,872 Current yield: 2.16%								
	Oct 5, 12	7,000	189.932	1,329.53	357.560	2,502.92	1,173.39	LT
	Oct 5, 12	3,000	187.820	563.46	357.560	1,072.68	509.22	LT
	Oct 5, 12	2,000	186.670	373.34	357.560	715.12	341.78	LT
	Oct 8, 12	8,000	188.783	1,510.27	357.560	2,860.48	1,350.21	LT
	Oct 9, 12	15,000	189.186	2,837.79	357.560	5,363.40	2,525.61	LT

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Oct 9, 12	2.000	189.010	378.02	357.560	715.12	337.10	LT
	Oct 10, 12	3.000	187.720	563.16	357.560	1,072.68	509.52	LT
	Oct 10, 12	2.000	187.670	375.34	357.560	715.12	339.78	LT
	Oct 10, 12	2.000	187.995	375.99	357.560	715.12	339.13	LT
	Jan 23, 13	224.000	236.966	53,080.41	357.560	80,093.44	27,013.03	LT
	Apr 22, 13	104.000	251.093	26,113.69	357.560	37,186.24	11,072.55	LT
Security total		372.000	235.218	87,501.00		133,012.32	45,511.32	
CALIFORNIA RESOURCES CORP								
Symbol: CRC Exchange: NYSE								
	Feb 12, 14	59.200	8.030	475.39	5.510	326.19	-149.20	ST
	Feb 12, 14	46.800	8.033	375.95	5.510	257.87	-118.08	ST
	Feb 12, 14	12.200	8.034	98.02	5.510	67.22	-30.80	ST
	Feb 12, 14	2.800	8.021	22.46	5.510	15.43	-7.03	ST
	Feb 13, 14	44.000	8.023	353.04	5.510	242.44	-110.60	ST
	Feb 13, 14	27.200	8.007	217.81	5.510	149.87	-67.94	ST
	Feb 13, 14	13.200	7.977	105.30	5.510	72.73	-32.57	ST
	Feb 13, 14	2.400	7.983	19.16	5.510	13.22	-5.94	ST
	Feb 14, 14	133.600	8.310	1,110.31	5.510	736.14	-374.17	ST
	Feb 18, 14	45.600	8.366	381.49	5.510	251.26	-130.23	ST
Security total		387.000	8.163	3,158.93		2,132.37	-1,026.56	
CATERPILLAR INC								
Symbol: CAT Exchange: NYSE								
EAI: \$3,108 Current yield: 3.06%								
	Jun 19, 13	72.000	84.718	6,099.75	91.530	6,590.16	490.41	LT
	Jun 20, 13	121.000	83.141	10,060.15	91.530	11,075.13	1,014.98	LT
	Jun 20, 13	78.000	83.030	6,476.39	91.530	7,139.34	662.95	LT
	Jun 21, 13	204.000	82.904	16,912.44	91.530	18,672.12	1,759.68	LT
	Jun 24, 13	111.000	81.517	9,048.46	91.530	10,159.83	1,111.37	LT
	Jun 25, 13	73.000	82.354	6,011.86	91.530	6,681.69	669.83	LT
	Jun 26, 13	69.000	82.259	5,675.90	91.530	6,315.57	639.67	LT
	Jun 27, 13	141.000	82.951	11,696.12	91.530	12,905.73	1,209.61	LT
	Jun 27, 13	7.000	82.925	580.48	91.530	640.71	60.23	LT
	Jun 28, 13	169.000	82.774	13,988.92	91.530	15,468.57	1,479.65	LT

continued next page

SDNY_GM_00020655

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Jul 1, 13	65.000	82.781	5,380.78	91.530	5,949.45	568.67	LT
Security total		1,110.000	82.821	91,931.25		101,598.30	9,667.05	
CDK GLOBAL INC COM								
Symbol: CDK Exchange: OTC								
EAI: \$204 Current yield: 1.18%								
	Aug 4, 11	48.667	18.379	894.45	40.760	1,983.65	1,089.20	LT
	Aug 12, 11	1.333	17.775	23.70	40.760	54.35	30.65	LT
	Jan 23, 13	255.667	22.709	5,806.16	40.760	10,420.97	4,614.81	LT
	Apr 22, 13	118.333	24.684	2,921.03	40.760	4,823.27	1,902.24	LT
Security total		424.000	22.748	9,645.34		17,282.24	7,636.90	
COLGATE PALMOLIVE CO								
Symbol: CL Exchange: NYSE								
EAI: \$2,172 Current yield: 2.08%								
	Aug 4, 11	174.000	41.632	7,244.05	69.190	12,039.06	4,795.01	LT
	Aug 12, 11	4.000	42.450	169.80	69.190	276.76	106.96	LT
	Jan 23, 13	910.000	54.240	49,358.63	69.190	62,962.90	13,604.27	LT
	Apr 22, 13	420.000	59.788	25,111.32	69.190	29,059.80	3,948.48	LT
Security total		1,508.000	54.300	81,883.80		104,338.52	22,454.72	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE								
EAI: \$3,086 Current yield: 3.07%								
	Aug 4, 11	191.000	36.265	6,926.77	53.330	10,186.03	3,259.26	LT
	Aug 12, 11	5.000	35.754	178.77	53.330	266.65	87.88	LT
	Jan 23, 13	1,001.000	41.387	41,428.89	53.330	53,383.33	11,954.44	LT
	Apr 22, 13	464.000	50.287	23,333.21	53.330	24,745.12	1,411.91	LT
	Jun 17, 13	148.000	49.739	7,361.45	53.330	7,892.84	531.39	LT
	Jun 18, 13	73.000	49.836	3,638.07	53.330	3,893.09	255.02	LT
Security total		1,882.000	44.031	82,867.16		100,367.06	17,499.90	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$2,985 Current yield: 2.68%								
	Aug 4, 11	123.000	62.377	7,672.38	104.570	12,862.11	5,189.73	LT
	Aug 12, 11	3.000	63.730	191.19	104.570	313.71	122.52	LT
	Jan 23, 13	642.000	72.736	46,696.71	104.570	67,133.94	20,437.23	LT
	Apr 22, 13	298.000	84.721	25,247.10	104.570	31,161.86	5,914.76	LT
Security total		1,066.000	74.866	79,807.38		111,471.62	31,664.24	

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized gain or loss (\$)	Holding period
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,461 Current yield: 3.63%								
	Aug 4, 11	95.000	84.969	8,072.06	93.700	8,901.50	829.44	LT
	Aug 12, 11	3.000	85.910	257.73	93.700	281.10	23.37	LT
	Nov 29, 12	8.000	86.456	691.65	93.700	749.60	57.95	LT
	Jan 23, 13	555.000	93.053	51,644.75	93.700	52,003.50	358.75	LT
	Apr 22, 13	255.000	99.318	25,326.32	93.700	23,893.50	-1,432.82	LT
	Sep 19, 13	78.000	97.879	7,634.63	93.700	7,308.60	-326.03	LT
	Sep 19, 13	22.000	97.425	2,143.36	93.700	2,061.40	-81.96	LT
	Sep 19, 13	2.000	97.830	195.66	93.700	187.40	-8.26	LT
Security total		1,018.000	94.269	95,966.16		95,386.60	-579.56	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$3,370 Current yield: 2.73%								
	Aug 4, 11	134.000	52.960	7,096.75	106.290	14,242.86	7,146.11	LT
	Aug 12, 11	3.000	52.530	157.59	106.290	318.87	161.28	LT
	Jan 23, 13	700.000	71.610	50,127.21	106.290	74,403.00	24,275.79	LT
	Apr 22, 13	325.000	79.757	25,921.06	106.290	34,544.25	8,623.19	LT
Security total		1,162.000	71.689	83,302.61		123,508.98	40,206.37	
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,791 Current yield: 3.57%								
	Feb 12, 14	148.000	88.959	13,165.96	80.610	11,930.28	-1,235.68	ST
	Feb 12, 14	117.000	88.989	10,411.82	80.610	9,431.37	-980.45	ST
	Feb 12, 14	32.000	89.002	2,848.07	80.610	2,579.52	-268.55	ST
	Feb 12, 14	7.000	88.857	622.00	80.610	564.27	-57.73	ST
	Feb 13, 14	110.000	88.885	9,777.41	80.610	8,867.10	-910.31	ST
	Feb 13, 14	68.000	88.708	6,032.19	80.610	5,481.48	-550.71	ST
	Feb 13, 14	33.000	88.369	2,916.19	80.610	2,660.13	-256.06	ST
	Feb 13, 14	6.000	88.421	530.53	80.610	483.66	-46.87	ST
	Feb 14, 14	334.000	92.065	30,749.82	80.610	26,923.74	-3,826.08	ST
	Feb 18, 14	114.000	92.677	10,565.23	80.610	9,189.54	-1,375.69	ST
Security total		969.000	90.422	87,619.22		78,111.09	-9,508.13	

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized gain or loss (\$)	Holding period
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,023 Current yield: 2.77%								
	Aug 4, 11	115.000	63.979	7,357.65	94.560	10,874.40	3,516.75	LT
	Aug 12, 11	3.000	63.023	189.07	94.560	283.68	94.61	LT
	May 16, 12	6.000	68.535	411.21	94.560	567.36	156.15	LT
	Oct 24, 12	1.000	68.690	68.69	94.560	94.56	25.87	LT
	Oct 25, 12	2.000	68.810	137.62	94.560	189.12	51.50	LT
	Oct 26, 12	1.000	68.890	68.89	94.560	94.56	25.67	LT
	Oct 31, 12	1.000	69.370	69.37	94.560	94.56	25.19	LT
	Nov 6, 12	1.000	69.370	69.37	94.560	94.56	25.19	LT
	Nov 7, 12	1.000	69.150	69.15	94.560	94.56	25.41	LT
	Nov 8, 12	2.000	69.090	138.18	94.560	189.12	50.94	LT
	Jan 23, 13	699.000	72.166	50,444.31	94.560	66,097.44	15,653.13	LT
	Apr 22, 13	322.000	82.251	26,484.85	94.560	30,448.32	3,963.47	LT
Security total		1,154.000	74.097	85,508.36		109,122.24	23,613.88	
PROCTER & GAMBLE CO								
Symbol: PG Exchange: NYSE								
EAI: \$2,919 Current yield: 2.83%								
	Aug 4, 11	118.000	60.103	7,092.22	91.090	10,748.62	3,656.40	LT
	Aug 12, 11	3.000	60.896	182.69	91.090	273.27	90.58	LT
	Jan 23, 13	619.000	69.941	43,293.73	91.090	56,384.71	13,090.98	LT
	Apr 22, 13	286.000	81.332	23,261.18	91.090	26,051.74	2,790.56	LT
	Apr 24, 13	108.000	77.762	8,398.32	91.090	9,837.72	1,439.40	LT
Security total		1,134.000	72.512	82,228.14		103,296.06	21,067.92	
TRAVELERS COS INC/THE								
Symbol: TRV Exchange: NYSE								
EAI: \$2,534 Current yield: 2.08%								
	Apr 24, 12	20.000	63.432	1,268.64	105.850	2,117.00	848.36	LT
	Apr 24, 12	4.000	63.350	253.40	105.850	423.40	170.00	LT
	Apr 24, 12	1.000	63.560	63.56	105.850	105.85	42.29	LT
	Apr 25, 12	10.000	63.520	635.20	105.850	1,058.50	423.30	LT
	Apr 25, 12	10.000	63.617	636.17	105.850	1,058.50	422.33	LT
	Apr 25, 12	10.000	63.659	636.59	105.850	1,058.50	421.91	LT
	Apr 25, 12	2.000	63.545	127.09	105.850	211.70	84.61	LT
	Apr 25, 12	2.000	63.645	127.29	105.850	211.70	84.41	LT

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Apr 25, 12	2.000	63.745	127.49	105.850	211.70	84.21	LT
	Apr 26, 12	5.000	63.928	319.64	105.850	529.25	209.61	LT
	Apr 26, 12	2.000	63.920	127.84	105.850	211.70	83.86	LT
	Apr 26, 12	2.000	63.930	127.86	105.850	211.70	83.84	LT
	Apr 26, 12	1.000	63.720	63.72	105.850	105.85	42.13	LT
	May 1, 12	15.000	64.637	969.56	105.850	1,587.75	618.19	LT
	May 1, 12	6.000	64.715	388.29	105.850	635.10	246.81	LT
	May 1, 12	6.000	64.975	389.85	105.850	635.10	245.25	LT
	May 1, 12	2.000	64.850	129.70	105.850	211.70	82.00	LT
	May 1, 12	1.000	64.820	64.82	105.850	105.85	41.03	LT
	May 2, 12	7.000	64.374	450.62	105.850	740.95	290.33	LT
	May 2, 12	4.000	64.410	257.64	105.850	423.40	165.76	LT
	May 2, 12	2.000	64.320	128.64	105.850	211.70	83.06	LT
	May 3, 12	4.000	64.960	259.84	105.850	423.40	163.56	LT
	May 3, 12	2.000	64.675	129.35	105.850	211.70	82.35	LT
	May 3, 12	2.000	64.910	129.82	105.850	211.70	81.88	LT
	Jan 23, 13	629.000	77.560	48,785.62	105.850	66,579.65	17,794.03	LT
	Apr 22, 13	290.000	84.719	24,568.68	105.850	30,696.50	6,127.82	LT
	May 22, 13	111.000	83.807	9,302.58	105.850	11,749.35	2,446.77	LT
Security total		1,152.000	78.533	90,469.50		121,939.20	31,469.70	
UNITED PARCEL SERVICE INC CL B								
Symbol: UPS Exchange: NYSE								
EAI: \$2,843 Current yield: 2.41%								
	Sep 19, 13	82.000	91.779	7,525.90	111.170	9,115.94	1,590.04	LT
	Sep 19, 13	19.000	91.625	1,740.88	111.170	2,112.23	371.35	LT
	Sep 20, 13	107.000	91.805	9,823.18	111.170	11,895.19	2,072.01	LT
	Sep 20, 13	26.000	91.835	2,387.71	111.170	2,890.42	502.71	LT
	Sep 23, 13	93.000	91.049	8,467.59	111.170	10,338.81	1,871.22	LT
	Sep 24, 13	93.000	91.612	8,520.00	111.170	10,338.81	1,818.81	LT
	Sep 24, 13	41.000	91.663	3,758.20	111.170	4,557.97	799.77	LT
	Sep 25, 13	62.000	91.138	5,650.56	111.170	6,892.54	1,241.98	LT
	Sep 25, 13	11.000	91.090	1,001.99	111.170	1,222.87	220.88	LT

continued next page

SDNY_GM_00020659

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Sep 26, 13	64.000	91.489	5,855.30	111.170	7,114.88	1,259.58	LT
	Sep 27, 13	54.000	91.117	4,920.33	111.170	6,003.18	1,082.85	LT
	Sep 30, 13	46.000	91.475	4,207.86	111.170	5,113.82	905.96	LT
	Oct 1, 13	46.000	91.668	4,216.73	111.170	5,113.82	897.09	LT
	Oct 1, 13	6.000	91.650	549.90	111.170	667.02	117.12	LT
	Oct 2, 13	61.000	91.128	5,558.84	111.170	6,781.37	1,222.53	LT
	Oct 2, 13	19.000	91.067	1,730.29	111.170	2,112.23	381.94	LT
	Oct 3, 13	55.000	90.337	4,968.58	111.170	6,114.35	1,145.77	LT
	Oct 4, 13	55.000	90.653	4,985.96	111.170	6,114.35	1,128.39	LT
	Jan 17, 14	121.000	99.231	12,007.00	111.170	13,451.57	1,444.57	ST
Security total		1,061.000	92.250	97,876.80		117,951.37	20,074.57	
XILINX INC								
Symbol: XLNX Exchange: OTC								
EAI: \$2,086 Current yield: 2.68%								
	Sep 7, 12	25.000	34.770	869.27	43.290	1,082.25	212.98	LT
	Sep 7, 12	5.000	34.846	174.23	43.290	216.45	42.22	LT
	Sep 10, 12	37.000	34.845	1,289.29	43.290	1,601.73	312.44	LT
	Sep 10, 12	3.000	34.660	103.98	43.290	129.87	25.89	LT
	Sep 11, 12	20.000	34.853	697.06	43.290	865.80	168.74	LT
	Sep 12, 12	18.000	35.006	630.11	43.290	779.22	149.11	LT
	Sep 13, 12	21.000	34.886	732.61	43.290	909.09	176.48	LT
	Sep 14, 12	19.000	35.536	675.19	43.290	822.51	147.32	LT
	Sep 17, 12	7.000	35.151	246.06	43.290	303.03	56.97	LT
	Oct 24, 12	3.000	32.523	97.57	43.290	129.87	32.30	LT
	Oct 25, 12	5.000	32.522	162.61	43.290	216.45	53.84	LT
	Oct 26, 12	3.000	32.776	98.33	43.290	129.87	31.54	LT
	Oct 31, 12	1.000	32.770	32.77	43.290	43.29	10.52	LT
	Nov 1, 12	2.000	33.360	66.72	43.290	86.58	19.86	LT
	Nov 1, 12	1.000	33.520	33.52	43.290	43.29	9.77	LT
	Nov 1, 12	1.000	33.530	33.53	43.290	43.29	9.76	LT
	Nov 2, 12	1.000	33.550	33.55	43.290	43.29	9.74	LT
	Nov 5, 12	1.000	33.190	33.19	43.290	43.29	10.10	LT
	Nov 6, 12	3.000	33.886	101.66	43.290	129.87	28.21	LT

continued next page

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Dec 31 (\$)	Value on Dec 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 7, 12	2.000	34.025	68.05	43.290	86.58	18.53	LT
	Nov 7, 12	1.000	33.910	33.91	43.290	43.29	9.38	LT
	Nov 8, 12	4.000	34.032	136.13	43.290	173.16	37.03	LT
	Nov 8, 12	1.000	33.860	33.86	43.290	43.29	9.43	LT
	Nov 28, 12	4.000	34.312	137.25	43.290	173.16	35.91	LT
	Nov 28, 12	3.000	34.410	103.23	43.290	129.87	26.64	LT
	Nov 29, 12	15.000	34.583	518.75	43.290	649.35	130.60	LT
	Nov 29, 12	3.000	34.493	103.48	43.290	129.87	26.39	LT
	Jan 23, 13	1,087.000	36.805	40,008.01	43.290	47,056.23	7,048.22	LT
	Apr 22, 13	502.000	35.691	17,917.23	43.290	21,731.58	3,814.35	LT
Security total		1,798.000	36.246	65,171.15		77,835.42	12,664.27	
Total				\$1,367,967.25		\$1,714,654.79	\$346,687.54	

Total estimated annual income: \$45,774

Your total assets

		Value on Dec 31 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	6,517.57	0.38%	6,517.57		
Equities	Common stock	1,714,654.79	99.62%	1,367,967.25	45,774.00	346,687.54
Total		\$1,721,172.36	100.00%	\$1,374,484.82	\$45,774.00	\$346,687.54

Account activity this month

	Date	Activity	Description	Amount (\$)
Dividend and interest income				
<i>Taxable dividends</i>	Dec 3	Dividend	UNITED PARCEL SERVICE INC CL B PAID ON 1061	710.87
	Dec 9	Dividend	JOHNSON & JOHNSON COM PAID ON 1066	746.20
	Dec 15	Dividend	MCDONALDS CORP PAID ON 1018	865.30
	Dec 15	Dividend	NEXTERA ENERGY INC COM PAID ON 1162	842.45
	Dec 16	Dividend	ANALOG DEVICES INC PAID ON 1751	647.87
	Dec 23	Dividend	BLACKROCK INC PAID ON 372	717.96

continued next page

SDNY_GM_00020661

CNP70010008072427 NP7000305739 00002 1214 030575004 Y123568550 101000

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
Dividend and interest income (continued)				
<i>Taxable dividends (continued)</i>	Dec 29	Dividend	CDK GLOBAL INC COMPAID ON 424	50.88
	Dec 30	Dividend	TRAVELERS COS INC/THE PAID ON 1152	633.60
		Total taxable dividends		\$5,215.13
<i>Taxable interest</i>	Dec 5	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 12/04/14	0.12
		Total taxable interest		\$0.12
		Total dividend and interest income		\$5,215.25

Investment transactions

For more information about the price/value shown for restricted securities, see *Important information about your statement* at the end of this document.

Date	Activity	Description	Quantity	Value (\$)	Price (\$)	Proceeds from investment transactions (\$)	Funds withdrawn for investments bought (\$)	Accrued interest (\$)
Dec 1	Cash In Lieu	CALIFORNIA RESOURCES CORP SYMBOL: CRC CASH-IN-LIEU RATE: 6.493				3.90		
Dec 1	Spin Off	CALIFORNIA RESOURCES CORP SYMBOL: CRC FROM OCCIDENTAL PETROLEUM CRP SYMBOL: OXY RATE: 0.40	387.000					
Total						\$3.90		

	Date	Activity	Description	Amount (\$)
Money balance activities	Nov 28	Balance forward		\$1,298.42
	Dec 2	Deposit	UBS BANK USA DEPOSIT ACCOUNT	3.90
	Dec 4	Deposit	UBS BANK USA DEPOSIT ACCOUNT	710.87
	Dec 5	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 12/04/14	0.12
	Dec 10	Deposit	UBS BANK USA DEPOSIT ACCOUNT	746.20
	Dec 16	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,707.75
	Dec 17	Deposit	UBS BANK USA DEPOSIT ACCOUNT	647.87
	Dec 24	Deposit	UBS BANK USA DEPOSIT ACCOUNT	717.96
	Dec 30	Deposit	UBS BANK USA DEPOSIT ACCOUNT	50.88
	Dec 31	Deposit	UBS BANK USA DEPOSIT ACCOUNT	633.60
	Dec 31	Closing UBS Bank USA Deposit Account		\$6,517.57

The UBS Bank USA Deposit Account is your primary sweep option.

CONFIDENTIAL



Realized gains and losses

The estimated realized gains and losses shown below are not for tax purposes. Please note that gain or loss recognized on the sale or redemption of certain Structured Products, like Contingent Debt Securities, may be ordinary, and not capital, gain or loss. Please check with your tax advisor. To calculate gains and losses, we liquidate the oldest security lot first. This is known as the first-in, first-out or FIFO accounting method. We use this method unless you specified which tax lot to close when you placed your order. This is known as a versus purchases or VSP order. See *Important information about your statement* at the end of this document for more

information. We may not adjust gains and losses for all capital changes. We automatically adjust cost basis for tax-exempt and AMT coupon municipal securities for estimated amortization of bond premiums and for accreted OID for securities issued at a discount. If you requested that UBS adjust cost basis for the bond premium amortization on taxable debt securities then cost basis reflected for these securities has been adjusted. Estimates in the *Unclassified* section can not be classified as short term or long term because information is missing, or the product is one in which the gain/loss calculation is not provided.

Short-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount (\$)	Cost basis (\$)	Wash sale cost basis adjustment(\$)	Loss (\$)	Gain (\$)
CALIFORNIA RESOURCES CORP	FIFO	0.600	Feb 12, 14	Dec 01, 14	3.90	4.82		-0.92	

CONFIDENTIAL



Your notes

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.

All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.

- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: RMBBSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweepyields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity. The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account

holder on the books and records of the applicable issuer or transfer agent).

- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org.

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP, partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each account held, you choose one of the following investment objectives:

- **Produce Current Income:** Investments seeking the generation of income only.
- **Achieve Capital Appreciation:** Investments seeking growth of principal rather than the generation of income.
- **Produce Combination of Income and Capital Appreciation:** Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- **Conservative:** Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- **Moderate:** Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- **Aggressive:** Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate

envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- **Value of your accounts/portfolio:** Net of assets and liabilities.
- **Assets:** Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities/assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- **Liabilities:** Includes debit balances, outstanding margin loans, credit line, short account balances.
- **Cash/money balances:** Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accountdisclosures

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

- **Cost basis:** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

- **Unrealized gains/losses:** When data is available, estimated unrealized gains/losses are calculated for

SDNY_GM_00020665

CONFIDENTIAL

EFTA_00131285

EFTA01273492

Important information about your statement (continued)

individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

- **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield. Complete information will be provided upon request.
- **Certificates of deposit (CDs)** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.
- **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.
 - We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
 - Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
 - Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
 - Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
 - For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation.To obtain current quotations, when available, contact your Financial Advisor.
- **Private investments and structured products.** Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.
 - These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
 - Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
 - Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
 - You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.

- Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
- When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.
- "Distributions to date" may include return of capital, income or both.
- "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

- **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

- **Est. (estimated) income, current yields and rates.** An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.
 - Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
 - Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
 - An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

- **Assets not held by UBS Financial Services.** Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

- **Revenue sharing and additional compensation.**
 - In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
 - We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the

number of accounts at the broker-dealer holding mutual funds of that fund family.

- In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
- We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Tax withholding on distributions from UBS Financial Services IRAs

Federal tax law requires UBS Financial Services to withhold income tax from your taxable IRA distributions, but you may elect not to have income tax withheld or, instead, you may elect to have tax withheld at a rate or in a fixed amount as you choose. Your election will remain in effect until revoked by you. You may revoke your election at any time by making a new election. If you do not have enough income tax withheld from your distributions, you may be responsible for the payment of estimated tax. You may incur penalties if the amounts withheld and your estimated tax payments are not equal to your tax obligation.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value

RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management

Account are registered service marks of UBS Financial Services Inc.

Visa Signature is a registered service mark of Visa International. UBS Visa Signature credit cards and UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated.

UBS Financial Services Inc.

Rev. 201407

SDNY_GM_00020666

CONFIDENTIAL

EFTA_00131286

EFTA01273493



UBS Financial Services Inc.
299 Park Avenue
25th Floor
New York NY 10171-0002

CNP7005734685 0115.X1 ■ 0

UBS Strategic Advisor

January 2015

GHISLAINE MAXWELL
116 E 65TH STREET
NEW YORK NY 10065-7007

Account name: GHISLAINE MAXWELL

Friendly account name: Indiv. [REDACTED]

Account number: [REDACTED] 55

Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED] [REDACTED]

Questions about your statement?

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account 029023568.

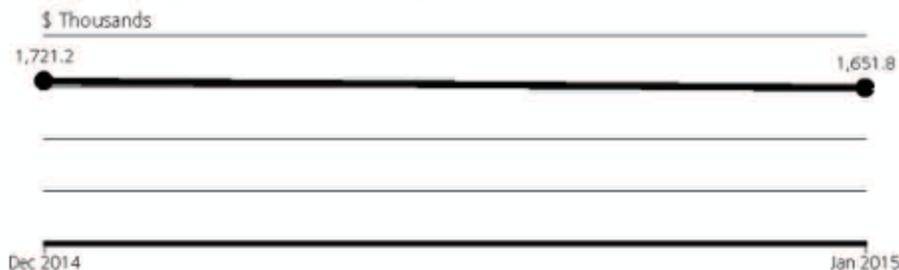
Visit our website:

www.ubs.com/financialservices

Value of your account

	on December 31 (\$)	on January 30 (\$)
Your assets	1,721,172.36	1,651,844.10
Your liabilities	0.00	0.00
Value of your account	\$1,721,172.36	\$1,651,844.10

Tracking the value of your account



Sources of your account growth during 2015

Value of your account at year end 2014	\$1,721,172.36
Net deposits and withdrawals	-\$2,121.99
Your investment return:	
Dividend and interest income	\$2,886.18
Change in market value	-\$70,092.45
Value of your account on Jan 30, 2015	\$1,651,844.10

CONFIDENTIAL



Your account balance sheet

Summary of your assets

	Value on January 30 (\$)	Percentage of your account
A Cash and money balances	7,281.76	0.44%
B Cash alternatives	0.00	0.00%
C Equities	1,644,562.34	99.56%
D Fixed income	0.00	0.00%
E Non-traditional	0.00	0.00%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$1,651,844.10	100.00%

Value of your account **\$1,651,844.10**

Your current asset allocation



► Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.

Eye on the markets

Index	Percentage change	
	January 2015	Year to date
S&P 500	-3.00%	-3.00%
Russell 3000	-2.78%	-2.78%
MSCI - Europe, Australia & Far East	0.50%	0.50%
Barclays Capital U.S. Aggregate Bond Index	2.10%	2.10%

Interest rates on January 30, 2015

3-month Treasury bills: 0.01%
One-month LIBOR: 0.17%

CONFIDENTIAL



Change in the value of your account

	January 2015 (\$)	Year to date (\$)
Opening account value	\$1,721,172.36	\$1,721,172.36
Withdrawals and fees, including investments transferred out	-2,121.99	-2,121.99
Dividend and interest income	2,886.18	2,886.18
Change in market value	-70,092.45	-70,092.45
Closing account value	\$1,651,844.10	\$1,651,844.10

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	January 2015 (\$)	Year to date (\$)
Taxable dividends	2,885.95	2,885.95
Taxable interest	0.07	0.07
Total current year	\$2,886.02	\$2,886.02
Prior year adjustment	0.16	0.16
Total dividend & interest	\$2,886.18	\$2,886.18

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)
	January 2015 (\$)	Year to date (\$)	
Short term	0.00	0.00	-11,276.72
Long term	0.00	0.00	287,871.88
Total	\$0.00	\$0.00	\$276,595.16

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	January 2015 (\$)	Year to date (\$)
Opening balances	\$6,517.57	\$6,517.57
<i>Additions</i>		
Dividend and interest income	2,886.18	2,886.18
Total additions	\$2,886.18	\$2,886.18
<i>Subtractions</i>		
Professional management fees and related services	-2,121.99	-2,121.99
Total subtractions	-\$2,121.99	-\$2,121.99
Net cash flow	\$764.19	\$764.19
Closing balances	\$7,281.76	\$7,281.76



UBS Bank USA Deposit Account APY

Interest period Dec 5 - Jan 7

Opening UBS Bank USA Deposit balance Dec 5	\$2,013.31
Closing UBS Bank USA Deposit balance Jan 7	\$7,950.20
Number of days in interest period	34
Average daily balance	\$4,829.95
Interest earned	\$0.23
Annual percentage yield earned	0.05%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Current income & capital appreciation

Your risk profile:

Primary - Aggressive

Investment eligibility consideration - None selected

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

CONFIDENTIAL



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on Jan 1 (\$)	Closing balance on Jan 30 (\$)	Price per share on Jan 30 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	6,517.57	7,281.76					250,000.00

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Cost basis (\$)	Price per share on Jan 30 (\$)	Value on Jan 30 (\$)	Unrealized gain or loss (\$)	Holding period
ANALOG DEVICES INC Symbol: ADI Exchange: OTC EAI: \$2,591 Current yield: 2.84%	Nov 16, 11	13.000	37.316	485.12	52.105	677.36	192.24	LT
	Nov 17, 11	13.000	35.393	460.12	52.105	677.36	217.24	LT
	Nov 18, 11	35.000	35.502	1,242.58	52.105	1,823.67	581.09	LT
	Nov 21, 11	18.000	34.371	618.68	52.105	937.89	319.21	LT
	Nov 22, 11	15.000	33.338	500.07	52.105	781.57	281.50	LT
	Nov 23, 11	22.000	32.655	718.43	52.105	1,146.31	427.88	LT
	Nov 25, 11	7.000	32.460	227.22	52.105	364.73	137.51	LT
	Nov 28, 11	30.000	32.951	988.55	52.105	1,563.15	574.60	LT
	Nov 29, 11	18.000	33.472	602.51	52.105	937.89	335.38	LT
	Nov 29, 11	5.000	33.622	168.11	52.105	260.52	92.41	LT
	Apr 24, 12	30.000	37.567	1,127.01	52.105	1,563.15	436.14	LT

continued next page

SDNY_GM_00020671

CNP70009005734689 NP7000189425 00002 0115 030575004 Y123568550 100000

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jan 30 (\$)	Value on Jan 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Jan 23, 13	1,056,000	43.209	45,628.81	52.105	55,022.88	9,394.07	LT
	Apr 22, 13	489,000	42.447	20,756.68	52.105	25,479.34	4,722.66	LT
Security total		1,751,000	41.990	73,523.89		91,235.85	17,711.93	
AUTOMATIC DATA PROCESSING INC								
Symbol: ADP Exchange: OTC								
EAI: \$2,493 Current yield: 2.37%								
	Aug 4, 11	146,000	42.343	6,182.08	82.530	12,049.38	5,867.30	LT
	Aug 12, 11	4,000	40.955	163.82	82.530	330.12	166.30	LT
	Jan 23, 13	767,000	52.320	40,129.93	82.530	63,300.51	23,170.58	LT
	Apr 22, 13	355,000	56.870	20,189.01	82.530	29,298.15	9,109.14	LT
Security total		1,272,000	52.409	66,664.84		104,978.16	38,313.32	
BAXTER INTL INC								
Symbol: BAX Exchange: NYSE								
EAI: \$3,236 Current yield: 2.96%								
	Jun 20, 12	30,000	51.594	1,547.84	70.310	2,109.30	561.46	LT
	Jun 20, 12	17,000	51.522	875.89	70.310	1,195.27	319.38	LT
	Jun 21, 12	29,000	52.077	1,510.25	70.310	2,038.99	528.74	LT
	Jun 21, 12	7,000	51.500	360.50	70.310	492.17	131.67	LT
	Jun 21, 12	5,000	52.216	261.08	70.310	351.55	90.47	LT
	Jun 22, 12	61,000	51.890	3,165.29	70.310	4,288.91	1,123.62	LT
	Jan 23, 13	768,000	66.658	51,193.80	70.310	53,998.08	2,804.28	LT
	Apr 22, 13	355,000	69.318	24,608.00	70.310	24,960.05	352.05	LT
	Sep 19, 13	74,000	72.165	5,340.28	70.310	5,202.94	-137.34	LT
	Sep 19, 13	6,000	71.875	431.25	70.310	421.86	-9.39	LT
	Sep 19, 13	3,000	71.880	215.64	70.310	210.93	-4.71	LT
	Sep 20, 13	47,000	71.987	3,383.41	70.310	3,304.57	-78.84	LT
	Oct 3, 13	154,000	64.600	9,948.49	70.310	10,827.74	879.25	LT
Security total		1,556,000	66.094	102,841.72		109,402.36	6,560.64	
BLACKROCK INC								
Symbol: BLK Exchange: NYSE								
EAI: \$3,244 Current yield: 2.56%								
	Oct 5, 12	7,000	189.932	1,329.53	340.510	2,383.57	1,054.04	LT
	Oct 5, 12	3,000	187.820	563.46	340.510	1,021.53	458.07	LT
	Oct 5, 12	2,000	186.670	373.34	340.510	681.02	307.68	LT
	Oct 8, 12	8,000	188.783	1,510.27	340.510	2,724.08	1,213.81	LT
	Oct 9, 12	15,000	189.186	2,837.79	340.510	5,107.65	2,269.86	LT

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jan 30 (\$)	Value on Jan 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Oct 9, 12	2.000	189.010	378.02	340.510	681.02	303.00	LT
	Oct 10, 12	3.000	187.720	563.16	340.510	1,021.53	458.37	LT
	Oct 10, 12	2.000	187.670	375.34	340.510	681.02	305.68	LT
	Oct 10, 12	2.000	187.995	375.99	340.510	681.02	305.03	LT
	Jan 23, 13	224.000	236.966	53,080.41	340.510	76,274.24	23,193.83	LT
	Apr 22, 13	104.000	251.093	26,113.69	340.510	35,413.04	9,299.35	LT
Security total		372.000	235.218	87,501.00		126,669.72	39,168.72	
CALIFORNIA RESOURCES CORP								
Symbol: CRC Exchange: NYSE	Feb 12, 14	59.200	8.030	475.39	5.120	303.10	-172.29	ST
	Feb 12, 14	46.800	8.033	375.95	5.120	239.62	-136.33	ST
	Feb 12, 14	12.200	8.034	98.02	5.120	62.46	-35.56	ST
	Feb 12, 14	2.800	8.021	22.46	5.120	14.34	-8.12	ST
	Feb 13, 14	44.000	8.023	353.04	5.120	225.28	-127.76	ST
	Feb 13, 14	27.200	8.007	217.81	5.120	139.26	-78.55	ST
	Feb 13, 14	13.200	7.977	105.30	5.120	67.58	-37.72	ST
	Feb 13, 14	2.400	7.983	19.16	5.120	12.29	-6.87	ST
	Feb 14, 14	133.600	8.310	1,110.31	5.120	684.03	-426.28	ST
	Feb 18, 14	45.600	8.366	381.49	5.120	233.47	-148.02	ST
Security total		387.000	8.163	3,158.93		1,981.44	-1,177.50	
CATERPILLAR INC								
Symbol: CAT Exchange: NYSE	Jun 19, 13	72.000	84.718	6,099.75	79.970	5,757.84	-341.91	LT
EAI: \$3,108 Current yield: 3.50%	Jun 20, 13	121.000	83.141	10,060.15	79.970	9,676.37	-383.78	LT
	Jun 20, 13	78.000	83.030	6,476.39	79.970	6,237.66	-238.73	LT
	Jun 21, 13	204.000	82.904	16,912.44	79.970	16,313.88	-598.56	LT
	Jun 24, 13	111.000	81.517	9,048.46	79.970	8,876.67	-171.79	LT
	Jun 25, 13	73.000	82.354	6,011.86	79.970	5,837.81	-174.05	LT
	Jun 26, 13	69.000	82.259	5,675.90	79.970	5,517.93	-157.97	LT
	Jun 27, 13	141.000	82.951	11,696.12	79.970	11,275.77	-420.35	LT
	Jun 27, 13	7.000	82.925	580.48	79.970	559.79	-20.69	LT
	Jun 28, 13	169.000	82.774	13,988.92	79.970	13,514.93	-473.99	LT

continued next page

SDNY_GM_00020673

CNP70009005734691 NP7000189425 00002 0115 030575004 23568550 100000

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jan 30 (\$)	Value on Jan 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Jul 1, 13	65.000	82.781	5,380.78	79.970	5,198.05	-182.73	LT
Security total		1,110.000	82.821	91,931.25		88,766.70	-3,164.55	
CDK GLOBAL INC COM								
Symbol: CDK Exchange: OTC								
EAI: \$204 Current yield: 1.07%								
	Aug 4, 11	48.667	18.379	894.45	45.160	2,197.79	1,303.34	LT
	Aug 12, 11	1.333	17.775	23.70	45.160	60.21	36.51	LT
	Jan 23, 13	255.667	22.709	5,806.16	45.160	11,545.91	5,739.75	LT
	Apr 22, 13	118.333	24.684	2,921.03	45.160	5,343.93	2,422.90	LT
Security total		424.000	22.748	9,645.34		19,147.84	9,502.50	
COLGATE PALMOLIVE CO								
Symbol: CL Exchange: NYSE								
EAI: \$2,172 Current yield: 2.13%								
	Aug 4, 11	174.000	41.632	7,244.05	67.520	11,748.48	4,504.43	LT
	Aug 12, 11	4.000	42.450	169.80	67.520	270.08	100.28	LT
	Jan 23, 13	910.000	54.240	49,358.63	67.520	61,443.20	12,084.57	LT
	Apr 22, 13	420.000	59.788	25,111.32	67.520	28,358.40	3,247.08	LT
Security total		1,508.000	54.300	81,883.80		101,820.16	19,936.36	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE								
EAI: \$3,086 Current yield: 3.12%								
	Aug 4, 11	191.000	36.265	6,926.77	52.480	10,023.68	3,096.91	LT
	Aug 12, 11	5.000	35.754	178.77	52.480	262.40	83.63	LT
	Jan 23, 13	1,001.000	41.387	41,428.89	52.480	52,532.48	11,103.59	LT
	Apr 22, 13	464.000	50.287	23,333.21	52.480	24,350.72	1,017.51	LT
	Jun 17, 13	148.000	49.739	7,361.45	52.480	7,767.04	405.59	LT
	Jun 18, 13	73.000	49.836	3,638.07	52.480	3,831.04	192.97	LT
Security total		1,882.000	44.031	82,867.16		98,767.36	15,900.20	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$2,985 Current yield: 2.80%								
	Aug 4, 11	123.000	62.377	7,672.38	100.140	12,317.22	4,644.84	LT
	Aug 12, 11	3.000	63.730	191.19	100.140	300.42	109.23	LT
	Jan 23, 13	642.000	72.736	46,696.71	100.140	64,289.88	17,593.17	LT
	Apr 22, 13	298.000	84.721	25,247.10	100.140	29,841.72	4,594.62	LT
Security total		1,066.000	74.866	79,807.38		106,749.24	26,941.86	

continued next page

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jan 30 (\$)	Value on Jan 30 (\$)	Unrealized gain or loss (\$)	Holding period
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,461 Current yield: 3.68%								
	Aug 4, 11	95.000	84.969	8,072.06	92.440	8,781.80	709.74	LT
	Aug 12, 11	3.000	85.910	257.73	92.440	277.32	19.59	LT
	Nov 29, 12	8.000	86.456	691.65	92.440	739.52	47.87	LT
	Jan 23, 13	555.000	93.053	51,644.75	92.440	51,304.20	-340.55	LT
	Apr 22, 13	255.000	99.318	25,326.32	92.440	23,572.20	-1,754.12	LT
	Sep 19, 13	78.000	97.879	7,634.63	92.440	7,210.32	-424.31	LT
	Sep 19, 13	22.000	97.425	2,143.36	92.440	2,033.68	-109.68	LT
	Sep 19, 13	2.000	97.830	195.66	92.440	184.88	-10.78	LT
Security total		1,018.000	94.269	95,966.16		94,103.92	-1,862.24	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$3,370 Current yield: 2.65%								
	Aug 4, 11	134.000	52.960	7,096.75	109.240	14,638.16	7,541.41	LT
	Aug 12, 11	3.000	52.530	157.59	109.240	327.72	170.13	LT
	Jan 23, 13	700.000	71.610	50,127.21	109.240	76,468.00	26,340.79	LT
	Apr 22, 13	325.000	79.757	25,921.06	109.240	35,503.00	9,581.94	LT
Security total		1,162.000	71.689	83,302.61		126,936.88	43,634.27	
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,791 Current yield: 3.60%								
	Feb 12, 14	148.000	88.959	13,165.96	80.000	11,840.00	-1,325.96	ST
	Feb 12, 14	117.000	88.989	10,411.82	80.000	9,360.00	-1,051.82	ST
	Feb 12, 14	32.000	89.002	2,848.07	80.000	2,560.00	-288.07	ST
	Feb 12, 14	7.000	88.857	622.00	80.000	560.00	-62.00	ST
	Feb 13, 14	110.000	88.885	9,777.41	80.000	8,800.00	-977.41	ST
	Feb 13, 14	68.000	88.708	6,032.19	80.000	5,440.00	-592.19	ST
	Feb 13, 14	33.000	88.369	2,916.19	80.000	2,640.00	-276.19	ST
	Feb 13, 14	6.000	88.421	530.53	80.000	480.00	-50.53	ST
	Feb 14, 14	334.000	92.065	30,749.82	80.000	26,720.00	-4,029.82	ST
	Feb 18, 14	114.000	92.677	10,565.23	80.000	9,120.00	-1,445.23	ST
Security total		969.000	90.422	87,619.22		77,520.00	-10,099.22	

continued next page

SDNY_GM_00020675

CNP70009005734693 NP7000189425 00002 0115 030575004 23568550 100000

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jan 30 (\$)	Value on Jan 30 (\$)	Unrealized gain or loss (\$)	Holding period
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,023 Current yield: 2.79%								
	Aug 4, 11	115.000	63.979	7,357.65	93.780	10,784.70	3,427.05	LT
	Aug 12, 11	3.000	63.023	189.07	93.780	281.34	92.27	LT
	May 16, 12	6.000	68.535	411.21	93.780	562.68	151.47	LT
	Oct 24, 12	1.000	68.690	68.69	93.780	93.78	25.09	LT
	Oct 25, 12	2.000	68.810	137.62	93.780	187.56	49.94	LT
	Oct 26, 12	1.000	68.890	68.89	93.780	93.78	24.89	LT
	Oct 31, 12	1.000	69.370	69.37	93.780	93.78	24.41	LT
	Nov 6, 12	1.000	69.370	69.37	93.780	93.78	24.41	LT
	Nov 7, 12	1.000	69.150	69.15	93.780	93.78	24.63	LT
	Nov 8, 12	2.000	69.090	138.18	93.780	187.56	49.38	LT
	Jan 23, 13	699.000	72.166	50,444.31	93.780	65,552.22	15,107.91	LT
	Apr 22, 13	322.000	82.251	26,484.85	93.780	30,197.16	3,712.31	LT
Security total		1,154.000	74.097	85,508.36		108,222.12	22,713.76	
PROCTER & GAMBLE CO								
Symbol: PG Exchange: NYSE								
EAI: \$2,919 Current yield: 3.05%								
	Aug 4, 11	118.000	60.103	7,092.22	84.290	9,946.22	2,854.00	LT
	Aug 12, 11	3.000	60.896	182.69	84.290	252.87	70.18	LT
	Jan 23, 13	619.000	69.941	43,293.73	84.290	52,175.51	8,881.78	LT
	Apr 22, 13	286.000	81.332	23,261.18	84.290	24,106.94	845.76	LT
	Apr 24, 13	108.000	77.762	8,398.32	84.290	9,103.32	705.00	LT
Security total		1,134.000	72.512	82,228.14		95,584.86	13,356.72	
TRAVELERS COS INC/THE								
Symbol: TRV Exchange: NYSE								
EAI: \$2,534 Current yield: 2.14%								
	Apr 24, 12	20.000	63.432	1,268.64	102.820	2,056.40	787.76	LT
	Apr 24, 12	4.000	63.350	253.40	102.820	411.28	157.88	LT
	Apr 24, 12	1.000	63.560	63.56	102.820	102.82	39.26	LT
	Apr 25, 12	10.000	63.520	635.20	102.820	1,028.20	393.00	LT
	Apr 25, 12	10.000	63.617	636.17	102.820	1,028.20	392.03	LT
	Apr 25, 12	10.000	63.659	636.59	102.820	1,028.20	391.61	LT
	Apr 25, 12	2.000	63.545	127.09	102.820	205.64	78.55	LT
	Apr 25, 12	2.000	63.645	127.29	102.820	205.64	78.35	LT

continued next page

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jan 30 (\$)	Value on Jan 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Apr 25, 12	2.000	63.745	127.49	102.820	205.64	78.15	LT
	Apr 26, 12	5.000	63.928	319.64	102.820	514.10	194.46	LT
	Apr 26, 12	2.000	63.920	127.84	102.820	205.64	77.80	LT
	Apr 26, 12	2.000	63.930	127.86	102.820	205.64	77.78	LT
	Apr 26, 12	1.000	63.720	63.72	102.820	102.82	39.10	LT
	May 1, 12	15.000	64.637	969.56	102.820	1,542.30	572.74	LT
	May 1, 12	6.000	64.715	388.29	102.820	616.92	228.63	LT
	May 1, 12	6.000	64.975	389.85	102.820	616.92	227.07	LT
	May 1, 12	2.000	64.850	129.70	102.820	205.64	75.94	LT
	May 1, 12	1.000	64.820	64.82	102.820	102.82	38.00	LT
	May 2, 12	7.000	64.374	450.62	102.820	719.74	269.12	LT
	May 2, 12	4.000	64.410	257.64	102.820	411.28	153.64	LT
	May 2, 12	2.000	64.320	128.64	102.820	205.64	77.00	LT
	May 3, 12	4.000	64.960	259.84	102.820	411.28	151.44	LT
	May 3, 12	2.000	64.675	129.35	102.820	205.64	76.29	LT
	May 3, 12	2.000	64.910	129.82	102.820	205.64	75.82	LT
	Jan 23, 13	629.000	77.560	48,785.62	102.820	64,673.78	15,888.16	LT
	Apr 22, 13	290.000	84.719	24,568.68	102.820	29,817.80	5,249.12	LT
	May 22, 13	111.000	83.807	9,302.58	102.820	11,413.02	2,110.44	LT
Security total		1,152.000	78.533	90,469.50		118,448.64	27,979.14	
UNITED PARCEL SERVICE INC CL B								
Symbol: UPS Exchange: NYSE								
EAI: \$2,843 Current yield: 2.71%								
	Sep 19, 13	82.000	91.779	7,525.90	98.840	8,104.88	578.98	LT
	Sep 19, 13	19.000	91.625	1,740.88	98.840	1,877.96	137.08	LT
	Sep 20, 13	107.000	91.805	9,823.18	98.840	10,575.88	752.70	LT
	Sep 20, 13	26.000	91.835	2,387.71	98.840	2,569.84	182.13	LT
	Sep 23, 13	93.000	91.049	8,467.59	98.840	9,192.12	724.53	LT
	Sep 24, 13	93.000	91.612	8,520.00	98.840	9,192.12	672.12	LT
	Sep 24, 13	41.000	91.663	3,758.20	98.840	4,052.44	294.24	LT
	Sep 25, 13	62.000	91.138	5,650.56	98.840	6,128.08	477.52	LT
	Sep 25, 13	11.000	91.090	1,001.99	98.840	1,087.24	85.25	LT

continued next page

SDNY_GM_00020677

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jan 30 (\$)	Value on Jan 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Sep 26, 13	64.000	91.489	5,855.30	98.840	6,325.76	470.46	LT
	Sep 27, 13	54.000	91.117	4,920.33	98.840	5,337.36	417.03	LT
	Sep 30, 13	46.000	91.475	4,207.86	98.840	4,546.64	338.78	LT
	Oct 1, 13	46.000	91.668	4,216.73	98.840	4,546.64	329.91	LT
	Oct 1, 13	6.000	91.650	549.90	98.840	593.04	43.14	LT
	Oct 2, 13	61.000	91.128	5,558.84	98.840	6,029.24	470.40	LT
	Oct 2, 13	19.000	91.067	1,730.29	98.840	1,877.96	147.67	LT
	Oct 3, 13	55.000	90.337	4,968.58	98.840	5,436.20	467.62	LT
	Oct 4, 13	55.000	90.653	4,985.96	98.840	5,436.20	450.24	LT
	Jan 17, 14	121.000	99.231	12,007.00	98.840	11,959.64	-47.36	LT
Security total		1,061.000	92.250	97,876.80		104,869.24	6,992.44	
XILINX INC								
Symbol: XLNX Exchange: OTC								
EAI: \$2,086 Current yield: 3.01%								
	Sep 7, 12	25.000	34.770	869.27	38.575	964.38	95.11	LT
	Sep 7, 12	5.000	34.846	174.23	38.575	192.88	18.65	LT
	Sep 10, 12	37.000	34.845	1,289.29	38.575	1,427.28	137.99	LT
	Sep 10, 12	3.000	34.660	103.98	38.575	115.73	11.75	LT
	Sep 11, 12	20.000	34.853	697.06	38.575	771.50	74.44	LT
	Sep 12, 12	18.000	35.006	630.11	38.575	694.35	64.24	LT
	Sep 13, 12	21.000	34.886	732.61	38.575	810.08	77.47	LT
	Sep 14, 12	19.000	35.536	675.19	38.575	732.93	57.74	LT
	Sep 17, 12	7.000	35.151	246.06	38.575	270.03	23.97	LT
	Oct 24, 12	3.000	32.523	97.57	38.575	115.73	18.16	LT
	Oct 25, 12	5.000	32.522	162.61	38.575	192.88	30.27	LT
	Oct 26, 12	3.000	32.776	98.33	38.575	115.73	17.40	LT
	Oct 31, 12	1.000	32.770	32.77	38.575	38.58	5.81	LT
	Nov 1, 12	2.000	33.360	66.72	38.575	77.15	10.43	LT
	Nov 1, 12	1.000	33.520	33.52	38.575	38.58	5.06	LT
	Nov 1, 12	1.000	33.530	33.53	38.575	38.58	5.05	LT
	Nov 2, 12	1.000	33.550	33.55	38.575	38.58	5.03	LT
	Nov 5, 12	1.000	33.190	33.19	38.575	38.58	5.39	LT
	Nov 6, 12	3.000	33.886	101.66	38.575	115.73	14.07	LT

continued next page

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jan 30 (\$)	Value on Jan 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 7, 12	2.000	34.025	68.05	38.575	77.15	9.10	LT
	Nov 7, 12	1.000	33.910	33.91	38.575	38.58	4.67	LT
	Nov 8, 12	4.000	34.032	136.13	38.575	154.30	18.17	LT
	Nov 8, 12	1.000	33.860	33.86	38.575	38.58	4.72	LT
	Nov 28, 12	4.000	34.312	137.25	38.575	154.30	17.05	LT
	Nov 28, 12	3.000	34.410	103.23	38.575	115.73	12.50	LT
	Nov 29, 12	15.000	34.583	518.75	38.575	578.63	59.88	LT
	Nov 29, 12	3.000	34.493	103.48	38.575	115.73	12.25	LT
	Jan 23, 13	1,087.000	36.805	40,008.01	38.575	41,931.03	1,923.02	LT
	Apr 22, 13	502.000	35.691	17,917.23	38.575	19,364.65	1,447.42	LT
Security total		1,798.000	36.246	65,171.15		69,357.85	4,186.81	
Total				\$1,367,967.25		\$1,644,562.34	\$276,595.16	

Total estimated annual income: \$46,146

Your total assets

		Value on Jan 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	7,281.76	0.44%	7,281.76		
Equities	Common stock	1,644,562.34	99.56%	1,367,967.25	46,146.00	276,595.16
Total		\$1,651,844.10	100.00%	\$1,375,249.01	\$46,146.00	\$276,595.16

Account activity this month

	Date	Activity	Description	Amount (\$)
Dividend and interest income				
<i>Taxable dividends</i>	Jan 2	Dividend	AUTOMATIC DATA PROCESSNG INC PAID ON 1272 AS OF 01/01/15	623.28
	Jan 2	Dividend	BAXTER INTL INC PAID ON 1 556	809.12
	Jan 7	Dividend	PEPSICO INC PAID ON 1 154	755.87
	Jan 15	Dividend	OCCIDENTAL PETROLEUM CRP PAID ON 969	697.68
		Total taxable dividends		\$2,885.95

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
Dividend and interest income (continued)				
<i>Taxable interest</i>	Jan 8	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 01/07/15	0.07
		Total taxable interest		\$0.07
<i>Miscellaneous</i>	Jan 2	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 12/31/14	0.16
		Total miscellaneous		\$0.16
		Total dividend and interest income		\$2,886.18
Fees				
	Jan 23	Fee Charged	QUARTERLY FEE	-2,121.99
		Total professional management fees		-\$2,121.99
Money balance activities				
	Dec 31		Balance forward	\$6,517.57
	Jan 2	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 12/31/14	0.16
	Jan 5	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,432.40
	Jan 8	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 01/07/15	0.07
	Jan 8	Deposit	UBS BANK USA DEPOSIT ACCOUNT	755.87
	Jan 16	Deposit	UBS BANK USA DEPOSIT ACCOUNT	697.68
	Jan 26	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 01/23/15	-2,121.99
	Jan 30		Closing UBS Bank USA Deposit Account	\$7,281.76

The UBS Bank USA Deposit Account is your primary sweep option.

Unsettled transaction activity

The following transaction(s) are pending settlement.

Trade date	Settlement date	Activity	Description	Quantity	Price / Value (\$)	Amount (\$)
Jan 28, 15	Feb 02, 15	Bought	EOG RESOURCES INC	500.000	90.411440	-45,205.72
Jan 28, 15	Feb 02, 15	Bought	FORTINET INC	500.000	31.942727	-15,971.36
Jan 28, 15	Feb 02, 15	Bought	AECOM	500.000	26.619900	-13,309.95
Jan 28, 15	Feb 02, 15	Sold	UNITED PARCEL SERVICE INC CL B	-1,061.000	100.765287	106,909.61
Jan 30, 15	Feb 04, 15	Bought	FORTINET INC	250.000	29.431000	-7,357.75
Jan 30, 15	Feb 04, 15	Bought	AECOM	100.000	25.532400	-2,553.24
		Total pending investments purchased				-\$84,398.02
		Total pending investments sold				\$106,909.61

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.

All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.

- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: RMBBSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweepyields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity. The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account

holder on the books and records of the applicable issuer or transfer agent).

- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org.

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP, partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each account held, you choose one of the following investment objectives:

- **Produce Current Income:** Investments seeking the generation of income only.
- **Achieve Capital Appreciation:** Investments seeking growth of principal rather than the generation of income.
- **Produce Combination of Income and Capital Appreciation:** Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- **Conservative:** Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- **Moderate:** Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- **Aggressive:** Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate

envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- **Value of your accounts/ portfolio:** Net of assets and liabilities.
- **Assets:** Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities/assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- **Liabilities:** Includes debit balances, outstanding margin loans, credit line, short account balances.
- **Cash/money balances:** Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accountdisclosures

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

- **Cost basis:** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

- **Unrealized gains/losses:** When data is available, estimated unrealized gains/losses are calculated for

SDNY_GM_00020681

CONFIDENTIAL

EFTA_00131301

EFTA01273508

Important information about your statement (continued)

individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

- **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield. Complete information will be provided upon request.
- **Certificates of deposit (CDs)** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.
- **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.
 - We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
 - Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
 - Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
 - Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
 - For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation.To obtain current quotations, when available, contact your Financial Advisor.
- **Private investments and structured products.** Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.
 - These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
 - Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
 - Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
 - You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.

- Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
- When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.
- "Distributions to date" may include return of capital, income or both.
- "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

- **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

- **Est. (estimated) income, current yields and rates.** An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.
 - Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
 - Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
 - An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

- **Assets not held by UBS Financial Services.** Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

- **Revenue sharing and additional compensation.**
 - In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
 - We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the

number of accounts at the broker-dealer holding mutual funds of that fund family.

- In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
- We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Tax withholding on distributions from UBS Financial Services IRAs

Federal tax law requires UBS Financial Services to withhold income tax from your taxable IRA distributions, but you may elect not to have income tax withheld or, instead, you may elect to have tax withheld at a rate or in a fixed amount as you choose. Your election will remain in effect until revoked by you. You may revoke your election at any time by making a new election. If you do not have enough income tax withheld from your distributions, you may be responsible for the payment of estimated tax. You may incur penalties if the amounts withheld and your estimated tax payments are not equal to your tax obligation.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value

RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management

Account are registered service marks of UBS Financial Services Inc.

Visa Signature is a registered service mark of Visa International. UBS Visa Signature credit cards and UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated.

UBS Financial Services Inc.

Rev. 201407

SDNY_GM_00020682

CONFIDENTIAL

EFTA_00131302

EFTA01273509



UBS Financial Services Inc.
299 Park Avenue
25th Floor
New York NY 10171-0002

CNP70058103150215 ■ 0

UBS Strategic Advisor

February 2015

GHISLAINE MAXWELL
116 E 65TH STREET
NEW YORK NY 10065-7007

Account name: GHISLAINE MAXWELL

Friendly account name: indiv. [REDACTED]

Account number: [REDACTED] 55

Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED] [REDACTED]

Questions about your statement?

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account 029023568.

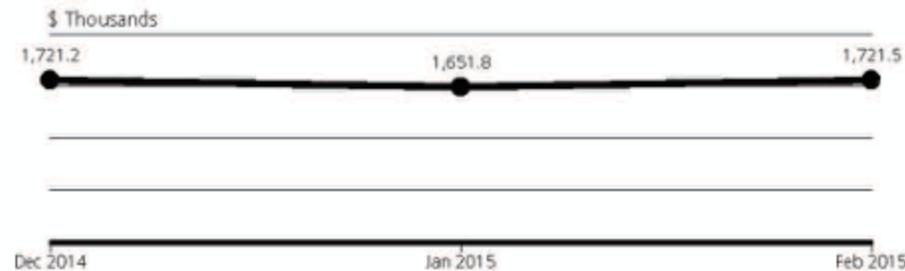
Visit our website:

www.ubs.com/financialservices

Value of your account

	on January 30 (\$)	on February 27 (\$)
Your assets	1,651,844.10	1,721,543.43
Your liabilities	0.00	0.00
Value of your account	\$1,651,844.10	\$1,721,543.43

Tracking the value of your account



Sources of your account growth during 2015

Value of your account at year end 2014	\$1,721,172.36
Net deposits and withdrawals	-\$2,121.99
Your investment return:	
Dividend and interest income	\$6,229.34
Change in market value	-\$3,736.28
Value of your account on Feb 27, 2015	\$1,721,543.43

CONFIDENTIAL



Your account balance sheet

Summary of your assets

	Value on February 27 (\$)	Percentage of your account
A Cash and money balances	33,136.51	1.92%
B Cash alternatives	0.00	0.00%
C Equities	1,688,406.92	98.08%
D Fixed income	0.00	0.00%
E Non-traditional	0.00	0.00%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$1,721,543.43	100.00%

Value of your account **\$1,721,543.43**

Your current asset allocation



► Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.

Eye on the markets

Index	Percentage change	
	February 2015	Year to date
S&P 500	5.75%	2.57%
Russell 3000	5.79%	2.85%
MSCI - Europe, Australia & Far East	5.99%	6.52%
Barclays Capital U.S. Aggregate Bond Index	-0.94%	1.14%

Interest rates on February 27, 2015

3-month Treasury bills: 0.03%
One-month LIBOR: 0.17%

CONFIDENTIAL



Change in the value of your account

	February 2015 (\$)	Year to date (\$)
Opening account value	\$1,651,844.10	\$1,721,172.36
Withdrawals and fees, including investments transferred out	0.00	-2,121.99
Dividend and interest income	3,343.16	6,229.34
Change in market value	66,356.17	-3,736.28
Closing account value	\$1,721,543.43	\$1,721,543.43

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	February 2015 (\$)	Year to date (\$)
Taxable dividends	3,342.76	6,228.71
Taxable interest	0.40	0.47
Total current year	\$3,343.16	\$6,229.18
Prior year adjustment	0.00	0.16
Total dividend & interest	\$3,343.16	\$6,229.34

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)
	February 2015 (\$)	Year to date (\$)	
Short term	0.00	0.00	3,705.48
Long term	9,032.81	9,032.81	330,212.97
Total	\$9,032.81	\$9,032.81	\$333,918.45

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	February 2015 (\$)	Year to date (\$)
Opening balances	\$7,281.76	\$6,517.57
<i>Additions</i>		
Dividend and interest income	3,343.16	6,229.34
Proceeds from investment transactions	106,909.61	106,909.61
Total additions	\$110,252.77	\$113,138.95
<i>Subtractions</i>		
Professional management fees and related services	0.00	-2,121.99
Funds withdrawn for investments bought	-84,398.02	-84,398.02
Total subtractions	-\$84,398.02	-\$86,520.01
Net cash flow	\$25,854.75	\$26,618.94
Closing balances	\$33,136.51	\$33,136.51

CONFIDENTIAL



UBS Bank USA Deposit Account APY

Interest period Jan 8 - Feb 5

Opening UBS Bank USA Deposit balance Jan 8	\$7,950.20
Closing UBS Bank USA Deposit balance Feb 5	\$30,565.37
Number of days in interest period	29
Average daily balance	\$10,937.24
Interest earned	\$0.40
Annual percentage yield earned	0.05%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Current income & capital appreciation

Your risk profile:

Primary - Aggressive

Investment eligibility consideration - None selected

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

CONFIDENTIAL



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on Feb 1 (\$)	Closing balance on Feb 27 (\$)	Price per share on Feb 27 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	7,281.76	33,136.51					250,000.00

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Cost basis (\$)	Price per share on Feb 27 (\$)	Value on Feb 27 (\$)	Unrealized gain or loss (\$)	Holding period
AECOM								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	30.060	15,030.00	1,720.05	ST
	Jan 30, 15	100.000	25.532	2,553.24	30.060	3,006.00	452.76	ST
Security total		600.000	26.439	15,863.19		18,036.00	2,172.81	
ANALOG DEVICES INC								
Symbol: ADI Exchange: OTC								
EAI: \$2,802 Current yield: 2.73%	Nov 16, 11	13.000	37.316	485.12	58.540	761.02	275.90	LT
	Nov 17, 11	13.000	35.393	460.12	58.540	761.02	300.90	LT
	Nov 18, 11	35.000	35.502	1,242.58	58.540	2,048.90	806.32	LT
	Nov 21, 11	18.000	34.371	618.68	58.540	1,053.72	435.04	LT
	Nov 22, 11	15.000	33.338	500.07	58.540	878.10	378.03	LT
	Nov 23, 11	22.000	32.655	718.43	58.540	1,287.88	569.45	LT
	Nov 25, 11	7.000	32.460	227.22	58.540	409.78	182.56	LT

continued next page

SDNY_GM_00020687

CNP70008005810319 NP7000206088 00002 0215 030575004 Y123568550 000000

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Feb 27 (\$)	Value on Feb 27 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 28, 11	30.000	32.951	988.55	58.540	1,756.20	767.65	LT
	Nov 29, 11	18.000	33.472	602.51	58.540	1,053.72	451.21	LT
	Nov 29, 11	5.000	33.622	168.11	58.540	292.70	124.59	LT
	Apr 24, 12	30.000	37.567	1,127.01	58.540	1,756.20	629.19	LT
	Jan 23, 13	1,056.000	43.209	45,628.81	58.540	61,818.24	16,189.43	LT
	Apr 22, 13	489.000	42.447	20,756.68	58.540	28,626.06	7,869.38	LT
Security total		1,751.000	41.990	73,523.89		102,503.54	28,979.65	
AUTOMATIC DATA PROCESSING INC								
Symbol: ADP Exchange: OTC								
EAI: \$2,493 Current yield: 2.21%								
	Aug 4, 11	146.000	42.343	6,182.08	88.840	12,970.64	6,788.56	LT
	Aug 12, 11	4.000	40.955	163.82	88.840	355.36	191.54	LT
	Jan 23, 13	767.000	52.320	40,129.93	88.840	68,140.28	28,010.35	LT
	Apr 22, 13	355.000	56.870	20,189.01	88.840	31,538.20	11,349.19	LT
Security total		1,272.000	52.409	66,664.84		113,004.48	46,339.64	
BAXTER INTL INC								
Symbol: BAX Exchange: NYSE								
EAI: \$3,236 Current yield: 3.01%								
	Jun 20, 12	30.000	51.594	1,547.84	69.150	2,074.50	526.66	LT
	Jun 20, 12	17.000	51.522	875.89	69.150	1,175.55	299.66	LT
	Jun 21, 12	29.000	52.077	1,510.25	69.150	2,005.35	495.10	LT
	Jun 21, 12	7.000	51.500	360.50	69.150	484.05	123.55	LT
	Jun 21, 12	5.000	52.216	261.08	69.150	345.75	84.67	LT
	Jun 22, 12	61.000	51.890	3,165.29	69.150	4,218.15	1,052.86	LT
	Jan 23, 13	768.000	66.658	51,193.80	69.150	53,107.20	1,913.40	LT
	Apr 22, 13	355.000	69.318	24,608.00	69.150	24,548.25	-59.75	LT
	Sep 19, 13	74.000	72.165	5,340.28	69.150	5,117.10	-223.18	LT
	Sep 19, 13	6.000	71.875	431.25	69.150	414.90	-16.35	LT
	Sep 19, 13	3.000	71.880	215.64	69.150	207.45	-8.19	LT
	Sep 20, 13	47.000	71.987	3,383.41	69.150	3,250.05	-133.36	LT
	Oct 3, 13	154.000	64.600	9,948.49	69.150	10,649.10	700.61	LT
Security total		1,556.000	66.094	102,841.72		107,597.40	4,755.68	
BLACKROCK INC								
Symbol: BLK Exchange: NYSE								
EAI: \$3,244 Current yield: 2.35%								
	Oct 5, 12	7.000	189.932	1,329.53	371.420	2,599.94	1,270.41	LT

continued next page

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Feb 27 (\$)	Value on Feb 27 (\$)	Unrealized gain or loss (\$)	Holding period
	Oct 5, 12	3.000	187.820	563.46	371.420	1,114.26	550.80	LT
	Oct 5, 12	2.000	186.670	373.34	371.420	742.84	369.50	LT
	Oct 8, 12	8.000	188.783	1,510.27	371.420	2,971.36	1,461.09	LT
	Oct 9, 12	15.000	189.186	2,837.79	371.420	5,571.30	2,733.51	LT
	Oct 9, 12	2.000	189.010	378.02	371.420	742.84	364.82	LT
	Oct 10, 12	3.000	187.720	563.16	371.420	1,114.26	551.10	LT
	Oct 10, 12	2.000	187.670	375.34	371.420	742.84	367.50	LT
	Oct 10, 12	2.000	187.995	375.99	371.420	742.84	366.85	LT
	Jan 23, 13	224.000	236.966	53,080.41	371.420	83,198.08	30,117.67	LT
	Apr 22, 13	104.000	251.093	26,113.69	371.420	38,627.68	12,513.99	LT
Security total		372.000	235.218	87,501.00		138,168.24	50,667.24	
CALIFORNIA RESOURCES CORP								
Symbol: CRC Exchange: NYSE								
EAI: \$4 Current yield: 0.14%								
	Feb 12, 14	59.200	8.030	475.39	7.160	423.87	-51.52	LT
	Feb 12, 14	46.800	8.033	375.95	7.160	335.09	-40.86	LT
	Feb 12, 14	12.200	8.034	98.02	7.160	87.35	-10.67	LT
	Feb 12, 14	2.800	8.021	22.46	7.160	20.05	-2.41	LT
	Feb 13, 14	44.000	8.023	353.04	7.160	315.04	-38.00	LT
	Feb 13, 14	27.200	8.007	217.81	7.160	194.75	-23.06	LT
	Feb 13, 14	13.200	7.977	105.30	7.160	94.51	-10.79	LT
	Feb 13, 14	2.400	7.983	19.16	7.160	17.18	-1.98	LT
	Feb 14, 14	133.600	8.310	1,110.31	7.160	956.58	-153.73	LT
	Feb 18, 14	45.600	8.366	381.49	7.160	326.50	-54.99	LT
Security total		387.000	8.163	3,158.93		2,770.92	-388.01	
CATERPILLAR INC								
Symbol: CAT Exchange: NYSE								
EAI: \$3,108 Current yield: 3.38%								
	Jun 19, 13	72.000	84.718	6,099.75	82.900	5,968.80	-130.95	LT
	Jun 20, 13	121.000	83.141	10,060.15	82.900	10,030.90	-29.25	LT
	Jun 20, 13	78.000	83.030	6,476.39	82.900	6,466.20	-10.19	LT
	Jun 21, 13	204.000	82.904	16,912.44	82.900	16,911.60	-0.84	LT
	Jun 24, 13	111.000	81.517	9,048.46	82.900	9,201.90	153.44	LT
	Jun 25, 13	73.000	82.354	6,011.86	82.900	6,051.70	39.84	LT

SDNY_GM_00020689 *continued next page*

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Feb 27 (\$)	Value on Feb 27 (\$)	Unrealized gain or loss (\$)	Holding period
	Jun 17, 13	148.000	49.739	7,361.45	53.790	7,960.92	599.47	LT
	Jun 18, 13	73.000	49.836	3,638.07	53.790	3,926.67	288.60	LT
Security total		1,882.000	44.031	82,867.16		101,232.78	18,365.62	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$2,985 Current yield: 2.73%								
	Aug 4, 11	123.000	62.377	7,672.38	102.510	12,608.73	4,936.35	LT
	Aug 12, 11	3.000	63.730	191.19	102.510	307.53	116.34	LT
	Jan 23, 13	642.000	72.736	46,696.71	102.510	65,811.42	19,114.71	LT
	Apr 22, 13	298.000	84.721	25,247.10	102.510	30,547.98	5,300.88	LT
Security total		1,066.000	74.866	79,807.38		109,275.66	29,468.28	
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,461 Current yield: 3.44%								
	Aug 4, 11	95.000	84.969	8,072.06	98.900	9,395.50	1,323.44	LT
	Aug 12, 11	3.000	85.910	257.73	98.900	296.70	38.97	LT
	Nov 29, 12	8.000	86.456	691.65	98.900	791.20	99.55	LT
	Jan 23, 13	555.000	93.053	51,644.75	98.900	54,889.50	3,244.75	LT
	Apr 22, 13	255.000	99.318	25,326.32	98.900	25,219.50	-106.82	LT
	Sep 19, 13	78.000	97.879	7,634.63	98.900	7,714.20	79.57	LT
	Sep 19, 13	22.000	97.425	2,143.36	98.900	2,175.80	32.44	LT
	Sep 19, 13	2.000	97.830	195.66	98.900	197.80	2.14	LT
Security total		1,018.000	94.269	95,966.16		100,680.20	4,714.04	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$3,579 Current yield: 2.98%								
	Aug 4, 11	134.000	52.960	7,096.75	103.460	13,863.64	6,766.89	LT
	Aug 12, 11	3.000	52.530	157.59	103.460	310.38	152.79	LT
	Jan 23, 13	700.000	71.610	50,127.21	103.460	72,422.00	22,294.79	LT
	Apr 22, 13	325.000	79.757	25,921.06	103.460	33,624.50	7,703.44	LT
Security total		1,162.000	71.689	83,302.61		120,220.52	36,917.91	
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,791 Current yield: 3.70%								
	Feb 12, 14	148.000	88.959	13,165.96	77.880	11,526.24	-1,639.72	LT
	Feb 12, 14	117.000	88.989	10,411.82	77.880	9,111.96	-1,299.86	LT

continued next page

SDNY_GM_00020691

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Feb 27 (\$)	Value on Feb 27 (\$)	Unrealized gain or loss (\$)	Holding period
TRAVELERS COS INC/THE								
Symbol: TRV Exchange: NYSE								
EAI: \$2,534 Current yield: 2.05%								
	Apr 24, 12	20.000	63.432	1,268.64	107.440	2,148.80	880.16	LT
	Apr 24, 12	4.000	63.350	253.40	107.440	429.76	176.36	LT
	Apr 24, 12	1.000	63.560	63.56	107.440	107.44	43.88	LT
	Apr 25, 12	10.000	63.520	635.20	107.440	1,074.40	439.20	LT
	Apr 25, 12	10.000	63.617	636.17	107.440	1,074.40	438.23	LT
	Apr 25, 12	10.000	63.659	636.59	107.440	1,074.40	437.81	LT
	Apr 25, 12	2.000	63.545	127.09	107.440	214.88	87.79	LT
	Apr 25, 12	2.000	63.645	127.29	107.440	214.88	87.59	LT
	Apr 25, 12	2.000	63.745	127.49	107.440	214.88	87.39	LT
	Apr 26, 12	5.000	63.928	319.64	107.440	537.20	217.56	LT
	Apr 26, 12	2.000	63.920	127.84	107.440	214.88	87.04	LT
	Apr 26, 12	2.000	63.930	127.86	107.440	214.88	87.02	LT
	Apr 26, 12	1.000	63.720	63.72	107.440	107.44	43.72	LT
	May 1, 12	15.000	64.637	969.56	107.440	1,611.60	642.04	LT
	May 1, 12	6.000	64.715	388.29	107.440	644.64	256.35	LT
	May 1, 12	6.000	64.975	389.85	107.440	644.64	254.79	LT
	May 1, 12	2.000	64.850	129.70	107.440	214.88	85.18	LT
	May 1, 12	1.000	64.820	64.82	107.440	107.44	42.62	LT
	May 2, 12	7.000	64.374	450.62	107.440	752.08	301.46	LT
	May 2, 12	4.000	64.410	257.64	107.440	429.76	172.12	LT
	May 2, 12	2.000	64.320	128.64	107.440	214.88	86.24	LT
	May 3, 12	4.000	64.960	259.84	107.440	429.76	169.92	LT
	May 3, 12	2.000	64.675	129.35	107.440	214.88	85.53	LT
	May 3, 12	2.000	64.910	129.82	107.440	214.88	85.06	LT
	Jan 23, 13	629.000	77.560	48,785.62	107.440	67,579.76	18,794.14	LT
	Apr 22, 13	290.000	84.719	24,568.68	107.440	31,157.60	6,588.92	LT
	May 22, 13	111.000	83.807	9,302.58	107.440	11,925.84	2,623.26	LT
Security total		1,152.000	78.533	90,469.50		123,770.88	33,301.38	

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Feb 27 (\$)	Value on Feb 27 (\$)	Unrealized gain or loss (\$)	Holding period
Total				\$1,354,488.47		\$1,688,406.92	\$333,918.45	
Total estimated annual income: \$44,182								

Your total assets

		Value on Feb 27 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	33,136.51	1.92%	33,136.51		
Equities	Common stock	1,688,406.92	98.08%	1,354,488.47	44,182.00	333,918.45
Total		\$1,721,543.43	100.00%	\$1,387,624.98	\$44,182.00	\$333,918.45

Account activity this month

	Date	Activity	Description	Amount (\$)
Dividend and interest income				
<i>Taxable dividends</i>				
	Feb 2	Dividend	GENL MILLS INC PAID ON 1882	771.62
	Feb 17	Dividend	COLGATE PALMOLIVE CO PAID ON 1508 AS OF 02/16/15	542.88
	Feb 17	Dividend	PROCTER & GAMBLE CO PAID ON 1134	729.84
	Feb 20	Dividend	CATERPILLAR INC PAID ON 1110	777.00
	Feb 25	Dividend	XILINX INC PAID ON 1798	521.42
		Total taxable dividends		\$3,342.76
<i>Taxable interest</i>				
	Feb 6	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 02/05/15	0.40
		Total taxable interest		\$0.40
		Total dividend and interest income		\$3,343.16

Investment transactions

For more information about the price/value shown for restricted securities, see *Important information about your statement* at the end of this document.

Date	Activity	Description	Quantity	Value (\$)	Price (\$)	Proceeds from investment transactions (\$)	Funds withdrawn for investments bought (\$)	Accrued interest (\$)
Feb 2	Bought	EOG RESOURCES INC	500.000		90.411440		-45,205.72	
Feb 2	Bought	FORTINET INC	500.000		31.942727		-15,971.36	
Feb 2	Bought	AECOM	500.000		26.619900		-13,309.95	

continued next page
SDNY_GM_00020695

CONFIDENTIAL



Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount (\$)	Cost basis (\$)	Wash sale cost basis adjustment(\$)	Loss (\$)	Gain (\$)
	FIFO	93.000	Sep 23, 13	Jan 28, 15	9,370.96	8,467.59			903.37
	FIFO	41.000	Sep 24, 13	Jan 28, 15	4,131.29	3,758.20			373.09
	FIFO	93.000	Sep 24, 13	Jan 28, 15	9,370.96	8,520.00			850.96
	FIFO	62.000	Sep 25, 13	Jan 28, 15	6,247.31	5,650.56			596.75
	FIFO	11.000	Sep 25, 13	Jan 28, 15	1,108.40	1,001.99			106.41
	FIFO	64.000	Sep 26, 13	Jan 28, 15	6,448.83	5,855.30			593.53
	FIFO	54.000	Sep 27, 13	Jan 28, 15	5,441.21	4,920.33			520.88
	FIFO	46.000	Sep 30, 13	Jan 28, 15	4,635.10	4,207.86			427.24
	FIFO	46.000	Oct 01, 13	Jan 28, 15	4,635.10	4,216.73			418.37
	FIFO	6.000	Oct 01, 13	Jan 28, 15	604.58	549.90			54.68
	FIFO	61.000	Oct 02, 13	Jan 28, 15	6,146.54	5,558.84			587.70
	FIFO	19.000	Oct 02, 13	Jan 28, 15	1,914.50	1,730.29			184.21
	FIFO	55.000	Oct 03, 13	Jan 28, 15	5,541.97	4,968.58			573.39
	FIFO	55.000	Oct 04, 13	Jan 28, 15	5,541.97	4,985.96			556.01
	FIFO	121.000	Jan 17, 14	Jan 28, 15	12,192.33	12,007.00			185.33
Total					\$106,909.61	\$97,876.80			\$9,032.81
Net long-term capital gains or losses									\$9,032.81
Net capital gains/losses:									\$9,032.81

CONFIDENTIAL



Your notes

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.

All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.

- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: RMBBSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweepyields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity. The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account

holder on the books and records of the applicable issuer or transfer agent).

- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org.

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP, partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each account held, you choose one of the following investment objectives:

- **Produce Current Income:** Investments seeking the generation of income only.
- **Achieve Capital Appreciation:** Investments seeking growth of principal rather than the generation of income.
- **Produce Combination of Income and Capital Appreciation:** Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- **Conservative:** Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- **Moderate:** Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- **Aggressive:** Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate

envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- **Value of your accounts/ portfolio:** Net of assets and liabilities.
- **Assets:** Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities/assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- **Liabilities:** Includes debit balances, outstanding margin loans, credit line, short account balances.
- **Cash/money balances:** Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accountsforbny

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

- **Cost basis:** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

- **Unrealized gains/losses:** When data is available, estimated unrealized gains/losses are calculated for

SDNY_GM_00020699

CONFIDENTIAL

EFTA_00131319

EFTA01273526

Important information about your statement (continued)

individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

- **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield. Complete information will be provided upon request.
- **Certificates of deposit (CDs)** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.
- **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.
 - We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
 - Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
 - Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
 - Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
 - For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation.To obtain current quotations, when available, contact your Financial Advisor.
- **Private investments and structured products.** Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.
 - These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
 - Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
 - Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
 - You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.

- Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
- When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.
- "Distributions to date" may include return of capital, income or both.
- "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

- **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

- **Est. (estimated) income, current yields and rates.** An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.
 - Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
 - Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
 - An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

- **Assets not held by UBS Financial Services.** Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

- **Revenue sharing and additional compensation.**
 - In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
 - We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the

number of accounts at the broker-dealer holding mutual funds of that fund family.

- In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
- We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Tax withholding on distributions from UBS Financial Services IRAs

Federal tax law requires UBS Financial Services to withhold income tax from your taxable IRA distributions, but you may elect not to have income tax withheld or, instead, you may elect to have tax withheld at a rate or in a fixed amount as you choose. Your election will remain in effect until revoked by you. You may revoke your election at any time by making a new election. If you do not have enough income tax withheld from your distributions, you may be responsible for the payment of estimated tax. You may incur penalties if the amounts withheld and your estimated tax payments are not equal to your tax obligation.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value

RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management

Account are registered service marks of UBS Financial Services Inc.

Visa Signature is a registered service mark of Visa International. UBS Visa Signature credit cards and UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated.

UBS Financial Services Inc.

Rev. 201407

SDNY_GM_00020700

CONFIDENTIAL

EFTA_00131320

EFTA01273527



UBS Financial Services Inc.
299 Park Avenue
25th Floor
New York NY 10171-0002

CNP7006576423 0315.X1 ■ 0

UBS Strategic Advisor

March 2015

GHISLAINE MAXWELL
116 E 65TH STREET
NEW YORK NY 10065-7007

Account name: GHISLAINE MAXWELL

Friendly account name: indiv. [REDACTED]

Account number: [REDACTED] 55

Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED] [REDACTED]

Questions about your statement?

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account 029023568.

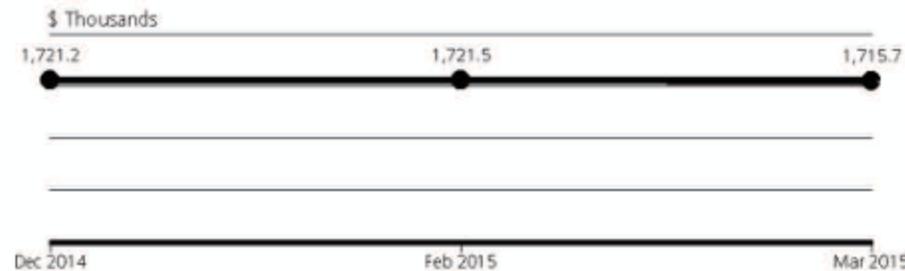
Visit our website:

www.ubs.com/financialservices

Value of your account

	on February 27 (\$)	on March 31 (\$)
Your assets	1,721,543.43	1,715,724.23
Your liabilities	0.00	0.00
Value of your account	\$1,721,543.43	\$1,715,724.23

Tracking the value of your account



Sources of your account growth during 2015

Value of your account at year end 2014	\$1,721,172.36
Net deposits and withdrawals	-\$2,121.99
Your investment return:	
Dividend and interest income	\$11,688.25
Change in market value	-\$15,014.39
Value of your account on Mar 31, 2015	\$1,715,724.23

CONFIDENTIAL



Your account balance sheet

Summary of your assets

	Value on March 31 (\$)	Percentage of your account
A Cash and money balances	38,595.42	2.25%
B Cash alternatives	0.00	0.00%
C Equities	1,677,128.81	97.75%
D Fixed income	0.00	0.00%
E Non-traditional	0.00	0.00%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$1,715,724.23	100.00%

Value of your account **\$1,715,724.23**

Your current asset allocation



► Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.

Eye on the markets

Index	Percentage change	
	March 2015	Year to date
S&P 500	-1.58%	0.95%
Russell 3000	-1.02%	1.80%
MSCI - Europe, Australia & Far East	-1.43%	5.00%
Barclays Capital U.S. Aggregate Bond Index	0.46%	1.61%

Interest rates on March 31, 2015

3-month Treasury bills: 0.03%
One-month LIBOR: 0.18%

CONFIDENTIAL



Change in the value of your account

	March 2015 (\$)	Year to date (\$)
Opening account value	\$1,721,543.43	\$1,721,172.36
Withdrawals and fees, including investments transferred out	0.00	-2,121.99
Dividend and interest income	5,458.91	11,688.25
Change in market value	-11,278.11	-15,014.39
Closing account value	\$1,715,724.23	\$1,715,724.23

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	March 2015 (\$)	Year to date (\$)
Taxable dividends	5,457.95	11,686.66
Taxable interest	0.96	1.43
Total current year	\$5,458.91	\$11,688.09
Prior year adjustment	0.00	0.16
Total dividend & interest	\$5,458.91	\$11,688.25

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)
	March 2015 (\$)	Year to date (\$)	
Short term	0.00	0.00	6,151.48
Long term	0.00	9,032.81	316,488.86
Total	\$0.00	\$9,032.81	\$322,640.34

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	March 2015 (\$)	Year to date (\$)
Opening balances	\$33,136.51	\$6,517.57
<i>Additions</i>		
Dividend and interest income	5,458.91	11,688.25
Proceeds from investment transactions	0.00	106,909.61
Total additions	\$5,458.91	\$118,597.86
<i>Subtractions</i>		
Professional management fees and related services	0.00	-2,121.99
Funds withdrawn for investments bought	0.00	-84,398.02
Total subtractions	\$0.00	-\$86,520.01
Net cash flow	\$5,458.91	\$32,077.85
Closing balances	\$38,595.42	\$38,595.42

CONFIDENTIAL



UBS Bank USA Deposit Account APY

Interest period Feb 6 - Mar 5

Opening UBS Bank USA Deposit balance Feb 6	\$30,565.37
Closing UBS Bank USA Deposit balance Mar 5	\$33,137.47
Number of days in interest period	28
Average daily balance	\$31,746.87
Interest earned	\$0.96
Annual percentage yield earned	0.04%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Current income & capital appreciation

Your risk profile:

Primary - Aggressive

Investment eligibility consideration - None selected

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

CONFIDENTIAL



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on Mar 1 (\$)	Closing balance on Mar 31 (\$)	Price per share on Mar 31 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	33,136.51	38,595.42					250,000.00

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Cost basis (\$)	Price per share on Mar 31 (\$)	Value on Mar 31 (\$)	Unrealized gain or loss (\$)	Holding period
AECOM								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	30.820	15,410.00	2,100.05	ST
	Jan 30, 15	100.000	25.532	2,553.24	30.820	3,082.00	528.76	ST
Security total		600.000	26.439	15,863.19		18,492.00	2,628.81	
ANALOG DEVICES INC								
Symbol: ADI Exchange: OTC								
EAI: \$2,802 Current yield: 2.54%	Nov 16, 11	13.000	37.316	485.12	63.000	819.00	333.88	LT
	Nov 17, 11	13.000	35.393	460.12	63.000	819.00	358.88	LT
	Nov 18, 11	35.000	35.502	1,242.58	63.000	2,205.00	962.42	LT
	Nov 21, 11	18.000	34.371	618.68	63.000	1,134.00	515.32	LT
	Nov 22, 11	15.000	33.338	500.07	63.000	945.00	444.93	LT
	Nov 23, 11	22.000	32.655	718.43	63.000	1,386.00	667.57	LT
	Nov 25, 11	7.000	32.460	227.22	63.000	441.00	213.78	LT

continued next page

SDNY_GM_00020705

CNP70009006576427 NP7000304051 00002 0815 030575004 23568550 100000

Page 5 of 14

CONFIDENTIAL

EFTA_00131325

EFTA01273532



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Mar 31 (\$)	Value on Mar 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 28, 11	30.000	32.951	988.55	63.000	1,890.00	901.45	LT
	Nov 29, 11	18.000	33.472	602.51	63.000	1,134.00	531.49	LT
	Nov 29, 11	5.000	33.622	168.11	63.000	315.00	146.89	LT
	Apr 24, 12	30.000	37.567	1,127.01	63.000	1,890.00	762.99	LT
	Jan 23, 13	1,056.000	43.209	45,628.81	63.000	66,528.00	20,899.19	LT
	Apr 22, 13	489.000	42.447	20,756.68	63.000	30,807.00	10,050.32	LT
Security total		1,751.000	41.990	73,523.89		110,313.00	36,789.11	
AUTOMATIC DATA PROCESSING INC								
Symbol: ADP Exchange: OTC								
EAI: \$2,493 Current yield: 2.29%								
	Aug 4, 11	146.000	42.343	6,182.08	85.640	12,503.44	6,321.36	LT
	Aug 12, 11	4.000	40.955	163.82	85.640	342.56	178.74	LT
	Jan 23, 13	767.000	52.320	40,129.93	85.640	65,685.88	25,555.95	LT
	Apr 22, 13	355.000	56.870	20,189.01	85.640	30,402.20	10,213.19	LT
Security total		1,272.000	52.409	66,664.84		108,934.08	42,269.24	
BAXTER INTL INC								
Symbol: BAX Exchange: NYSE								
EAI: \$3,236 Current yield: 3.04%								
	Jun 20, 12	30.000	51.594	1,547.84	68.500	2,055.00	507.16	LT
	Jun 20, 12	17.000	51.522	875.89	68.500	1,164.50	288.61	LT
	Jun 21, 12	29.000	52.077	1,510.25	68.500	1,986.50	476.25	LT
	Jun 21, 12	7.000	51.500	360.50	68.500	479.50	119.00	LT
	Jun 21, 12	5.000	52.216	261.08	68.500	342.50	81.42	LT
	Jun 22, 12	61.000	51.890	3,165.29	68.500	4,178.50	1,013.21	LT
	Jan 23, 13	768.000	66.658	51,193.80	68.500	52,608.00	1,414.20	LT
	Apr 22, 13	355.000	69.318	24,608.00	68.500	24,317.50	-290.50	LT
	Sep 19, 13	74.000	72.165	5,340.28	68.500	5,069.00	-271.28	LT
	Sep 19, 13	6.000	71.875	431.25	68.500	411.00	-20.25	LT
	Sep 19, 13	3.000	71.880	215.64	68.500	205.50	-10.14	LT
	Sep 20, 13	47.000	71.987	3,383.41	68.500	3,219.50	-163.91	LT
	Oct 3, 13	154.000	64.600	9,948.49	68.500	10,549.00	600.51	LT
Security total		1,556.000	66.094	102,841.72		106,586.00	3,744.28	
BLACKROCK INC								
Symbol: BLK Exchange: NYSE								
EAI: \$3,244 Current yield: 2.38%								
	Oct 5, 12	7.000	189.932	1,329.53	365.840	2,560.88	1,231.35	LT

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Mar 31 (\$)	Value on Mar 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Oct 5, 12	3.000	187.820	563.46	365.840	1,097.52	534.06	LT
	Oct 5, 12	2.000	186.670	373.34	365.840	731.68	358.34	LT
	Oct 8, 12	8.000	188.783	1,510.27	365.840	2,926.72	1,416.45	LT
	Oct 9, 12	15.000	189.186	2,837.79	365.840	5,487.60	2,649.81	LT
	Oct 9, 12	2.000	189.010	378.02	365.840	731.68	353.66	LT
	Oct 10, 12	3.000	187.720	563.16	365.840	1,097.52	534.36	LT
	Oct 10, 12	2.000	187.670	375.34	365.840	731.68	356.34	LT
	Oct 10, 12	2.000	187.995	375.99	365.840	731.68	355.69	LT
	Jan 23, 13	224.000	236.966	53,080.41	365.840	81,948.16	28,867.75	LT
	Apr 22, 13	104.000	251.093	26,113.69	365.840	38,047.36	11,933.67	LT
Security total		372.000	235.218	87,501.00		136,092.48	48,591.48	
CALIFORNIA RESOURCES CORP								
Symbol: CRC Exchange: NYSE								
EAI: \$4 Current yield: 0.14%								
	Feb 12, 14	59.200	8.030	475.39	7.610	450.51	-24.88	LT
	Feb 12, 14	46.800	8.033	375.95	7.610	356.15	-19.80	LT
	Feb 12, 14	12.200	8.034	98.02	7.610	92.84	-5.18	LT
	Feb 12, 14	2.800	8.021	22.46	7.610	21.31	-1.15	LT
	Feb 13, 14	44.000	8.023	353.04	7.610	334.84	-18.20	LT
	Feb 13, 14	27.200	8.007	217.81	7.610	206.99	-10.82	LT
	Feb 13, 14	13.200	7.977	105.30	7.610	100.45	-4.85	LT
	Feb 13, 14	2.400	7.983	19.16	7.610	18.26	-0.90	LT
	Feb 14, 14	133.600	8.310	1,110.31	7.610	1,016.70	-93.61	LT
	Feb 18, 14	45.600	8.366	381.49	7.610	347.02	-34.47	LT
Security total		387.000	8.163	3,158.93		2,945.07	-213.86	
CATERPILLAR INC								
Symbol: CAT Exchange: NYSE								
EAI: \$3,108 Current yield: 3.50%								
	Jun 19, 13	72.000	84.718	6,099.75	80.030	5,762.16	-337.59	LT
	Jun 20, 13	121.000	83.141	10,060.15	80.030	9,683.63	-376.52	LT
	Jun 20, 13	78.000	83.030	6,476.39	80.030	6,242.34	-234.05	LT
	Jun 21, 13	204.000	82.904	16,912.44	80.030	16,326.12	-586.32	LT
	Jun 24, 13	111.000	81.517	9,048.46	80.030	8,883.33	-165.13	LT
	Jun 25, 13	73.000	82.354	6,011.86	80.030	5,842.19	-169.67	LT

SDNY_GM_00020707 *continued next page*

CONFIDENTIAL



Your assets » **Equities** » **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Mar 31 (\$)	Value on Mar 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Jun 26, 13	69.000	82.259	5,675.90	80.030	5,522.07	-153.83	LT
	Jun 27, 13	141.000	82.951	11,696.12	80.030	11,284.23	-411.89	LT
	Jun 27, 13	7.000	82.925	580.48	80.030	560.21	-20.27	LT
	Jun 28, 13	169.000	82.774	13,988.92	80.030	13,525.07	-463.85	LT
	Jul 1, 13	65.000	82.781	5,380.78	80.030	5,201.95	-178.83	LT
Security total		1,110.000	82.821	91,931.25		88,833.30	-3,097.95	
CDK GLOBAL INC COM								
Symbol: CDK Exchange: OTC								
EAI: \$204 Current yield: 1.03%								
	Aug 4, 11	48.667	18.379	894.45	46.760	2,275.65	1,381.20	LT
	Aug 12, 11	1.333	17.775	23.70	46.760	62.35	38.65	LT
	Jan 23, 13	255.667	22.709	5,806.16	46.760	11,954.97	6,148.81	LT
	Apr 22, 13	118.333	24.684	2,921.03	46.760	5,533.27	2,612.24	LT
Security total		424.000	22.748	9,645.34		19,826.24	10,180.90	
COLGATE PALMOLIVE CO								
Symbol: CL Exchange: NYSE								
EAI: \$2,292 Current yield: 2.19%								
	Aug 4, 11	174.000	41.632	7,244.05	69.340	12,065.16	4,821.11	LT
	Aug 12, 11	4.000	42.450	169.80	69.340	277.36	107.56	LT
	Jan 23, 13	910.000	54.240	49,358.63	69.340	63,099.40	13,740.77	LT
	Apr 22, 13	420.000	59.788	25,111.32	69.340	29,122.80	4,011.48	LT
Security total		1,508.000	54.300	81,883.80		104,564.72	22,680.92	
EOG RESOURCES INC								
Symbol: EOG Exchange: NYSE								
EAI: \$335 Current yield: 0.73%								
	Jan 28, 15	500.000	90.411	45,205.72	91.690	45,845.00	639.28	ST
FORTINET INC								
Symbol: FTNT Exchange: OTC								
	Jan 28, 15	500.000	31.942	15,971.36	34.950	17,475.00	1,503.64	ST
	Jan 30, 15	250.000	29.431	7,357.75	34.950	8,737.50	1,379.75	ST
Security total		750.000	31.105	23,329.11		26,212.50	2,883.39	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE								
EAI: \$3,312 Current yield: 3.11%								
	Aug 4, 11	191.000	36.265	6,926.77	56.600	10,810.60	3,883.83	LT
	Aug 12, 11	5.000	35.754	178.77	56.600	283.00	104.23	LT
	Jan 23, 13	1,001.000	41.387	41,428.89	56.600	56,656.60	15,227.71	LT
	Apr 22, 13	464.000	50.287	23,333.21	56.600	26,262.40	2,929.19	LT

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Mar 31 (\$)	Value on Mar 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Jun 17, 13	148.000	49.739	7,361.45	56.600	8,376.80	1,015.35	LT
	Jun 18, 13	73.000	49.836	3,638.07	56.600	4,131.80	493.73	LT
Security total		1,882.000	44.031	82,867.16		106,521.20	23,654.04	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$2,985 Current yield: 2.78%								
	Aug 4, 11	123.000	62.377	7,672.38	100.600	12,373.80	4,701.42	LT
	Aug 12, 11	3.000	63.730	191.19	100.600	301.80	110.61	LT
	Jan 23, 13	642.000	72.736	46,696.71	100.600	64,585.20	17,888.49	LT
	Apr 22, 13	298.000	84.721	25,247.10	100.600	29,978.80	4,731.70	LT
Security total		1,066.000	74.866	79,807.38		107,239.60	27,432.22	
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,461 Current yield: 3.49%								
	Aug 4, 11	95.000	84.969	8,072.06	97.440	9,256.80	1,184.74	LT
	Aug 12, 11	3.000	85.910	257.73	97.440	292.32	34.59	LT
	Nov 29, 12	8.000	86.456	691.65	97.440	779.52	87.87	LT
	Jan 23, 13	555.000	93.053	51,644.75	97.440	54,079.20	2,434.45	LT
	Apr 22, 13	255.000	99.318	25,326.32	97.440	24,847.20	-479.12	LT
	Sep 19, 13	78.000	97.879	7,634.63	97.440	7,600.32	-34.31	LT
	Sep 19, 13	22.000	97.425	2,143.36	97.440	2,143.68	0.32	LT
	Sep 19, 13	2.000	97.830	195.66	97.440	194.88	-0.78	LT
Security total		1,018.000	94.269	95,966.16		99,193.92	3,227.76	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$3,579 Current yield: 2.96%								
	Aug 4, 11	134.000	52.960	7,096.75	104.050	13,942.70	6,845.95	LT
	Aug 12, 11	3.000	52.530	157.59	104.050	312.15	154.56	LT
	Jan 23, 13	700.000	71.610	50,127.21	104.050	72,835.00	22,707.79	LT
	Apr 22, 13	325.000	79.757	25,921.06	104.050	33,816.25	7,895.19	LT
Security total		1,162.000	71.689	83,302.61		120,906.10	37,603.49	
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,791 Current yield: 3.95%								
	Feb 12, 14	148.000	88.959	13,165.96	73.000	10,804.00	-2,361.96	LT
	Feb 12, 14	117.000	88.989	10,411.82	73.000	8,541.00	-1,870.82	LT

continued next page

SDNY_GM_00020709

CNP70009006576431 NP7000304051 00002 0315 030575004 Y123568550 100000

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Mar 31 (\$)	Value on Mar 31 (\$)	Unrealized gain or loss (\$)	Holding period
TRAVELERS COS INC/THE								
Symbol: TRV Exchange: NYSE								
EAI: \$2,534 Current yield: 2.03%								
	Apr 24, 12	20.000	63.432	1,268.64	108.130	2,162.60	893.96	LT
	Apr 24, 12	4.000	63.350	253.40	108.130	432.52	179.12	LT
	Apr 24, 12	1.000	63.560	63.56	108.130	108.13	44.57	LT
	Apr 25, 12	10.000	63.520	635.20	108.130	1,081.30	446.10	LT
	Apr 25, 12	10.000	63.617	636.17	108.130	1,081.30	445.13	LT
	Apr 25, 12	10.000	63.659	636.59	108.130	1,081.30	444.71	LT
	Apr 25, 12	2.000	63.545	127.09	108.130	216.26	89.17	LT
	Apr 25, 12	2.000	63.645	127.29	108.130	216.26	88.97	LT
	Apr 25, 12	2.000	63.745	127.49	108.130	216.26	88.77	LT
	Apr 26, 12	5.000	63.928	319.64	108.130	540.65	221.01	LT
	Apr 26, 12	2.000	63.920	127.84	108.130	216.26	88.42	LT
	Apr 26, 12	2.000	63.930	127.86	108.130	216.26	88.40	LT
	Apr 26, 12	1.000	63.720	63.72	108.130	108.13	44.41	LT
	May 1, 12	15.000	64.637	969.56	108.130	1,621.95	652.39	LT
	May 1, 12	6.000	64.715	388.29	108.130	648.78	260.49	LT
	May 1, 12	6.000	64.975	389.85	108.130	648.78	258.93	LT
	May 1, 12	2.000	64.850	129.70	108.130	216.26	86.56	LT
	May 1, 12	1.000	64.820	64.82	108.130	108.13	43.31	LT
	May 2, 12	7.000	64.374	450.62	108.130	756.91	306.29	LT
	May 2, 12	4.000	64.410	257.64	108.130	432.52	174.88	LT
	May 2, 12	2.000	64.320	128.64	108.130	216.26	87.62	LT
	May 3, 12	4.000	64.960	259.84	108.130	432.52	172.68	LT
	May 3, 12	2.000	64.675	129.35	108.130	216.26	86.91	LT
	May 3, 12	2.000	64.910	129.82	108.130	216.26	86.44	LT
	Jan 23, 13	629.000	77.560	48,785.62	108.130	68,013.77	19,228.15	LT
	Apr 22, 13	290.000	84.719	24,568.68	108.130	31,357.70	6,789.02	LT
	May 22, 13	111.000	83.807	9,302.58	108.130	12,002.43	2,699.85	LT
Security total		1,152.000	78.533	90,469.50		124,565.76	34,096.26	

continued next page

CONFIDENTIAL



Your assets › **Equities** › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Mar 31 (\$)	Value on Mar 31 (\$)	Unrealized gain or loss (\$)	Holding period
Total				\$1,354,488.47		\$1,677,128.81	\$322,640.34	
Total estimated annual income: \$44,552								

Your total assets

		Value on Mar 31 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	38,595.42	2.25%	38,595.42		
Equities	Common stock	1,677,128.81	97.75%	1,354,488.47	44,552.00	322,640.34
Total		\$1,715,724.23	100.00%	\$1,393,083.89	\$44,552.00	\$322,640.34

Account activity this month

	Date	Activity	Description	Amount (\$)
Dividend and interest income				
<i>Taxable dividends</i>				
	Mar 10	Dividend	ANALOG DEVICES INC PAID ON 1751	700.40
	Mar 10	Dividend	JOHNSON & JOHNSON COM PAID ON 1066	746.20
	Mar 16	Dividend	MCDONALDS CORP PAID ON 1018	865.30
	Mar 16	Dividend	NEXTERA ENERGY INC COM PAID ON 1162	894.74
	Mar 24	Dividend	BLACKROCK INC PAID ON 372	810.96
	Mar 27	Dividend	CDK GLOBAL INC COMPAID ON 424	50.88
	Mar 30	Dividend	PEPSICO INC PAID ON 1154	755.87
	Mar 30	Dividend	TRAVELERS COS INC/THE PAID ON 1152	633.60
		Total taxable dividends		\$5,457.95
<i>Taxable interest</i>				
	Mar 6	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 03/05/15	0.96
		Total taxable interest		\$0.96
		Total dividend and interest income		\$5,458.91

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
Money balance activities	Feb 27	Balance forward		\$33,136.51
	Mar 6	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 03/05/15	0.96
	Mar 11	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,446.60
	Mar 17	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,760.04
	Mar 25	Deposit	UBS BANK USA DEPOSIT ACCOUNT	810.96
	Mar 30	Deposit	UBS BANK USA DEPOSIT ACCOUNT	50.88
	Mar 31	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,389.47
	Mar 31	Closing UBS Bank USA Deposit Account		\$38,595.42

The UBS Bank USA Deposit Account is your primary sweep option.

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.

All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.

- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: RMB/BSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweepyields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity. The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account

holder on the books and records of the applicable issuer or transfer agent).

- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org.

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP, partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each account held, you choose one of the following investment objectives:

- **Produce Current Income:** Investments seeking the generation of income only.
- **Achieve Capital Appreciation:** Investments seeking growth of principal rather than the generation of income.
- **Produce Combination of Income and Capital Appreciation:** Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- **Conservative:** Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- **Moderate:** Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- **Aggressive:** Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate

envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- **Value of your accounts/portfolio:** Net of assets and liabilities.
- **Assets:** Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities/assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- **Liabilities:** Includes debit balances, outstanding margin loans, credit line, short account balances.
- **Cash/money balances:** Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accountdisclosures

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

- **Cost basis:** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

- **Unrealized gains/losses:** When data is available, estimated unrealized gains/losses are calculated for

SDNY_GM_00020715

CONFIDENTIAL

EFTA_00131335

EFTA01273542

Important information about your statement (continued)

individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

• **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield. Complete information will be provided upon request.

• **Certificates of deposit (CDs)** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.

• **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.

- We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
- Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
- Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
- Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
- For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation.

To obtain current quotations, when available, contact your Financial Advisor.

• **Private investments and structured products.** Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.

- These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
- Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
- Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
- You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.

- Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
- When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.
- "Distributions to date" may include return of capital, income or both.
- "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

• **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

• **Est. (estimated) income, current yields and rates.** An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.

- Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
- Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
- An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities' deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

• **Assets not held by UBS Financial Services.** Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

• **Revenue sharing and additional compensation.**

- In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
- We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the

number of accounts at the broker-dealer holding mutual funds of that fund family.

- In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
- We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Tax withholding on distributions from UBS Financial Services IRAs

Federal tax law requires UBS Financial Services to withhold income tax from your taxable IRA distributions, but you may elect not to have income tax withheld or, instead, you may elect to have tax withheld at a rate or in a fixed amount as you choose. Your election will remain in effect until revoked by you. You may revoke your election at any time by making a new election. If you do not have enough income tax withheld from your distributions, you may be responsible for the payment of estimated tax. You may incur penalties if the amounts withheld and your estimated tax payments are not equal to your tax obligation.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value

RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management

Account are registered service marks of UBS Financial Services Inc.

Visa Signature is a registered service mark of Visa International. UBS Visa Signature credit cards and UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated.

UBS Financial Services Inc. Rev. 201407

SDNY_GM_00020716

CONFIDENTIAL

EFTA_00131336

EFTA01273543



UBS Financial Services Inc.
299 Park Avenue
25th Floor
New York NY 10171-0002

CNP7005774273 0415 ■ 0

UBS Strategic Advisor

April 2015

GHISLAINE MAXWELL
116 E 65TH STREET
NEW YORK NY 10065-7007

Account name: GHISLAINE MAXWELL

Friendly account name: indiv. [REDACTED]

Account number: [REDACTED] 55

Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED] [REDACTED]

Questions about your statement?

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account 029023568.

Visit our website:

www.ubs.com/financialservices

Value of your account

	on March 31 (\$)	on April 30 (\$)
Your assets	1,715,724.23	1,712,820.67
Your liabilities	0.00	0.00
Value of your account	\$1,715,724.23	\$1,712,820.67

Tracking the value of your account



Sources of your account growth during 2015

Value of your account at year end 2014	\$1,721,172.36
Net deposits and withdrawals	-\$4,260.77
Your investment return:	
Dividend and interest income	\$13,906.86
Change in market value	-\$17,997.78
Value of your account on Apr 30, 2015	\$1,712,820.67

CONFIDENTIAL



Your account balance sheet

Summary of your assets

	Value on April 30 (\$)	Percentage of your account
A Cash and money balances	38,675.25	2.26%
B Cash alternatives	0.00	0.00%
C Equities	1,674,145.42	97.74%
D Fixed income	0.00	0.00%
E Non-traditional	0.00	0.00%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$1,712,820.67	100.00%

Value of your account **\$1,712,820.67**

Your current asset allocation



► Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.

Eye on the markets

Index	Percentage change	
	April 2015	Year to date
S&P 500	0.96%	1.92%
Russell 3000	0.45%	2.26%
MSCI - Europe, Australia & Far East	4.16%	9.37%
Barclays Capital U.S. Aggregate Bond Index	-0.36%	1.24%

Interest rates on April 30, 2015

3-month Treasury bills: 0.01%
One-month LIBOR: 0.18%

CONFIDENTIAL



Change in the value of your account

	April 2015 (\$)	Year to date (\$)
Opening account value	\$1,715,724.23	\$1,721,172.36
Withdrawals and fees, including investments transferred out	-2,138.78	-4,260.77
Dividend and interest income	2,218.61	13,906.86
Change in market value	-2,983.39	-17,997.78
Closing account value	\$1,712,820.67	\$1,712,820.67

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	April 2015 (\$)	Year to date (\$)
Taxable dividends	2,217.70	13,904.36
Taxable interest	0.91	2.34
Total current year	\$2,218.61	\$13,906.70
Prior year adjustment	0.00	0.16
Total dividend & interest	\$2,218.61	\$13,906.86

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)
	April 2015 (\$)	Year to date (\$)	
Short term	0.00	0.00	12,317.98
Long term	0.00	9,032.81	307,338.97
Total	\$0.00	\$9,032.81	\$319,656.95

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	April 2015 (\$)	Year to date (\$)
Opening balances	\$38,595.42	\$6,517.57
<i>Additions</i>		
Dividend and interest income	2,218.61	13,906.86
Proceeds from investment transactions	0.00	106,909.61
Total additions	\$2,218.61	\$120,816.47
<i>Subtractions</i>		
Professional management fees and related services	-2,138.78	-4,260.77
Funds withdrawn for investments bought	0.00	-84,398.02
Total subtractions	-\$2,138.78	-\$88,658.79
Net cash flow	\$79.83	\$32,157.68
Closing balances	\$38,675.25	\$38,675.25

CONFIDENTIAL



UBS Bank USA Deposit Account APY

Interest period Mar 6 - Apr 7

Opening UBS Bank USA Deposit balance Mar 6	\$33,137.47
Closing UBS Bank USA Deposit balance Apr 7	\$40,028.73
Number of days in interest period	33
Average daily balance	\$36,493.45
Interest earned	\$0.91
Annual percentage yield earned	0.03%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Current income & capital appreciation

Your risk profile:

Primary - Aggressive

Investment eligibility consideration - None selected

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

CONFIDENTIAL



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on Apr 1 (\$)	Closing balance on Apr 30 (\$)	Price per share on Apr 30 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	38,595.42	38,675.25					250,000.00

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Cost basis (\$)	Price per share on Apr 30 (\$)	Value on Apr 30 (\$)	Unrealized gain or loss (\$)	Holding period
AECOM								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	31.560	15,780.00	2,470.05	ST
	Jan 30, 15	100.000	25.532	2,553.24	31.560	3,156.00	602.76	ST
Security total		600.000	26.439	15,863.19		18,936.00	3,072.81	
ANALOG DEVICES INC								
Symbol: ADI Exchange: OTC								
EAI: \$2,802 Current yield: 2.59%	Nov 16, 11	13.000	37.316	485.12	61.840	803.92	318.80	LT
	Nov 17, 11	13.000	35.393	460.12	61.840	803.92	343.80	LT
	Nov 18, 11	35.000	35.502	1,242.58	61.840	2,164.40	921.82	LT
	Nov 21, 11	18.000	34.371	618.68	61.840	1,113.12	494.44	LT
	Nov 22, 11	15.000	33.338	500.07	61.840	927.60	427.53	LT
	Nov 23, 11	22.000	32.655	718.43	61.840	1,360.48	642.05	LT
	Nov 25, 11	7.000	32.460	227.22	61.840	432.88	205.66	LT

continued next page

SDNY_GM_00020721

CNP70009005774277 NP7000191488 00002 0415 030575004 23568550 000000

CONFIDENTIAL



Your assets » Equities » Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Apr 30 (\$)	Value on Apr 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 28, 11	30.000	32.951	988.55	61.840	1,855.20	866.65	LT
	Nov 29, 11	18.000	33.472	602.51	61.840	1,113.12	510.61	LT
	Nov 29, 11	5.000	33.622	168.11	61.840	309.20	141.09	LT
	Apr 24, 12	30.000	37.567	1,127.01	61.840	1,855.20	728.19	LT
	Jan 23, 13	1,056.000	43.209	45,628.81	61.840	65,303.04	19,674.23	LT
	Apr 22, 13	489.000	42.447	20,756.68	61.840	30,239.76	9,483.08	LT
Security total		1,751.000	41.990	73,523.89		108,281.84	34,757.95	
AUTOMATIC DATA PROCESSING INC								
Symbol: ADP Exchange: OTC								
EAI: \$2,493 Current yield: 2.32%								
	Aug 4, 11	146.000	42.343	6,182.08	84.540	12,342.84	6,160.76	LT
	Aug 12, 11	4.000	40.955	163.82	84.540	338.16	174.34	LT
	Jan 23, 13	767.000	52.320	40,129.93	84.540	64,842.18	24,712.25	LT
	Apr 22, 13	355.000	56.870	20,189.01	84.540	30,011.70	9,822.69	LT
Security total		1,272.000	52.409	66,664.84		107,534.88	40,870.04	
BAXTER INTL INC								
Symbol: BAX Exchange: NYSE								
EAI: \$3,236 Current yield: 3.03%								
	Jun 20, 12	30.000	51.594	1,547.84	68.740	2,062.20	514.36	LT
	Jun 20, 12	17.000	51.522	875.89	68.740	1,168.58	292.69	LT
	Jun 21, 12	29.000	52.077	1,510.25	68.740	1,993.46	483.21	LT
	Jun 21, 12	7.000	51.500	360.50	68.740	481.18	120.68	LT
	Jun 21, 12	5.000	52.216	261.08	68.740	343.70	82.62	LT
	Jun 22, 12	61.000	51.890	3,165.29	68.740	4,193.14	1,027.85	LT
	Jan 23, 13	768.000	66.658	51,193.80	68.740	52,792.32	1,598.52	LT
	Apr 22, 13	355.000	69.318	24,608.00	68.740	24,402.70	-205.30	LT
	Sep 19, 13	74.000	72.165	5,340.28	68.740	5,086.76	-253.52	LT
	Sep 19, 13	6.000	71.875	431.25	68.740	412.44	-18.81	LT
	Sep 19, 13	3.000	71.880	215.64	68.740	206.22	-9.42	LT
	Sep 20, 13	47.000	71.987	3,383.41	68.740	3,230.78	-152.63	LT
	Oct 3, 13	154.000	64.600	9,948.49	68.740	10,585.96	637.47	LT
Security total		1,556.000	66.094	102,841.72		106,959.44	4,117.72	
BLACKROCK INC								
Symbol: BLK Exchange: NYSE								
EAI: \$3,244 Current yield: 2.40%								
	Oct 5, 12	7.000	189.932	1,329.53	363.940	2,547.58	1,218.05	LT

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Apr 30 (\$)	Value on Apr 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Oct 5, 12	3.000	187.820	563.46	363.940	1,091.82	528.36	LT
	Oct 5, 12	2.000	186.670	373.34	363.940	727.88	354.54	LT
	Oct 8, 12	8.000	188.783	1,510.27	363.940	2,911.52	1,401.25	LT
	Oct 9, 12	15.000	189.186	2,837.79	363.940	5,459.10	2,621.31	LT
	Oct 9, 12	2.000	189.010	378.02	363.940	727.88	349.86	LT
	Oct 10, 12	3.000	187.720	563.16	363.940	1,091.82	528.66	LT
	Oct 10, 12	2.000	187.670	375.34	363.940	727.88	352.54	LT
	Oct 10, 12	2.000	187.995	375.99	363.940	727.88	351.89	LT
	Jan 23, 13	224.000	236.966	53,080.41	363.940	81,522.56	28,442.15	LT
	Apr 22, 13	104.000	251.093	26,113.69	363.940	37,849.76	11,736.07	LT
Security total		372.000	235.218	87,501.00		135,385.68	47,884.68	
CALIFORNIA RESOURCES CORP								
Symbol: CRC Exchange: NYSE								
EAI: \$4 Current yield: 0.11%								
	Feb 12, 14	59.200	8.030	475.39	9.300	550.56	75.17	LT
	Feb 12, 14	46.800	8.033	375.95	9.300	435.24	59.29	LT
	Feb 12, 14	12.200	8.034	98.02	9.300	113.46	15.44	LT
	Feb 12, 14	2.800	8.021	22.46	9.300	26.04	3.58	LT
	Feb 13, 14	44.000	8.023	353.04	9.300	409.20	56.16	LT
	Feb 13, 14	27.200	8.007	217.81	9.300	252.96	35.15	LT
	Feb 13, 14	13.200	7.977	105.30	9.300	122.76	17.46	LT
	Feb 13, 14	2.400	7.983	19.16	9.300	22.32	3.16	LT
	Feb 14, 14	133.600	8.310	1,110.31	9.300	1,242.48	132.17	LT
	Feb 18, 14	45.600	8.366	381.49	9.300	424.08	42.59	LT
Security total		387.000	8.163	3,158.93		3,599.10	440.17	
CATERPILLAR INC								
Symbol: CAT Exchange: NYSE								
EAI: \$3,108 Current yield: 3.22%								
	Jun 19, 13	72.000	84.718	6,099.75	86.880	6,255.36	155.61	LT
	Jun 20, 13	121.000	83.141	10,060.15	86.880	10,512.48	452.33	LT
	Jun 20, 13	78.000	83.030	6,476.39	86.880	6,776.64	300.25	LT
	Jun 21, 13	204.000	82.904	16,912.44	86.880	17,723.52	811.08	LT
	Jun 24, 13	111.000	81.517	9,048.46	86.880	9,643.68	595.22	LT
	Jun 25, 13	73.000	82.354	6,011.86	86.880	6,342.24	330.38	LT

SDNY_GM_00020723 *continued next page*

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Apr 30 (\$)	Value on Apr 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Jun 17, 13	148.000	49.739	7,361.45	55.340	8,190.32	828.87	LT
	Jun 18, 13	73.000	49.836	3,638.07	55.340	4,039.82	401.75	LT
Security total		1,882.000	44.031	82,867.16		104,149.88	21,282.72	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$3,198 Current yield: 3.02%								
	Aug 4, 11	123.000	62.377	7,672.38	99.200	12,201.60	4,529.22	LT
	Aug 12, 11	3.000	63.730	191.19	99.200	297.60	106.41	LT
	Jan 23, 13	642.000	72.736	46,696.71	99.200	63,686.40	16,989.69	LT
	Apr 22, 13	298.000	84.721	25,247.10	99.200	29,561.60	4,314.50	LT
Security total		1,066.000	74.866	79,807.38		105,747.20	25,939.82	
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,461 Current yield: 3.52%								
	Aug 4, 11	95.000	84.969	8,072.06	96.550	9,172.25	1,100.19	LT
	Aug 12, 11	3.000	85.910	257.73	96.550	289.65	31.92	LT
	Nov 29, 12	8.000	86.456	691.65	96.550	772.40	80.75	LT
	Jan 23, 13	555.000	93.053	51,644.75	96.550	53,585.25	1,940.50	LT
	Apr 22, 13	255.000	99.318	25,326.32	96.550	24,620.25	-706.07	LT
	Sep 19, 13	78.000	97.879	7,634.63	96.550	7,530.90	-103.73	LT
	Sep 19, 13	22.000	97.425	2,143.36	96.550	2,124.10	-19.26	LT
	Sep 19, 13	2.000	97.830	195.66	96.550	193.10	-2.56	LT
Security total		1,018.000	94.269	95,966.16		98,287.90	2,321.74	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$3,579 Current yield: 3.05%								
	Aug 4, 11	134.000	52.960	7,096.75	100.930	13,524.62	6,427.87	LT
	Aug 12, 11	3.000	52.530	157.59	100.930	302.79	145.20	LT
	Jan 23, 13	700.000	71.610	50,127.21	100.930	70,651.00	20,523.79	LT
	Apr 22, 13	325.000	79.757	25,921.06	100.930	32,802.25	6,881.19	LT
Security total		1,162.000	71.689	83,302.61		117,280.66	33,978.05	
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,791 Current yield: 3.60%								
	Feb 12, 14	148.000	88.959	13,165.96	80.100	11,854.80	-1,311.16	LT
	Feb 12, 14	117.000	88.989	10,411.82	80.100	9,371.70	-1,040.12	LT

continued next page

SDNY_GM_00020725

CNP70009005774281 NP7000191488 00002 0415 030575004 Y123568550 000000

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Apr 30 (\$)	Value on Apr 30 (\$)	Unrealized gain or loss (\$)	Holding period
TRAVELERS COS INC/THE								
Symbol: TRV Exchange: NYSE								
EAI: \$2,811 Current yield: 2.41%								
	Apr 24, 12	20.000	63.432	1,268.64	101.110	2,022.20	753.56	LT
	Apr 24, 12	4.000	63.350	253.40	101.110	404.44	151.04	LT
	Apr 24, 12	1.000	63.560	63.56	101.110	101.11	37.55	LT
	Apr 25, 12	10.000	63.520	635.20	101.110	1,011.10	375.90	LT
	Apr 25, 12	10.000	63.617	636.17	101.110	1,011.10	374.93	LT
	Apr 25, 12	10.000	63.659	636.59	101.110	1,011.10	374.51	LT
	Apr 25, 12	2.000	63.545	127.09	101.110	202.22	75.13	LT
	Apr 25, 12	2.000	63.645	127.29	101.110	202.22	74.93	LT
	Apr 25, 12	2.000	63.745	127.49	101.110	202.22	74.73	LT
	Apr 26, 12	5.000	63.928	319.64	101.110	505.55	185.91	LT
	Apr 26, 12	2.000	63.920	127.84	101.110	202.22	74.38	LT
	Apr 26, 12	2.000	63.930	127.86	101.110	202.22	74.36	LT
	Apr 26, 12	1.000	63.720	63.72	101.110	101.11	37.39	LT
	May 1, 12	15.000	64.637	969.56	101.110	1,516.65	547.09	LT
	May 1, 12	6.000	64.715	388.29	101.110	606.66	218.37	LT
	May 1, 12	6.000	64.975	389.85	101.110	606.66	216.81	LT
	May 1, 12	2.000	64.850	129.70	101.110	202.22	72.52	LT
	May 1, 12	1.000	64.820	64.82	101.110	101.11	36.29	LT
	May 2, 12	7.000	64.374	450.62	101.110	707.77	257.15	LT
	May 2, 12	4.000	64.410	257.64	101.110	404.44	146.80	LT
	May 2, 12	2.000	64.320	128.64	101.110	202.22	73.58	LT
	May 3, 12	4.000	64.960	259.84	101.110	404.44	144.60	LT
	May 3, 12	2.000	64.675	129.35	101.110	202.22	72.87	LT
	May 3, 12	2.000	64.910	129.82	101.110	202.22	72.40	LT
	Jan 23, 13	629.000	77.560	48,785.62	101.110	63,598.19	14,812.57	LT
	Apr 22, 13	290.000	84.719	24,568.68	101.110	29,321.90	4,753.22	LT
	May 22, 13	111.000	83.807	9,302.58	101.110	11,223.21	1,920.63	LT
Security total		1,152.000	78.533	90,469.50		116,478.72	26,009.22	

continued next page

SDNY_GM_00020727

CNP70009005774283 NP7000191488 00002 0415.030575004 Y123568550 000000

CONFIDENTIAL



Your assets › **Equities** › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Apr 30 (\$)	Value on Apr 30 (\$)	Unrealized gain or loss (\$)	Holding period
Total				\$1,354,488.47		\$1,674,145.42	\$319,656.95	
Total estimated annual income: \$45,130								

Your total assets

		Value on Apr 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	38,675.25	2.26%	38,675.25		
Equities	Common stock	1,674,145.42	97.74%	1,354,488.47	45,130.00	319,656.95
Total		\$1,712,820.67	100.00%	\$1,393,163.72	\$45,130.00	\$319,656.95

Account activity this month

	Date	Activity	Description	Amount (\$)
Dividend and interest income				
<i>Taxable dividends</i>				
	Apr 1	Dividend	AUTOMATIC DATA PROCESSNG INC PAID ON 1272	623.28
	Apr 1	Dividend	BAXTER INTL INC PAID ON 1556	809.12
	Apr 15	Dividend	OCCIDENTAL PETROLEUM CRP PAID ON 969	697.68
	Apr 15	Dividend	CALIFORNIA RESOURCES CORP PAID ON 387	3.87
	Apr 29	Dividend	EOG RESOURCES INC PAID ON 500	83.75
		Total taxable dividends		\$2,217.70
<i>Taxable interest</i>				
	Apr 8	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 04/07/15	0.91
		Total taxable interest		\$0.91
		Total dividend and interest income		\$2,218.61
Fees				
	Apr 23	Fee Charged	QUARTERLY FEE	-2,138.78
		Total professional management fees		-\$2,138.78

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
Money balance activities	Mar 31	Balance forward		\$38,595.42
	Apr 2	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,432.40
	Apr 8	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 04/07/15	0.91
	Apr 16	Deposit	UBS BANK USA DEPOSIT ACCOUNT	701.55
	Apr 24	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 04/23/15	-2,138.78
	Apr 30	Deposit	UBS BANK USA DEPOSIT ACCOUNT	83.75
	Apr 30	Closing UBS Bank USA Deposit Account		\$38,675.25

The UBS Bank USA Deposit Account is your primary sweep option.

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.

All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.

- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: RMB/BSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweepyields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity. The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account

holder on the books and records of the applicable issuer or transfer agent).

- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org.

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP, partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each account held, you choose one of the following investment objectives:

- **Produce Current Income:** Investments seeking the generation of income only.
- **Achieve Capital Appreciation:** Investments seeking growth of principal rather than the generation of income.
- **Produce Combination of Income and Capital Appreciation:** Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- **Conservative:** Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- **Moderate:** Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- **Aggressive:** Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate

envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- **Value of your accounts/ portfolio:** Net of assets and liabilities.
- **Assets:** Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities/assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- **Liabilities:** Includes debit balances, outstanding margin loans, credit line, short account balances.
- **Cash/money balances:** Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accountdisclosures

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

- **Cost basis:** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

- **Unrealized gains/losses:** When data is available, estimated unrealized gains/losses are calculated for

SDNY_GM_00020731

CONFIDENTIAL

EFTA_00131351

EFTA01273558

Important information about your statement (continued)

individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

- **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield. Complete information will be provided upon request.
- **Certificates of deposit (CDs)** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.
- **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.
 - We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
 - Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
 - Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
 - Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
 - For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation.To obtain current quotations, when available, contact your Financial Advisor.
- **Private investments and structured products.** Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.
 - These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
 - Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
 - Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
 - You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.

- Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
- When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.
- "Distributions to date" may include return of capital, income or both.
- "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

- **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

- **Est. (estimated) income, current yields and rates.** An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.
 - Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
 - Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
 - An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

- **Assets not held by UBS Financial Services.** Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

- **Revenue sharing and additional compensation.**
 - In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
 - We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the

number of accounts at the broker-dealer holding mutual funds of that fund family.

- In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
- We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Tax withholding on distributions from UBS Financial Services IRAs

Federal tax law requires UBS Financial Services to withhold income tax from your taxable IRA distributions, but you may elect not to have income tax withheld or, instead, you may elect to have tax withheld at a rate or in a fixed amount as you choose. Your election will remain in effect until revoked by you. You may revoke your election at any time by making a new election. If you do not have enough income tax withheld from your distributions, you may be responsible for the payment of estimated tax. You may incur penalties if the amounts withheld and your estimated tax payments are not equal to your tax obligation.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value

RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management

Account are registered service marks of UBS Financial Services Inc.

Visa Signature is a registered service mark of Visa International. UBS Visa Signature credit cards and UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated.

UBS Financial Services Inc.

Rev. 201407

SDNY_GM_00020732

CONFIDENTIAL

EFTA_00131352

EFTA01273559



UBS Financial Services Inc.
299 Park Avenue
25th Floor
New York NY 10171-0002

CNP70056715850515 ■ 0

UBS Strategic Advisor

May 2015

GHISLAINE MAXWELL
116 E 65TH STREET
NEW YORK NY 10065-7007

Account name: GHISLAINE MAXWELL

Friendly account name: indiv. [REDACTED]

Account number: [REDACTED] SS

Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED]

Questions about your statement?

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account 029023568.

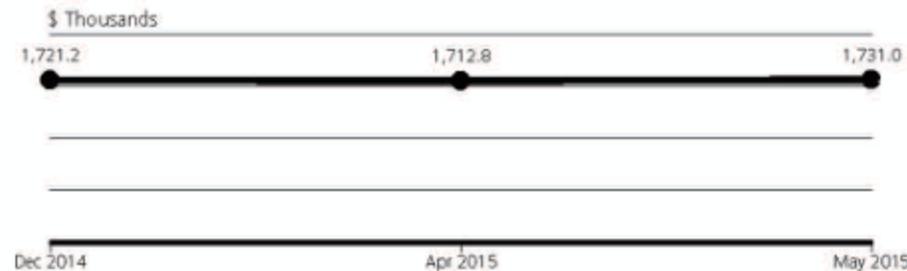
Visit our website:

www.ubs.com/financialservices

Value of your account

	on April 30 (\$)	on May 29 (\$)
Your assets	1,712,820.67	1,731,044.46
Your liabilities	0.00	0.00
Value of your account	\$1,712,820.67	\$1,731,044.46

Tracking the value of your account



Sources of your account growth during 2015

Value of your account at year end 2014	\$1,721,172.36
Net deposits and withdrawals	-\$4,260.77
Your investment return:	
Dividend and interest income	\$16,837.29
Change in market value	-\$2,704.42
Value of your account on May 29, 2015	\$1,731,044.46

CONFIDENTIAL



Your account balance sheet

Summary of your assets

	Value on May 29 (\$)	Percentage of your account
A Cash and money balances	41,605.68	2.40%
B Cash alternatives	0.00	0.00%
C Equities	1,689,438.78	97.60%
D Fixed income	0.00	0.00%
E Non-traditional	0.00	0.00%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$1,731,044.46	100.00%

Value of your account **\$1,731,044.46**

Your current asset allocation



► Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.

Eye on the markets

Index	Percentage change	
	May 2015	Year to date
S&P 500	1.29%	3.23%
Russell 3000	1.38%	3.68%
MSCI - Europe, Australia & Far East	-0.40%	8.93%
Barclays Capital U.S. Aggregate Bond Index	-0.24%	1.00%

Interest rates on May 29, 2015

3-month Treasury bills: 0.01%
One-month LIBOR: 0.18%

CONFIDENTIAL



Change in the value of your account

	May 2015 (\$)	Year to date (\$)
Opening account value	\$1,712,820.67	\$1,721,172.36
Withdrawals and fees, including investments transferred out	0.00	-4,260.77
Dividend and interest income	2,930.43	16,837.29
Change in market value	15,293.36	-2,704.42
Closing account value	\$1,731,044.46	\$1,731,044.46

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	May 2015 (\$)	Year to date (\$)
Taxable dividends	2,929.85	16,834.21
Taxable interest	0.58	2.92
Total current year	\$2,930.43	\$16,837.13
Prior year adjustment	0.00	0.16
Total dividend & interest	\$2,930.43	\$16,837.29

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)
	May 2015 (\$)	Year to date (\$)	
Short term	0.00	0.00	9,809.98
Long term	0.00	9,032.81	325,140.33
Total	\$0.00	\$9,032.81	\$334,950.31

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	May 2015 (\$)	Year to date (\$)
Opening balances	\$38,675.25	\$6,517.57
<i>Additions</i>		
Dividend and interest income	2,930.43	16,837.29
Proceeds from investment transactions	0.00	106,909.61
Total additions	\$2,930.43	\$123,746.90
<i>Subtractions</i>		
Professional management fees and related services	0.00	-4,260.77
Funds withdrawn for investments bought	0.00	-84,398.02
Total subtractions	\$0.00	-\$88,658.79
Net cash flow	\$2,930.43	\$35,088.11
Closing balances	\$41,605.68	\$41,605.68

CONFIDENTIAL



UBS Bank USA Deposit Account APY

Interest period Apr 8 - May 6

Opening UBS Bank USA Deposit balance Apr 8	\$40,028.73
Closing UBS Bank USA Deposit balance May 6	\$39,503.91
Number of days in interest period	29
Average daily balance	\$39,610.11
Interest earned	\$0.58
Annual percentage yield earned	0.02%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Current income & capital appreciation

Your risk profile:

Primary - Aggressive

Investment eligibility consideration - None selected

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

CONFIDENTIAL



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on May 1 (\$)	Closing balance on May 29 (\$)	Price per share on May 29 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	38,675.25	41,605.68					250,000.00

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Cost basis (\$)	Price per share on May 29 (\$)	Value on May 29 (\$)	Unrealized gain or loss (\$)	Holding period
AECOM								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	33.030	16,515.00	3,205.05	ST
	Jan 30, 15	100.000	25.532	2,553.24	33.030	3,303.00	749.76	ST
Security total		600.000	26.439	15,863.19		19,818.00	3,954.81	
ANALOG DEVICES INC								
Symbol: ADI Exchange: OTC								
EAI: \$2,802 Current yield: 2.35%	Nov 16, 11	13.000	37.316	485.12	67.960	883.48	398.36	LT
	Nov 17, 11	13.000	35.393	460.12	67.960	883.48	423.36	LT
	Nov 18, 11	35.000	35.502	1,242.58	67.960	2,378.60	1,136.02	LT
	Nov 21, 11	18.000	34.371	618.68	67.960	1,223.28	604.60	LT
	Nov 22, 11	15.000	33.338	500.07	67.960	1,019.40	519.33	LT
	Nov 23, 11	22.000	32.655	718.43	67.960	1,495.12	776.69	LT
	Nov 25, 11	7.000	32.460	227.22	67.960	475.72	248.50	LT

continued next page

SDNY_GM_00020737

CNP70006005671589 NP7000191539 00002 0515 030575004 Y123568550 000000

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on May 29 (\$)	Value on May 29 (\$)	Unrealized gain or loss (\$)	Holding period
	Oct 5, 12	3.000	187.820	563.46	365.780	1,097.34	533.88	LT
	Oct 5, 12	2.000	186.670	373.34	365.780	731.56	358.22	LT
	Oct 8, 12	8.000	188.783	1,510.27	365.780	2,926.24	1,415.97	LT
	Oct 9, 12	15.000	189.186	2,837.79	365.780	5,486.70	2,648.91	LT
	Oct 9, 12	2.000	189.010	378.02	365.780	731.56	353.54	LT
	Oct 10, 12	3.000	187.720	563.16	365.780	1,097.34	534.18	LT
	Oct 10, 12	2.000	187.670	375.34	365.780	731.56	356.22	LT
	Oct 10, 12	2.000	187.995	375.99	365.780	731.56	355.57	LT
	Jan 23, 13	224.000	236.966	53,080.41	365.780	81,934.72	28,854.31	LT
	Apr 22, 13	104.000	251.093	26,113.69	365.780	38,041.12	11,927.43	LT
Security total		372.000	235.218	87,501.00		136,070.16	48,569.16	
CALIFORNIA RESOURCES CORP								
Symbol: CRC Exchange: NYSE								
EAI: \$8 Current yield: 0.26%								
	Feb 12, 14	59.200	8.030	475.39	7.850	464.72	-10.67	LT
	Feb 12, 14	46.800	8.033	375.95	7.850	367.38	-8.57	LT
	Feb 12, 14	12.200	8.034	98.02	7.850	95.77	-2.25	LT
	Feb 12, 14	2.800	8.021	22.46	7.850	21.98	-0.48	LT
	Feb 13, 14	44.000	8.023	353.04	7.850	345.40	-7.64	LT
	Feb 13, 14	27.200	8.007	217.81	7.850	213.52	-4.29	LT
	Feb 13, 14	13.200	7.977	105.30	7.850	103.62	-1.68	LT
	Feb 13, 14	2.400	7.983	19.16	7.850	18.84	-0.32	LT
	Feb 14, 14	133.600	8.310	1,110.31	7.850	1,048.76	-61.55	LT
	Feb 18, 14	45.600	8.366	381.49	7.850	357.96	-23.53	LT
Security total		387.000	8.163	3,158.93		3,037.95	-120.98	
CATERPILLAR INC								
Symbol: CAT Exchange: NYSE								
EAI: \$3,108 Current yield: 3.28%								
	Jun 19, 13	72.000	84.718	6,099.75	85.320	6,143.04	43.29	LT
	Jun 20, 13	121.000	83.141	10,060.15	85.320	10,323.72	263.57	LT
	Jun 20, 13	78.000	83.030	6,476.39	85.320	6,654.96	178.57	LT
	Jun 21, 13	204.000	82.904	16,912.44	85.320	17,405.28	492.84	LT
	Jun 24, 13	111.000	81.517	9,048.46	85.320	9,470.52	422.06	LT
	Jun 25, 13	73.000	82.354	6,011.86	85.320	6,228.36	216.50	LT

SDNY_GM_00020739 *continued next page*

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on May 29 (\$)	Value on May 29 (\$)	Unrealized gain or loss (\$)	Holding period
	Jun 17, 13	148.000	49.739	7,361.45	56.150	8,310.20	948.75	LT
	Jun 18, 13	73.000	49.836	3,638.07	56.150	4,098.95	-460.88	LT
Security total		1,882.000	44.031	82,867.16		105,674.30	22,807.14	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$3,198 Current yield: 3.00%								
	Aug 4, 11	123.000	62.377	7,672.38	100.140	12,317.22	4,644.84	LT
	Aug 12, 11	3.000	63.730	191.19	100.140	300.42	109.23	LT
	Jan 23, 13	642.000	72.736	46,696.71	100.140	64,289.88	17,593.17	LT
	Apr 22, 13	298.000	84.721	25,247.10	100.140	29,841.72	4,594.62	LT
Security total		1,066.000	74.866	79,807.38		106,749.24	26,941.86	
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,461 Current yield: 3.54%								
	Aug 4, 11	95.000	84.969	8,072.06	95.930	9,113.35	1,041.29	LT
	Aug 12, 11	3.000	85.910	257.73	95.930	287.79	30.06	LT
	Nov 29, 12	8.000	86.456	691.65	95.930	767.44	75.79	LT
	Jan 23, 13	555.000	93.053	51,644.75	95.930	53,241.15	1,596.40	LT
	Apr 22, 13	255.000	99.318	25,326.32	95.930	24,462.15	-864.17	LT
	Sep 19, 13	78.000	97.879	7,634.63	95.930	7,482.54	-152.09	LT
	Sep 19, 13	22.000	97.425	2,143.36	95.930	2,110.46	-32.90	LT
	Sep 19, 13	2.000	97.830	195.66	95.930	191.86	-3.80	LT
Security total		1,018.000	94.269	95,966.16		97,656.74	1,690.58	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$3,579 Current yield: 3.01%								
	Aug 4, 11	134.000	52.960	7,096.75	102.340	13,713.56	6,616.81	LT
	Aug 12, 11	3.000	52.530	157.59	102.340	307.02	149.43	LT
	Jan 23, 13	700.000	71.610	50,127.21	102.340	71,638.00	21,510.79	LT
	Apr 22, 13	325.000	79.757	25,921.06	102.340	33,260.50	7,339.44	LT
Security total		1,162.000	71.689	83,302.61		118,919.08	35,616.47	
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,907 Current yield: 3.84%								
	Feb 12, 14	148.000	88.959	13,165.96	78.190	11,572.12	-1,593.84	LT
	Feb 12, 14	117.000	88.989	10,411.82	78.190	9,148.23	-1,263.59	LT

continued next page

SDNY_GM_00020741

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on May 29 (\$)	Value on May 29 (\$)	Unrealized gain or loss (\$)	Holding period
TRAVELERS COS INC/THE								
Symbol: TRV Exchange: NYSE								
EAI: \$2,811 Current yield: 2.41%								
	Apr 24, 12	20.000	63.432	1,268.64	101.120	2,022.40	753.76	LT
	Apr 24, 12	4.000	63.350	253.40	101.120	404.48	151.08	LT
	Apr 24, 12	1.000	63.560	63.56	101.120	101.12	37.56	LT
	Apr 25, 12	10.000	63.520	635.20	101.120	1,011.20	376.00	LT
	Apr 25, 12	10.000	63.617	636.17	101.120	1,011.20	375.03	LT
	Apr 25, 12	10.000	63.659	636.59	101.120	1,011.20	374.61	LT
	Apr 25, 12	2.000	63.545	127.09	101.120	202.24	75.15	LT
	Apr 25, 12	2.000	63.645	127.29	101.120	202.24	74.95	LT
	Apr 25, 12	2.000	63.745	127.49	101.120	202.24	74.75	LT
	Apr 26, 12	5.000	63.928	319.64	101.120	505.60	185.96	LT
	Apr 26, 12	2.000	63.920	127.84	101.120	202.24	74.40	LT
	Apr 26, 12	2.000	63.930	127.86	101.120	202.24	74.38	LT
	Apr 26, 12	1.000	63.720	63.72	101.120	101.12	37.40	LT
	May 1, 12	15.000	64.637	969.56	101.120	1,516.80	547.24	LT
	May 1, 12	6.000	64.715	388.29	101.120	606.72	218.43	LT
	May 1, 12	6.000	64.975	389.85	101.120	606.72	216.87	LT
	May 1, 12	2.000	64.850	129.70	101.120	202.24	72.54	LT
	May 1, 12	1.000	64.820	64.82	101.120	101.12	36.30	LT
	May 2, 12	7.000	64.374	450.62	101.120	707.84	257.22	LT
	May 2, 12	4.000	64.410	257.64	101.120	404.48	146.84	LT
	May 2, 12	2.000	64.320	128.64	101.120	202.24	73.60	LT
	May 3, 12	4.000	64.960	259.84	101.120	404.48	144.64	LT
	May 3, 12	2.000	64.675	129.35	101.120	202.24	72.89	LT
	May 3, 12	2.000	64.910	129.82	101.120	202.24	72.42	LT
	Jan 23, 13	629.000	77.560	48,785.62	101.120	63,604.48	14,818.86	LT
	Apr 22, 13	290.000	84.719	24,568.68	101.120	29,324.80	4,756.12	LT
	May 22, 13	111.000	83.807	9,302.58	101.120	11,224.32	1,921.74	LT
Security total		1,152.000	78.533	90,469.50		116,490.24	26,020.74	

continued next page



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on May 29 (\$)	Value on May 29 (\$)	Unrealized gain or loss (\$)	Holding period
Total				\$1,354,488.47		\$1,689,438.78	\$334,950.31	
Total estimated annual income: \$45,470								

Your total assets

		Value on May 29 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	41,605.68	2.40%	41,605.68		
Equities	Common stock	1,689,438.78	97.60%	1,354,488.47	45,470.00	334,950.31
Total		\$1,731,044.46	100.00%	\$1,396,094.15	\$45,470.00	\$334,950.31

Account activity this month

	Date	Activity	Description	Amount (\$)
Dividend and interest income				
<i>Taxable dividends</i>	May 1	Dividend	GENL MILLS INC PAID ON 1882	828.08
	May 15	Dividend	COLGATE PALMOLIVE CO PAID ON 1508	573.04
	May 15	Dividend	PROCTER & GAMBLE CO PAID ON 1134	751.73
	May 20	Dividend	CATERPILLAR INC PAID ON 1110	777.00
		Total taxable dividends		\$2,929.85
<i>Taxable interest</i>	May 7	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 05/06/15	0.58
		Total taxable interest		\$0.58
		Total dividend and interest income		\$2,930.43
Money balance activities				
	Apr 30	Balance forward		\$38,675.25
	May 4	Deposit	UBS BANK USA DEPOSIT ACCOUNT	828.08
	May 7	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 05/06/15	0.58
	May 18	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,324.77
	May 21	Deposit	UBS BANK USA DEPOSIT ACCOUNT	777.00
	May 29	Closing UBS Bank USA Deposit Account		\$41,605.68

The UBS Bank, USA Deposit Account is your primary sweep option.

CONFIDENTIAL



Your notes

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.

All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.

- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: #NABSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweepyields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity. The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account

holder on the books and records of the applicable issuer or transfer agent).

- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org.

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP, partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each account held, you choose one of the following investment objectives:

- **Produce Current Income:** Investments seeking the generation of income only.
- **Achieve Capital Appreciation:** Investments seeking growth of principal rather than the generation of income.
- **Produce Combination of Income and Capital Appreciation:** Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- **Conservative:** Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- **Moderate:** Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- **Aggressive:** Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate

envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- **Value of your accounts/ portfolio:** Net of assets and liabilities.
- **Assets:** Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities/assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- **Liabilities:** Includes debit balances, outstanding margin loans, credit line, short account balances.
- **Cash/money balances:** Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accountsforbarnes

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

- **Cost basis:** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

- **Unrealized gains/losses:** When data is available, estimated unrealized gains/losses are calculated for

SDNY_GM_00020747

CONFIDENTIAL

EFTA_00131367

EFTA01273574

Important information about your statement (continued)

- individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.
- **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield. Complete information will be provided upon request.
 - **Certificates of deposit (CDs)** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.
 - **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.
 - We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
 - Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
 - Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
 - Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
 - For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation.To obtain current quotations, when available, contact your Financial Advisor.
 - **Private investments and structured products.** Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.
 - These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
 - Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
 - Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
 - You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.
 - Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
 - When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.
 - "Distributions to date" may include return of capital, income or both.
 - "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.
 - **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.
 - **Est. (estimated) income, current yields and rates.** An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.
 - Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
 - Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
 - An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.
 - **Assets not held by UBS Financial Services.** Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.
 - **Revenue sharing and additional compensation.**
 - In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
 - We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the number of accounts at the broker-dealer holding mutual funds of that fund family.
 - In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
 - Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
 - We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.
- Account are registered service marks of UBS Financial Services Inc.
- UBS Financial Services Inc. Rev. 201407
- Activity
Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.
- Short selling
If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.
- Open orders
Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.
- Tax withholding on distributions from UBS Financial Services IRAs
Federal tax law requires UBS Financial Services to withhold income tax from your taxable IRA distributions, but you may elect not to have income tax withheld or, instead, you may elect to have tax withheld at a rate or in a fixed amount as you choose. Your election will remain in effect until revoked by you. You may revoke your election at any time by making a new election. If you do not have enough income tax withheld from your distributions, you may be responsible for the payment of estimated tax. You may incur penalties if the amounts withheld and your estimated tax payments are not equal to your tax obligation.
- Privacy
To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacyonly.
- UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.
- Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value
- RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management

SDNY_GM_00020748

CONFIDENTIAL

EFTA_00131368

EFTA01273575



UBS Financial Services Inc.
299 Park Avenue
25th Floor
New York NY 10171-0002

CNP70065663090615.X12356 ■ 0

UBS Strategic Advisor

June 2015

GHISLAINE MAXWELL
116 E 65TH STREET
NEW YORK NY 10065-7007

Account name: GHISLAINE MAXWELL

Friendly account name: indiv. [REDACTED]

Account number: [REDACTED] 55

Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED] [REDACTED]

Questions about your statement?

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account 029023568.

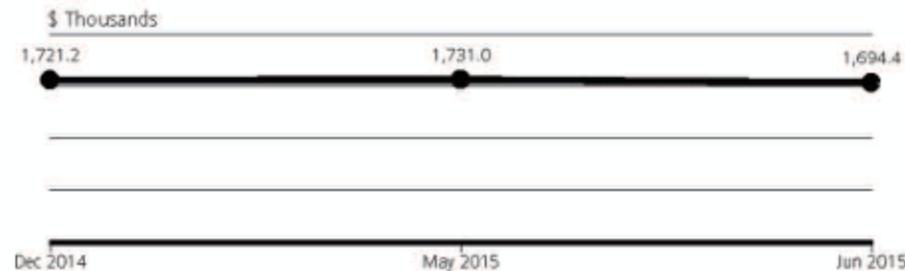
Visit our website:

www.ubs.com/financialservices

Value of your account

	on May 29 (\$)	on June 30 (\$)
Your assets	1,731,044.46	1,694,388.11
Your liabilities	0.00	0.00
Value of your account	\$1,731,044.46	\$1,694,388.11

Tracking the value of your account



Sources of your account growth during 2015

Value of your account at year end 2014	\$1,721,172.36
Net deposits and withdrawals	-\$4,260.77
Your investment return:	
Dividend and interest income	\$23,030.44
Change in market value	-\$45,553.92
Value of your account on Jun 30, 2015	\$1,694,388.11

CONFIDENTIAL



Your account balance sheet

Summary of your assets

	Value on June 30 (\$)	Percentage of your account
A Cash and money balances	47,798.83	2.82%
B Cash alternatives	0.00	0.00%
C Equities	1,646,589.28	97.18%
D Fixed income	0.00	0.00%
E Non-traditional	0.00	0.00%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$1,694,388.11	100.00%

Value of your account **\$1,694,388.11**

Your current asset allocation



► *Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.*

Eye on the markets

Index	Percentage change	
	June 2015	Year to date
S&P 500	-1.94%	1.23%
Russell 3000	-1.67%	1.94%
MSCI - Europe, Australia & Far East	-2.80%	5.88%
Barclays Capital U.S. Aggregate Bond Index	-1.09%	-0.10%

Interest rates on June 30, 2015

3-month Treasury bills: 0.02%
One-month LIBOR: 0.19%

CONFIDENTIAL



Change in the value of your account

	June 2015 (\$)	Year to date (\$)
Opening account value	\$1,731,044.46	\$1,721,172.36
Withdrawals and fees, including investments transferred out	0.00	-4,260.77
Dividend and interest income	6,193.15	23,030.44
Change in market value	-42,849.50	-45,553.92
Closing account value	\$1,694,388.11	\$1,694,388.11

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	June 2015 (\$)	Year to date (\$)
Taxable dividends	6,192.57	23,026.78
Taxable interest	0.58	3.50
Total current year	\$6,193.15	\$23,030.28
Prior year adjustment	0.00	0.16
Total dividend & interest	\$6,193.15	\$23,030.44

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)
	June 2015 (\$)	Year to date (\$)	
Short term	0.00	0.00	10,222.48
Long term	0.00	9,032.81	281,878.30
Total	\$0.00	\$9,032.81	\$292,100.78

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	June 2015 (\$)	Year to date (\$)
Opening balances	\$41,605.68	\$6,517.57
<i>Additions</i>		
Dividend and interest income	6,193.15	23,030.44
Proceeds from investment transactions	0.00	106,909.61
Total additions	\$6,193.15	\$129,940.05
<i>Subtractions</i>		
Professional management fees and related services	0.00	-4,260.77
Funds withdrawn for investments bought	0.00	-84,398.02
Total subtractions	\$0.00	-\$88,658.79
Net cash flow	\$6,193.15	\$41,281.26
Closing balances	\$47,798.83	\$47,798.83



UBS Bank USA Deposit Account APY

Interest period May 7 - Jun 4

Opening UBS Bank USA Deposit balance May 7	\$39,503.91
Closing UBS Bank USA Deposit balance Jun 4	\$42,163.64
Number of days in interest period	29
Average daily balance	\$40,747.30
Interest earned	\$0.58
Annual percentage yield earned	0.02%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Current income & capital appreciation

Your risk profile:

Primary - Aggressive

Investment eligibility consideration - None selected

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

CONFIDENTIAL



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on Jun 1 (\$)	Closing balance on Jun 30 (\$)	Price per share on Jun 30 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	41,605.68	47,798.83					250,000.00

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
AECOM								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	33.080	16,540.00	3,230.05	ST
	Jan 30, 15	100.000	25.532	2,553.24	33.080	3,308.00	754.76	ST
Security total		600.000	26.439	15,863.19		19,848.00	3,984.81	
ANALOG DEVICES INC								
Symbol: ADI Exchange: OTC								
EAI: \$2,802 Current yield: 2.49%	Nov 16, 11	13.000	37.316	485.12	64.185	834.40	349.28	LT
	Nov 17, 11	13.000	35.393	460.12	64.185	834.40	374.28	LT
	Nov 18, 11	35.000	35.502	1,242.58	64.185	2,246.47	1,003.89	LT
	Nov 21, 11	18.000	34.371	618.68	64.185	1,155.33	536.65	LT
	Nov 22, 11	15.000	33.338	500.07	64.185	962.77	462.70	LT
	Nov 23, 11	22.000	32.655	718.43	64.185	1,412.07	693.64	LT
	Nov 25, 11	7.000	32.460	227.22	64.185	449.29	222.07	LT

continued next page

SDNY_GM_00020753

CNP70009006566313 NP7000304218 00002 0615 030575004 Y123568550 111011

CONFIDENTIAL



Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 28, 11	30.000	32.951	988.55	64.185	1,925.55	937.00	LT
	Nov 29, 11	18.000	33.472	602.51	64.185	1,155.33	552.82	LT
	Nov 29, 11	5.000	33.622	168.11	64.185	320.92	152.81	LT
	Apr 24, 12	30.000	37.567	1,127.01	64.185	1,925.55	798.54	LT
	Jan 23, 13	1,056.000	43.209	45,628.81	64.185	67,779.36	22,150.55	LT
	Apr 22, 13	489.000	42.447	20,756.68	64.185	31,386.46	10,629.78	LT
Security total		1,751.000	41.990	73,523.89		112,387.93	38,864.01	
AUTOMATIC DATA PROCESSING INC								
Symbol: ADP Exchange: OTC								
EAI: \$2,493 Current yield: 2.44%								
	Aug 4, 11	146.000	42.343	6,182.08	80.230	11,713.58	5,531.50	LT
	Aug 12, 11	4.000	40.955	163.82	80.230	320.92	157.10	LT
	Jan 23, 13	767.000	52.320	40,129.93	80.230	61,536.41	21,406.48	LT
	Apr 22, 13	355.000	56.870	20,189.01	80.230	28,481.65	8,292.64	LT
Security total		1,272.000	52.409	66,664.84		102,052.56	35,387.72	
BAXTER INTL INC								
Symbol: BAX Exchange: NYSE								
EAI: \$3,236 Current yield: 2.97%								
	Jun 20, 12	30.000	51.594	1,547.84	69.930	2,097.90	550.06	LT
	Jun 20, 12	17.000	51.522	875.89	69.930	1,188.81	312.92	LT
	Jun 21, 12	29.000	52.077	1,510.25	69.930	2,027.97	517.72	LT
	Jun 21, 12	7.000	51.500	360.50	69.930	489.51	129.01	LT
	Jun 21, 12	5.000	52.216	261.08	69.930	349.65	88.57	LT
	Jun 22, 12	61.000	51.890	3,165.29	69.930	4,265.73	1,100.44	LT
	Jan 23, 13	768.000	66.658	51,193.80	69.930	53,706.24	2,512.44	LT
	Apr 22, 13	355.000	69.318	24,608.00	69.930	24,825.15	217.15	LT
	Sep 19, 13	74.000	72.165	5,340.28	69.930	5,174.82	-165.46	LT
	Sep 19, 13	6.000	71.875	431.25	69.930	419.58	-11.67	LT
	Sep 19, 13	3.000	71.880	215.64	69.930	209.79	-5.85	LT
	Sep 20, 13	47.000	71.987	3,383.41	69.930	3,286.71	-96.70	LT
	Oct 3, 13	154.000	64.600	9,948.49	69.930	10,769.22	820.73	LT
Security total		1,556.000	66.094	102,841.72		108,811.08	5,969.36	
BLACKROCK INC								
Symbol: BLK Exchange: NYSE								
EAI: \$3,244 Current yield: 2.52%								
	Oct 5, 12	7.000	189.932	1,329.53	345.980	2,421.86	1,092.33	LT

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Oct 5, 12	3.000	187.820	563.46	345.980	1,037.94	474.48	LT
	Oct 5, 12	2.000	186.670	373.34	345.980	691.96	318.62	LT
	Oct 8, 12	8.000	188.783	1,510.27	345.980	2,767.84	1,257.57	LT
	Oct 9, 12	15.000	189.186	2,837.79	345.980	5,189.70	2,351.91	LT
	Oct 9, 12	2.000	189.010	378.02	345.980	691.96	313.94	LT
	Oct 10, 12	3.000	187.720	563.16	345.980	1,037.94	474.78	LT
	Oct 10, 12	2.000	187.670	375.34	345.980	691.96	316.62	LT
	Oct 10, 12	2.000	187.995	375.99	345.980	691.96	315.97	LT
	Jan 23, 13	224.000	236.966	53,080.41	345.980	77,499.52	24,419.11	LT
	Apr 22, 13	104.000	251.093	26,113.69	345.980	35,981.92	9,868.23	LT
Security total		372.000	235.218	87,501.00		128,704.56	41,203.56	
CALIFORNIA RESOURCES CORP								
Symbol: CRC Exchange: NYSE								
EAI: \$15 Current yield: 0.64%								
	Feb 12, 14	59.200	8.030	475.39	6.040	357.57	-117.82	LT
	Feb 12, 14	46.800	8.033	375.95	6.040	282.67	-93.28	LT
	Feb 12, 14	12.200	8.034	98.02	6.040	73.69	-24.33	LT
	Feb 12, 14	2.800	8.021	22.46	6.040	16.91	-5.55	LT
	Feb 13, 14	44.000	8.023	353.04	6.040	265.76	-87.28	LT
	Feb 13, 14	27.200	8.007	217.81	6.040	164.29	-53.52	LT
	Feb 13, 14	13.200	7.977	105.30	6.040	79.73	-25.57	LT
	Feb 13, 14	2.400	7.983	19.16	6.040	14.50	-4.66	LT
	Feb 14, 14	133.600	8.310	1,110.31	6.040	806.94	-303.37	LT
	Feb 18, 14	45.600	8.366	381.49	6.040	275.42	-106.07	LT
Security total		387.000	8.163	3,158.93		2,337.48	-821.45	
CATERPILLAR INC								
Symbol: CAT Exchange: NYSE								
EAI: \$3,419 Current yield: 3.63%								
	Jun 19, 13	72.000	84.718	6,099.75	84.820	6,107.04	7.29	LT
	Jun 20, 13	121.000	83.141	10,060.15	84.820	10,263.22	203.07	LT
	Jun 20, 13	78.000	83.030	6,476.39	84.820	6,615.96	139.57	LT
	Jun 21, 13	204.000	82.904	16,912.44	84.820	17,303.28	390.84	LT
	Jun 24, 13	111.000	81.517	9,048.46	84.820	9,415.02	366.56	LT
	Jun 25, 13	73.000	82.354	6,011.86	84.820	6,191.86	180.00	LT

SDNY_GM_00020755 *continued next page*

CONFIDENTIAL



Your assets » Equities » Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Jun 26, 13	69.000	82.259	5,675.90	84.820	5,852.58	176.68	LT
	Jun 27, 13	141.000	82.951	11,696.12	84.820	11,959.62	263.50	LT
	Jun 27, 13	7.000	82.925	580.48	84.820	593.74	13.26	LT
	Jun 28, 13	169.000	82.774	13,988.92	84.820	14,334.58	345.66	LT
	Jul 1, 13	65.000	82.781	5,380.78	84.820	5,513.30	132.52	LT
Security total		1,110.000	82.821	91,931.25		94,150.20	2,218.95	
CDK GLOBAL INC COM								
Symbol: CDK Exchange: OTC								
EAI: \$204 Current yield: 0.89%								
	Aug 4, 11	48.667	18.379	894.45	53.980	2,627.03	1,732.58	LT
	Aug 12, 11	1.333	17.775	23.70	53.980	71.97	48.27	LT
	Jan 23, 13	255.667	22.709	5,806.16	53.980	13,800.89	7,994.73	LT
	Apr 22, 13	118.333	24.684	2,921.03	53.980	6,387.63	3,466.60	LT
Security total		424.000	22.748	9,645.34		22,887.52	13,242.18	
COLGATE PALMOLIVE CO								
Symbol: CL Exchange: NYSE								
EAI: \$2,292 Current yield: 2.32%								
	Aug 4, 11	174.000	41.632	7,244.05	65.410	11,381.34	4,137.29	LT
	Aug 12, 11	4.000	42.450	169.80	65.410	261.64	91.84	LT
	Jan 23, 13	910.000	54.240	49,358.63	65.410	59,523.10	10,164.47	LT
	Apr 22, 13	420.000	59.788	25,111.32	65.410	27,472.20	2,360.88	LT
Security total		1,508.000	54.300	81,883.80		98,638.28	16,754.48	
EOG RESOURCES INC								
Symbol: EOG Exchange: NYSE								
EAI: \$335 Current yield: 0.77%								
	Jan 28, 15	500.000	90.411	45,205.72	87.550	43,775.00	-1,430.72	ST
FORTINET INC								
Symbol: FTNT Exchange: OTC								
	Jan 28, 15	500.000	31.942	15,971.36	41.330	20,665.00	4,693.64	ST
	Jan 30, 15	250.000	29.431	7,357.75	41.330	10,332.50	2,974.75	ST
Security total		750.000	31.105	23,329.11		30,997.50	7,668.39	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE								
EAI: \$3,312 Current yield: 3.16%								
	Aug 4, 11	191.000	36.265	6,926.77	55.720	10,642.52	3,715.75	LT
	Aug 12, 11	5.000	35.754	178.77	55.720	278.60	99.83	LT
	Jan 23, 13	1,001.000	41.387	41,428.89	55.720	55,775.72	14,346.83	LT
	Apr 22, 13	464.000	50.287	23,333.21	55.720	25,854.08	2,520.87	LT

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Jun 17, 13	148.000	49.739	7,361.45	55.720	8,246.56	885.11	LT
	Jun 18, 13	73.000	49.836	3,638.07	55.720	4,067.56	429.49	LT
Security total		1,882.000	44.031	82,867.16		104,865.04	21,997.88	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$3,198 Current yield: 3.08%								
	Aug 4, 11	123.000	62.377	7,672.38	97.460	11,987.58	4,315.20	LT
	Aug 12, 11	3.000	63.730	191.19	97.460	292.38	101.19	LT
	Jan 23, 13	642.000	72.736	46,696.71	97.460	62,569.32	15,872.61	LT
	Apr 22, 13	298.000	84.721	25,247.10	97.460	29,043.08	3,795.98	LT
Security total		1,066.000	74.866	79,807.38		103,892.36	24,084.98	
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,461 Current yield: 3.58%								
	Aug 4, 11	95.000	84.969	8,072.06	95.070	9,031.65	959.59	LT
	Aug 12, 11	3.000	85.910	257.73	95.070	285.21	27.48	LT
	Nov 29, 12	8.000	86.456	691.65	95.070	760.56	68.91	LT
	Jan 23, 13	555.000	93.053	51,644.75	95.070	52,763.85	1,119.10	LT
	Apr 22, 13	255.000	99.318	25,326.32	95.070	24,242.85	-1,083.47	LT
	Sep 19, 13	78.000	97.879	7,634.63	95.070	7,415.46	-219.17	LT
	Sep 19, 13	22.000	97.425	2,143.36	95.070	2,091.54	-51.82	LT
	Sep 19, 13	2.000	97.830	195.66	95.070	190.14	-5.52	LT
Security total		1,018.000	94.269	95,966.16		96,781.26	815.10	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$3,579 Current yield: 3.14%								
	Aug 4, 11	134.000	52.960	7,096.75	98.030	13,136.02	6,039.27	LT
	Aug 12, 11	3.000	52.530	157.59	98.030	294.09	136.50	LT
	Jan 23, 13	700.000	71.610	50,127.21	98.030	68,621.00	18,493.79	LT
	Apr 22, 13	325.000	79.757	25,921.06	98.030	31,859.75	5,938.69	LT
Security total		1,162.000	71.689	83,302.61		113,910.86	30,608.25	
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,907 Current yield: 3.86%								
	Feb 12, 14	148.000	88.959	13,165.96	77.770	11,509.96	-1,656.00	LT
	Feb 12, 14	117.000	88.989	10,411.82	77.770	9,099.09	-1,312.73	LT

continued next page

SDNY_GM_00020757

CONFIDENTIAL



Your assets » Equities » Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Feb 12, 14	32.000	89.002	2,848.07	77.770	2,488.64	-359.43	LT
	Feb 12, 14	7.000	88.857	622.00	77.770	544.39	-77.61	LT
	Feb 13, 14	110.000	88.885	9,777.41	77.770	8,554.70	-1,222.71	LT
	Feb 13, 14	68.000	88.708	6,032.19	77.770	5,288.36	-743.83	LT
	Feb 13, 14	33.000	88.369	2,916.19	77.770	2,566.41	-349.78	LT
	Feb 13, 14	6.000	88.421	530.53	77.770	466.62	-63.91	LT
	Feb 14, 14	334.000	92.065	30,749.82	77.770	25,975.18	-4,774.64	LT
	Feb 18, 14	114.000	92.677	10,565.23	77.770	8,865.78	-1,699.45	LT
Security total		969.000	90.422	87,619.22		75,359.13	-12,260.09	
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,243 Current yield: 3.01%								
	Aug 4, 11	115.000	63.979	7,357.65	93.340	10,734.10	3,376.45	LT
	Aug 12, 11	3.000	63.023	189.07	93.340	280.02	90.95	LT
	May 16, 12	6.000	68.535	411.21	93.340	560.04	148.83	LT
	Oct 24, 12	1.000	68.690	68.69	93.340	93.34	24.65	LT
	Oct 25, 12	2.000	68.810	137.62	93.340	186.68	49.06	LT
	Oct 26, 12	1.000	68.890	68.89	93.340	93.34	24.45	LT
	Oct 31, 12	1.000	69.370	69.37	93.340	93.34	23.97	LT
	Nov 6, 12	1.000	69.370	69.37	93.340	93.34	23.97	LT
	Nov 7, 12	1.000	69.150	69.15	93.340	93.34	24.19	LT
	Nov 8, 12	2.000	69.090	138.18	93.340	186.68	48.50	LT
	Jan 23, 13	699.000	72.166	50,444.31	93.340	65,244.66	14,800.35	LT
	Apr 22, 13	322.000	82.251	26,484.85	93.340	30,055.48	3,570.63	LT
Security total		1,154.000	74.097	85,508.36		107,714.36	22,206.00	
PROCTER & GAMBLE CO								
Symbol: PG Exchange: NYSE								
EAI: \$3,007 Current yield: 3.39%								
	Aug 4, 11	118.000	60.103	7,092.22	78.240	9,232.32	2,140.10	LT
	Aug 12, 11	3.000	60.896	182.69	78.240	234.72	52.03	LT
	Jan 23, 13	619.000	69.941	43,293.73	78.240	48,430.56	5,136.83	LT
	Apr 22, 13	286.000	81.332	23,261.18	78.240	22,376.64	-884.54	LT
	Apr 24, 13	108.000	77.762	8,398.32	78.240	8,449.92	51.60	LT
Security total		1,134.000	72.512	82,228.14		88,724.16	6,496.02	

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
TRAVELERS COS INC/THE								
Symbol: TRV Exchange: NYSE								
EAI: \$2,811 Current yield: 2.52%								
	Apr 24, 12	20.000	63.432	1,268.64	96.660	1,933.20	664.56	LT
	Apr 24, 12	4.000	63.350	253.40	96.660	386.64	133.24	LT
	Apr 24, 12	1.000	63.560	63.56	96.660	96.66	33.10	LT
	Apr 25, 12	10.000	63.520	635.20	96.660	966.60	331.40	LT
	Apr 25, 12	10.000	63.617	636.17	96.660	966.60	330.43	LT
	Apr 25, 12	10.000	63.659	636.59	96.660	966.60	330.01	LT
	Apr 25, 12	2.000	63.545	127.09	96.660	193.32	66.23	LT
	Apr 25, 12	2.000	63.645	127.29	96.660	193.32	66.03	LT
	Apr 25, 12	2.000	63.745	127.49	96.660	193.32	65.83	LT
	Apr 26, 12	5.000	63.928	319.64	96.660	483.30	163.66	LT
	Apr 26, 12	2.000	63.920	127.84	96.660	193.32	65.48	LT
	Apr 26, 12	2.000	63.930	127.86	96.660	193.32	65.46	LT
	Apr 26, 12	1.000	63.720	63.72	96.660	96.66	32.94	LT
	May 1, 12	15.000	64.637	969.56	96.660	1,449.90	480.34	LT
	May 1, 12	6.000	64.715	388.29	96.660	579.96	191.67	LT
	May 1, 12	6.000	64.975	389.85	96.660	579.96	190.11	LT
	May 1, 12	2.000	64.850	129.70	96.660	193.32	63.62	LT
	May 1, 12	1.000	64.820	64.82	96.660	96.66	31.84	LT
	May 2, 12	7.000	64.374	450.62	96.660	676.62	226.00	LT
	May 2, 12	4.000	64.410	257.64	96.660	386.64	129.00	LT
	May 2, 12	2.000	64.320	128.64	96.660	193.32	64.68	LT
	May 3, 12	4.000	64.960	259.84	96.660	386.64	126.80	LT
	May 3, 12	2.000	64.675	129.35	96.660	193.32	63.97	LT
	May 3, 12	2.000	64.910	129.82	96.660	193.32	63.50	LT
	Jan 23, 13	629.000	77.560	48,785.62	96.660	60,799.14	12,013.52	LT
	Apr 22, 13	290.000	84.719	24,568.68	96.660	28,031.40	3,462.72	LT
	May 22, 13	111.000	83.807	9,302.58	96.660	10,729.26	1,426.68	LT
Security total		1,152.000	78.533	90,469.50		111,352.32	20,882.82	

continued next page

CONFIDENTIAL



Your assets » Equities » Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
XILINX INC								
Symbol: XLNX Exchange: OTC								
EAI: \$2,230 Current yield: 2.81%								
	Sep 7, 12	25.000	34.770	869.27	44.160	1,104.00	234.73	LT
	Sep 7, 12	5.000	34.846	174.23	44.160	220.80	46.57	LT
	Sep 10, 12	37.000	34.845	1,289.29	44.160	1,633.92	344.63	LT
	Sep 10, 12	3.000	34.660	103.98	44.160	132.48	28.50	LT
	Sep 11, 12	20.000	34.853	697.06	44.160	883.20	186.14	LT
	Sep 12, 12	18.000	35.006	630.11	44.160	794.88	164.77	LT
	Sep 13, 12	21.000	34.886	732.61	44.160	927.36	194.75	LT
	Sep 14, 12	19.000	35.536	675.19	44.160	839.04	163.85	LT
	Sep 17, 12	7.000	35.151	246.06	44.160	309.12	63.06	LT
	Oct 24, 12	3.000	32.523	97.57	44.160	132.48	34.91	LT
	Oct 25, 12	5.000	32.522	162.61	44.160	220.80	58.19	LT
	Oct 26, 12	3.000	32.776	98.33	44.160	132.48	34.15	LT
	Oct 31, 12	1.000	32.770	32.77	44.160	44.16	11.39	LT
	Nov 1, 12	2.000	33.360	66.72	44.160	88.32	21.60	LT
	Nov 1, 12	1.000	33.520	33.52	44.160	44.16	10.64	LT
	Nov 1, 12	1.000	33.530	33.53	44.160	44.16	10.63	LT
	Nov 2, 12	1.000	33.550	33.55	44.160	44.16	10.61	LT
	Nov 5, 12	1.000	33.190	33.19	44.160	44.16	10.97	LT
	Nov 6, 12	3.000	33.886	101.66	44.160	132.48	30.82	LT
	Nov 7, 12	2.000	34.025	68.05	44.160	88.32	20.27	LT
	Nov 7, 12	1.000	33.910	33.91	44.160	44.16	10.25	LT
	Nov 8, 12	4.000	34.032	136.13	44.160	176.64	40.51	LT
	Nov 8, 12	1.000	33.860	33.86	44.160	44.16	10.30	LT
	Nov 28, 12	4.000	34.312	137.25	44.160	176.64	39.39	LT
	Nov 28, 12	3.000	34.410	103.23	44.160	132.48	29.25	LT
	Nov 29, 12	15.000	34.583	518.75	44.160	662.40	143.65	LT
	Nov 29, 12	3.000	34.493	103.48	44.160	132.48	29.00	LT
	Jan 23, 13	1,087.000	36.805	40,008.01	44.160	48,001.92	7,993.91	LT
	Apr 22, 13	502.000	35.691	17,917.23	44.160	22,168.32	4,251.09	LT
Security total		1,798.000	36.246	65,171.15		79,399.68	14,228.53	

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
Total				\$1,354,488.47		\$1,646,589.28	\$292,100.78	
Total estimated annual income: \$45,788								

Your total assets

		Value on Jun 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	47,798.83	2.82%	47,798.83		
Equities	Common stock	1,646,589.28	97.18%	1,354,488.47	45,788.00	292,100.78
Total		\$1,694,388.11	100.00%	\$1,402,287.30	\$45,788.00	\$292,100.78

Account activity this month

	Date	Activity	Description	Amount (\$)
Dividend and interest income				
<i>Taxable dividends</i>				
	Jun 3	Dividend	XILINX INC PAID ON 1798	557.38
	Jun 9	Dividend	ANALOG DEVICES INC PAID ON 1751	700.40
	Jun 9	Dividend	JOHNSON & JOHNSON COM PAID ON 1066	799.50
	Jun 15	Dividend	MCDONALDS CORP PAID ON 1018	865.30
	Jun 15	Dividend	NEXTERA ENERGY INC COM PAID ON 1162	894.74
	Jun 23	Dividend	BLACKROCK INC PAID ON 372	810.96
	Jun 29	Dividend	CDK GLOBAL INC COMPAID ON 424	50.88
	Jun 29	Dividend	PEPSICO INC PAID ON 1154	810.69
	Jun 29	Dividend	TRAVELERS COS INC/THE PAID ON 1152	702.72
		Total taxable dividends		\$6,192.57
<i>Taxable interest</i>				
	Jun 5	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 06/04/15	0.58
		Total taxable interest		\$0.58
		Total dividend and interest income		\$6,193.15

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
Money balance activities	May 29	Balance forward		\$41,605.68
	Jun 4	Deposit	UBS BANK USA DEPOSIT ACCOUNT	557.38
	Jun 5	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 06/04/15	0.58
	Jun 10	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,499.90
	Jun 16	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,760.04
	Jun 24	Deposit	UBS BANK USA DEPOSIT ACCOUNT	810.96
	Jun 30	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,564.29
	Jun 30	Closing UBS Bank USA Deposit Account		\$47,798.83

The UBS Bank USA Deposit Account is your primary sweep option.

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.

All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.

- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: RNABSA Services.

- Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm sent you the first statement on which the error or problem appeared.
- Provide your name and account number (if any).
 - Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
 - Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweepyields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity. The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account

holder on the books and records of the applicable issuer or transfer agent).

- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org.

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP, partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each account held, you choose one of the following investment objectives:

- **Produce Current Income:** Investments seeking the generation of income only.
- **Achieve Capital Appreciation:** Investments seeking growth of principal rather than the generation of income.
- **Produce Combination of Income and Capital Appreciation:** Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- **Conservative:** Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- **Moderate:** Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- **Aggressive:** Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate

envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- **Value of your accounts/ portfolio:** Net of assets and liabilities.
- **Assets:** Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities/assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- **Liabilities:** Includes debit balances, outstanding margin loans, credit line, short account balances.
- **Cash/money balances:** Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accountinfo/borrow

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

- **Cost basis:** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

- **Unrealized gains/losses:** When data is available, estimated unrealized gains/losses are calculated for

SDNY_GM_00020763

CONFIDENTIAL

EFTA_00131383

EFTA01273590

Important information about your statement (continued)

individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

- **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield. Complete information will be provided upon request.
- **Certificates of deposit (CDs)** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.
- **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.
 - We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
 - Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
 - Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
 - Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
 - For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation.To obtain current quotations, when available, contact your Financial Advisor.
- **Private investments and structured products.** Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.
 - These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
 - Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
 - Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
 - You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.

- Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
- When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.
- "Distributions to date" may include return of capital, income or both.
- "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

- **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

- **Est. (estimated) income, current yields and rates.** An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.
 - Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
 - Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
 - An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

- **Assets not held by UBS Financial Services.** Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

- **Revenue sharing and additional compensation.**
 - In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
 - We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the

number of accounts at the broker-dealer holding mutual funds of that fund family.

- In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
- We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Tax withholding on distributions from UBS Financial Services IRAs

Federal tax law requires UBS Financial Services to withhold income tax from your taxable IRA distributions, but you may elect not to have income tax withheld or, instead, you may elect to have tax withheld at a rate or in a fixed amount as you choose. Your election will remain in effect until revoked by you. You may revoke your election at any time by making a new election. If you do not have enough income tax withheld from your distributions, you may be responsible for the payment of estimated tax. You may incur penalties if the amounts withheld and your estimated tax payments are not equal to your tax obligation.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value

RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management

Account are registered service marks of UBS Financial Services Inc.

Visa Signature is a registered service mark of Visa International. UBS Visa Signature credit cards and UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated.

UBS Financial Services Inc.

Rev. 201407

SDNY_GM_00020764

CONFIDENTIAL

EFTA_00131384

EFTA01273591



UBS Financial Services Inc.
299 Park Avenue
25th Floor
New York NY 10171-0002

CNP7005841061 0715 ■ 0

UBS Strategic Advisor

July 2015

GHISLAINE MAXWELL
116 E 65TH STREET
NEW YORK NY 10065-7007

Account name: GHISLAINE MAXWELL

Friendly account name: indiv. [REDACTED]

Account number: [REDACTED] 55

Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED]

Questions about your statement?

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account 029023568.

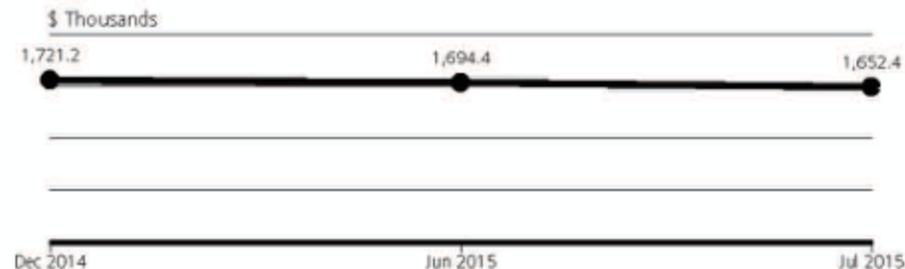
Visit our website:

www.ubs.com/financialservices

Value of your account

	on June 30 (\$)	on July 31 (\$)
Your assets	1,694,388.11	1,652,375.66
Your liabilities	0.00	0.00
Value of your account	\$1,694,388.11	\$1,652,375.66

Tracking the value of your account



Sources of your account growth during 2015

Value of your account at year end 2014	\$1,721,172.36
Net deposits and withdrawals	-\$54,158.81
Your investment return:	
Dividend and interest income	\$25,278.01
Change in market value	-\$39,915.90
Value of your account on Jul 31, 2015	\$1,652,375.66

CONFIDENTIAL



Change in the value of your account

	July 2015 (\$)	Year to date (\$)
Opening account value	\$1,694,388.11	\$1,721,172.36
Deposits, including investments transferred in	2,200.00	2,200.00
Withdrawals and fees, including investments transferred out	-52,098.04	-56,358.81
Dividend and interest income	2,247.57	25,278.01
Change in market value	5,638.02	-39,915.90
Closing account value	\$1,652,375.66	\$1,652,375.66

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	July 2015 (\$)	Year to date (\$)
Taxable dividends	2,246.77	25,273.55
Taxable interest	0.80	4.30
Total current year	\$2,247.57	\$25,277.85
Prior year adjustment	0.00	0.16
Total dividend & interest	\$2,247.57	\$25,278.01

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)
	July 2015 (\$)	Year to date (\$)	
Short term	0.00	0.00	8,499.98
Long term	0.00	9,032.81	289,238.86
Total	\$0.00	\$9,032.81	\$297,738.84

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	July 2015 (\$)	Year to date (\$)
Opening balances	\$47,798.83	\$6,517.57
<i>Additions</i>		
Deposits and other funds credited	2,200.00	2,200.00
Dividend and interest income	2,247.57	25,278.01
Proceeds from investment transactions	0.00	106,909.61
Total additions	\$4,447.57	\$134,387.62
<i>Subtractions</i>		
Professional management fees and related services	-2,135.39	-6,396.16
Other funds debited	-49,962.65	-49,962.65
Funds withdrawn for investments bought	0.00	-84,398.02
Total subtractions	-\$52,098.04	-\$140,756.83
Net cash flow	-\$47,650.47	-\$6,369.21
Closing balances	\$148.36	\$148.36

SDNY_GM_00020767

CONFIDENTIAL



UBS Bank USA Deposit Account APY

Interest period Jun 5 - Jul 7

Opening UBS Bank USA Deposit balance Jun 5	\$42,163.64
Closing UBS Bank USA Deposit balance Jul 7	\$49,232.03
Number of days in interest period	33
Average daily balance	\$45,593.34
Interest earned	\$0.80
Annual percentage yield earned	0.02%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Current income & capital appreciation

Your risk profile:

Primary - Aggressive

Investment eligibility consideration - None selected

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

CONFIDENTIAL



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on Jul 1 (\$)	Closing balance on Jul 31 (\$)	Price per share on Jul 31 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	47,798.83	148.36					250,000.00

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Cost basis (\$)	Price per share on Jul 31 (\$)	Value on Jul 31 (\$)	Unrealized gain or loss (\$)	Holding period
AECOM								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	30.830	15,415.00	2,105.05	ST
	Jan 30, 15	100.000	25.532	2,553.24	30.830	3,083.00	529.76	ST
Security total		600.000	26.439	15,863.19		18,498.00	2,634.81	
ANALOG DEVICES INC								
Symbol: ADI Exchange: OTC								
EAI: \$2,802 Current yield: 2.74%	Nov 16, 11	13.000	37.316	485.12	58.330	758.29	273.17	LT
	Nov 17, 11	13.000	35.393	460.12	58.330	758.29	298.17	LT
	Nov 18, 11	35.000	35.502	1,242.58	58.330	2,041.55	798.97	LT
	Nov 21, 11	18.000	34.371	618.68	58.330	1,049.94	431.26	LT
	Nov 22, 11	15.000	33.338	500.07	58.330	874.95	374.88	LT
	Nov 23, 11	22.000	32.655	718.43	58.330	1,283.26	564.83	LT
	Nov 25, 11	7.000	32.460	227.22	58.330	408.31	181.09	LT

continued next page

SDNY_GM_00020769

CNP70009005841065 NP7000195794 00002 0715 030575004 Y123568550 000000

CONFIDENTIAL



Your assets » Equities » Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jul 31 (\$)	Value on Jul 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 28, 11	30.000	32.951	988.55	58.330	1,749.90	761.35	LT
	Nov 29, 11	18.000	33.472	602.51	58.330	1,049.94	447.43	LT
	Nov 29, 11	5.000	33.622	168.11	58.330	291.65	123.54	LT
	Apr 24, 12	30.000	37.567	1,127.01	58.330	1,749.90	622.89	LT
	Jan 23, 13	1,056.000	43.209	45,628.81	58.330	61,596.48	15,967.67	LT
	Apr 22, 13	489.000	42.447	20,756.68	58.330	28,523.37	7,766.69	LT
Security total		1,751.000	41.990	73,523.89		102,135.83	28,611.94	
AUTOMATIC DATA PROCESSING INC								
Symbol: ADP Exchange: OTC								
EAI: \$2,493 Current yield: 2.46%								
	Aug 4, 11	146.000	42.343	6,182.08	79.770	11,646.42	5,464.34	LT
	Aug 12, 11	4.000	40.955	163.82	79.770	319.08	155.26	LT
	Jan 23, 13	767.000	52.320	40,129.93	79.770	61,183.59	21,053.66	LT
	Apr 22, 13	355.000	56.870	20,189.01	79.770	28,318.35	8,129.34	LT
Security total		1,272.000	52.409	66,664.84		101,467.44	34,802.60	
BAXALTA INC								
Symbol: BXLX Exchange: NYSE								
EAI: \$436 Current yield: 0.85%								
	Jun 20, 12	30.000	23.098	692.96	32.830	984.90	291.94	LT
	Jun 20, 12	17.000	23.067	392.14	32.830	558.11	165.97	LT
	Jun 21, 12	29.000	23.314	676.13	32.830	952.07	275.94	LT
	Jun 21, 12	7.000	23.055	161.39	32.830	229.81	68.42	LT
	Jun 21, 12	5.000	23.378	116.89	32.830	164.15	47.26	LT
	Jun 22, 12	61.000	23.231	1,417.10	32.830	2,002.63	585.53	LT
	Jan 23, 13	768.000	29.842	22,919.33	32.830	25,213.44	2,294.11	LT
	Apr 22, 13	355.000	31.033	11,016.95	32.830	11,654.65	637.70	LT
	Sep 19, 13	74.000	32.308	2,390.83	32.830	2,429.42	38.59	LT
	Sep 19, 13	6.000	32.178	193.07	32.830	196.98	3.91	LT
	Sep 19, 13	3.000	32.180	96.54	32.830	98.49	1.95	LT
	Sep 20, 13	47.000	32.228	1,514.74	32.830	1,543.01	28.27	LT
	Oct 3, 13	154.000	28.921	4,453.92	32.830	5,055.82	601.90	LT
Security total		1,556.000	29.590	46,041.99		51,083.48	5,041.49	
BAXTER INTL INC								
Symbol: BAX Exchange: NYSE								
EAI: \$716 Current yield: 1.15%								
	Jun 20, 12	30.000	28.496	854.88	40.080	1,202.40	347.52	LT

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jul 31 (\$)	Value on Jul 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Jun 20, 12	17.000	28.455	483.75	40.080	681.36	197.61	LT
	Jun 21, 12	29.000	28.762	834.12	40.080	1,162.32	328.20	LT
	Jun 21, 12	7.000	28.444	199.11	40.080	280.56	81.45	LT
	Jun 21, 12	5.000	28.838	144.19	40.080	200.40	56.21	LT
	Jun 22, 12	61.000	28.658	1,748.19	40.080	2,444.88	696.69	LT
	Jan 23, 13	768.000	36.815	28,274.47	40.080	30,781.44	2,506.97	LT
	Apr 22, 13	355.000	38.284	13,591.05	40.080	14,228.40	637.35	LT
	Sep 19, 13	74.000	39.857	2,949.45	40.080	2,965.92	16.47	LT
	Sep 19, 13	6.000	39.696	238.18	40.080	240.48	2.30	LT
	Sep 19, 13	3.000	39.700	119.10	40.080	120.24	1.14	LT
	Sep 20, 13	47.000	39.758	1,868.67	40.080	1,883.76	15.09	LT
	Oct 3, 13	154.000	35.679	5,494.57	40.080	6,172.32	677.75	LT
Security total		1,556.000	36.504	56,799.73		62,364.48	5,564.75	
BLACKROCK INC								
Symbol: BLK Exchange: NYSE								
EAI: \$3,244 Current yield: 2.59%								
	Oct 5, 12	7.000	189.932	1,329.53	336.320	2,354.24	1,024.71	LT
	Oct 5, 12	3.000	187.820	563.46	336.320	1,008.96	445.50	LT
	Oct 5, 12	2.000	186.670	373.34	336.320	672.64	299.30	LT
	Oct 8, 12	8.000	188.783	1,510.27	336.320	2,690.56	1,180.29	LT
	Oct 9, 12	15.000	189.186	2,837.79	336.320	5,044.80	2,207.01	LT
	Oct 9, 12	2.000	189.010	378.02	336.320	672.64	294.62	LT
	Oct 10, 12	3.000	187.720	563.16	336.320	1,008.96	445.80	LT
	Oct 10, 12	2.000	187.670	375.34	336.320	672.64	297.30	LT
	Oct 10, 12	2.000	187.995	375.99	336.320	672.64	296.65	LT
	Jan 23, 13	224.000	236.966	53,080.41	336.320	75,335.68	22,255.27	LT
	Apr 22, 13	104.000	251.093	26,113.69	336.320	34,977.28	8,863.59	LT
Security total		372.000	235.218	87,501.00		125,111.04	37,610.04	
CALIFORNIA RESOURCES CORP								
Symbol: CRC Exchange: NYSE								
EAI: \$15 Current yield: 0.92%								
	Feb 12, 14	59.200	8.030	475.39	4.230	250.42	-224.97	LT
	Feb 12, 14	46.800	8.033	375.95	4.230	197.96	-177.99	LT
	Feb 12, 14	12.200	8.034	98.02	4.230	51.61	-46.41	LT

SDNY_GM_00020771 *continued next page*

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jul 31 (\$)	Value on Jul 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Jan 23, 13	910.000	54.240	49,358.63	68.020	61,898.20	12,539.57	LT
	Apr 22, 13	420.000	59.788	25,111.32	68.020	28,568.40	3,457.08	LT
Security total		1,508.000	54.300	81,883.80		102,574.16	20,690.36	
EOG RESOURCES INC								
Symbol: EOG Exchange: NYSE								
EAI: \$335 Current yield: 0.87%								
	Jan 28, 15	500.000	90.411	45,205.72	77.190	38,595.00	-6,610.72	ST
FORTINET INC								
Symbol: FTNT Exchange: OTC								
	Jan 28, 15	500.000	31.942	15,971.36	47.740	23,870.00	7,898.64	ST
	Jan 30, 15	250.000	29.431	7,357.75	47.740	11,935.00	4,577.25	ST
Security total		750.000	31.105	23,329.11		35,805.00	12,475.89	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE								
EAI: \$3,312 Current yield: 3.02%								
	Aug 4, 11	191.000	36.265	6,926.77	58.210	11,118.11	4,191.34	LT
	Aug 12, 11	5.000	35.754	178.77	58.210	291.05	112.28	LT
	Jan 23, 13	1,001.000	41.387	41,428.89	58.210	58,268.21	16,839.32	LT
	Apr 22, 13	464.000	50.287	23,333.21	58.210	27,009.44	3,676.23	LT
	Jun 17, 13	148.000	49.739	7,361.45	58.210	8,615.08	1,253.63	LT
	Jun 18, 13	73.000	49.836	3,638.07	58.210	4,249.33	611.26	LT
Security total		1,882.000	44.031	82,867.16		109,551.22	26,684.06	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$3,198 Current yield: 2.99%								
	Aug 4, 11	123.000	62.377	7,672.38	100.210	12,325.83	4,653.45	LT
	Aug 12, 11	3.000	63.730	191.19	100.210	300.63	109.44	LT
	Jan 23, 13	642.000	72.736	46,696.71	100.210	64,334.82	17,638.11	LT
	Apr 22, 13	298.000	84.721	25,247.10	100.210	29,862.58	4,615.48	LT
Security total		1,066.000	74.866	79,807.38		106,823.86	27,016.48	
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,461 Current yield: 3.40%								
	Aug 4, 11	95.000	84.969	8,072.06	99.860	9,486.70	1,414.64	LT
	Aug 12, 11	3.000	85.910	257.73	99.860	299.58	41.85	LT
	Nov 29, 12	8.000	86.456	691.65	99.860	798.88	107.23	LT
	Jan 23, 13	555.000	93.053	51,644.75	99.860	55,422.30	3,777.55	LT

continued next page

SDNY_GM_00020773

CNP70009005841069 NP7000195794 00002 0715 030575004 Y123568550 000000

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jul 31 (\$)	Value on Jul 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Oct 31, 12	1.000	69.370	69.37	96.350	96.35	26.98	LT
	Nov 6, 12	1.000	69.370	69.37	96.350	96.35	26.98	LT
	Nov 7, 12	1.000	69.150	69.15	96.350	96.35	27.20	LT
	Nov 8, 12	2.000	69.090	138.18	96.350	192.70	54.52	LT
	Jan 23, 13	699.000	72.166	50,444.31	96.350	67,348.65	16,904.34	LT
	Apr 22, 13	322.000	82.251	26,484.85	96.350	31,024.70	4,539.85	LT
Security total		1,154.000	74.097	85,508.36		111,187.90	25,679.54	
PROCTER & GAMBLE CO								
Symbol: PG Exchange: NYSE								
EAI: \$3,007 Current yield: 3.46%								
	Aug 4, 11	118.000	60.103	7,092.22	76.700	9,050.60	1,958.38	LT
	Aug 12, 11	3.000	60.896	182.69	76.700	230.10	47.41	LT
	Jan 23, 13	619.000	69.941	43,293.73	76.700	47,477.30	4,183.57	LT
	Apr 22, 13	286.000	81.332	23,261.18	76.700	21,936.20	-1,324.98	LT
	Apr 24, 13	108.000	77.762	8,398.32	76.700	8,283.60	-114.72	LT
Security total		1,134.000	72.512	82,228.14		86,977.80	4,749.66	
TRAVELERS COS INC/THE								
Symbol: TRV Exchange: NYSE								
EAI: \$2,811 Current yield: 2.30%								
	Apr 24, 12	20.000	63.432	1,268.64	106.120	2,122.40	853.76	LT
	Apr 24, 12	4.000	63.350	253.40	106.120	424.48	171.08	LT
	Apr 24, 12	1.000	63.560	63.56	106.120	106.12	42.56	LT
	Apr 25, 12	10.000	63.520	635.20	106.120	1,061.20	426.00	LT
	Apr 25, 12	10.000	63.617	636.17	106.120	1,061.20	425.03	LT
	Apr 25, 12	10.000	63.659	636.59	106.120	1,061.20	424.61	LT
	Apr 25, 12	2.000	63.545	127.09	106.120	212.24	85.15	LT
	Apr 25, 12	2.000	63.645	127.29	106.120	212.24	84.95	LT
	Apr 25, 12	2.000	63.745	127.49	106.120	212.24	84.75	LT
	Apr 26, 12	5.000	63.928	319.64	106.120	530.60	210.96	LT
	Apr 26, 12	2.000	63.920	127.84	106.120	212.24	84.40	LT
	Apr 26, 12	2.000	63.930	127.86	106.120	212.24	84.38	LT
	Apr 26, 12	1.000	63.720	63.72	106.120	106.12	42.40	LT
	May 1, 12	15.000	64.637	969.56	106.120	1,591.80	622.24	LT
	May 1, 12	6.000	64.715	388.29	106.120	636.72	248.43	LT

SDNY_GM_00020775 *continued next page*

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jul 31 (\$)	Value on Jul 31 (\$)	Unrealized gain or loss (\$)	Holding period
	May 1, 12	6.000	64.975	389.85	106.120	636.72	246.87	LT
	May 1, 12	2.000	64.850	129.70	106.120	212.24	82.54	LT
	May 1, 12	1.000	64.820	64.82	106.120	106.12	41.30	LT
	May 2, 12	7.000	64.374	450.62	106.120	742.84	292.22	LT
	May 2, 12	4.000	64.410	257.64	106.120	424.48	166.84	LT
	May 2, 12	2.000	64.320	128.64	106.120	212.24	83.60	LT
	May 3, 12	4.000	64.960	259.84	106.120	424.48	164.64	LT
	May 3, 12	2.000	64.675	129.35	106.120	212.24	82.89	LT
	May 3, 12	2.000	64.910	129.82	106.120	212.24	82.42	LT
	Jan 23, 13	629.000	77.560	48,785.62	106.120	66,749.48	17,963.86	LT
	Apr 22, 13	290.000	84.719	24,568.68	106.120	30,774.80	6,206.12	LT
	May 22, 13	111.000	83.807	9,302.58	106.120	11,779.32	2,476.74	LT
Security total		1,152.000	78.533	90,469.50		122,250.24	31,780.74	
XILINX INC								
Symbol: XLNX Exchange: OTC								
EAI: \$2,230 Current yield: 2.97%								
	Sep 7, 12	25.000	34.770	869.27	41.750	1,043.75	174.48	LT
	Sep 7, 12	5.000	34.846	174.23	41.750	208.75	34.52	LT
	Sep 10, 12	37.000	34.845	1,289.29	41.750	1,544.75	255.46	LT
	Sep 10, 12	3.000	34.660	103.98	41.750	125.25	21.27	LT
	Sep 11, 12	20.000	34.853	697.06	41.750	835.00	137.94	LT
	Sep 12, 12	18.000	35.006	630.11	41.750	751.50	121.39	LT
	Sep 13, 12	21.000	34.886	732.61	41.750	876.75	144.14	LT
	Sep 14, 12	19.000	35.536	675.19	41.750	793.25	118.06	LT
	Sep 17, 12	7.000	35.151	246.06	41.750	292.25	46.19	LT
	Oct 24, 12	3.000	32.523	97.57	41.750	125.25	27.68	LT
	Oct 25, 12	5.000	32.522	162.61	41.750	208.75	46.14	LT
	Oct 26, 12	3.000	32.776	98.33	41.750	125.25	26.92	LT
	Oct 31, 12	1.000	32.770	32.77	41.750	41.75	8.98	LT
	Nov 1, 12	2.000	33.360	66.72	41.750	83.50	16.78	LT
	Nov 1, 12	1.000	33.520	33.52	41.750	41.75	8.23	LT
	Nov 1, 12	1.000	33.530	33.53	41.750	41.75	8.22	LT
	Nov 2, 12	1.000	33.550	33.55	41.750	41.75	8.20	LT

continued next page

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Jul 31 (\$)	Value on Jul 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 5, 12	1.000	33.190	33.19	41.750	41.75	8.56	LT
	Nov 6, 12	3.000	33.886	101.66	41.750	125.25	23.59	LT
	Nov 7, 12	2.000	34.025	68.05	41.750	83.50	15.45	LT
	Nov 7, 12	1.000	33.910	33.91	41.750	41.75	7.84	LT
	Nov 8, 12	4.000	34.032	136.13	41.750	167.00	30.87	LT
	Nov 8, 12	1.000	33.860	33.86	41.750	41.75	7.89	LT
	Nov 28, 12	4.000	34.312	137.25	41.750	167.00	29.75	LT
	Nov 28, 12	3.000	34.410	103.23	41.750	125.25	22.02	LT
	Nov 29, 12	15.000	34.583	518.75	41.750	626.25	107.50	LT
	Nov 29, 12	3.000	34.493	103.48	41.750	125.25	21.77	LT
	Jan 23, 13	1,087.000	36.805	40,008.01	41.750	45,382.25	5,374.24	LT
	Apr 22, 13	502.000	35.691	17,917.23	41.750	20,958.50	3,041.27	LT
Security total		1,798.000	36.246	65,171.15		75,066.50	9,895.35	
Total				\$1,354,488.47		\$1,652,227.30	\$297,738.84	

Total estimated annual income: \$43,704

Your total assets

		Value on Jul 31 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	148.36	0.01%	148.36		
Equities	Common stock	1,652,227.30	99.99%	1,354,488.47	43,704.00	297,738.84
Total		\$1,652,375.66	100.00%	\$1,354,636.83	\$43,704.00	\$297,738.84

Account activity this month

	Date	Activity	Description	Amount (\$)
Deposits and other funds credited	Jul 27	Transfer	FM [REDACTED] 23575 0100	2,200.00
	Total deposits and other funds credited			\$2,200.00
Dividend and interest income				
	Jul 1	Dividend	AUTOMATIC DATA PROCESSNG INC PAID ON 1272	623.28

Taxable dividends

continued next page

SDNY_GM_00020777

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
Money balance activities (continued)	Jul 31	Deposit	UBS BANK USA DEPOSIT ACCOUNT	83.75
	Jul 31	Closing UBS Bank USA Deposit Account		\$148.36

The UBS Bank USA Deposit Account is your primary sweep option.

CONFIDENTIAL



Your notes

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.

All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.

- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: #NABSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweepyields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity. The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account

holder on the books and records of the applicable issuer or transfer agent).

- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org.

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP, partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each account held, you choose one of the following investment objectives:

- **Produce Current Income:** Investments seeking the generation of income only.
- **Achieve Capital Appreciation:** Investments seeking growth of principal rather than the generation of income.
- **Produce Combination of Income and Capital Appreciation:** Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- **Conservative:** Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- **Moderate:** Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- **Aggressive:** Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate

envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- **Value of your accounts/ portfolio:** Net of assets and liabilities.
- **Assets:** Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities/assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- **Liabilities:** Includes debit balances, outstanding margin loans, credit line, short account balances.
- **Cash/money balances:** Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accounts/crb

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

- **Cost basis:** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

- **Unrealized gains/losses:** When data is available, estimated unrealized gains/losses are calculated for

SDNY_GM_00020781

CONFIDENTIAL

EFTA_00131401

EFTA01273608

Important information about your statement (continued)

individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

• **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield. Complete information will be provided upon request.

• **Certificates of deposit (CDs)** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.

• **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.

- We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
- Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
- Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
- Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
- For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation.

To obtain current quotations, when available, contact your Financial Advisor.

• **Private investments and structured products.** Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.

- These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
- Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
- Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
- You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.

- Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
- When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.
- "Distributions to date" may include return of capital, income or both.
- "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

• **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

• **Est. (estimated) income, current yields and rates.** An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.

- Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
- Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
- An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities/deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

• **Assets not held by UBS Financial Services.** Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

• **Revenue sharing and additional compensation.**

- In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
- We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the

number of accounts at the broker-dealer holding mutual funds of that fund family.

- In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
- We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Tax withholding on distributions from UBS Financial Services IRAs

Federal tax law requires UBS Financial Services to withhold income tax from your taxable IRA distributions, but you may elect not to have income tax withheld or, instead, you may elect to have tax withheld at a rate or in a fixed amount as you choose. Your election will remain in effect until revoked by you. You may revoke your election at any time by making a new election. If you do not have enough income tax withheld from your distributions, you may be responsible for the payment of estimated tax. You may incur penalties if the amounts withheld and your estimated tax payments are not equal to your tax obligation.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value

RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management

Account are registered service marks of UBS Financial Services Inc.

Visa Signature is a registered service mark of Visa International. UBS Visa Signature credit cards and UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated.

UBS Financial Services Inc.

Rev. 201407

SDNY_GM_00020782

CONFIDENTIAL

EFTA_00131402

EFTA01273609



UBS Financial Services Inc.
299 Park Avenue
25th Floor
New York NY 10171-0002

CNP7005764693 0815 ■ 0

UBS Strategic Advisor

August 2015

GHISLAINE MAXWELL
116 E 65TH STREET
NEW YORK NY 10065-7007

Account name: GHISLAINE MAXWELL

Friendly account name: indiv. [REDACTED]

Account number: [REDACTED] 55

Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED] [REDACTED]

Questions about your statement?

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account 029023568.

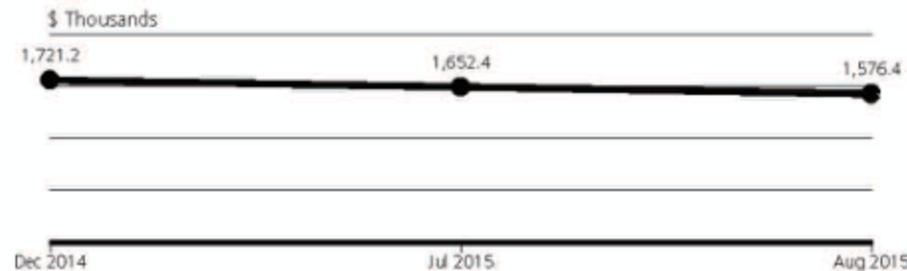
Visit our website:

www.ubs.com/financialservices

Value of your account

	on July 31 (\$)	on August 31 (\$)
Your assets	1,652,375.66	1,576,386.61
Your liabilities	0.00	0.00
Value of your account	\$1,652,375.66	\$1,576,386.61

Tracking the value of your account



Sources of your account growth during 2015

Value of your account at year end 2014	\$1,721,172.36
Net deposits and withdrawals	-\$56,460.38
Your investment return:	
Dividend and interest income	\$28,843.30
Change in market value	-\$117,168.67
Value of your account on Aug 31, 2015	\$1,576,386.61

CONFIDENTIAL



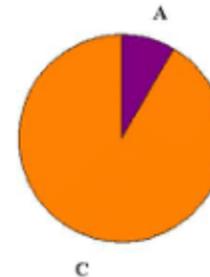
Your account balance sheet

Summary of your assets

	Value on August 31 (\$)	Percentage of your account
A Cash and money balances	132,854.76	8.43%
B Cash alternatives	0.00	0.00%
C Equities	1,443,531.85	91.57%
D Fixed income	0.00	0.00%
E Non-traditional	0.00	0.00%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$1,576,386.61	100.00%

Value of your account **\$1,576,386.61**

Your current asset allocation



► *Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.*

Eye on the markets

Index	Percentage change	
	August 2015	Year to date
S&P 500	-6.03%	-2.88%
Russell 3000	-6.04%	-2.61%
MSCI - Europe, Australia & Far East	-7.35%	0.14%
Barclays Capital U.S. Aggregate Bond Index	-0.14%	0.45%

Interest rates on August 31, 2015

3-month Treasury bills: 0.04%
One-month LIBOR: 0.20%

CONFIDENTIAL



Change in the value of your account

	August 2015 (\$)	Year to date (\$)
Opening account value	\$1,652,375.66	\$1,721,172.36
Deposits, including investments transferred in	0.00	2,200.00
Withdrawals and fees, including investments transferred out	-2,301.57	-58,660.38
Dividend and interest income	3,565.29	28,843.30
Change in market value	-77,252.77	-117,168.67
Closing account value	\$1,576,386.61	\$1,576,386.61

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	August 2015 (\$)	Year to date (\$)
Taxable dividends	3,564.93	28,838.48
Taxable interest	0.36	4.66
Total current year	\$3,565.29	\$28,843.14
Prior year adjustment	0.00	0.16
Total dividend & interest	\$3,565.29	\$28,843.30

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)
	August 2015 (\$)	Year to date (\$)	
Short term	0.00	0.00	3,621.89
Long term	12,605.70	21,638.51	204,258.47
Total	\$12,605.70	\$21,638.51	\$207,880.36

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	August 2015 (\$)	Year to date (\$)
Opening balances	\$148.36	\$6,517.57
<i>Additions</i>		
Deposits and other funds credited	0.00	2,200.00
Dividend and interest income	3,565.29	28,843.30
Proceeds from investment transactions	131,442.68	238,352.29
Total additions	\$135,007.97	\$269,395.59
<i>Subtractions</i>		
Professional management fees and related services	0.00	-6,396.16
Other funds debited	-2,301.57	-52,264.22
Funds withdrawn for investments bought	0.00	-84,398.02
Total subtractions	-\$2,301.57	-\$143,058.40
Net cash flow	\$132,706.40	\$126,337.19
Closing balances	\$132,854.76	\$132,854.76

SDNY_GM_00020785

CONFIDENTIAL



UBS Bank USA Deposit Account APY

Interest period Jul 8 - Aug 6

Opening UBS Bank USA Deposit balance Jul 8	\$49,232.03
Closing UBS Bank USA Deposit balance Aug 6	\$976.80
Number of days in interest period	30
Average daily balance	\$19,914.11
Interest earned	\$0.36
Annual percentage yield earned	0.02%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Capital appreciation

Your risk profile:

Primary - Aggressive

Investment eligibility consideration - None selected

Your account instructions

- Your account cost basis default closing method is FIFO, First In, First Out.

CONFIDENTIAL



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on Aug 1 (\$)	Closing balance on Aug 31 (\$)	Price per share on Aug 31 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
Cash	0.00	73,193.95					
UBS BANK USA DEP ACCT	148.36	59,660.81					250,000.00
Total	\$148.36	\$132,854.76					

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Aug 31 (\$)	Value on Aug 31 (\$)	Unrealized gain or loss (\$)	Holding period
AECOM								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	27.500	13,750.00	440.05	ST
	Jan 30, 15	100.000	25.532	2,553.24	27.500	2,750.00	196.76	ST
Security total		600.000	26.439	15,863.19		16,500.00	636.81	
ANALOG DEVICES INC								
Symbol: ADI Exchange: OTC								
EAI: \$2,802 Current yield: 2.86%	Nov 16, 11	13.000	37.316	485.12	55.860	726.18	241.06	LT
	Nov 17, 11	13.000	35.393	460.12	55.860	726.18	266.06	LT
	Nov 18, 11	35.000	35.502	1,242.58	55.860	1,955.10	712.52	LT
	Nov 21, 11	18.000	34.371	618.68	55.860	1,005.48	386.80	LT
	Nov 22, 11	15.000	33.338	500.07	55.860	837.90	337.83	LT

continued next page

SDNY_GM_00020787

CNP70006005764697 NP7000196698 00002 0815.030575004 Y123568550 000000

Page 5 of 16

CONFIDENTIAL

EFTA_00131407

EFTA01273614



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Aug 31 (\$)	Value on Aug 31 (\$)	Unrealized gain or loss (\$)	Holding period
BLACKROCK INC								
Symbol: BLK Exchange: NYSE								
EAI: \$3,244 Current yield: 2.88%								
	Oct 5, 12	7.000	189.932	1,329.53	302.470	2,117.29	787.76	LT
	Oct 5, 12	3.000	187.820	563.46	302.470	907.41	343.95	LT
	Oct 5, 12	2.000	186.670	373.34	302.470	604.94	231.60	LT
	Oct 8, 12	8.000	188.783	1,510.27	302.470	2,419.76	909.49	LT
	Oct 9, 12	15.000	189.186	2,837.79	302.470	4,537.05	1,699.26	LT
	Oct 9, 12	2.000	189.010	378.02	302.470	604.94	226.92	LT
	Oct 10, 12	3.000	187.720	563.16	302.470	907.41	344.25	LT
	Oct 10, 12	2.000	187.670	375.34	302.470	604.94	229.60	LT
	Oct 10, 12	2.000	187.995	375.99	302.470	604.94	228.95	LT
	Jan 23, 13	224.000	236.966	53,080.41	302.470	67,753.28	14,672.87	LT
	Apr 22, 13	104.000	251.093	26,113.69	302.470	31,456.88	5,343.19	LT
Security total		372.000	235.218	87,501.00		112,518.84	25,017.84	
CATERPILLAR INC								
Symbol: CAT Exchange: NYSE								
EAI: \$3,419 Current yield: 4.03%								
	Jun 19, 13	72.000	84.718	6,099.75	76.440	5,503.68	-596.07	LT
	Jun 20, 13	121.000	83.141	10,060.15	76.440	9,249.24	-810.91	LT
	Jun 20, 13	78.000	83.030	6,476.39	76.440	5,962.32	-514.07	LT
	Jun 21, 13	204.000	82.904	16,912.44	76.440	15,593.76	-1,318.68	LT
	Jun 24, 13	111.000	81.517	9,048.46	76.440	8,484.84	-563.62	LT
	Jun 25, 13	73.000	82.354	6,011.86	76.440	5,580.12	-431.74	LT
	Jun 26, 13	69.000	82.259	5,675.90	76.440	5,274.36	-401.54	LT
	Jun 27, 13	141.000	82.951	11,696.12	76.440	10,778.04	-918.08	LT
	Jun 27, 13	7.000	82.925	580.48	76.440	535.08	-45.40	LT
	Jun 28, 13	169.000	82.774	13,988.92	76.440	12,918.36	-1,070.56	LT
	Jul 1, 13	65.000	82.781	5,380.78	76.440	4,968.60	-412.18	LT
Security total		1,110.000	82.821	91,931.25		84,848.40	-7,082.85	
CDK GLOBAL INC COM								
Symbol: CDK Exchange: OTC								
EAI: \$204 Current yield: 0.97%								
	Aug 4, 11	48.667	18.379	894.45	49.540	2,410.95	1,516.50	LT
	Aug 12, 11	1.333	17.775	23.70	49.540	66.05	42.35	LT

continued next page

SDNY_GM_00020789

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Aug.31 (\$)	Value on Aug.31 (\$)	Unrealized gain or loss (\$)	Holding period
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,461 Current yield: 3.58%								
	Aug 4, 11	95.000	84.969	8,072.06	95.020	9,026.90	954.84	LT
	Aug 12, 11	3.000	85.910	257.73	95.020	285.06	27.33	LT
	Nov 29, 12	8.000	86.456	691.65	95.020	760.16	68.51	LT
	Jan 23, 13	555.000	93.053	51,644.75	95.020	52,736.10	1,091.35	LT
	Apr 22, 13	255.000	99.318	25,326.32	95.020	24,230.10	-1,096.22	LT
	Sep 19, 13	78.000	97.879	7,634.63	95.020	7,411.56	-223.07	LT
	Sep 19, 13	22.000	97.425	2,143.36	95.020	2,090.44	-52.92	LT
	Sep 19, 13	2.000	97.830	195.66	95.020	190.04	-5.62	LT
Security total		1,018.000	94.269	95,966.16		96,730.36	764.20	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$3,579 Current yield: 3.13%								
	Aug 4, 11	134.000	52.960	7,096.75	98.410	13,186.94	6,090.19	LT
	Aug 12, 11	3.000	52.530	157.59	98.410	295.23	137.64	LT
	Jan 23, 13	700.000	71.610	50,127.21	98.410	68,887.00	18,759.79	LT
	Apr 22, 13	325.000	79.757	25,921.06	98.410	31,983.25	6,062.19	LT
Security total		1,162.000	71.689	83,302.61		114,352.42	31,049.81	
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,907 Current yield: 4.11%								
	Feb 12, 14	148.000	88.959	13,165.96	73.010	10,805.48	-2,360.48	LT
	Feb 12, 14	117.000	88.989	10,411.82	73.010	8,542.17	-1,869.65	LT
	Feb 12, 14	32.000	89.002	2,848.07	73.010	2,336.32	-511.75	LT
	Feb 12, 14	7.000	88.857	622.00	73.010	511.07	-110.93	LT
	Feb 13, 14	110.000	88.885	9,777.41	73.010	8,031.10	-1,746.31	LT
	Feb 13, 14	68.000	88.708	6,032.19	73.010	4,964.68	-1,067.51	LT
	Feb 13, 14	33.000	88.369	2,916.19	73.010	2,409.33	-506.86	LT
	Feb 13, 14	6.000	88.421	530.53	73.010	438.06	-92.47	LT
	Feb 14, 14	334.000	92.065	30,749.82	73.010	24,385.34	-6,364.48	LT
	Feb 18, 14	114.000	92.677	10,565.23	73.010	8,323.14	-2,242.09	LT
Security total		969.000	90.422	87,619.22		70,746.69	-16,872.53	

continued next page

SDNY_GM_00020791

CNP70006005764701 NP7000196698 00002 0815.030575004 Y123568550 000000

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Aug 31 (\$)	Value on Aug 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Apr 25, 12	2.000	63.745	127.49	99.550	199.10	71.61	LT
	Apr 26, 12	5.000	63.928	319.64	99.550	497.75	178.11	LT
	Apr 26, 12	2.000	63.920	127.84	99.550	199.10	71.26	LT
	Apr 26, 12	2.000	63.930	127.86	99.550	199.10	71.24	LT
	Apr 26, 12	1.000	63.720	63.72	99.550	99.55	35.83	LT
	May 1, 12	15.000	64.637	969.56	99.550	1,493.25	523.69	LT
	May 1, 12	6.000	64.715	388.29	99.550	597.30	209.01	LT
	May 1, 12	6.000	64.975	389.85	99.550	597.30	207.45	LT
	May 1, 12	2.000	64.850	129.70	99.550	199.10	69.40	LT
	May 1, 12	1.000	64.820	64.82	99.550	99.55	34.73	LT
	May 2, 12	7.000	64.374	450.62	99.550	696.85	246.23	LT
	May 2, 12	4.000	64.410	257.64	99.550	398.20	140.56	LT
	May 2, 12	2.000	64.320	128.64	99.550	199.10	70.46	LT
	May 3, 12	4.000	64.960	259.84	99.550	398.20	138.36	LT
	May 3, 12	2.000	64.675	129.35	99.550	199.10	69.75	LT
	May 3, 12	2.000	64.910	129.82	99.550	199.10	69.28	LT
	Jan 23, 13	629.000	77.560	48,785.62	99.550	62,616.95	13,831.33	LT
	Apr 22, 13	290.000	84.719	24,568.68	99.550	28,869.50	4,300.82	LT
	May 22, 13	111.000	83.807	9,302.58	99.550	11,050.05	1,747.47	LT
Security total		1,152.000	78.533	90,469.50		114,681.60	24,212.10	
Total				\$1,240,116.40		\$1,447,236.85	\$207,120.45	

Total estimated annual income: **\$41,023**

Short options

Holding	Trade date	Number of contracts	Sale price per contract (\$)	Sale proceeds (\$)	Price per contract on Aug 31 (\$)	Contract premium (\$)	Value on Aug 31 (\$)	Unrealized gain or loss (\$)	Holding period
CALL AUTOMATIC DATA PROC DUE 10/16/15 80.000 Expires: Oct 15 Symbol: ADP	Aug 26, 15	-12.000	1.599	-1,919.96	135.000	1.350	-1,620.00	299.96	ST

continued next page

CONFIDENTIAL



Your assets › **Equities** › **Short options** (continued)

Holding	Trade date	Number of contracts	Sale price per contract (\$)	Sale proceeds (\$)	Price per contract on Aug 31 (\$)	Contract premium (\$)	Value on Aug 31 (\$)	Unrealized gain or loss (\$)	Holding period
CALL JOHNSON & JOHNSON C DUE 10/16/15 100.000 Expires: Oct 15 Symbol: JNJ	Aug 26, 15	-10.000	0.999	-999.98	66.000	0.660	-660.00	339.98	ST
CALL BAXTER INTL INC DUE 10/16/15 40.000 Expires: Oct 15 Symbol: BAX	Aug 28, 15	-15.000	1.029	-1,544.97	95.000	0.950	-1,425.00	119.97	ST
Total				-\$4,464.91			-\$3,705.00	\$759.91	

Your total assets

		Value on Aug 31 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	132,854.76	8.43%	132,854.76		
Equities	Common stock	1,447,236.85		1,240,116.40	41,023.00	207,120.45
	Short options	-3,705.00		-4,464.91		759.91
	Total equities	1,443,531.85	91.57%	1,235,651.49	41,023.00	207,880.36
Total		\$1,576,386.61	100.00%	\$1,368,506.25	\$41,023.00	\$207,880.36

Account activity this month

	Date	Activity	Description	Amount (\$)
Dividend and interest income				
<i>Taxable dividends</i>	Aug 3	Dividend	GENL MILLS INC PAID ON 1882	828.08
	Aug 14	Dividend	COLGATE PALMOLIVE CO PAID ON 1508	573.04
	Aug 17	Dividend	PROCTER & GAMBLE CO PAID ON 1134	751.73
	Aug 20	Dividend	CATERPILLAR INC PAID ON 1110	854.70
	Aug 26	Dividend	XILINX INC PAID ON 1798	557.38
		Total taxable dividends		\$3,564.93
<i>Taxable interest</i>	Aug 7	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 08/06/15	0.36
		Total taxable interest		\$0.36
		Total dividend and interest income		\$3,565.29

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
Other funds debited	Aug 18	Transfer	JOURNAL TO [REDACTED] 23575 GHISLAINE MAXWELL	-2,301.57
	Total other funds debited			-\$2,301.57

Investment transactions

For more information about the price/value shown for restricted securities, see *Important information about your statement* at the end of this document.

Date	Activity	Description	Quantity	Value (\$)	Price (\$)	Proceeds from investment transactions (\$)	Funds withdrawn for investments bought (\$)	Accrued interest (\$)
Aug 27	Sold	CALL AUTOMATIC DATA PROC DUE 10/16/15 80.000 OPEN CUST CVRD	-12.000		1.60	1,919.96		
Aug 27	Sold	CALL JOHNSON & JOHNSON C DUE 10/16/15 100.000 OPEN CUST CVRD	-10.000		1.00	999.98		
Aug 28	Sold	CALIFORNIA RESOURCES CORP	-387.000		2.810048	1,087.47		
Aug 28	Sold	BAXALTA INC UNSOLICITED	-1,556.000		34.860100	54,241.32		
Aug 31	Sold	XILINX INC	-1,798.000		39.85	71,648.98		
Aug 31	Sold	CALL BAXTER INTL INC DUE 10/16/15 OPEN CUST CVRD	40.000 -15.000		1.03	1,544.97		
Total						\$131,442.68		

	Date	Activity	Description	Amount (\$)
Money balance activities	Jul 31	Balance forward		\$148.36
	Aug 4	Deposit	UBS BANK USA DEPOSIT ACCOUNT	828.08
	Aug 7	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 08/06/15	0.36
	Aug 17	Deposit	UBS BANK USA DEPOSIT ACCOUNT	573.04
	Aug 18	Deposit	UBS BANK USA DEPOSIT ACCOUNT	751.73
	Aug 19	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 08/18/15	-2,301.57
	Aug 21	Deposit	UBS BANK USA DEPOSIT ACCOUNT	854.70
	Aug 25	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 08/24/15	-1.76
	Aug 26	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1.76
	Aug 27	Deposit	UBS BANK USA DEPOSIT ACCOUNT	557.38
	Aug 28	Deposit	UBS BANK USA DEPOSIT ACCOUNT	2,919.94
	Aug 31	Deposit	UBS BANK USA DEPOSIT ACCOUNT	55,328.79
	Aug 31	Closing UBS Bank USA Deposit Account		\$59,660.81

The UBS Bank USA Deposit Account is your primary sweep option.

CONFIDENTIAL



Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount (\$)	Cost basis (\$)	Wash sale cost basis adjustment(\$)	Loss (\$)	Gain (\$)
	FIFO	2.400	Feb 13, 14	Aug 25, 15	6.74	19.16		-12.42	
	FIFO	27.200	Feb 13, 14	Aug 25, 15	76.44	217.81		-141.37	
	FIFO	13.200	Feb 13, 14	Aug 25, 15	37.09	105.30		-68.21	
	FIFO	44.000	Feb 13, 14	Aug 25, 15	123.64	353.04		-229.40	
	FIFO	133.600	Feb 14, 14	Aug 25, 15	375.41	1,110.31		-734.90	
	FIFO	45.600	Feb 18, 14	Aug 25, 15	128.14	381.49		-253.35	
XILINX INC	FIFO	25.000	Sep 07, 12	Aug 26, 15	996.23	869.27			126.96
	FIFO	5.000	Sep 07, 12	Aug 26, 15	199.25	174.23			25.02
	FIFO	37.000	Sep 10, 12	Aug 26, 15	1,474.42	1,289.29			185.13
	FIFO	3.000	Sep 10, 12	Aug 26, 15	119.55	103.98			15.57
	FIFO	20.000	Sep 11, 12	Aug 26, 15	796.98	697.06			99.92
	FIFO	18.000	Sep 12, 12	Aug 26, 15	717.29	630.11			87.18
	FIFO	21.000	Sep 13, 12	Aug 26, 15	836.84	732.61			104.23
	FIFO	19.000	Sep 14, 12	Aug 26, 15	757.13	675.19			81.94
	FIFO	7.000	Sep 17, 12	Aug 26, 15	278.95	246.06			32.89
	FIFO	3.000	Oct 24, 12	Aug 26, 15	119.54	97.57			21.97
	FIFO	5.000	Oct 25, 12	Aug 26, 15	199.25	162.61			36.64
	FIFO	3.000	Oct 26, 12	Aug 26, 15	119.55	98.33			21.22
	FIFO	1.000	Oct 31, 12	Aug 26, 15	39.85	32.77			7.08
	FIFO	2.000	Nov 01, 12	Aug 26, 15	79.70	66.72			12.98
	FIFO	1.000	Nov 01, 12	Aug 26, 15	39.85	33.52			6.33
	FIFO	1.000	Nov 01, 12	Aug 26, 15	39.84	33.53			6.31
	FIFO	1.000	Nov 02, 12	Aug 26, 15	39.85	33.55			6.30
	FIFO	1.000	Nov 05, 12	Aug 26, 15	39.85	33.19			6.66
	FIFO	3.000	Nov 06, 12	Aug 26, 15	119.55	101.66			17.89
	FIFO	2.000	Nov 07, 12	Aug 26, 15	79.70	68.05			11.65
	FIFO	1.000	Nov 07, 12	Aug 26, 15	39.85	33.91			5.94
	FIFO	1.000	Nov 08, 12	Aug 26, 15	39.85	33.86			5.99
	FIFO	4.000	Nov 08, 12	Aug 26, 15	159.39	136.13			23.26

continued next page

SDNY_GM_00020797

CNP70006005764707 NP7000196698 00002 0815.030575004 Y123568550.000000

CONFIDENTIAL



Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount (\$)	Cost basis (\$)	Wash sale cost basis adjustment(\$)	Loss (\$)	Gain (\$)
	FIFO	4.000	Nov 28, 12	Aug 26, 15	159.40	137.25			22.15
	FIFO	3.000	Nov 28, 12	Aug 26, 15	119.55	103.23			16.32
	FIFO	15.000	Nov 29, 12	Aug 26, 15	597.74	518.75			78.99
	FIFO	3.000	Nov 29, 12	Aug 26, 15	119.55	103.48			16.07
	FIFO	1,087.000	Jan 23, 13	Aug 26, 15	43,316.15	40,008.01			3,308.14
	FIFO	502.000	Apr 22, 13	Aug 26, 15	20,004.33	17,917.23			2,087.10
Total					\$126,977.77	\$114,372.07		-\$2,071.46	\$14,677.16
Net long-term capital gains or losses									\$12,605.70
Net capital gains/losses:									\$12,605.70

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.

All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.

- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: RMB/BSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweepyields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity. The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account

holder on the books and records of the applicable issuer or transfer agent).

- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org.

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP, partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each account held, you choose one of the following investment objectives:

- **Produce Current Income:** Investments seeking the generation of income only.
- **Achieve Capital Appreciation:** Investments seeking growth of principal rather than the generation of income.
- **Produce Combination of Income and Capital Appreciation:** Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- **Conservative:** Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- **Moderate:** Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- **Aggressive:** Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate

envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- **Value of your accounts/ portfolio:** Net of assets and liabilities.
- **Assets:** Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities/assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- **Liabilities:** Includes debit balances, outstanding margin loans, credit line, short account balances.
- **Cash/money balances:** Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accountdisclosures

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

- **Cost basis:** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

- **Unrealized gains/losses:** When data is available, estimated unrealized gains/losses are calculated for

SDNY_GM_00020799

CONFIDENTIAL

EFTA_00131419

EFTA01273626

Important information about your statement (continued)

individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

• **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield. Complete information will be provided upon request.

• **Certificates of deposit (CDs)** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.

• **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.

- We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
- Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
- Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
- Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
- For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation.

To obtain current quotations, when available, contact your Financial Advisor.

• **Private investments and structured products.** Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.

- These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
- Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
- Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
- You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.

- Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
- When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.
- "Distributions to date" may include return of capital, income or both.
- "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

• **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

• **Est. (estimated) income, current yields and rates.** An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.

- Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
- Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
- An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

• **Assets not held by UBS Financial Services.** Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

• **Revenue sharing and additional compensation.**

- In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
- We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the

number of accounts at the broker-dealer holding mutual funds of that fund family.

- In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
- We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Tax withholding on distributions from UBS Financial Services IRAs

Federal tax law requires UBS Financial Services to withhold income tax from your taxable IRA distributions, but you may elect not to have income tax withheld or, instead, you may elect to have tax withheld at a rate or in a fixed amount as you choose. Your election will remain in effect until revoked by you. You may revoke your election at any time by making a new election. If you do not have enough income tax withheld from your distributions, you may be responsible for the payment of estimated tax. You may incur penalties if the amounts withheld and your estimated tax payments are not equal to your tax obligation.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value

RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management

Account are registered service marks of UBS Financial Services Inc.

Visa Signature is a registered service mark of Visa International. UBS Visa Signature credit cards and UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated.

UBS Financial Services Inc.

Rev. 201407

SDNY_GM_00020800

CONFIDENTIAL

EFTA_00131420

EFTA01273627



UBS Financial Services Inc.
299 Park Avenue
25th Floor
New York NY 10171-0002

CNP7006526503 0915.X1 0

UBS Strategic Advisor

September 2015

GHISLAINE MAXWELL
116 E 65TH STREET
NEW YORK NY 10065-7007

Account name: GHISLAINE MAXWELL

Friendly account name: indiv. [REDACTED]

Account number: [REDACTED] 55

Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED]

Questions about your statement?

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account 029023568.

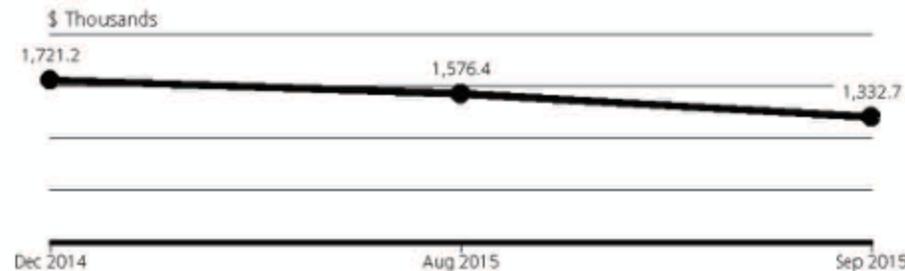
Visit our website:

www.ubs.com/financialservices

Value of your account

	on August 31 (\$)	on September 30 (\$)
Your assets	1,576,386.61	1,332,724.47
Your liabilities	0.00	0.00
Value of your account	\$1,576,386.61	\$1,332,724.47

Tracking the value of your account



Sources of your account growth during 2015

Value of your account at year end 2014	\$1,721,172.36
Net deposits and withdrawals	-\$297,415.05
Your investment return:	
Dividend and interest income	\$34,478.52
Change in market value	-\$125,511.36
Value of your account on Sep 30, 2015	\$1,332,724.47

CONFIDENTIAL



Your account balance sheet

Summary of your assets

	Value on September 30 (\$)	Percentage of your account
A Cash and money balances	7,126.05	0.53%
B Cash alternatives	0.00	0.00%
C Equities	1,325,598.42	99.47%
D Fixed income	0.00	0.00%
E Non-traditional	0.00	0.00%
F Commodities	0.00	0.00%
G Other	0.00	0.00%
Total assets	\$1,332,724.47	100.00%

Value of your account **\$1,332,724.47**

Your current asset allocation



► Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances. See the *Important information about your statement* on the last two pages of this statement for details about those balances.

Eye on the markets

Index	Percentage change	
	September 2015	Year to date
S&P 500	-2.47%	-5.29%
Russell 3000	-2.91%	-5.45%
MSCI - Europe, Australia & Far East	-5.04%	-4.91%
Barclays Capital U.S. Aggregate Bond Index	0.68%	1.13%

Interest rates on September 30, 2015

3-month Treasury bills: 0.00%
One-month LIBOR: 0.19%

CONFIDENTIAL



Change in the value of your account

	September 2015 (\$)	Year to date (\$)
Opening account value	\$1,576,386.61	\$1,721,172.36
Deposits, including investments transferred in	0.00	2,200.00
Withdrawals and fees, including investments transferred out	-240,954.67	-299,615.05
Dividend and interest income	5,635.22	34,478.52
Change in market value	-8,342.69	-125,511.36
Closing account value	\$1,332,724.47	\$1,332,724.47

Dividend and interest income earned

For purposes of this statement, taxability of interest and dividend income has been determined from a US tax reporting perspective. Based upon the residence of the account holder, account type, or product type, some interest and/or dividend payments may not be subject to United States (US) and/or Puerto Rico (PR) income taxes. The client monthly statement is not intended to be used and cannot be relied upon for tax purposes. Clients should refer to the applicable tax reporting forms they receive from UBS annually, such as the Forms 1099 and the Forms 480, for tax reporting information. It is the practice of UBS to file the applicable tax reporting forms with the US Internal Revenue Service and PR Treasury Department, and in such forms accurately classify dividends and/or interest as tax exempt or taxable income. Please consult your individual tax preparer.

	September 2015 (\$)	Year to date (\$)
Taxable dividends	5,635.19	34,473.67
Taxable interest	0.03	4.69
Total current year	\$5,635.22	\$34,478.36
Prior year adjustment	0.00	0.16
Total dividend & interest	\$5,635.22	\$34,478.52

Summary of gains and losses

Values reported below exclude products for which gains and losses are not classified.

	Realized gains and losses		Unrealized gains and losses (\$)
	September 2015 (\$)	Year to date (\$)	
Short term	0.00	0.00	4,898.78
Long term	2,353.26	23,991.77	192,285.63
Total	\$2,353.26	\$23,991.77	\$197,184.41

Cash activity summary

See *Account activity this month* for details. Balances in your Sweep Options are included in the opening and closing balances value. FDIC insurance applies only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	September 2015 (\$)	Year to date (\$)
Opening balances	\$132,854.76	\$6,517.57
<i>Additions</i>		
Deposits and other funds credited	0.00	2,200.00
Dividend and interest income	5,635.22	34,478.52
Proceeds from investment transactions	109,590.74	347,943.03
Total additions	\$115,225.96	\$384,621.55
<i>Subtractions</i>		
Professional management fees and related services	0.00	-6,396.16
Other funds debited	-240,954.67	-293,218.89
Funds withdrawn for investments bought	0.00	-84,398.02
Total subtractions	-\$240,954.67	-\$384,013.07
Net cash flow	-\$125,728.71	\$608.48
Closing balances	\$7,126.05	\$7,126.05

SDNY_GM_00020803

CONFIDENTIAL



Loan summary

Opening loan balance on August 22	\$0
Closing loan balance on September 21	\$0
Average loan balance	\$20,519
Loan interest period	August 22 to September 21
Number of loan (debit) days	5
Average loan interest rate	9.875%
September 2015 loan interest	\$28.14
Year to date loan interest	\$28.14

UBS Bank USA Deposit Account APY

Interest period Aug 7 - Sep 7

Opening UBS Bank USA Deposit balance Aug 7	\$976.80
Closing UBS Bank USA Deposit balance Sep 7	\$0.00
Number of days in interest period	32
Average daily balance	\$2,828.48
Interest earned	\$0.03
Annual percentage yield earned	0.01%

Your investment objectives:

You have identified the following investment objectives for this account. If you have questions about these objectives, disagree with them, or wish to change them, please contact your Financial Advisor or Branch Manager. You can find a full description of the alternative investment objectives in *Important information about your statement* at the end of this document.

Your return objective:

Capital appreciation

Your risk profile:

Primary - Aggressive

Investment eligibility consideration - None selected

Your account instructions

- Your account is currently coded for margin.
- Your account cost basis default closing method is FIFO, First In, First Out.

CONFIDENTIAL



Your assets

Some prices, income and current values shown may be approximate. As a result, gains and losses may not be accurately reflected. See *Important information about your statement* at the end of this document for more information.

Cash

Cash and money balances

Cash and money balances may include available cash balances, UBS Bank USA deposit account balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC. See the *Important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on Sep 1 (\$)	Closing balance on Sep 30 (\$)	Price per share on Sep 30 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
Cash	73,193.95	0.00					
UBS BANK USA DEP ACCT	59,660.81	7,126.05					250,000.00
Total	\$132,854.76	\$7,126.05					

Equities

Common stock

Holding	Trade date	Number of shares	Purchase price/Average price per share (\$)	Cost basis (\$)	Price per share on Sep 30 (\$)	Value on Sep 30 (\$)	Unrealized gain or loss (\$)	Holding period
AECOM								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	27.510	13,755.00	445.05	ST
	Jan 30, 15	100.000	25.532	2,553.24	27.510	2,751.00	197.76	ST
Security total		600.000	26.439	15,863.19		16,506.00	642.81	
ANALOG DEVICES INC								
Symbol: ADI Exchange: OTC								
EAI: \$2,802 Current yield: 2.84%	Nov 16, 11	13.000	37.316	485.12	56.410	733.33	248.21	LT
	Nov 17, 11	13.000	35.393	460.12	56.410	733.33	273.21	LT
	Nov 18, 11	35.000	35.502	1,242.58	56.410	1,974.35	731.77	LT
	Nov 21, 11	18.000	34.371	618.68	56.410	1,015.38	396.70	LT
	Nov 22, 11	15.000	33.338	500.07	56.410	846.15	346.08	LT

continued next page

SDNY_GM_00020805

CNP70009006526507 NP7000303380 00002 0915 030575004 23568550 100000

Page 5 of 14

CONFIDENTIAL

EFTA_00131425

EFTA01273632



Your assets ▸ **Equities** ▸ **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Sep 30 (\$)	Value on Sep 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 23, 11	22.000	32.655	718.43	56.410	1,241.02	522.59	LT
	Nov 25, 11	7.000	32.460	227.22	56.410	394.87	167.65	LT
	Nov 28, 11	30.000	32.951	988.55	56.410	1,692.30	703.75	LT
	Nov 29, 11	18.000	33.472	602.51	56.410	1,015.38	412.87	LT
	Nov 29, 11	5.000	33.622	168.11	56.410	282.05	113.94	LT
	Apr 24, 12	30.000	37.567	1,127.01	56.410	1,692.30	565.29	LT
	Jan 23, 13	1,056.000	43.209	45,628.81	56.410	59,568.96	13,940.15	LT
	Apr 22, 13	489.000	42.447	20,756.68	56.410	27,584.49	6,827.81	LT
Security total		1,751.000	41.990	73,523.89		98,773.91	25,250.02	
AUTOMATIC DATA PROCESSNG INC								
Symbol: ADP Exchange: OTC								
EAI: \$2,493 Current yield: 2.44%								
	Aug 4, 11	146.000	42.343	6,182.08	80.360	11,732.56	5,550.48	LT
	Aug 12, 11	4.000	40.955	163.82	80.360	321.44	157.62	LT
	Jan 23, 13	767.000	52.320	40,129.93	80.360	61,636.12	21,506.19	LT
	Apr 22, 13	355.000	56.870	20,189.01	80.360	28,527.80	8,338.79	LT
Security total		1,272.000	52.409	66,664.84		102,217.92	35,553.08	
BAXTER INTL INC								
Symbol: BAX Exchange: NYSE								
EAI: \$716 Current yield: 1.40%								
	Jun 20, 12	30.000	28.496	854.88	32.850	985.50	130.62	LT
	Jun 20, 12	17.000	28.455	483.75	32.850	558.45	74.70	LT
	Jun 21, 12	29.000	28.762	834.12	32.850	952.65	118.53	LT
	Jun 21, 12	7.000	28.444	199.11	32.850	229.95	30.84	LT
	Jun 21, 12	5.000	28.838	144.19	32.850	164.25	20.06	LT
	Jun 22, 12	61.000	28.658	1,748.19	32.850	2,003.85	255.66	LT
	Jan 23, 13	768.000	36.815	28,274.47	32.850	25,228.80	-3,045.67	LT
	Apr 22, 13	355.000	38.284	13,591.05	32.850	11,661.75	-1,929.30	LT
	Sep 19, 13	74.000	39.857	2,949.45	32.850	2,430.90	-518.55	LT
	Sep 19, 13	6.000	39.696	238.18	32.850	197.10	-41.08	LT
	Sep 19, 13	3.000	39.700	119.10	32.850	98.55	-20.55	LT
	Sep 20, 13	47.000	39.758	1,868.67	32.850	1,543.95	-324.72	LT
	Oct 3, 13	154.000	35.679	5,494.57	32.850	5,058.90	-435.67	LT
Security total		1,556.000	36.504	56,799.73		51,114.60	-5,685.13	

continued next page

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Sep 30 (\$)	Value on Sep 30 (\$)	Unrealized gain or loss (\$)	Holding period
BLACKROCK INC								
Symbol: BLK Exchange: NYSE								
EAI: \$3,244 Current yield: 2.93%								
	Oct 5, 12	7.000	189.932	1,329.53	297.470	2,082.29	752.76	LT
	Oct 5, 12	3.000	187.820	563.46	297.470	892.41	328.95	LT
	Oct 5, 12	2.000	186.670	373.34	297.470	594.94	221.60	LT
	Oct 8, 12	8.000	188.783	1,510.27	297.470	2,379.76	869.49	LT
	Oct 9, 12	15.000	189.186	2,837.79	297.470	4,462.05	1,624.26	LT
	Oct 9, 12	2.000	189.010	378.02	297.470	594.94	216.92	LT
	Oct 10, 12	3.000	187.720	563.16	297.470	892.41	329.25	LT
	Oct 10, 12	2.000	187.670	375.34	297.470	594.94	219.60	LT
	Oct 10, 12	2.000	187.995	375.99	297.470	594.94	218.95	LT
	Jan 23, 13	224.000	236.966	53,080.41	297.470	66,633.28	13,552.87	LT
	Apr 22, 13	104.000	251.093	26,113.69	297.470	30,936.88	4,823.19	LT
Security total		372.000	235.218	87,501.00		110,658.84	23,157.84	
COLGATE PALMOLIVE CO								
Symbol: CL Exchange: NYSE								
EAI: \$2,292 Current yield: 2.40%								
	Aug 4, 11	174.000	41.632	7,244.05	63.460	11,042.04	3,797.99	LT
	Aug 12, 11	4.000	42.450	169.80	63.460	253.84	84.04	LT
	Jan 23, 13	910.000	54.240	49,358.63	63.460	57,748.60	8,389.97	LT
	Apr 22, 13	420.000	59.788	25,111.32	63.460	26,653.20	1,541.88	LT
Security total		1,508.000	54.300	81,883.80		95,697.68	13,813.88	
EOG RESOURCES INC								
Symbol: EOG Exchange: NYSE								
EAI: \$335 Current yield: 0.92%								
	Jan 28, 15	500.000	90.411	45,205.72	72.800	36,400.00	-8,805.72	ST
FORTINET INC								
Symbol: FTNT Exchange: OTC								
	Jan 28, 15	500.000	31.942	15,971.36	42.480	21,240.00	5,268.64	ST
	Jan 30, 15	250.000	29.431	7,357.75	42.480	10,620.00	3,262.25	ST
Security total		750.000	31.105	23,329.11		31,860.00	8,530.89	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE								
EAI: \$3,312 Current yield: 3.14%								
	Aug 4, 11	191.000	36.265	6,926.77	56.130	10,720.83	3,794.06	LT
	Aug 12, 11	5.000	35.754	178.77	56.130	280.65	101.88	LT

continued next page

SDNY_GM_00020807

CNP70009006526509 NP7000303380 00002 0915 030575004 23568550 100000

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Sep 30 (\$)	Value on Sep 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Jan 23, 13	1,001.000	41.387	41,428.89	56.130	56,186.13	14,757.24	LT
	Apr 22, 13	464.000	50.287	23,333.21	56.130	26,044.32	2,711.11	LT
	Jun 17, 13	148.000	49.739	7,361.45	56.130	8,307.24	945.79	LT
	Jun 18, 13	73.000	49.836	3,638.07	56.130	4,097.49	459.42	LT
Security total		1,882.000	44.031	82,867.16		105,636.66	22,769.50	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$3,198 Current yield: 3.21%								
	Aug 4, 11	123.000	62.377	7,672.38	93.350	11,482.05	3,809.67	LT
	Aug 12, 11	3.000	63.730	191.19	93.350	280.05	88.86	LT
	Jan 23, 13	642.000	72.736	46,696.71	93.350	59,930.70	13,233.99	LT
	Apr 22, 13	298.000	84.721	25,247.10	93.350	27,818.30	2,571.20	LT
Security total		1,066.000	74.866	79,807.38		99,511.10	19,703.72	
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,461 Current yield: 3.45%								
	Aug 4, 11	95.000	84.969	8,072.06	98.530	9,360.35	1,288.29	LT
	Aug 12, 11	3.000	85.910	257.73	98.530	295.59	37.86	LT
	Nov 29, 12	8.000	86.456	691.65	98.530	788.24	96.59	LT
	Jan 23, 13	555.000	93.053	51,644.75	98.530	54,684.15	3,039.40	LT
	Apr 22, 13	255.000	99.318	25,326.32	98.530	25,125.15	-201.17	LT
	Sep 19, 13	78.000	97.879	7,634.63	98.530	7,685.34	50.71	LT
	Sep 19, 13	22.000	97.425	2,143.36	98.530	2,167.66	24.30	LT
	Sep 19, 13	2.000	97.830	195.66	98.530	197.06	1.40	LT
Security total		1,018.000	94.269	95,966.16		100,303.54	4,337.38	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$3,579 Current yield: 3.16%								
	Aug 4, 11	134.000	52.960	7,096.75	97.550	13,071.70	5,974.95	LT
	Aug 12, 11	3.000	52.530	157.59	97.550	292.65	135.06	LT
	Jan 23, 13	700.000	71.610	50,127.21	97.550	68,285.00	18,157.79	LT
	Apr 22, 13	325.000	79.757	25,921.06	97.550	31,703.75	5,782.69	LT
Security total		1,162.000	71.689	83,302.61		113,353.10	30,050.49	
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,907 Current yield: 4.54%								
	Feb 12, 14	148.000	88.959	13,165.96	66.150	9,790.20	-3,375.76	LT

continued next page

CONFIDENTIAL



Your assets › **Equities** › **Common stock** (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Sep 30 (\$)	Value on Sep 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Feb 12, 14	117.000	88.989	10,411.82	66.150	7,739.55	-2,672.27	LT
	Feb 12, 14	32.000	89.002	2,848.07	66.150	2,116.80	-731.27	LT
	Feb 12, 14	7.000	88.857	622.00	66.150	463.05	-158.95	LT
	Feb 13, 14	110.000	88.885	9,777.41	66.150	7,276.50	-2,500.91	LT
	Feb 13, 14	68.000	88.708	6,032.19	66.150	4,498.20	-1,533.99	LT
	Feb 13, 14	33.000	88.369	2,916.19	66.150	2,182.95	-733.24	LT
	Feb 13, 14	6.000	88.421	530.53	66.150	396.90	-133.63	LT
	Feb 14, 14	334.000	92.065	30,749.82	66.150	22,094.10	-8,655.72	LT
	Feb 18, 14	114.000	92.677	10,565.23	66.150	7,541.10	-3,024.13	LT
Security total		969.000	90.422	87,619.22		64,099.35	-23,519.87	
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,243 Current yield: 2.98%								
	Aug 4, 11	115.000	63.979	7,357.65	94.300	10,844.50	3,486.85	LT
	Aug 12, 11	3.000	63.023	189.07	94.300	282.90	93.83	LT
	May 16, 12	6.000	68.535	411.21	94.300	565.80	154.59	LT
	Oct 24, 12	1.000	68.690	68.69	94.300	94.30	25.61	LT
	Oct 25, 12	2.000	68.810	137.62	94.300	188.60	50.98	LT
	Oct 26, 12	1.000	68.890	68.89	94.300	94.30	25.41	LT
	Oct 31, 12	1.000	69.370	69.37	94.300	94.30	24.93	LT
	Nov 6, 12	1.000	69.370	69.37	94.300	94.30	24.93	LT
	Nov 7, 12	1.000	69.150	69.15	94.300	94.30	25.15	LT
	Nov 8, 12	2.000	69.090	138.18	94.300	188.60	50.42	LT
	Jan 23, 13	699.000	72.166	50,444.31	94.300	65,915.70	15,471.39	LT
	Apr 22, 13	322.000	82.251	26,484.85	94.300	30,364.60	3,879.75	LT
Security total		1,154.000	74.097	85,508.36		108,822.20	23,313.84	
PROCTER & GAMBLE CO								
Symbol: PG Exchange: NYSE								
EAI: \$3,007 Current yield: 3.69%								
	Aug 4, 11	118.000	60.103	7,092.22	71.940	8,488.92	1,396.70	LT
	Aug 12, 11	3.000	60.896	182.69	71.940	215.82	33.13	LT
	Jan 23, 13	619.000	69.941	43,293.73	71.940	44,530.86	1,237.13	LT
	Apr 22, 13	286.000	81.332	23,261.18	71.940	20,574.84	-2,686.34	LT
	Apr 24, 13	108.000	77.762	8,398.32	71.940	7,769.52	-628.80	LT

SDNY_GM_00020809 *continued next page*

CONFIDENTIAL



Your assets › Equities › Common stock (continued)

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Sep 30 (\$)	Value on Sep 30 (\$)	Unrealized gain or loss (\$)	Holding period
Security total		1,134,000	72.512	82,228.14		81,579.96	-648.18	
TRAVELERS COS INC/THE								
Symbol: TRV Exchange: NYSE								
EAI: \$2,811 Current yield: 2.45%								
	Apr 24, 12	20,000	63.432	1,268.64	99.530	1,990.60	721.96	LT
	Apr 24, 12	4,000	63.350	253.40	99.530	398.12	144.72	LT
	Apr 24, 12	1,000	63.560	63.56	99.530	99.53	35.97	LT
	Apr 25, 12	10,000	63.520	635.20	99.530	995.30	360.10	LT
	Apr 25, 12	10,000	63.617	636.17	99.530	995.30	359.13	LT
	Apr 25, 12	10,000	63.659	636.59	99.530	995.30	358.71	LT
	Apr 25, 12	2,000	63.545	127.09	99.530	199.06	71.97	LT
	Apr 25, 12	2,000	63.645	127.29	99.530	199.06	71.77	LT
	Apr 25, 12	2,000	63.745	127.49	99.530	199.06	71.57	LT
	Apr 26, 12	5,000	63.928	319.64	99.530	497.65	178.01	LT
	Apr 26, 12	2,000	63.920	127.84	99.530	199.06	71.22	LT
	Apr 26, 12	2,000	63.930	127.86	99.530	199.06	71.20	LT
	Apr 26, 12	1,000	63.720	63.72	99.530	99.53	35.81	LT
	May 1, 12	15,000	64.637	969.56	99.530	1,492.95	523.39	LT
	May 1, 12	6,000	64.715	388.29	99.530	597.18	208.89	LT
	May 1, 12	6,000	64.975	389.85	99.530	597.18	207.33	LT
	May 1, 12	2,000	64.850	129.70	99.530	199.06	69.36	LT
	May 1, 12	1,000	64.820	64.82	99.530	99.53	34.71	LT
	May 2, 12	7,000	64.374	450.62	99.530	696.71	246.09	LT
	May 2, 12	4,000	64.410	257.64	99.530	398.12	140.48	LT
	May 2, 12	2,000	64.320	128.64	99.530	199.06	70.42	LT
	May 3, 12	4,000	64.960	259.84	99.530	398.12	138.28	LT
	May 3, 12	2,000	64.675	129.35	99.530	199.06	69.71	LT
	May 3, 12	2,000	64.910	129.82	99.530	199.06	69.24	LT
	Jan 23, 13	629,000	77.560	48,785.62	99.530	62,604.37	13,818.75	LT
	Apr 22, 13	290,000	84.719	24,568.68	99.530	28,863.70	4,295.02	LT
	May 22, 13	111,000	83.807	9,302.58	99.530	11,047.83	1,745.25	LT
Security total		1,152,000	78.533	90,469.50		114,658.56	24,189.06	
Total				\$1,138,539.81		\$1,331,193.42	\$192,653.61	
Total estimated annual income: \$37,400								

CONFIDENTIAL



Your assets › **Equities** (continued)

Short options

Holding	Trade date	Number of contracts	Sale price per contract (\$)	Sale proceeds (\$)	Price per contract on Sep 30 (\$)	Contract premium (\$)	Value on Sep 30 (\$)	Unrealized gain or loss (\$)	Holding period
CALL AUTOMATIC DATA PROC									
DUE 10/16/15		80.000							
Expires: Oct 15									
Symbol: ADP	Aug 26, 15	-12.000	1.599	-1,919.96	160.000	1.600	-1,920.00	-0.04	ST
CALL JOHNSON & JOHNSON C									
DUE 10/16/15		100.000							
Expires: Oct 15									
Symbol: JNJ	Aug 26, 15	-10.000	0.999	-999.98	11.000	0.110	-110.00	889.98	ST
CALL BAXTER INTL INC									
DUE 10/16/15		40.000							
Expires: Oct 15									
Symbol: BAX	Aug 28, 15	-15.000	1.029	-1,544.97	8.000	0.080	-120.00	1,424.97	ST
CALL TRAVELERS COS INC/T									
DUE 10/16/15		105.000							
Expires: Oct 15									
Symbol: TRV	Sep 02, 15	-10.000	0.519	-519.99	16.000	0.160	-160.00	359.99	ST
CALL ANALOG DEVICES INC									
DUE 10/16/15		57.500							
Expires: Oct 15									
Symbol: ADI	Sep 02, 15	-17.000	1.459	-2,481.95	95.000	0.950	-1,615.00	866.95	ST
CALL NEXTERA ENERGY INC									
DUE 10/16/15		100.000							
Expires: Oct 15									
Symbol: NEE	Sep 02, 15	-10.000	1.139	-1,139.98	65.000	0.650	-650.00	489.98	ST
CALL BLACKROCK INC									
DUE 11/20/15		320.000							
Expires: Nov 15									
Symbol: BLK	Sep 25, 15	-3.000	5.063	-1,518.97	340.000	3.400	-1,020.00	498.97	ST
Total				-\$10,125.80			-\$5,595.00	\$4,530.80	

CONFIDENTIAL



Your assets (continued)

Your total assets

		Value on Sep 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	7,126.05	0.53%	7,126.05		
Equities	Common stock	1,331,193.42		1,138,539.81	37,400.00	192,653.61
	Short options	-5,595.00		-10,125.80		4,530.80
	Total equities	1,325,598.42	99.47%	1,128,414.01	37,400.00	197,184.41
Total		\$1,332,724.47	100.00%	\$1,135,540.06	\$37,400.00	\$197,184.41

Account activity this month

	Date	Activity	Description	Amount (\$)
Dividend and interest income				
<i>Taxable dividends</i>				
	Sep 8	Dividend	JOHNSON & JOHNSON COM PAID ON 1066	799.50
	Sep 9	Dividend	ANALOG DEVICES INC PAID ON 1751	700.40
	Sep 15	Dividend	NEXTERA ENERGY INC COM PAID ON 1162	894.74
	Sep 16	Dividend	MCDONALDS CORP PAID ON 1018	865.30
	Sep 22	Dividend	BLACKROCK INC PAID ON 372	810.96
	Sep 29	Dividend	CDK GLOBAL INC COMPAID ON 424	50.88
	Sep 29	Dividend	PEPSICO INC PAID ON 1154	810.69
	Sep 29	Dividend	TRAVELERS COS INC/THE PAID ON 1152	702.72
		Total taxable dividends		\$5,635.19
<i>Taxable interest</i>				
	Sep 8	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 09/04/15	0.03
		Total taxable interest		\$0.03
		Total dividend and interest income		\$5,635.22
Other funds debited				
	Sep 1	Transfer	JOURNAL TO [REDACTED] 23575 GHISLAINE MAXWELL	-216,265.51
	Sep 3	Transfer	JOURNAL TO [REDACTED] 23575 GHISLAINE MAXWELL	-24,661.02
	Sep 22	Loan Charge	LOAN INTEREST CHARGED	-28.14
		Total other funds debited		-\$240,954.67

CONFIDENTIAL



Account activity this month (continued)

Investment transactions

For more information about the price value shown for restricted securities, see *Important information about your statement* at the end of this document.

Date	Activity	Description	Quantity	Value (\$)	Price (\$)	Proceeds from investment transactions (\$)	Funds withdrawn for investments bought (\$)	Accrued interest (\$)
Sep 1	Sold	CATERPILLAR INC	-1,110.000		75.146200	83,410.75		
Sep 3	Sold	CALL TRAVELERS COS INC/T DUE 10/16/15 105.000 OPEN CUST CVRD	-10.000		52 CENTS	519.99		
Sep 3	Sold	CALL ANALOG DEVICES INC DUE 10/16/15 57.500 OPEN CUST CVRD	-17.000		1.46	2,481.95		
Sep 3	Sold	CALL NEXTERA ENERGY INC DUE 10/16/15 100.000 OPEN CUST CVRD	-10.000		1.14	1,139.98		
Sep 8	Sold	CDK GLOBAL INC COM	-424.000		48.395000	20,519.10		
Sep 28	Sold	CALL BLACKROCK INC DUE 11/20/15 320.000 OPEN CUST CVRD	-3.000		5.063333	1,518.97		
Total						\$109,590.74		

Date	Activity	Description	Amount (\$)
Aug 31	Balance forward		\$59,660.81
Sep 1	Deposit	UBS BANK USA DEPOSIT ACCOUNT	73,193.95
Sep 2	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 09/01/15	-132,854.76
Sep 9	Deposit	UBS BANK USA DEPOSIT ACCOUNT	799.53
Sep 10	Deposit	UBS BANK USA DEPOSIT ACCOUNT	700.40
Sep 16	Deposit	UBS BANK USA DEPOSIT ACCOUNT	894.74
Sep 17	Deposit	UBS BANK USA DEPOSIT ACCOUNT	865.30
Sep 23	Deposit	UBS BANK USA DEPOSIT ACCOUNT	782.82
Sep 29	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,518.97
Sep 30	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,564.29
Sep 30	Closing UBS Bank USA Deposit Account		\$7,126.05

The UBS Bank USA Deposit Account is your primary sweep option.

CONFIDENTIAL



Realized gains and losses

The estimated realized gains and losses shown below are not for tax purposes. Please note that gain or loss recognized on the sale or redemption of certain Structured Products, like Contingent Debt Securities, may be ordinary, and not capital, gain or loss. Please check with your tax advisor. To calculate gains and losses, we liquidate the oldest security lot first. This is known as the first-in, first-out or FIFO accounting method. We use this method unless you specified which tax lot to close when you placed your order. This is known as a versus purchases or VSP order. See *Important information about your statement* at the end of this document for more

information. We may not adjust gains and losses for all capital changes. We automatically adjust cost basis for tax-exempt and AMT coupon municipal securities for estimated amortization of bond premiums and for accreted OID for securities issued at a discount. If you requested that UBS adjust cost basis for the bond premium amortization on taxable debt securities then cost basis reflected for these securities has been adjusted. Estimates in the *Unclassified* section can not be classified as short term or long term because information is missing, or the product is one in which the gain/loss calculation is not provided.

Long-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount (\$)	Cost basis (\$)	Wash sale cost basis adjustment(\$)	Loss (\$)	Gain (\$)
CATERPILLAR INC	FIFO	72.000	Jun 19, 13	Aug 27, 15	5,410.43	6,099.75		-689.32	
	FIFO	121.000	Jun 20, 13	Aug 27, 15	9,092.52	10,060.15		-967.63	
	FIFO	78.000	Jun 20, 13	Aug 27, 15	5,861.30	6,476.39		-615.09	
	FIFO	204.000	Jun 21, 13	Aug 27, 15	15,329.54	16,912.44		-1,582.90	
	FIFO	111.000	Jun 24, 13	Aug 27, 15	8,341.07	9,048.46		-707.39	
	FIFO	73.000	Jun 25, 13	Aug 27, 15	5,485.58	6,011.86		-526.28	
	FIFO	69.000	Jun 26, 13	Aug 27, 15	5,184.99	5,675.90		-490.91	
	FIFO	141.000	Jun 27, 13	Aug 27, 15	10,595.42	11,696.12		-1,100.70	
	FIFO	7.000	Jun 27, 13	Aug 27, 15	526.01	580.48		-54.47	
	FIFO	169.000	Jun 28, 13	Aug 27, 15	12,699.48	13,988.92		-1,289.44	
	FIFO	65.000	Jul 01, 13	Aug 27, 15	4,884.41	5,380.78		-496.37	
CDK GLOBAL INC COM	FIFO	48.666	Aug 04, 11	Sep 02, 15	2,355.18	894.45			1,460.73
	FIFO	1.333	Aug 12, 11	Sep 02, 15	64.53	23.70			40.83
	FIFO	255.666	Jan 23, 13	Sep 02, 15	12,372.76	5,806.16			6,566.60
	FIFO	118.333	Apr 22, 13	Sep 02, 15	5,726.63	2,921.03			2,805.60
Total					\$103,929.85	\$101,576.59		-\$8,520.50	\$10,873.76
Net long-term capital gains or losses									\$2,353.26
Net capital gains/losses:									\$2,353.26

CONFIDENTIAL

Important information about your statement

UBS Financial Services Inc. (the Firm or UBS Financial Services), is a member of all principal security, commodity and options exchanges. UBS Financial Services and UBS Bank USA are indirect subsidiaries of UBS AG and affiliates of UBS Securities LLC. The Firm's financial statement is available upon request. The Firm's executive offices are at:

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

This statement represents the only official record of your UBS Financial Services account. Other records, except official tax documents, containing conflicting data should not be relied upon. If you believe there is an error or omission, please report it immediately in writing to the Branch Manager of the office serving your account.

Although all figures shown are intended to be accurate, statement data should not be used for tax purposes. Rely solely on year-end tax forms, (i.e., Form 1099, 5498, 1042S, etc.) when preparing your tax return. The Firm is required by law to report to the IRS all taxable dividends, reportable non-taxable dividends and taxable interest earned on securities held in your account, net proceeds on sale transactions, and cost basis on certain covered securities.

Communications with the Firm

- Please re-confirm any oral communications in writing to further protect your rights, including your rights under the Securities Investor Protection Act (SIPA).
- If the financial institution on the top left of the front of this statement is not UBS Financial Services, UBS Financial Services carries your account as clearing broker by arrangement with the indicated institution. We informed you of this relationship when you opened this account. In this case, your funds and securities are located at UBS Financial Services and not the introducing broker, and you must make a report of any error or omission to **both** firms.

All account statements shall be deemed complete and accurate if not objected to in writing within 60 days.

- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1699 or toll-free at 800-354-9103, 8:00 A.M. to 6:00 P.M. ET Monday through Friday, or in writing to UBS Financial Services Inc., Client Relations Department, P.O. Box 766 Union City, NJ 07087.
- In case of errors or questions about an electronic funds transfer (EFT), bill payment or UBS Visa® debit card transactions, call 800-762-1000, or write to UBS Financial Services Inc., 1000 Harbor Blvd., 6th floor, Weehawken, NJ 07086, Attn: RMB/BSA Services.

Call or write as soon as you can, if you think your statement or receipt is wrong or if you need more information about a transfer on the statement or receipt. The Firm or Card Issuer (as applicable) must hear from you no later than 60 days after the Firm sent you the first statement on which the error or problem appeared.

- Provide your name and account number (if any).
- Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- Provide the dollar amount of the suspected error.

The Firm or Card Issuer will investigate your complaint and will correct any error promptly.

Please make all checks payable to the Firm or the financial institution indicated on the front of this statement. In addition to regular account fees, accounts may be subject to maintenance fees, charges for late payment for securities purchases and charges for unpaid amounts in cash accounts. Accounts that are transferred to other institutions may be subject to a transfer fee.

UBS Sweep Options

UBS offers options for sweeping cash balances, balances to bank deposits at UBS Bank USA and UBS AG Stamford branch (Bank Sweep Programs), money market mutual funds (Money Funds) and the International Deposit Account (IDA) for customers with an International Resource Management Account. Through the Bank Sweep Programs, cash balances are swept to UBS Bank USA up to an established limit and then to UBS AG Stamford Branch, or a Money Fund. Deposits at UBS Bank USA are FDIC insured in accordance with FDIC rules. For more information please visit www.fdic.gov. Deposits at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Through the IDA, available to cash balances are swept to deposit accounts at UBS AG New York Branch and UBS AG Cayman Branch. These deposits are not insured by the FDIC. Balances held at the UBS AG Cayman Branch are temporarily exposed to the sovereign risk of the Cayman Islands, and there is no guarantee or other obligation of UBS AG to repay the balances while on the UBS Cayman's Branch's books.

Deposits at UBS Bank USA and each UBS AG Branch are not protected by SIPC. Money Fund shares are protected by SIPC. See "UBS Financial Services Account Protection" below.

Upon your request, balances in the Bank Sweep Programs or IDA may be withdrawn, and shares of a Money Fund may be liquidated, and the proceeds returned to you or your securities account.

Further information about available sweep options, including current interest rates and yields, is available at www.ubs.com/sweepyields, from your Financial Advisor or by calling 800-762-1000.

UBS Financial Services account protection

The Firm is a member of the Securities Investor Protection Corporation (SIPC), which protects securities accounts of its members up to \$500,000 (including \$250,000 for claims for cash). The SIPC asset protection limits apply to all accounts that you hold in a particular capacity. The Firm, together with certain affiliates, has also purchased supplemental protection. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2013.

Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 million in the aggregate for all your accounts held in a particular capacity. A full copy of the policy wording is available upon request.

The SIPC protection and the supplemental protection both do not apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services (e.g., certain (i) cash at UBS Bank, (ii) cash at UBS AG Stamford branch, (iii) insurance products, including variable annuities, and (iv) shares of mutual funds where such shares are registered directly in the name of the account

holder on the books and records of the applicable issuer or transfer agent).

- Certain investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933; and
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts.

The SIPC protection and the supplemental protection do not apply to these assets even if they otherwise appear on your statements. The SIPC protection and the supplemental protection do not protect against changes in the market value of your investments (whether as a result of market movement, issuer bankruptcy or otherwise).

More information is available upon request. You may obtain more information about SIPC, including the SIPC Brochure, by contacting SIPC at 202-371-8300 or by visiting the SIPC website at www.sipc.org.

Dividend Reinvestment Program (DRIP)

The price reflected is an average price. You may obtain the actual price from your Financial Advisor. Only whole shares are purchased under DRIP, partial shares will be sold and the cash will be deposited in your account. The dividend reinvestment price supplied by the issuer may differ from the market price at which the partial shares are sold.

Cash-in-lieu

Only whole units may be held in your account. If you are entitled to a partial unit as a result of a dividend payment or otherwise, the Firm will either sell partial units at market price or accept an amount determined by a registered clearing agency, and credit your account.

Investment objectives

The investment objectives and risk profile are specific to each account and may vary between. Please advise the Firm promptly in writing of any significant change in your financial situation or investment objectives. For each account held, you choose one of the following investment objectives:

- **Produce Current Income:** Investments seeking the generation of income only.
- **Achieve Capital Appreciation:** Investments seeking growth of principal rather than the generation of income.
- **Produce Combination of Income and Capital Appreciation:** Investments seeking both the generation of income and growth of principal.

Overall risk profiles

- **Conservative:** Seeks to maintain initial principal, with low risk and volatility to the account overall, even if that means the account does not generate significant income or returns and may not keep pace with inflation.
- **Moderate:** Willing to accept some risk to principal and tolerate some volatility to seek higher returns.
- **Aggressive:** Willing to accept high risk to principal and high volatility to seek high returns over time.

Statement "householding"

We may consolidate all related account statements with the same address in the same envelope. Accounts may be related for this purpose because they have owners who also maintain joint account relationships with other clients at the same address. This practice is known as "householding." If you prefer to receive individual statements mailed in separate

envelopes — you may decline householding by calling your Financial Advisor.

Friendly account name

The Friendly account name reflects information that you entered on the Firm's online services website. It is a customizable "nickname" chosen by you to assist you with your recordkeeping. It has no legal effect on your account. You can change your Friendly account names, through Online Services or by contacting your Financial Advisor.

Account overview

- **Value of your accounts/ portfolio:** Net of assets and liabilities.
- **Assets:** Includes available cash balances, values for restricted security (est.), and Global Time Deposits, unrealized marks to market, and certain assets not held by the Firm. Does not include unpriced securities/assets at the end of the prior and current statement periods, or private investments, unvested stock options and exercisable stock options.
- **Liabilities:** Includes debit balances, outstanding margin loans, credit line, short account balances.
- **Cash/money balances:** Total of uninvested available cash balances, plus UBS Bank USA deposit balances, UBS AG Stamford Branch deposit balances and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

Lending information

For detailed information on the Firm's lending practices and disclosures, refer to your Client Relationship Agreement or Account Agreement and the General Terms and Conditions. UBS Statement of Credit Practices available in Agreements and Disclosures at www.ubs.com/accountinfo/terms

Your assets

Your statement itemizes securities and other assets held in the account at the end of the statement period. You may ask for delivery of fully paid securities at any time. You may receive securities used as loan collateral after paying any balance due on them. Any securities transferred to the Firm during the statement period are listed at market value as of the end of the statement period.

- **Cost basis:** In determining the cost basis of the securities included in this statement, where indicated with the number "1," UBS Financial Services has relied on information obtained from sources other than UBS Financial Services, including information from another firm or that you may have provided to your Financial Advisor. The Firm does not independently verify or guarantee the accuracy or validity of any information provided by sources other than UBS Financial Services.

In addition, although UBS Financial Services generally updates this information as it is received, the Firm does not provide any assurances that the information under "Cost basis" and "Unrealized gain/loss" is accurate as of the date of this statement. As such, please do not rely on this information to make purchase or sale decisions, for tax purposes or otherwise. Accounts transferred to the Firm may reflect gain/loss information only for the period of time they are held at the Firm. More historical information can be added by your Financial Advisor.

- **Unrealized gains/losses:** When data is available, estimated unrealized gains/losses are calculated for

SDNY_GM_00020815

CONFIDENTIAL

EFTA_00131435

EFTA01273642

Important information about your statement (continued)

individual security lots. The transaction data for individual lots may or may not reflect commissions, charges and/or security reorganization events. Dividend and other reinvestment lots and systematic purchase lots are each combined to display one averaged lot. The "Trade date" column presents the original transaction trade date.

• **Callable securities.** Bonds and preferred stock that the issuer calls for early redemption will be selected impartially by lot from among all securities of that issue held in our name or in nominee name for our clients. Call feature information is obtained from third parties and its accuracy is not guaranteed. Other call features may exist which could affect yield. Complete information will be provided upon request.

• **Certificates of deposit (CDs)** CDs are FDIC insured up to \$250,000 in principal and accrued interest per depositor and per depository institution, in accordance with FDIC rules.

• **Price/value.** Prices displayed for securities and other products may be higher or lower than the price that you would actually receive in the market. Prices are obtained from various third party sources which we believe to be reliable, but we do not guarantee their accuracy.

- We generally use the closing price when available or the mean of the bid and ask prices for listed securities and options or only bid prices for OTC securities.
- Less actively traded securities may be priced using a valuation model or the most recent price we obtained and may not reflect an actual market price or value.
- Certain positions may appear without a price and will show as "price was not available" if we are unable to obtain a price for a security.
- Deposits or securities denominated in currencies other than U.S. dollars are reflected at the exchange rate as of the statement date.
- For certain securities trading in non-conforming denominations, price and quantity (face value) may have been adjusted to facilitate proper valuation.

To obtain current quotations, when available, contact your Financial Advisor.

• **Private investments and structured products.** Private investment securities (including direct participation program and real estate investment trust securities) and structured products are generally highly illiquid. Certain structured products have not been registered with the Securities and Exchange Commission or under any state securities laws. We provide estimated values for private investment securities and structured products for informational purposes only. Accuracy is not guaranteed.

- These values may differ substantially from prices, if any, at which a private investment security or structured product may be bought or sold and do not necessarily represent the value you may receive upon liquidation.
- Third party estimates of value are as of a certain date and are supplied to UBS Financial Services on a regular basis by an independent valuation firm.
- Issuer, general partner or sponsor estimated values, if any, are supplied to the Firm by the issuer, general partner or sponsor and may be calculated based on different information from that used by third parties to derive their estimated values.
- You can obtain additional information regarding the methodology used to determine the estimate of value and the date of the information that is the basis for the estimate by contacting your Financial Advisor.

- Third party estimated values may be reflected as "Not priced" in several situations: when an independent valuation firm has not supplied or is unable to assign a value, when we become aware that a material event has occurred that may call a previously reported value into question, or when a value would be highly speculative due to the nature of the security.
- When neither an issuer, general partner or sponsor estimated value nor a third-party estimated value is provided, the value of the security will be different from its purchase price.
- "Distributions to date" may include return of capital, income or both.
- "Original unit size" represents the initial offering price per unit and may not reflect your cost basis.

• **Restricted securities.** Restricted securities generally are not currently eligible for public sale. UBS Financial Services uses the market price of the unrestricted stock of the same issuer as an imputed value for the restricted stock for purposes of this statement only. To the extent that restricted securities are eligible for sale, the value received may be substantially less than the imputed value shown.

• **Est. (estimated) income, current yields and rates.** An estimate of annual income is based on current dividend and interest rates, assuming the securities will be held for one year from statement date or until maturity. This estimate is only a guideline; accuracy and continued income are not guaranteed.

- Estimated annual income and current yield for certain types of securities could include a return of principal or capital gains in which case the est. income (and current yield) would be overstated.
- Estimated annual income and current yield and the actual income and yield might be lower or higher than the estimated amounts.
- An estimate of annualized income (dividend and/or interest) divided by the current market value/average balance is based on the last dividend or interest payment made by the issuer and assumes the securities deposits will be held for one year from the statement date or until maturity. Accuracy and continued yield are not guaranteed.

• **Assets not held by UBS Financial Services.** Certain assets are not held by the Firm and not within the Firm's possession or control. These assets are displayed on your statement for informational purposes only. Positions and values presented are provided by the issuing firm. UBS Financial Services is not responsible for this information and does not guarantee its accuracy. These assets are not protected by SIPC or the Firm's supplemental SIPC coverage.

• **Revenue sharing and additional compensation.**

- In addition to commissions on sales and 12b-1 fees received in connection with the distribution of mutual funds to our clients we and/or our affiliate receive revenue sharing payments from distributors and/or advisors of the mutual funds that we sell. These amounts are based on two different components: (i) the amount of sales by UBS of a particular mutual fund family to our clients; and (ii) the asset value of a particular mutual fund family's shares held at the firm.
- We and our affiliate also receive networking and omnibus processing fees in consideration for transfer agent services that we provide to the mutual funds. These fees generally are paid from investor assets in the mutual fund and are a fixed dollar amount based on the

number of accounts at the broker-dealer holding mutual funds of that fund family.

- In addition to commissions received in connection with the sale or distribution of annuity contracts and unit investment trust units to our clients, we and/or our affiliate receive revenue sharing compensation from many of the insurance companies underwriting the annuity contracts, affiliates of the insurance companies or sponsors of the unit investment trusts we distribute.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.
- We receive an annual fee from UBS Bank USA and UBS AG Stamford Branch of up to \$25 per account sweeping to the banks under the UBS Bank Sweep Programs.

Activity

Information regarding commissions and other charges incurred in connection with the execution of trades, including option transactions has been included on confirmations previously furnished to you, and will be provided to you promptly on request.

Short selling

If you are engaged in short selling a security, you may incur a charge due to certain borrowing costs for that particular security.

Open orders

Regarding open or "good-till-cancelled" orders that were not executed by the statement date, open buy and sell stop orders are reduced by the amount of dividends or rights on an ex-dividends or ex-rights date unless instructed otherwise by you. You are responsible for orders that are executed due to your failure to cancel existing open orders.

Tax withholding on distributions from UBS Financial Services IRAs

Federal tax law requires UBS Financial Services to withhold income tax from your taxable IRA distributions, but you may elect not to have income tax withheld or, instead, you may elect to have tax withheld at a rate or in a fixed amount as you choose. Your election will remain in effect until revoked by you. You may revoke your election at any time by making a new election. If you do not have enough income tax withheld from your distributions, you may be responsible for the payment of estimated tax. You may incur penalties if the amounts withheld and your estimated tax payments are not equal to your tax obligation.

Privacy

To obtain a copy of our current Client Privacy Notice, please contact your Financial Advisor or visit our website at www.ubs.com/privacypolicy.

UBS Financial Services is not a bank. The RMA, Business Services Account BSA and IRMA are brokerage accounts which provide access to banking services and products through arrangements with affiliated banks and other third-party banks, and provides access to insurance and annuity products issued by unaffiliated third-party insurance companies through insurance agency subsidiaries of UBS Financial Services Inc.

Investment, insurance, and annuity products:
Not FDIC insured • No bank guarantee • May lose value

RMA, Resource Management Account, Business Services Account BSA, IRMA and International Resource Management

Account are registered service marks of UBS Financial Services Inc.

Visa Signature is a registered service mark of Visa International. UBS Visa Signature credit cards and UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated.

UBS Financial Services Inc. Rev. 201407

SDNY_GM_00020816

CONFIDENTIAL

EFTA_00131436

EFTA01273643