



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

CNP70057252491015 Y1 0

# UBS Strategic Advisor

October 2015

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

**Account name:** GHISLAINE MAXWELL

**Friendly account name:** Individ. [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 [REDACTED]  
account [REDACTED]

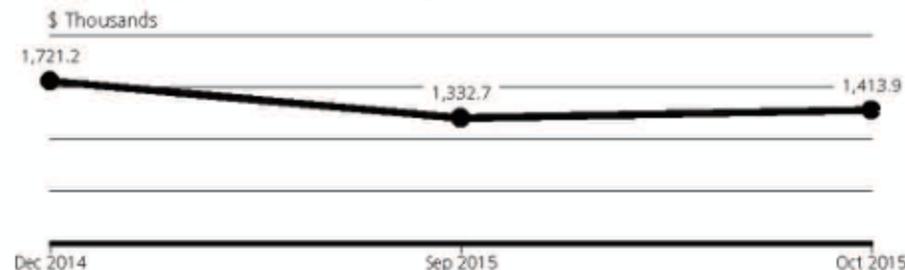
**Visit our website:**

[REDACTED]

## Value of your account

	on September 30 (\$)	on October 30 (\$)
Your assets	1,332,724.47	1,413,893.34
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$1,332,724.47</b>	<b>\$1,413,893.34</b>

## 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	-\$306,227.75
Your investment return:	
Dividend and interest income	\$36,091.40
Change in market value	-\$37,142.67
<b>Value of your account on Oct 30, 2015</b>	<b>\$1,413,893.34</b>

**CONFIDENTIAL**



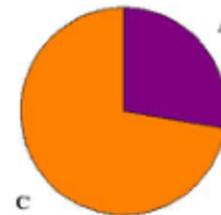
## Your account balance sheet

### Summary of your assets

	Value on October 30 (\$)	Percentage of your account
<b>A</b> Cash and money balances	392,086.32	27.73%
<b>B</b> Cash alternatives	0.00	0.00%
<b>C</b> Equities	1,021,807.02	72.27%
<b>D</b> Fixed income	0.00	0.00%
<b>E</b> Non-traditional	0.00	0.00%
<b>F</b> Commodities	0.00	0.00%
<b>G</b> Other	0.00	0.00%
<b>Total assets</b>	<b>\$1,413,893.34</b>	<b>100.00%</b>

**Value of your account** **\$1,413,893.34**

### 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 2015	Year to date
S&P 500	8.44%	2.70%
Russell 3000	7.90%	2.02%
MSCI - Europe, Australia & Far East	7.82%	2.53%
Barclays Capital U.S. Aggregate Bond Index	0.02%	1.14%

#### Interest rates on October 30, 2015

3-month Treasury bills: 0.08%  
One-month LIBOR: 0.19%

**CONFIDENTIAL**



## Change in the value of your account

	October 2015 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$1,332,724.47</b>	<b>\$1,721,172.36</b>
Deposits, including investments transferred in	0.00	2,200.00
Withdrawals and fees, including investments transferred out	-8,812.70	-308,427.75
Dividend and interest income	1,612.88	36,091.40
Change in market value	88,368.69	-37,142.67
<b>Closing account value</b>	<b>\$1,413,893.34</b>	<b>\$1,413,893.34</b>

## 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 2015 (\$)	Year to date (\$)
Taxable dividends	1,612.88	36,086.55
Taxable interest	0.00	4.69
<b>Total current year</b>	<b>\$1,612.88</b>	<b>\$36,091.24</b>
Prior year adjustment	0.00	0.16
<b>Total dividend &amp; interest</b>	<b>\$1,612.88</b>	<b>\$36,091.40</b>

## 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 2015 (\$)	Year to date (\$)	
Short term	2,544.95	2,544.95	-8,044.62
Long term	122,799.91	146,791.68	168,252.86
<b>Total</b>	<b>\$125,344.86</b>	<b>\$149,336.63</b>	<b>\$160,208.24</b>

## 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 2015 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$7,126.05</b>	<b>\$6,517.57</b>
<i>Additions</i>		
Deposits and other funds credited	0.00	2,200.00
Dividend and interest income	1,612.88	36,091.40
Proceeds from investment transactions	400,702.62	748,645.65
<b>Total additions</b>	<b>\$402,315.50</b>	<b>\$786,937.05</b>
<i>Subtractions</i>		
Professional management fees and related services	-1,686.65	-8,082.81
Other funds debited	-7,126.05	-300,344.94
Funds withdrawn for investments bought	-8,542.53	-92,940.55
<b>Total subtractions</b>	<b>-\$17,355.23</b>	<b>-\$401,368.30</b>
<b>Net cash flow</b>	<b>\$384,960.27</b>	<b>\$385,568.75</b>
<b>Closing balances</b>	<b>\$392,086.32</b>	<b>\$392,086.32</b>

SDNY\_GM\_00020819

**CONFIDENTIAL**



## Loan summary

Year to date loan interest \$28.14

## 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	\$802.22
Number of days in interest period	29
Average daily balance	\$2,534.88
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:**

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 30 (\$)	Price per share on Oct 30 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
RMA MONEY MKT. PORTFOLIO	0.00	142,086.32	1.00	0.01%	Sep 24 to Oct 25	32	
UBS BANK USA DEP ACCT	7,126.05	250,000.00					250,000.00
<b>Total</b>	<b>\$7,126.05</b>	<b>\$392,086.32</b>					

### Equities

#### Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Oct 30 (\$)	Value on Oct 30 (\$)	Unrealized gain or loss (\$)	Holding period
AECOM								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	29.470	14,735.00	1,425.05	ST
	Jan 30, 15	100.000	25.532	2,553.24	29.470	2,947.00	393.76	ST
Security total		600.000	26.439	15,863.19		17,682.00	1,818.81	
ANALOG DEVICES INC								
Symbol: ADI Exchange: OTC	Apr 22, 13	51.000	42.447	2,164.81	60.120	3,066.12	901.31	LT
EAI: \$82 Current yield: 2.67%								
AUTOMATIC DATA PROCESSING INC								
Symbol: ADP Exchange: OTC	Apr 22, 13	72.000	56.870	4,094.67	86.990	6,263.28	2,168.61	LT
EAI: \$141 Current yield: 2.25%								

*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 Oct 30 (\$)	Value on Oct 30 (\$)	Unrealized gain or loss (\$)	Holding period
<b>BAXTER INTL INC</b>								
Symbol: BAX Exchange: NYSE								
EAI: \$716 Current yield: 1.23%								
	Jun 20, 12	30.000	28.496	854.88	37.390	1,121.70	266.82	LT
	Jun 20, 12	17.000	28.455	483.75	37.390	635.63	151.88	LT
	Jun 21, 12	29.000	28.762	834.12	37.390	1,084.31	250.19	LT
	Jun 21, 12	7.000	28.444	199.11	37.390	261.73	62.62	LT
	Jun 21, 12	5.000	28.838	144.19	37.390	186.95	42.76	LT
	Jun 22, 12	61.000	28.658	1,748.19	37.390	2,280.79	532.60	LT
	Jan 23, 13	768.000	36.815	28,274.47	37.390	28,715.52	441.05	LT
	Apr 22, 13	355.000	38.284	13,591.05	37.390	13,273.45	-317.60	LT
	Sep 19, 13	74.000	39.857	2,949.45	37.390	2,766.86	-182.59	LT
	Sep 19, 13	6.000	39.696	238.18	37.390	224.34	-13.84	LT
	Sep 19, 13	3.000	39.700	119.10	37.390	112.17	-6.93	LT
	Sep 20, 13	47.000	39.758	1,868.67	37.390	1,757.33	-111.34	LT
	Oct 3, 13	154.000	35.679	5,494.57	37.390	5,758.06	263.49	LT
<b>Security total</b>		<b>1,556.000</b>	<b>36.504</b>	<b>56,799.73</b>		<b>58,178.84</b>	<b>1,379.11</b>	
<b>BLACKROCK INC</b>								
Symbol: BLK Exchange: NYSE								
EAI: \$3,244 Current yield: 2.48%								
	Oct 5, 12	7.000	189.932	1,329.53	351.970	2,463.79	1,134.26	LT
	Oct 5, 12	3.000	187.820	563.46	351.970	1,055.91	492.45	LT
	Oct 5, 12	2.000	186.670	373.34	351.970	703.94	330.60	LT
	Oct 8, 12	8.000	188.783	1,510.27	351.970	2,815.76	1,305.49	LT
	Oct 9, 12	15.000	189.186	2,837.79	351.970	5,279.55	2,441.76	LT
	Oct 9, 12	2.000	189.010	378.02	351.970	703.94	325.92	LT
	Oct 10, 12	3.000	187.720	563.16	351.970	1,055.91	492.75	LT
	Oct 10, 12	2.000	187.670	375.34	351.970	703.94	328.60	LT
	Oct 10, 12	2.000	187.995	375.99	351.970	703.94	327.95	LT
	Jan 23, 13	224.000	236.966	53,080.41	351.970	78,841.28	25,760.87	LT
	Apr 22, 13	104.000	251.093	26,113.69	351.970	36,604.88	10,491.19	LT
<b>Security total</b>		<b>372.000</b>	<b>235.218</b>	<b>87,501.00</b>		<b>130,932.84</b>	<b>43,431.84</b>	
<b>COLGATE PALMOLIVE CO</b>								
Symbol: CL Exchange: NYSE								
EAI: \$2,292 Current yield: 2.29%								
	Aug 4, 11	174.000	41.632	7,244.05	66.350	11,544.90	4,300.85	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 Oct 30 (\$)	Value on Oct 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Aug 12, 11	4.000	42.450	169.80	66.350	265.40	95.60	LT
	Jan 23, 13	910.000	54.240	49,358.63	66.350	60,378.50	11,019.87	LT
	Apr 22, 13	420.000	59.788	25,111.32	66.350	27,867.00	2,755.68	LT
Security total		1,508.000	54.300	81,883.80		100,055.80	18,172.00	
EOG RESOURCES INC								
Symbol: EOG Exchange: NYSE								
EAI: \$335 Current yield: 0.78%								
	Jan 28, 15	500.000	90.411	45,205.72	85.850	42,925.00	-2,280.72	ST
FORTINET INC								
Symbol: FTNT Exchange: OTC								
	Jan 28, 15	500.000	31.942	15,971.36	34.360	17,180.00	1,208.64	ST
	Jan 30, 15	250.000	29.431	7,357.75	34.360	8,590.00	1,232.25	ST
	Oct 26, 15	250.000	34.170	8,542.53	34.360	8,590.00	47.47	ST
Security total		1,000.000	31.872	31,871.64		34,360.00	2,488.36	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE								
EAI: \$3,312 Current yield: 3.03%								
	Aug 4, 11	191.000	36.265	6,926.77	58.110	11,099.01	4,172.24	LT
	Aug 12, 11	5.000	35.754	178.77	58.110	290.55	111.78	LT
	Jan 23, 13	1,001.000	41.387	41,428.89	58.110	58,168.11	16,739.22	LT
	Apr 22, 13	464.000	50.287	23,333.21	58.110	26,963.04	3,629.83	LT
	Jun 17, 13	148.000	49.739	7,361.45	58.110	8,600.28	1,238.83	LT
	Jun 18, 13	73.000	49.836	3,638.07	58.110	4,242.03	603.96	LT
Security total		1,882.000	44.031	82,867.16		109,363.02	26,495.86	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$3,198 Current yield: 2.97%								
	Aug 4, 11	123.000	62.377	7,672.38	101.030	12,426.69	4,754.31	LT
	Aug 12, 11	3.000	63.730	191.19	101.030	303.09	111.90	LT
	Jan 23, 13	642.000	72.736	46,696.71	101.030	64,861.26	18,164.55	LT
	Apr 22, 13	298.000	84.721	25,247.10	101.030	30,106.94	4,859.84	LT
Security total		1,066.000	74.866	79,807.38		107,697.98	27,890.60	
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,461 Current yield: 3.03%								
	Aug 4, 11	95.000	84.969	8,072.06	112.250	10,663.75	2,591.69	LT
	Aug 12, 11	3.000	85.910	257.73	112.250	336.75	79.02	LT

continued next page

SDNY\_GM\_00020823

CNP70009005725255 NP7000189496 00002 1015 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 30 (\$)	Value on Oct 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Nov 7, 12	1.000	69.150	69.15	102.190	102.19	33.04	LT
	Nov 8, 12	2.000	69.090	138.18	102.190	204.38	66.20	LT
	Jan 23, 13	699.000	72.166	50,444.31	102.190	71,430.81	20,986.50	LT
	Apr 22, 13	322.000	82.251	26,484.85	102.190	32,905.18	6,420.33	LT
<b>Security total</b>		<b>1,154.000</b>	<b>74.097</b>	<b>85,508.36</b>		<b>117,927.26</b>	<b>32,418.90</b>	
<b>PROCTER &amp; GAMBLE CO</b>								
Symbol: PG Exchange: NYSE								
EAI: \$3,007 Current yield: 3.47%								
	Aug 4, 11	118.000	60.103	7,092.22	76.380	9,012.84	1,920.62	LT
	Aug 12, 11	3.000	60.896	182.69	76.380	229.14	46.45	LT
	Jan 23, 13	619.000	69.941	43,293.73	76.380	47,279.22	3,985.49	LT
	Apr 22, 13	286.000	81.332	23,261.18	76.380	21,844.68	-1,416.50	LT
	Apr 24, 13	108.000	77.762	8,398.32	76.380	8,249.04	-149.28	LT
<b>Security total</b>		<b>1,134.000</b>	<b>72.512</b>	<b>82,228.14</b>		<b>86,614.92</b>	<b>4,386.78</b>	
<b>TRAVELERS COS INC/THE</b>								
Symbol: TRV Exchange: NYSE								
EAI: \$371 Current yield: 2.16%								
	Apr 22, 13	41.000	84.719	3,473.50	112.890	4,628.49	1,154.99	LT
	May 22, 13	111.000	83.807	9,302.58	112.890	12,530.79	3,228.21	LT
<b>Security total</b>		<b>152.000</b>	<b>84.053</b>	<b>12,776.08</b>		<b>17,159.28</b>	<b>4,383.20</b>	
<b>Total</b>				<b>\$865,077.71</b>		<b>\$1,035,357.02</b>	<b>\$170,279.31</b>	

**Total estimated annual income: \$26,808**

**Short options**

Holding	Trade date	Number of contracts	Sale price per contract (\$)	Sale proceeds (\$)	Price per contract on Oct 30 (\$)	Contract premium (\$)	Value on Oct 30 (\$)	Unrealized gain or loss (\$)	Holding period
<b>CALL BLACKROCK INC</b>									
DUE 11/20/15 320.000									
Expires: Nov 15									
Symbol: BLK									
	Sep 25, 15	-3.000	5.063	-1,518.97	3,440.000	34.400	-10,320.00	-8,801.03	ST
<b>CALL JOHNSON &amp; JOHNSON C</b>									
DUE 12/18/15 100.000									
Expires: Dec 15									
Symbol: JNJ									
	Oct 19, 15	-10.000	1.089	-1,089.98	243.000	2.430	-2,430.00	-1,340.02	ST

*continued next page*

SDNY\_GM\_00020825

CNP70009005725257 NP7000189496 00002 1015 030575004 Y123568550 000000

**CONFIDENTIAL**



Your assets › **Equities** › short options (continued)

Holding	Trade date	Number of contracts	Sale price per contract (\$)	Sale proceeds (\$)	Price per contract on Oct 30 (\$)	Contract premium (\$)	Value on Oct 30 (\$)	Unrealized gain or loss (\$)	Holding period
PUT FORTINET INC DUE 01/15/16 30,000 Expires: Jan 16 Symbol: FTNT	Oct 26, 15	-10,000	0.869	-869.98	80,000	0.800	-800.00	69.98	ST
<b>Total</b>				<b>-869.98</b>			<b>-800.00</b>	<b>69.98</b>	
							<b>-13,550.00</b>	<b>-10,071.07</b>	

Your total assets

		Value on Oct 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
<b>Cash</b>	<b>Cash and money balances</b>	<b>392,086.32</b>	<b>27.73%</b>	<b>392,086.32</b>		
<b>Equities</b>	Common stock	1,035,357.02		865,077.71	26,808.00	170,279.31
	Short options	-13,550.00		-3,478.93		-10,071.07
	<b>Total equities</b>	<b>1,021,807.02</b>	<b>72.27%</b>	<b>861,598.78</b>	<b>26,808.00</b>	<b>160,208.24</b>
<b>Total</b>		<b>\$1,413,893.34</b>	<b>100.00%</b>	<b>\$1,253,685.10</b>	<b>\$26,808.00</b>	<b>\$160,208.24</b>

Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Taxable dividends</i>	Oct 1	Dividend	AUTOMATIC DATA PROCESSNG INC PAID ON 1272	623.28
	Oct 1	Dividend	BAXTER INTL INC PAID ON 1556	178.94
	Oct 15	Dividend	OCCIDENTAL PETROLEUM CRP PAID ON 969	726.75
	Oct 26	Dividend	RMA MONEY MKT. PORTFOLIO AS OF 10/23/15	0.16
	Oct 29	Dividend	EOG RESOURCES INC PAID ON 500	83.75
		<b>Total taxable dividends</b>		<b>\$1,612.88</b>
		<b>Total dividend and interest income</b>		<b>\$1,612.88</b>
<b>Fees</b>				
	Oct 23	Fee Charged	QUARTERLY FEE	-1,686.65
		<b>Total professional management fees</b>		<b>-\$1,686.65</b>
<b>Other funds debited</b>				
	Oct 1	Transfer	JOURNAL TO Y1 23575 GHISLAINE MAXWELL	-7,126.05
		<b>Total other funds debited</b>		<b>-\$7,126.05</b>

**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 (\$)
Oct 19	Assignment	CALL AUTOMATIC DATA PROC DUE 10/16/15 80.000	12.000					
Oct 19	Expiration	CALL JOHNSON & JOHNSON C DUE 10/16/15 100.000	10.000					
Oct 19	Expiration	CALL BAXTER INTL INC DUE 10/16/15 40.000	15.000					
Oct 19	Assignment	CALL TRAVELERS COS INC/T DUE 10/16/15 105.000	10.000					
Oct 19	Assignment	CALL ANALOG DEVICES INC DUE 10/16/15 57.500	17.000					
Oct 19	Assignment	CALL NEXTERA ENERGY INC DUE 10/16/15 100.000	10.000					
Oct 20	Sold	CALL JOHNSON & JOHNSON C DUE 12/18/15 100.000 OPEN CUST CVRD	-10.000		1.09	1,089.98		
Oct 21	Sold	ANALOG DEVICES INC	-1,700.000		57.50	97,748.20		
Oct 21	Sold	AUTOMATIC DATA PROCESSNG INC	-1,200.000		80.00	95,998.23		
Oct 21	Sold	NEXTERA ENERGY INC COM	-1,000.000		100.00	99,998.16		
Oct 21	Sold	TRAVELERS COS INC/THE	-1,000.000		105.00	104,998.07		
Oct 27	Sold	PUT FORTINET INC DUE 01/15/16 30.000 OPEN CUST UNCVRD	-10.000		87 CENTS	869.98		
Oct 29	Bought	FORTINET INC	250.000		34.170100		-8,542.53	
<b>Total</b>						<b>\$400,702.62</b>	<b>-\$8,542.53</b>	

	Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>	<b>Sep 30</b>	<b>Balance forward</b>		<b>\$0.00</b>
	Oct 22	Bought	RMA MONEY MKT. PORTFOLIO	151,361.61
	Oct 26	Sold	RMA MONEY MKT. PORTFOLIO AS OF 10/23/15	-1,686.65
	Oct 26	Bought	RMA MONEY MKT. PORTFOLIO AS OF 10/23/15	0.16
	Oct 28	Bought	RMA MONEY MKT. PORTFOLIO	869.98
	Oct 29	Sold	RMA MONEY MKT. PORTFOLIO	-8,542.53

continued next page

SDNY\_GM\_00020827

CNP70009005725259 NP7000189496 00002 1015 030575004 Y1 23568550 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	35.000	Nov 18, 11	Oct 16, 15	2,063.56	1,242.58			820.98
	FIFO	18.000	Nov 21, 11	Oct 16, 15	1,061.26	618.68			442.58
	FIFO	15.000	Nov 22, 11	Oct 16, 15	884.39	500.07			384.32
	FIFO	22.000	Nov 23, 11	Oct 16, 15	1,297.09	718.43			578.66
	FIFO	7.000	Nov 25, 11	Oct 16, 15	412.72	227.22			185.50
	FIFO	30.000	Nov 28, 11	Oct 16, 15	1,768.76	988.55			780.21
	FIFO	18.000	Nov 29, 11	Oct 16, 15	1,061.26	602.51			458.75
	FIFO	5.000	Nov 29, 11	Oct 16, 15	294.80	168.11			126.69
	FIFO	30.000	Apr 24, 12	Oct 16, 15	1,768.77	1,127.01			641.76
	FIFO	1,056.000	Jan 23, 13	Oct 16, 15	62,260.61	45,628.81			16,631.80
	FIFO	438.000	Apr 22, 13	Oct 16, 15	25,824.00	18,591.87			7,232.13
AUTOMATIC DATA PROCESSNG INC	FIFO	146.000	Aug 04, 11	Oct 16, 15	11,913.38	6,182.08			5,731.30
	FIFO	4.000	Aug 12, 11	Oct 16, 15	326.39	163.82			162.57
	FIFO	767.000	Jan 23, 13	Oct 16, 15	62,586.05	40,129.93			22,456.12
	FIFO	283.000	Apr 22, 13	Oct 16, 15	23,092.37	16,094.34			6,998.03
NEXTERA ENERGY INC COM	FIFO	134.000	Aug 04, 11	Oct 16, 15	13,552.51	7,096.75			6,455.76
	FIFO	3.000	Aug 12, 11	Oct 16, 15	303.42	157.59			145.83
	FIFO	700.000	Jan 23, 13	Oct 16, 15	70,796.69	50,127.21			20,669.48
	FIFO	163.000	Apr 22, 13	Oct 16, 15	16,485.52	13,000.41			3,485.11
TRAVELERS COS INC/THE	FIFO	20.000	Apr 24, 12	Oct 16, 15	2,110.36	1,268.64			841.72
	FIFO	4.000	Apr 24, 12	Oct 16, 15	422.07	253.40			168.67
	FIFO	1.000	Apr 24, 12	Oct 16, 15	105.52	63.56			41.96
	FIFO	10.000	Apr 25, 12	Oct 16, 15	1,055.18	636.59			418.59
	FIFO	10.000	Apr 25, 12	Oct 16, 15	1,055.18	635.20			419.98
	FIFO	2.000	Apr 25, 12	Oct 16, 15	211.04	127.09			83.95
	FIFO	2.000	Apr 25, 12	Oct 16, 15	211.03	127.29			83.74
	FIFO	10.000	Apr 25, 12	Oct 16, 15	1,055.19	636.17			419.02
	FIFO	2.000	Apr 25, 12	Oct 16, 15	211.03	127.49			83.54

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	5.000	Apr 26, 12	Oct 16, 15	527.59	319.64			207.95
	FIFO	1.000	Apr 26, 12	Oct 16, 15	105.52	63.72			41.80
	FIFO	2.000	Apr 26, 12	Oct 16, 15	211.04	127.84			83.20
	FIFO	2.000	Apr 26, 12	Oct 16, 15	211.03	127.86			83.17
	FIFO	6.000	May 01, 12	Oct 16, 15	633.11	388.29			244.82
	FIFO	15.000	May 01, 12	Oct 16, 15	1,582.77	969.56			613.21
	FIFO	1.000	May 01, 12	Oct 16, 15	105.52	64.82			40.70
	FIFO	2.000	May 01, 12	Oct 16, 15	211.04	129.70			81.34
	FIFO	6.000	May 01, 12	Oct 16, 15	633.10	389.85			243.25
	FIFO	7.000	May 02, 12	Oct 16, 15	738.63	450.62			288.01
	FIFO	4.000	May 02, 12	Oct 16, 15	422.07	257.64			164.43
	FIFO	2.000	May 02, 12	Oct 16, 15	211.04	128.64			82.40
	FIFO	2.000	May 03, 12	Oct 16, 15	211.03	129.82			81.21
	FIFO	2.000	May 03, 12	Oct 16, 15	211.04	129.35			81.69
	FIFO	4.000	May 03, 12	Oct 16, 15	422.07	259.84			162.23
	FIFO	629.000	Jan 23, 13	Oct 16, 15	66,370.86	48,785.62			17,585.24
	FIFO	249.000	Apr 22, 13	Oct 16, 15	26,274.00	21,095.18			5,178.82
<b>Total</b>					<b>\$404,804.54</b>	<b>\$282,004.63</b>			<b>\$122,799.91</b>
<b>Net long-term capital gains or losses</b>									<b>\$122,799.91</b>
<b>Net capital gains/losses:</b>									<b>\$125,344.86</b>

**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](http://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](http://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](http://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](http://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\_00020831

# CONFIDENTIAL

EFTA\_00131451

EFTA01273658

## 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](http://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\_00020832

# CONFIDENTIAL

EFTA\_00131452

EFTA01273659



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

CNP70056438851115.X2 Y1 0

# UBS Strategic Advisor

November 2015

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

**Account name:** GHISLAINE MAXWELL

**Friendly account name:** [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 [REDACTED]

account [REDACTED]

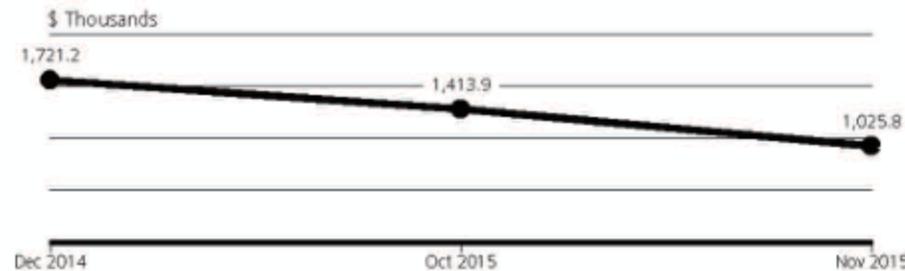
**Visit our website:**

www.ubs.com/financialadvisor

## Value of your account

	on October 30 (\$)	on November 30 (\$)
Your assets	1,413,893.34	1,025,834.34
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$1,413,893.34</b>	<b>\$1,025,834.34</b>

## 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	-\$698,314.07
Your investment return:	
Dividend and interest income	\$38,246.07
Change in market value	-\$35,270.02
<b>Value of your account on Nov 30, 2015</b>	<b>\$1,025,834.34</b>

**CONFIDENTIAL**



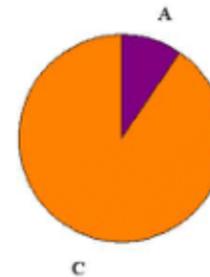
## Your account balance sheet

### Summary of your assets

	Value on November 30 (\$)	Percentage of your account
<b>A</b> Cash and money balances	98,152.90	9.57%
<b>B</b> Cash alternatives	0.00	0.00%
<b>C</b> Equities	927,681.44	90.43%
<b>D</b> Fixed income	0.00	0.00%
<b>E</b> Non-traditional	0.00	0.00%
<b>F</b> Commodities	0.00	0.00%
<b>G</b> Other	0.00	0.00%
<b>Total assets</b>	<b>\$1,025,834.34</b>	<b>100.00%</b>

**Value of your account** **\$1,025,834.34**

### 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 2015	Year to date
S&P 500	0.30%	3.01%
Russell 3000	0.55%	2.58%
MSCI - Europe, Australia & Far East	-1.54%	0.95%
Barclays Capital U.S. Aggregate Bond Index	-0.26%	0.88%

#### Interest rates on November 30, 2015

3-month Treasury bills: 0.21%  
One-month LIBOR: 0.24%

**CONFIDENTIAL**



## Change in the value of your account

	November 2015 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$1,413,893.34</b>	<b>\$1,721,172.36</b>
Deposits, including investments transferred in	0.00	2,200.00
Withdrawals and fees, including investments transferred out	-392,086.32	-700,514.07
Dividend and interest income	2,154.67	38,246.07
Change in market value	1,872.65	-35,270.02
<b>Closing account value</b>	<b>\$1,025,834.34</b>	<b>\$1,025,834.34</b>

## 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 2015 (\$)	Year to date (\$)
Taxable dividends	2,153.13	38,239.68
Taxable interest	1.54	6.23
<b>Total current year</b>	<b>\$2,154.67</b>	<b>\$38,245.91</b>
Prior year adjustment	0.00	0.16
<b>Total dividend &amp; interest</b>	<b>\$2,154.67</b>	<b>\$38,246.07</b>

## 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 2015 (\$)	Year to date (\$)	
Short term	0.00	2,544.95	3,397.41
Long term	28,094.91	174,886.59	130,588.57
<b>Total</b>	<b>\$28,094.91</b>	<b>\$177,431.54</b>	<b>\$133,985.98</b>

## 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 2015 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$392,086.32</b>	<b>\$6,517.57</b>
<i>Additions</i>		
Deposits and other funds credited	0.00	2,200.00
Dividend and interest income	2,154.67	38,246.07
Proceeds from investment transactions	95,998.23	844,643.88
<b>Total additions</b>	<b>\$98,152.90</b>	<b>\$885,089.95</b>
<i>Subtractions</i>		
Professional management fees and related services	0.00	-8,082.81
Other funds debited	-392,086.32	-692,431.26
Funds withdrawn for investments bought	0.00	-92,940.55
<b>Total subtractions</b>	<b>-\$392,086.32</b>	<b>-\$793,454.62</b>
<b>Net cash flow</b>	<b>-\$293,933.42</b>	<b>\$91,635.33</b>
<b>Closing balances</b>	<b>\$98,152.90</b>	<b>\$98,152.90</b>

SDNY\_GM\_00020835

**CONFIDENTIAL**



## Loan summary

Year to date loan interest \$28.14

## UBS Bank USA Deposit Account APY

Interest period Oct 7 - Nov 5

Opening UBS Bank USA Deposit balance Oct 7	\$802.22
Closing UBS Bank USA Deposit balance Nov 5	\$829.62
Number of days in interest period	30
Average daily balance	\$92,359.87
Interest earned	\$1.54
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 Nov 1 (\$)	Closing balance on Nov 30 (\$)	Price per share on Nov 30 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
RMA MONEY MKT. PORTFOLIO	142,086.32	0.00	1.00	0.01%	Oct 26 to Nov 22	28	
UBS BANK USA DEP ACCT	250,000.00	98,152.90					250,000.00
<b>Total</b>	<b>\$392,086.32</b>	<b>\$98,152.90</b>					

### Equities

#### Common stock

Holding	Trade date	Number of shares	Purchase price/ Average price per share (\$)	Cost basis (\$)	Price per share on Nov 30 (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Holding period
AECOM								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	31.830	15,915.00	2,605.05	ST
	Jan 30, 15	100.000	25.532	2,553.24	31.830	3,183.00	629.76	ST
Security total		600.000	26.439	15,863.19		19,098.00	3,234.81	
ANALOG DEVICES INC								
Symbol: ADI Exchange: OTC	Apr 22, 13	51.000	42.447	2,164.81	61.630	3,143.13	978.32	LT
EAI: \$82 Current yield: 2.61%								
AUTOMATIC DATA PROCESSING INC								
Symbol: ADP Exchange: OTC	Apr 22, 13	72.000	56.870	4,094.67	86.260	6,210.72	2,116.05	LT
EAI: \$153 Current yield: 2.46%								

*continued next page*

SDNY\_GM\_00020837

CNP70006005643889 NP7000190349 00002 1115 030575004 Y123568550 010000

Page 5 of 12

**CONFIDENTIAL**

EFTA\_00131457

EFTA01273664



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 30 (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Holding period
<b>BAXTER INTL INC</b>								
Symbol: BAX Exchange: NYSE								
EAI: \$716 Current yield: 1.22%								
	Jun 20, 12	30.000	28.496	854.88	37.650	1,129.50	274.62	LT
	Jun 20, 12	17.000	28.455	483.75	37.650	640.05	156.30	LT
	Jun 21, 12	29.000	28.762	834.12	37.650	1,091.85	257.73	LT
	Jun 21, 12	7.000	28.444	199.11	37.650	263.55	64.44	LT
	Jun 21, 12	5.000	28.838	144.19	37.650	188.25	44.06	LT
	Jun 22, 12	61.000	28.658	1,748.19	37.650	2,296.65	548.46	LT
	Jan 23, 13	768.000	36.815	28,274.47	37.650	28,915.20	640.73	LT
	Apr 22, 13	355.000	38.284	13,591.05	37.650	13,365.75	-225.30	LT
	Sep 19, 13	74.000	39.857	2,949.45	37.650	2,786.10	-163.35	LT
	Sep 19, 13	6.000	39.696	238.18	37.650	225.90	-12.28	LT
	Sep 19, 13	3.000	39.700	119.10	37.650	112.95	-6.15	LT
	Sep 20, 13	47.000	39.758	1,868.67	37.650	1,769.55	-99.12	LT
	Oct 3, 13	154.000	35.679	5,494.57	37.650	5,798.10	303.53	LT
<b>Security total</b>		<b>1,556.000</b>	<b>36.504</b>	<b>56,799.73</b>		<b>58,583.40</b>	<b>1,783.67</b>	
<b>BLACKROCK INC</b>								
Symbol: BLK Exchange: NYSE								
EAI: \$628 Current yield: 2.40%								
	Apr 22, 13	72.000	251.093	18,078.71	363.720	26,187.84	8,109.13	LT
<b>COLGATE PALMOLIVE CO</b>								
Symbol: CL Exchange: NYSE								
EAI: \$2,292 Current yield: 2.31%								
	Aug 4, 11	174.000	41.632	7,244.05	65.680	11,428.32	4,184.27	LT
	Aug 12, 11	4.000	42.450	169.80	65.680	262.72	92.92	LT
	Jan 23, 13	910.000	54.240	49,358.63	65.680	59,768.80	10,410.17	LT
	Apr 22, 13	420.000	59.788	25,111.32	65.680	27,585.60	2,474.28	LT
<b>Security total</b>		<b>1,508.000</b>	<b>54.300</b>	<b>81,883.80</b>		<b>99,045.44</b>	<b>17,161.64</b>	
<b>EOG RESOURCES INC</b>								
Symbol: EOG Exchange: NYSE								
EAI: \$335 Current yield: 0.80%								
	Jan 28, 15	500.000	90.411	45,205.72	83.430	41,715.00	-3,490.72	ST
<b>FORTINET INC</b>								
Symbol: FTNT Exchange: OTC								
	Jan 28, 15	500.000	31.942	15,971.36	36.020	18,010.00	2,038.64	ST
	Jan 30, 15	250.000	29.431	7,357.75	36.020	9,005.00	1,647.25	ST
	Oct 26, 15	250.000	34.170	8,542.53	36.020	9,005.00	462.47	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 Nov 30 (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Holding period
Security total		1,000.000	31.872	31,871.64		36,020.00	4,148.36	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE								
EAI: \$3,312 Current yield: 3.05%								
	Aug 4, 11	191.000	36.265	6,926.77	57.760	11,032.16	4,105.39	LT
	Aug 12, 11	5.000	35.754	178.77	57.760	288.80	110.03	LT
	Jan 23, 13	1,001.000	41.387	41,428.89	57.760	57,817.76	16,388.87	LT
	Apr 22, 13	464.000	50.287	23,333.21	57.760	26,800.64	3,467.43	LT
	Jun 17, 13	148.000	49.739	7,361.45	57.760	8,548.48	1,187.03	LT
	Jun 18, 13	73.000	49.836	3,638.07	57.760	4,216.48	578.41	LT
Security total		1,882.000	44.031	82,867.16		108,704.32	25,837.16	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$3,198 Current yield: 2.96%								
	Aug 4, 11	123.000	62.377	7,672.38	101.240	12,452.52	4,780.14	LT
	Aug 12, 11	3.000	63.730	191.19	101.240	303.72	112.53	LT
	Jan 23, 13	642.000	72.736	46,696.71	101.240	64,996.08	18,299.37	LT
	Apr 22, 13	298.000	84.721	25,247.10	101.240	30,169.52	4,922.42	LT
Security total		1,066.000	74.866	79,807.38		107,921.84	28,114.46	
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,624 Current yield: 3.12%								
	Aug 4, 11	95.000	84.969	8,072.06	114.160	10,845.20	2,773.14	LT
	Aug 12, 11	3.000	85.910	257.73	114.160	342.48	84.75	LT
	Nov 29, 12	8.000	86.456	691.65	114.160	913.28	221.63	LT
	Jan 23, 13	555.000	93.053	51,644.75	114.160	63,358.80	11,714.05	LT
	Apr 22, 13	255.000	99.318	25,326.32	114.160	29,110.80	3,784.48	LT
	Sep 19, 13	78.000	97.879	7,634.63	114.160	8,904.48	1,269.85	LT
	Sep 19, 13	22.000	97.425	2,143.36	114.160	2,511.52	368.16	LT
	Sep 19, 13	2.000	97.830	195.66	114.160	228.32	32.66	LT
Security total		1,018.000	94.269	95,966.16		116,214.88	20,248.72	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$499 Current yield: 3.08%								
	Apr 22, 13	162.000	79.757	12,920.65	99.860	16,177.32	3,256.67	LT

continued next page

SDNY\_GM\_00020839

CNP70006005643891 NP7000190349 00002 1115 030575004 Y123568550 010000

Page 7 of 12

CONFIDENTIAL

EFTA\_00131459

EFTA01273666



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 30 (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Holding period
<b>OCCIDENTAL PETROLEUM CRP</b>								
Symbol: OXY Exchange: NYSE								
EAI: \$2,907 Current yield: 3.97%								
	Feb 12, 14	148.000	88.959	13,165.96	75.590	11,187.32	-1,978.64	LT
	Feb 12, 14	117.000	88.989	10,411.82	75.590	8,844.03	-1,567.79	LT
	Feb 12, 14	32.000	89.002	2,848.07	75.590	2,418.88	-429.19	LT
	Feb 12, 14	7.000	88.857	622.00	75.590	529.13	-92.87	LT
	Feb 13, 14	110.000	88.885	9,777.41	75.590	8,314.90	-1,462.51	LT
	Feb 13, 14	68.000	88.708	6,032.19	75.590	5,140.12	-892.07	LT
	Feb 13, 14	33.000	88.369	2,916.19	75.590	2,494.47	-421.72	LT
	Feb 13, 14	6.000	88.421	530.53	75.590	453.54	-76.99	LT
	Feb 14, 14	334.000	92.065	30,749.82	75.590	25,247.06	-5,502.76	LT
	Feb 18, 14	114.000	92.677	10,565.23	75.590	8,617.26	-1,947.97	LT
Security total		969.000	90.422	87,619.22		73,246.71	-14,372.51	
<b>PEPSICO INC</b>								
Symbol: PEP Exchange: NYSE								
EAI: \$3,243 Current yield: 2.81%								
	Aug 4, 11	115.000	63.979	7,357.65	100.160	11,518.40	4,160.75	LT
	Aug 12, 11	3.000	63.023	189.07	100.160	300.48	111.41	LT
	May 16, 12	6.000	68.535	411.21	100.160	600.96	189.75	LT
	Oct 24, 12	1.000	68.690	68.69	100.160	100.16	31.47	LT
	Oct 25, 12	2.000	68.810	137.62	100.160	200.32	62.70	LT
	Oct 26, 12	1.000	68.890	68.89	100.160	100.16	31.27	LT
	Oct 31, 12	1.000	69.370	69.37	100.160	100.16	30.79	LT
	Nov 6, 12	1.000	69.370	69.37	100.160	100.16	30.79	LT
	Nov 7, 12	1.000	69.150	69.15	100.160	100.16	31.01	LT
	Nov 8, 12	2.000	69.090	138.18	100.160	200.32	62.14	LT
	Jan 23, 13	699.000	72.166	50,444.31	100.160	70,011.84	19,567.53	LT
	Apr 22, 13	322.000	82.251	26,484.85	100.160	32,251.52	5,766.67	LT
Security total		1,154.000	74.097	85,508.36		115,584.64	30,076.28	
<b>PROCTER &amp; GAMBLE CO</b>								
Symbol: PG Exchange: NYSE								
EAI: \$3,007 Current yield: 3.54%								
	Aug 4, 11	118.000	60.103	7,092.22	74.840	8,831.12	1,738.90	LT
	Aug 12, 11	3.000	60.896	182.69	74.840	224.52	41.83	LT
	Jan 23, 13	619.000	69.941	43,293.73	74.840	46,325.96	3,032.23	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 30 (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Apr 22, 13	286.000	81.332	23,261.18	74.840	21,404.24	-1,856.94	LT
	Apr 24, 13	108.000	77.762	8,398.32	74.840	8,082.72	-315.60	LT
Security total		1,134.000	72.512	82,228.14		84,868.56	2,640.42	
TRAVELERS COS INC/THE								
Symbol: TRV Exchange: NYSE								
EAI: \$371 Current yield: 2.13%								
	Apr 22, 13	41.000	84.719	3,473.50	114.570	4,697.37	1,223.87	LT
	May 22, 13	111.000	83.807	9,302.58	114.570	12,717.27	3,414.69	LT
Security total		152.000	84.053	12,776.08		17,414.64	4,638.56	
<b>Total</b>				<b>\$795,655.42</b>		<b>\$930,136.44</b>	<b>\$134,481.02</b>	
<b>Total estimated annual income: \$24,367</b>								

Short options

Holding	Trade date	Number of contracts	Sale price per contract (\$)	Sale proceeds (\$)	Price per contract on Nov 30 (\$)	Contract premium (\$)	Value on Nov 30 (\$)	Unrealized gain or loss (\$)	Holding period
CALL JOHNSON & JOHNSON C									
DUE 12/18/15 100.000									
Expires: Dec 15									
Symbol: JNJ									
	Oct 19, 15	-10.000	1.089	-1,089.98	223.000	2.230	-2,230.00	-1,140.02	ST
PUT FORTINET INC									
DUE 01/15/16 30.000									
Expires: Jan 16									
Symbol: FTNT									
	Oct 26, 15	-10.000	0.869	-869.98	22.500	0.225	-225.00	644.98	ST
<b>Total</b>				<b>-\$1,959.96</b>			<b>-\$2,455.00</b>	<b>-\$495.04</b>	

Your total assets

		Value on Nov 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
<b>Cash</b>	<b>Cash and money balances</b>	<b>98,152.90</b>	<b>9.57%</b>	<b>98,152.90</b>		
<b>Equities</b>	Common stock	930,136.44		795,655.42	24,367.00	134,481.02
	Short options	-2,455.00		-1,959.96		-495.04
	<b>Total equities</b>	<b>927,681.44</b>	<b>90.43%</b>	<b>793,695.46</b>	<b>24,367.00</b>	<b>133,985.98</b>
<b>Total</b>		<b>\$1,025,834.34</b>	<b>100.00%</b>	<b>\$891,848.36</b>	<b>\$24,367.00</b>	<b>\$133,985.98</b>

**CONFIDENTIAL**



## Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Taxable dividends</i>				
	Nov 2	Dividend	GENL MILLS INC PAID ON 1882	828.08
	Nov 16	Dividend	COLGATE PALMOLIVE CO PAID ON 1508	573.04
	Nov 16	Dividend	PROCTER & GAMBLE CO PAID ON 1134	751.73
	Nov 23	Dividend	RMA MONEY MKT. PORTFOLIO AS OF 11/20/15	0.28
		<b>Total taxable dividends</b>		<b>\$2,153.13</b>
<i>Taxable interest</i>				
	Nov 6	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 11/05/15	1.54
		<b>Total taxable interest</b>		<b>\$1.54</b>
		<b>Total dividend and interest income</b>		<b>\$2,154.67</b>
<b>Other funds debited</b>				
	Nov 2	Transfer	JOURNAL TO Y1 23575 GHISLAINE MAXWELL	-392,086.32
		<b>Total other funds debited</b>		<b>-\$392,086.32</b>

### 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 (\$)
Nov 23	Assignment	CALL BLACKROCK INC DUE 11/20/15	320.000	3.000				
Nov 25	Sold	BLACKROCK INC	-300.000		320.00	95,998.23		
	<b>Total</b>					<b>\$95,998.23</b>		

	Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>				
	<b>Oct 30</b>	<b>Balance forward</b>		<b>\$142,086.32</b>
	Nov 3	Sold	RMA MONEY MKT. PORTFOLIO AS OF 11/02/15	-142,086.32
	<b>Nov 30</b>	<b>Closing RMA Money Mkt. Portfolio</b>		<b>\$0.00</b>
The RMA Money Market Portfolio is your secondary sweep option.				
	<b>Oct 30</b>	<b>Balance forward</b>		<b>\$250,000.00</b>
	Nov 3	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 11/02/15	-249,171.92
	Nov 6	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 11/05/15	1.54
	Nov 17	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,324.77

continued next page

**CONFIDENTIAL**



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
<b>Money balance activities</b> (continued)	Nov 27	Deposit	UBS BANK USA DEPOSIT ACCOUNT	95,998.51
	<b>Nov 30</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$98,152.90</b>

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.

## 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 (\$)
BLACKROCK INC	FIFO	3.000	Oct 05, 12	Nov 20, 15	975.17	563.46			411.71
	FIFO	7.000	Oct 05, 12	Nov 20, 15	2,275.40	1,329.53			945.87
	FIFO	2.000	Oct 05, 12	Nov 20, 15	650.12	373.34			276.78
	FIFO	8.000	Oct 08, 12	Nov 20, 15	2,600.46	1,510.27			1,090.19
	FIFO	15.000	Oct 09, 12	Nov 20, 15	4,875.86	2,837.79			2,038.07
	FIFO	2.000	Oct 09, 12	Nov 20, 15	650.11	378.02			272.09
	FIFO	3.000	Oct 10, 12	Nov 20, 15	975.17	563.16			412.01
	FIFO	2.000	Oct 10, 12	Nov 20, 15	650.12	375.34			274.78
	FIFO	2.000	Oct 10, 12	Nov 20, 15	650.11	375.99			274.12
	FIFO	224.000	Jan 23, 13	Nov 20, 15	72,812.85	53,080.41			19,732.44
	FIFO	32.000	Apr 22, 13	Nov 20, 15	10,401.83	8,034.98			2,366.85
<b>Total</b>					<b>\$97,517.20</b>	<b>\$69,422.29</b>			<b>\$28,094.91</b>
<b>Net long-term capital gains or losses</b>									<b>\$28,094.91</b>
<b>Net capital gains/losses:</b>									<b>\$28,094.91</b>

**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. If we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

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](http://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](http://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](http://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\_00020845

# CONFIDENTIAL

EFTA\_00131465

EFTA01273672

## 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](http://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](http://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. 201511

SDNY\_GM\_00020846

# CONFIDENTIAL

EFTA\_00131466

EFTA01273673



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

ENP7008075047 1215 X12 Y1 0

# UBS Strategic Advisor

December 2015

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

**Account name:** GHISLAINE MAXWELL

**Friendly account name:** Individ. [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 8 [REDACTED]  
account [REDACTED]

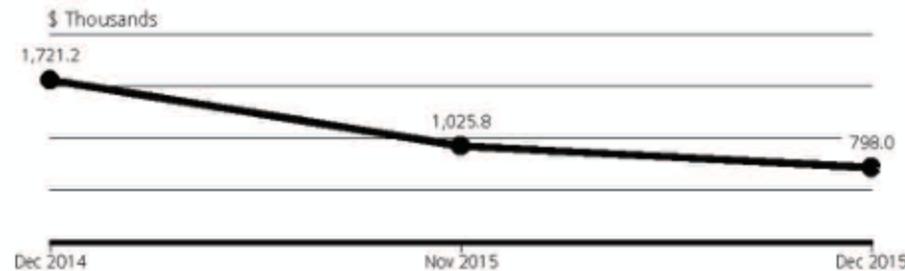
**Visit our website:**

[www.ubs.com/financialservices](http://www.ubs.com/financialservices)

## Value of your account

	on November 30 (\$)	on December 31 (\$)
Your assets	1,025,834.34	798,007.41
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$1,025,834.34</b>	<b>\$798,007.41</b>

## 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	-\$918,077.94
Your investment return:	
Dividend and interest income	\$40,346.61
Change in market value	-\$45,433.62
<b>Value of your account on Dec 31, 2015</b>	<b>\$798,007.41</b>

**CONFIDENTIAL**



## Your account balance sheet

### Summary of your assets

	Value on December 31 (\$)	Percentage of your account
<b>A</b> Cash and money balances	92.72	0.01%
<b>B</b> Cash alternatives	0.00	0.00%
<b>C</b> Equities	797,914.69	99.99%
<b>D</b> Fixed income	0.00	0.00%
<b>E</b> Non-traditional	0.00	0.00%
<b>F</b> Commodities	0.00	0.00%
<b>G</b> Other	0.00	0.00%
<b>Total assets</b>	<b>\$798,007.41</b>	<b>100.00%</b>

**Value of your account** **\$798,007.41**

### 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 2015	Year to date
S&P 500	-1.58%	1.38%
Russell 3000	-2.05%	0.48%
MSCI - Europe, Australia & Far East	-1.33%	-0.39%
Barclays Capital U.S. Aggregate Bond Index	-0.32%	0.55%

#### Interest rates on December 31, 2015

3-month Treasury bills: 0.17%  
One-month LIBOR: 0.43%

**CONFIDENTIAL**



## Change in the value of your account

	December 2015 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$1,025,834.34</b>	<b>\$1,721,172.36</b>
Deposits, including investments transferred in	0.00	2,200.00
Withdrawals and fees, including investments transferred out	-219,763.87	-920,277.94
Dividend and interest income	2,100.54	40,346.61
Change in market value	-10,163.60	-45,433.62
<b>Closing account value</b>	<b>\$798,007.41</b>	<b>\$798,007.41</b>

## 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 2015 (\$)	Year to date (\$)
Taxable dividends	2,100.34	40,340.02
Taxable interest	0.20	6.43
<b>Total current year</b>	<b>\$2,100.54</b>	<b>\$40,346.45</b>
Prior year adjustment	0.00	0.16
<b>Total dividend &amp; interest</b>	<b>\$2,100.54</b>	<b>\$40,346.61</b>

## 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 2015 (\$)	Year to date (\$)	
Short term	0.00	2,544.95	-7,862.57
Long term	31,536.50	206,423.09	100,148.45
<b>Total</b>	<b>\$31,536.50</b>	<b>\$208,968.04</b>	<b>\$92,285.88</b>

## 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 2015 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$98,152.90</b>	<b>\$6,517.57</b>
<i>Additions</i>		
Deposits and other funds credited	0.00	2,200.00
Dividend and interest income	2,100.54	40,346.61
Proceeds from investment transactions	119,603.15	964,247.03
<b>Total additions</b>	<b>\$121,703.69</b>	<b>\$1,006,793.64</b>
<i>Subtractions</i>		
Professional management fees and related services	0.00	-8,082.81
Other funds debited	-219,763.87	-912,195.13
Funds withdrawn for investments bought	0.00	-92,940.55
<b>Total subtractions</b>	<b>-\$219,763.87</b>	<b>-\$1,013,218.49</b>
<b>Net cash flow</b>	<b>-\$98,060.18</b>	<b>-\$6,424.85</b>
<b>Closing balances</b>	<b>\$92.72</b>	<b>\$92.72</b>

SDNY\_GM\_00020849

**CONFIDENTIAL**



## Loan summary

Year to date loan interest \$28.14

## UBS Bank USA Deposit Account APY

*Interest period Nov 6 - Dec 6*

Opening UBS Bank USA Deposit balance Nov 6	\$829.62
Closing UBS Bank USA Deposit balance Dec 6	\$0.00
Number of days in interest period	31
Average daily balance	\$13,654.24
Interest earned	\$0.20
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 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	98,152.90	92.72					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
<b>AECOM</b>								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	30.030	15,015.00	1,705.05	ST
	Jan 30, 15	100.000	25.532	2,553.24	30.030	3,003.00	449.76	ST
Security total		600.000	26.439	15,863.19		18,018.00	2,154.81	
<b>AUTOMATIC DATA PROCESSING INC</b>								
Symbol: ADP Exchange: OTC								
EAI: \$153 Current yield: 2.51%	Apr 22, 13	72.000	56.870	4,094.67	84.720	6,099.84	2,005.17	LT
<b>BAXTER INTL INC</b>								
Symbol: BAX Exchange: NYSE								
EAI: \$716 Current yield: 1.21%	Jun 20, 12	30.000	28.496	854.88	38.150	1,144.50	289.62	LT
	Jun 20, 12	17.000	28.455	483.75	38.150	648.55	164.80	LT
	Jun 21, 12	29.000	28.762	834.12	38.150	1,106.35	272.23	LT
	Jun 21, 12	7.000	28.444	199.11	38.150	267.05	67.94	LT

continued next page

SDNY\_GM\_00020851

ENP70004008075051 NP7000311876 00002 1215 030575004 Y123568550 110000

Page 5 of 12

**CONFIDENTIAL**

EFTA\_00131471

EFTA01273678



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
	Jun 21, 12	5,000	28.838	144.19	38.150	190.75	46.56	LT
	Jun 22, 12	61,000	28.658	1,748.19	38.150	2,327.15	578.96	LT
	Jan 23, 13	768,000	36.815	28,274.47	38.150	29,299.20	1,024.73	LT
	Apr 22, 13	355,000	38.284	13,591.05	38.150	13,543.25	-47.80	LT
	Sep 19, 13	74,000	39.857	2,949.45	38.150	2,823.10	-126.35	LT
	Sep 19, 13	6,000	39.696	238.18	38.150	228.90	-9.28	LT
	Sep 19, 13	3,000	39.700	119.10	38.150	114.45	-4.65	LT
	Sep 20, 13	47,000	39.758	1,868.67	38.150	1,793.05	-75.62	LT
	Oct 3, 13	154,000	35.679	5,494.57	38.150	5,875.10	380.53	LT
Security total		1,556,000	36.504	56,799.73		59,361.40	2,561.67	
BLACKROCK INC								
Symbol: BLK Exchange: NYSE								
EAI: \$628 Current yield: 2.56%								
	Apr 22, 13	72,000	251.093	18,078.71	340.520	24,517.44	6,438.73	LT
COLGATE PALMOLIVE CO								
Symbol: CL Exchange: NYSE								
EAI: \$2,292 Current yield: 2.28%								
	Aug 4, 11	174,000	41.632	7,244.05	66.620	11,591.88	4,347.83	LT
	Aug 12, 11	4,000	42.450	169.80	66.620	266.48	96.68	LT
	Jan 23, 13	910,000	54.240	49,358.63	66.620	60,624.20	11,265.57	LT
	Apr 22, 13	420,000	59.788	25,111.32	66.620	27,980.40	2,869.08	LT
Security total		1,508,000	54.300	81,883.80		100,462.96	18,579.16	
EOG RESOURCES INC								
Symbol: EOG Exchange: NYSE								
EAI: \$335 Current yield: 0.95%								
	Jan 28, 15	500,000	90.411	45,205.72	70.790	35,395.00	-9,810.72	ST
FORTINET INC								
Symbol: FTNT Exchange: OTC								
	Jan 28, 15	500,000	31.942	15,971.36	31.170	15,585.00	-386.36	ST
	Jan 30, 15	250,000	29.431	7,357.75	31.170	7,792.50	434.75	ST
	Oct 26, 15	250,000	34.170	8,542.53	31.170	7,792.50	-750.03	ST
Security total		1,000,000	31.872	31,871.64		31,170.00	-701.64	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE								
EAI: \$3,312 Current yield: 3.05%								
	Aug 4, 11	191,000	36.265	6,926.77	57.660	11,013.06	4,086.29	LT
	Aug 12, 11	5,000	35.754	178.77	57.660	288.30	109.53	LT
	Jan 23, 13	1,001,000	41.387	41,428.89	57.660	57,717.66	16,288.77	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 22, 13	464.000	50.287	23,333.21	57.660	26,754.24	3,421.03	LT
	Jun 17, 13	148.000	49.739	7,361.45	57.660	8,533.68	1,172.23	LT
	Jun 18, 13	73.000	49.836	3,638.07	57.660	4,209.18	571.11	LT
Security total		1,882.000	44.031	82,867.16		108,516.12	25,648.96	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$198 Current yield: 2.92%								
	Apr 22, 13	66.000	84.721	5,591.64	102.720	6,779.52	1,187.88	LT
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,624 Current yield: 3.01%								
	Aug 4, 11	95.000	84.969	8,072.06	118.140	11,223.30	3,151.24	LT
	Aug 12, 11	3.000	85.910	257.73	118.140	354.42	96.69	LT
	Nov 29, 12	8.000	86.456	691.65	118.140	945.12	253.47	LT
	Jan 23, 13	555.000	93.053	51,644.75	118.140	65,567.70	13,922.95	LT
	Apr 22, 13	255.000	99.318	25,326.32	118.140	30,125.70	4,799.38	LT
	Sep 19, 13	78.000	97.879	7,634.63	118.140	9,214.92	1,580.29	LT
	Sep 19, 13	22.000	97.425	2,143.36	118.140	2,599.08	455.72	LT
	Sep 19, 13	2.000	97.830	195.66	118.140	236.28	40.62	LT
Security total		1,018.000	94.269	95,966.16		120,266.52	24,300.36	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$499 Current yield: 2.96%								
	Apr 22, 13	162.000	79.757	12,920.65	103.890	16,830.18	3,909.53	LT
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,907 Current yield: 4.44%								
	Feb 12, 14	148.000	88.959	13,165.96	67.610	10,006.28	-3,159.68	LT
	Feb 12, 14	117.000	88.989	10,411.82	67.610	7,910.37	-2,501.45	LT
	Feb 12, 14	32.000	89.002	2,848.07	67.610	2,163.52	-684.55	LT
	Feb 12, 14	7.000	88.857	622.00	67.610	473.27	-148.73	LT
	Feb 13, 14	110.000	88.885	9,777.41	67.610	7,437.10	-2,340.31	LT
	Feb 13, 14	68.000	88.708	6,032.19	67.610	4,597.48	-1,434.71	LT
	Feb 13, 14	33.000	88.369	2,916.19	67.610	2,231.13	-685.06	LT
	Feb 13, 14	6.000	88.421	530.53	67.610	405.66	-124.87	LT
	Feb 14, 14	334.000	92.065	30,749.82	67.610	22,581.74	-8,168.08	LT

continued next page

SDNY\_GM\_00020853

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
	Feb 18, 14	114.000	92.677	10,565.23	67.610	7,707.54	-2,857.69	LT
Security total		969.000	90.422	87,619.22		65,514.09	-22,105.13	
<b>PEPSICO INC</b>								
Symbol: PEP Exchange: NYSE EAI: \$3,243 Current yield: 2.81%								
	Aug 4, 11	115.000	63.979	7,357.65	99.920	11,490.80	4,133.15	LT
	Aug 12, 11	3.000	63.023	189.07	99.920	299.76	110.69	LT
	May 16, 12	6.000	68.535	411.21	99.920	599.52	188.31	LT
	Oct 24, 12	1.000	68.690	68.69	99.920	99.92	31.23	LT
	Oct 25, 12	2.000	68.810	137.62	99.920	199.84	62.22	LT
	Oct 26, 12	1.000	68.890	68.89	99.920	99.92	31.03	LT
	Oct 31, 12	1.000	69.370	69.37	99.920	99.92	30.55	LT
	Nov 6, 12	1.000	69.370	69.37	99.920	99.92	30.55	LT
	Nov 7, 12	1.000	69.150	69.15	99.920	99.92	30.77	LT
	Nov 8, 12	2.000	69.090	138.18	99.920	199.84	61.66	LT
	Jan 23, 13	699.000	72.166	50,444.31	99.920	69,844.08	19,399.77	LT
	Apr 22, 13	322.000	82.251	26,484.85	99.920	32,174.24	5,689.39	LT
Security total		1,154.000	74.097	85,508.36		115,307.68	29,799.32	
<b>PROCTER &amp; GAMBLE CO</b>								
Symbol: PG Exchange: NYSE EAI: \$3,007 Current yield: 3.34%								
	Aug 4, 11	118.000	60.103	7,092.22	79.410	9,370.38	2,278.16	LT
	Aug 12, 11	3.000	60.896	182.69	79.410	238.23	55.54	LT
	Jan 23, 13	619.000	69.941	43,293.73	79.410	49,154.79	5,861.06	LT
	Apr 22, 13	286.000	81.332	23,261.18	79.410	22,711.26	-549.92	LT
	Apr 24, 13	108.000	77.762	8,398.32	79.410	8,576.28	177.96	LT
Security total		1,134.000	72.512	82,228.14		90,050.94	7,822.80	
<b>Total</b>				<b>\$706,498.79</b>		<b>\$798,289.69</b>	<b>\$91,790.90</b>	
<b>Total estimated annual income: \$20,914</b>								

**CONFIDENTIAL**



Your assets › **Equities** (continued)

**Short options**

Holding	Trade date	Number of contracts	Sale price per contract (\$)	Sale proceeds (\$)	Price per contract on Dec 31 (\$)	Contract premium (\$)	Value on Dec 31 (\$)	Unrealized gain or loss (\$)	Holding period
PUT FORTINET INC DUE 01/15/16 30.000 Expires: Jan 16 Symbol: FTNT	Oct 26, 15	-10.000	0.869	-869.98	37.500	0.375	-375.00	494.98	ST

**Your total assets**

		Value on Dec 31 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
<b>Cash</b>	<b>Cash and money balances</b>	<b>92.72</b>	<b>0.01%</b>	<b>92.72</b>		
<b>Equities</b>	Common stock	798,289.69		706,498.79	20,914.00	91,790.90
	Short options	-375.00		-869.98		494.98
	<b>Total equities</b>	<b>797,914.69</b>	<b>99.99%</b>	<b>705,628.81</b>	<b>20,914.00</b>	<b>92,285.88</b>
<b>Total</b>		<b>\$798,007.41</b>	<b>100.00%</b>	<b>\$705,721.53</b>	<b>\$20,914.00</b>	<b>\$92,285.88</b>

**Account activity this month**

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Taxable dividends</i>	Dec 8	Dividend	JOHNSON & JOHNSON COM PAID ON 1066	799.50
	Dec 15	Dividend	ANALOG DEVICES INC PAID ON 51	20.40
	Dec 15	Dividend	MCDONALDS CORP PAID ON 1018	906.02
	Dec 15	Dividend	NEXTERA ENERGY INC COM PAID ON 162	124.74
	Dec 23	Dividend	BLACKROCK INC PAID ON 72	156.96
	Dec 30	Dividend	TRAVELERS COS INC/THE PAID ON 152	92.72
		<b>Total taxable dividends</b>		<b>\$2,100.34</b>
<i>Taxable interest</i>	Dec 7	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 12/04/15	0.20
		<b>Total taxable interest</b>		<b>\$0.20</b>
		<b>Total dividend and interest income</b>		<b>\$2,100.54</b>
<b>Other funds debited</b>	Dec 1	Transfer	JOURNAL TO Y1 23575 GHISLAINE MAXWELL	-98,152.90

continued next page

**CONFIDENTIAL**



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
<b>Other funds debited</b> (continued)	Dec 24	Transfer	JOURNAL TO Y1 23575 GHISLAINE MAXWELL	-121,610.97
		<b>Total other funds debited</b>		<b>-\$219,763.87</b>

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 21	Assignment	CALL JOHNSON & JOHNSON C DUE 12/18/15 100.000	10.000					
Dec 23	Sold	JOHNSON & JOHNSON COM	-1,000.000		100.00	99,998.16		
Dec 24	Sold	ANALOG DEVICES INC	-51.000		55.640100	2,837.60		
Dec 24	Sold	TRAVELERS COS INC/THE	-152.000		110.313800	16,767.39		
<b>Total</b>						<b>\$119,603.15</b>		

	Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>	<b>Nov 30</b>	<b>Balance forward</b>		<b>\$98,152.90</b>
	Dec 2	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 12/01/15	-98,152.90
	Dec 9	Deposit	UBS BANK USA DEPOSIT ACCOUNT	799.70
	Dec 16	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,051.16
	Dec 24	Deposit	UBS BANK USA DEPOSIT ACCOUNT	100,155.12
	Dec 28	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 12/24/15	-102,005.98
	Dec 31	Deposit	UBS BANK USA DEPOSIT ACCOUNT	92.72
	<b>Dec 31</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$92.72</b>

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 (\$)
ANALOG DEVICES INC	FIFO	51.000	Apr 22, 13	Dec 21, 15	2,837.60	2,164.81			672.79
JOHNSON & JOHNSON COM	FIFO	123.000	Aug 04, 11	Dec 18, 15	12,433.84	7,672.38			4,761.46
	FIFO	3.000	Aug 12, 11	Dec 18, 15	303.27	191.19			112.08
	FIFO	642.000	Jan 23, 13	Dec 18, 15	64,898.58	46,696.71			18,201.87
	FIFO	232.000	Apr 22, 13	Dec 18, 15	23,452.45	19,655.46			3,796.99
TRAVELERS COS INC/THE	FIFO	41.000	Apr 22, 13	Dec 21, 15	4,522.78	3,473.50			1,049.28
	FIFO	111.000	May 22, 13	Dec 21, 15	12,244.61	9,302.58			2,942.03
<b>Total</b>					<b>\$120,693.13</b>	<b>\$89,156.63</b>			<b>\$31,536.50</b>
<b>Net long-term capital gains or losses</b>									<b>\$31,536.50</b>
<b>Net capital gains/losses:</b>									<b>\$31,536.50</b>

## Summary of approved payees and recurring payments

Based on your instructions, the following payees and recurring payments are considered "approved payees". As a result, (1) you may authorize additional transfers to these payees verbally and (2) you are no longer receiving individual confirmations for payments to these payees.

The payees and recurring payments listed below do not include Bill Payments, Electronic Funds Transfers and certain other transfers between accounts at UBS. If you have additional payees and/or recurring instructions on file, you will receive separate confirmations from your Financial Advisor.

To update or cancel any of these instructions, please contact your Financial Advisor.

Payee description	Amount (\$)	Disbursement		Type/Event	Frequency	Start date	End date	Last used date
		method						
Y123575	varied	Transfer		Payee on file	Upon request	n/a	n/a	Dec 24, 15



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. If we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

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](http://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](http://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](http://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\_00020859

# CONFIDENTIAL

EFTA\_00131479

EFTA01273686

## 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/accounts/inquiries](http://www.ubs.com/accounts/inquiries).

### 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](http://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. 201511

SDNY\_GM\_00020860

# CONFIDENTIAL

EFTA\_00131480

EFTA01273687



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

CNP70056898890116.X1 Y1 0

# UBS Strategic Advisor

January 2016

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

**Account name:** GHISLAINE MAXWELL

**Friendly account name:** Ir [REDACTED]

**Account number:** Y1 [REDACTED]

**Your Financial Advisor:**

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED]

**Questions about your statement?**

Call your Financial Advisor or the  
RMA ResourceLine at 8 [REDACTED]  
account 0 [REDACTED]

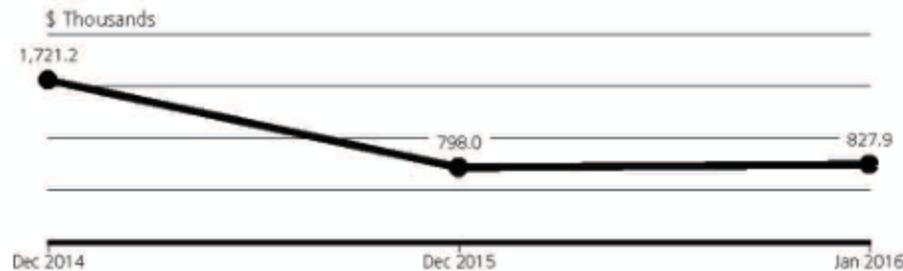
**Visit our website:**

[www.ubs.com/financialservices](http://www.ubs.com/financialservices)

## Value of your account

	on December 31 (\$)	on January 29 (\$)
Your assets	798,007.41	827,886.93
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$798,007.41</b>	<b>\$827,886.93</b>

## Tracking the value of your account



**Sources of your account growth during 2016**

Value of your account at year end 2015	\$798,007.41
Net deposits and withdrawals	\$29,914.76
Your investment return:	
Dividend and interest income	\$1,838.29
Change in market value	-\$1,873.53
<b>Value of your account on Jan 29, 2016</b>	<b>\$827,886.93</b>

**CONFIDENTIAL**



## Your account balance sheet

### Summary of your assets

	Value on January 29 (\$)	Percentage of your account
<b>A</b> Cash and money balances	57,913.64	7.00%
<b>B</b> Cash alternatives	0.00	0.00%
<b>C</b> Equities	769,973.29	93.00%
<b>D</b> Fixed income	0.00	0.00%
<b>E</b> Non-traditional	0.00	0.00%
<b>F</b> Commodities	0.00	0.00%
<b>G</b> Other	0.00	0.00%
<b>Total assets</b>	<b>\$827,886.93</b>	<b>100.00%</b>

**Value of your account** **\$827,886.93**

### 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 2016	Year to date
S&P 500	-4.96%	-4.96%
Russell 3000	-5.64%	-5.64%
MSCI - Europe, Australia & Far East	-7.22%	-7.22%
Barclays Capital U.S. Aggregate Bond Index	1.38%	1.38%

#### Interest rates on January 29, 2016

3-month Treasury bills: 0.31%  
One-month LIBOR: 0.42%

**CONFIDENTIAL**



## Change in the value of your account

	January 2016 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$798,007.41</b>	<b>\$798,007.41</b>
Deposits, including investments transferred in	31,000.00	31,000.00
Withdrawals and fees, including investments transferred out	-1,085.24	-1,085.24
Dividend and interest income	1,838.29	1,838.29
Change in market value	-1,873.53	-1,873.53
<b>Closing account value</b>	<b>\$827,886.93</b>	<b>\$827,886.93</b>

## 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 2016 (\$)	Year to date (\$)
Taxable dividends	1,838.29	1,838.29
<b>Total current year</b>	<b>\$1,838.29</b>	<b>\$1,838.29</b>
<b>Total dividend &amp; interest</b>	<b>\$1,838.29</b>	<b>\$1,838.29</b>

## 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 2016 (\$)	Year to date (\$)	
Short term	0.00	0.00	-2,497.55
Long term	-731.86	-731.86	93,641.76
<b>Total</b>	<b>-\$731.86</b>	<b>-\$731.86</b>	<b>\$91,144.21</b>

## 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 2016 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$92.72</b>	<b>\$92.72</b>
<i>Additions</i>		
Deposits and other funds credited	31,000.00	31,000.00
Dividend and interest income	1,838.29	1,838.29
Proceeds from investment transactions	56,067.87	56,067.87
<b>Total additions</b>	<b>\$88,906.16</b>	<b>\$88,906.16</b>
<i>Subtractions</i>		
Professional management fees and related services	-992.52	-992.52
Other funds debited	-92.72	-92.72
Funds withdrawn for investments bought	-30,000.00	-30,000.00
<b>Total subtractions</b>	<b>-\$31,085.24</b>	<b>-\$31,085.24</b>
<b>Net cash flow</b>	<b>\$57,820.92</b>	<b>\$57,820.92</b>
<b>Closing balances</b>	<b>\$57,913.64</b>	<b>\$57,913.64</b>

SDNY\_GM\_00020863

**CONFIDENTIAL**



## UBS Bank USA Deposit Account APY

Interest period Dec 7 - Jan 7

Opening UBS Bank USA Deposit balance Dec 7	\$0.00
Closing UBS Bank USA Deposit balance Jan 7	\$217.10
Number of days in interest period	32
Average daily balance	\$672.49
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:**

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 29 (\$)	Price per share on Jan 29 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	92.72	57,913.64					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 29 (\$)	Value on Jan 29 (\$)	Unrealized gain or loss (\$)	Holding period
<b>AECOM</b>								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	27.440	13,720.00	410.05	LT
	Jan 30, 15	100.000	25.532	2,553.24	27.440	2,744.00	190.76	LT
Security total		600.000	26.439	15,863.19		16,464.00	600.81	
<b>AUTOMATIC DATA PROCESSING INC</b>								
Symbol: ADP Exchange: OTC	Apr 22, 13	72.000	56.870	4,094.67	83.090	5,982.48	1,887.81	LT
EAI: \$153 Current yield: 2.56%								
<b>BLACKROCK INC</b>								
Symbol: BLK Exchange: NYSE	Apr 22, 13	72.000	251.093	18,078.71	314.260	22,626.72	4,548.01	LT
EAI: \$660 Current yield: 2.92%								
<b>COLGATE PALMOLIVE CO</b>								
Symbol: CL Exchange: NYSE	Aug 4, 11	174.000	41.632	7,244.05	67.530	11,750.22	4,506.17	LT
EAI: \$2,292 Current yield: 2.25%	Aug 12, 11	4.000	42.450	169.80	67.530	270.12	100.32	LT

continued next page

SDNY\_GM\_00020865

CNP70006005689893 NP7000187084 00002 0116 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 29 (\$)	Value on Jan 29 (\$)	Unrealized gain or loss (\$)	Holding period
	Jan 23, 13	910.000	54.240	49,358.63	67.530	61,452.30	12,093.67	LT
	Apr 22, 13	420.000	59.788	25,111.32	67.530	28,362.60	3,251.28	LT
Security total		1,508.000	54.300	81,883.80		101,835.24	19,951.44	
EOG RESOURCES INC								
Symbol: EOG Exchange: NYSE								
EAI: \$335 Current yield: 0.94%								
	Jan 28, 15	500.000	90.411	45,205.72	71.020	35,510.00	-9,695.72	LT
FORTINET INC								
Symbol: FTNT Exchange: OTC								
	Jan 28, 15	500.000	31.942	15,971.36	28.140	14,070.00	-1,901.36	LT
	Jan 30, 15	250.000	29.431	7,357.75	28.140	7,035.00	-322.75	LT
	Oct 26, 15	250.000	34.170	8,542.53	28.140	7,035.00	-1,507.53	ST
	Jan 15, 16	1,000.000	29.130	29,130.02	28.140	28,140.00	-990.02	ST
Security total		2,000.000	30.501	61,001.66		56,280.00	-4,721.66	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE								
EAI: \$3,312 Current yield: 3.11%								
	Aug 4, 11	191.000	36.265	6,926.77	56.510	10,793.41	3,866.64	LT
	Aug 12, 11	5.000	35.754	178.77	56.510	282.55	103.78	LT
	Jan 23, 13	1,001.000	41.387	41,428.89	56.510	56,566.51	15,137.62	LT
	Apr 22, 13	464.000	50.287	23,333.21	56.510	26,220.64	2,887.43	LT
	Jun 17, 13	148.000	49.739	7,361.45	56.510	8,363.48	1,002.03	LT
	Jun 18, 13	73.000	49.836	3,638.07	56.510	4,125.23	487.16	LT
Security total		1,882.000	44.031	82,867.16		106,351.82	23,484.66	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$198 Current yield: 2.87%								
	Apr 22, 13	66.000	84.721	5,591.64	104.440	6,893.04	1,301.40	LT
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,624 Current yield: 2.88%								
	Aug 4, 11	95.000	84.969	8,072.06	123.780	11,759.10	3,687.04	LT
	Aug 12, 11	3.000	85.910	257.73	123.780	371.34	113.61	LT
	Nov 29, 12	8.000	86.456	691.65	123.780	990.24	298.59	LT
	Jan 23, 13	555.000	93.053	51,644.75	123.780	68,697.90	17,053.15	LT
	Apr 22, 13	255.000	99.318	25,326.32	123.780	31,563.90	6,237.58	LT
	Sep 19, 13	78.000	97.879	7,634.63	123.780	9,654.84	2,020.21	LT
	Sep 19, 13	22.000	97.425	2,143.36	123.780	2,723.16	579.80	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 29 (\$)	Value on Jan 29 (\$)	Unrealized gain or loss (\$)	Holding period
	Sep 19, 13	2.000	97.830	195.66	123.780	247.56	51.90	LT
Security total		1,018.000	94.269	95,966.16		126,008.04	30,041.88	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$499 Current yield: 2.76%								
	Apr 22, 13	162.000	79.757	12,920.65	111.710	18,097.02	5,176.37	LT
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,907 Current yield: 4.36%								
	Feb 12, 14	148.000	88.959	13,165.96	68.830	10,186.84	-2,979.12	LT
	Feb 12, 14	117.000	88.989	10,411.82	68.830	8,053.11	-2,358.71	LT
	Feb 12, 14	32.000	89.002	2,848.07	68.830	2,202.56	-645.51	LT
	Feb 12, 14	7.000	88.857	622.00	68.830	481.81	-140.19	LT
	Feb 13, 14	110.000	88.885	9,777.41	68.830	7,571.30	-2,206.11	LT
	Feb 13, 14	68.000	88.708	6,032.19	68.830	4,680.44	-1,351.75	LT
	Feb 13, 14	33.000	88.369	2,916.19	68.830	2,271.39	-644.80	LT
	Feb 13, 14	6.000	88.421	530.53	68.830	412.98	-117.55	LT
	Feb 14, 14	334.000	92.065	30,749.82	68.830	22,989.22	-7,760.60	LT
	Feb 18, 14	114.000	92.677	10,565.23	68.830	7,846.62	-2,718.61	LT
Security total		969.000	90.422	87,619.22		66,696.27	-20,922.95	
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,243 Current yield: 2.83%								
	Aug 4, 11	115.000	63.979	7,357.65	99.300	11,419.50	4,061.85	LT
	Aug 12, 11	3.000	63.023	189.07	99.300	297.90	108.83	LT
	May 16, 12	6.000	68.535	411.21	99.300	595.80	184.59	LT
	Oct 24, 12	1.000	68.690	68.69	99.300	99.30	30.61	LT
	Oct 25, 12	2.000	68.810	137.62	99.300	198.60	60.98	LT
	Oct 26, 12	1.000	68.890	68.89	99.300	99.30	30.41	LT
	Oct 31, 12	1.000	69.370	69.37	99.300	99.30	29.93	LT
	Nov 6, 12	1.000	69.370	69.37	99.300	99.30	29.93	LT
	Nov 7, 12	1.000	69.150	69.15	99.300	99.30	30.15	LT
	Nov 8, 12	2.000	69.090	138.18	99.300	198.60	60.42	LT
	Jan 23, 13	699.000	72.166	50,444.31	99.300	69,410.70	18,966.39	LT
	Apr 22, 13	322.000	82.251	26,484.85	99.300	31,974.60	5,489.75	LT

continued next page

SDNY\_GM\_00020867

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 29 (\$)	Value on Jan 29 (\$)	Unrealized gain or loss (\$)	Holding period
<b>Security total</b>		1,154,000	74.097	85,508.36		114,592.20	29,083.84	
PROCTER & GAMBLE CO								
Symbol: PG Exchange: NYSE								
EAI: \$3,007 Current yield: 3.25%								
	Aug 4, 11	118,000	60.103	7,092.22	81.690	9,639.42	2,547.20	LT
	Aug 12, 11	3,000	60.896	182.69	81.690	245.07	62.38	LT
	Jan 23, 13	619,000	69.941	43,293.73	81.690	50,566.11	7,272.38	LT
	Apr 22, 13	286,000	81.332	23,261.18	81.690	23,363.34	102.16	LT
	Apr 24, 13	108,000	77.762	8,398.32	81.690	8,822.52	424.20	LT
<b>Security total</b>		1,134,000	72.512	82,228.14		92,636.46	10,408.32	
<b>Total</b>				<b>\$678,829.08</b>		<b>\$769,973.29</b>	<b>\$91,144.21</b>	
<b>Total estimated annual income: \$20,230</b>								

Your total assets

		Value on Jan 29 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
<b>Cash</b>	<b>Cash and money balances</b>	<b>57,913.64</b>	<b>7.00%</b>	<b>57,913.64</b>		
<b>Equities</b>	<b>Common stock</b>	<b>769,973.29</b>	<b>93.00%</b>	<b>678,829.08</b>	<b>20,230.00</b>	<b>91,144.21</b>
<b>Total</b>		<b>\$827,886.93</b>	<b>100.00%</b>	<b>\$736,742.72</b>	<b>\$20,230.00</b>	<b>\$91,144.21</b>

Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Deposits and other funds credited</b>				
	Jan 19	Transfer	FM Y1 23575 0100	1,000.00
	Jan 19	Transfer	FM Y1 23575 0100	30,000.00
	<b>Total deposits and other funds credited</b>			<b>\$31,000.00</b>
<b>Dividend and interest income</b>				
<i>Taxable dividends</i>				
	Jan 4	Dividend	AUTOMATIC DATA PROCESSNG INC PAID ON 72 AS OF 01/01/16	38.16
	Jan 4	Dividend	BAXTER INTL INC PAID ON 1 556	178.94
	Jan 7	Dividend	PEPSICO INC PAID ON 1 154	810.69
	Jan 15	Dividend	OCCIDENTAL PETROLEUM CRP PAID ON 969	726.75

continued next page

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income (continued)</b>				
<i>Taxable dividends (continued)</i>				
	Jan 28	Dividend	EOG RESOURCES INC PAID ON 500	83.75
	<b>Total taxable dividends</b>			<b>\$1,838.29</b>
	<b>Total dividend and interest income</b>			<b>\$1,838.29</b>
<b>Fees</b>				
	Jan 22	Fee Charged	QUARTERLY FEE	-992.52
	<b>Total professional management fees</b>			<b>-\$992.52</b>
<b>Other funds debited</b>				
	Jan 4	Transfer	JOURNAL TO Y1 23575 GHISLAINE MAXWELL	-92.72
	<b>Total other funds debited</b>			<b>-\$92.72</b>

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 (\$)
Jan 19	Assignment	PUT FORTINET INC DUE 01/15/16	30.000	10.000				
Jan 21	Bought	FORTINET INC	1,000.000		30.00		-30,000.00	
Jan 27	Sold	BAXTER INTL INC	-1,556.000		36.034000	56,067.87		
<b>Total</b>						<b>\$56,067.87</b>	<b>-\$30,000.00</b>	

	Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>				
	<b>Dec 31</b>	<b>Balance forward</b>		<b>\$92.72</b>
	Jan 5	Deposit	UBS BANK USA DEPOSIT ACCOUNT	124.38
	Jan 8	Deposit	UBS BANK USA DEPOSIT ACCOUNT	810.69
	Jan 19	Deposit	UBS BANK USA DEPOSIT ACCOUNT	726.75
	Jan 20	Deposit	UBS BANK USA DEPOSIT ACCOUNT	31,000.00
	Jan 21	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT	-30,000.00
	Jan 25	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 01/22/16	-992.52
	Jan 28	Deposit	UBS BANK USA DEPOSIT ACCOUNT	56,067.87
	Jan 29	Deposit	UBS BANK USA DEPOSIT ACCOUNT	83.75
	<b>Jan 29</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$57,913.64</b>

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

SDNY\_GM\_00020869

CNP70006005689897 NP7000187084 00002 0116 030575004 Y123568550 100000

**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 (\$)
BAXTER INTL INC	FIFO	30.000	Jun 20, 12	Jan 22, 16	1,081.00	854.88			226.12
	FIFO	17.000	Jun 20, 12	Jan 22, 16	612.57	483.75			128.82
	FIFO	29.000	Jun 21, 12	Jan 22, 16	1,044.96	834.12			210.84
	FIFO	5.000	Jun 21, 12	Jan 22, 16	180.17	144.19			35.98
	FIFO	7.000	Jun 21, 12	Jan 22, 16	252.23	199.11			53.12
	FIFO	61.000	Jun 22, 12	Jan 22, 16	2,198.04	1,748.19			449.85
	FIFO	768.000	Jan 23, 13	Jan 22, 16	27,673.60	28,274.47		-600.87	
	FIFO	355.000	Apr 22, 13	Jan 22, 16	12,791.83	13,591.05		-799.22	
	FIFO	74.000	Sep 19, 13	Jan 22, 16	2,666.47	2,949.45		-282.98	
	FIFO	3.000	Sep 19, 13	Jan 22, 16	108.10	119.10		-11.00	
	FIFO	6.000	Sep 19, 13	Jan 22, 16	216.20	238.18		-21.98	
	FIFO	47.000	Sep 20, 13	Jan 22, 16	1,693.57	1,868.67		-175.10	
	FIFO	154.000	Oct 03, 13	Jan 22, 16	5,549.13	5,494.57			54.56
<b>Total</b>					<b>\$56,067.87</b>	<b>\$56,799.73</b>		<b>-\$1,891.15</b>	<b>\$1,159.29</b>
<b>Net long-term capital gains or losses</b>								<b>-\$731.86</b>	
<b>Net capital gains/losses:</b>								<b>-\$731.86</b>	

**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. If we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

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](http://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](http://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](http://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\_00020871

# CONFIDENTIAL

EFTA\_00131491

EFTA01273698

## 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](http://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/derivacynotice](http://www.ubs.com/derivacynotice).

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. 201511

SDNY\_GM\_00020872

# CONFIDENTIAL

EFTA\_00131492

EFTA01273699



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

CNP70057491550216.X1 Y1 0

# UBS Strategic Advisor

February 2016

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

**Account name:** GHISLAINE MAXWELL

**Friendly account name:** Inc [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 [REDACTED]  
account [REDACTED]

**Visit our website:**

[REDACTED]

## Value of your account

	on January 29 (\$)	on February 29 (\$)
Your assets	827,886.93	761,238.45
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$827,886.93</b>	<b>\$761,238.45</b>

## Tracking the value of your account



**Sources of your account growth during 2016**

Value of your account at year end 2015	\$798,007.41
Net deposits and withdrawals	-\$27,998.88
Your investment return:	
Dividend and interest income	\$3,991.28
Change in market value	-\$12,761.36
<b>Value of your account on Feb 29, 2016</b>	<b>\$761,238.45</b>

**CONFIDENTIAL**



## Your account balance sheet

### Summary of your assets

	Value on February 29 (\$)	Percentage of your account
<b>A</b> Cash and money balances	2,152.99	0.28%
<b>B</b> Cash alternatives	0.00	0.00%
<b>C</b> Equities	759,085.46	99.72%
<b>D</b> Fixed income	0.00	0.00%
<b>E</b> Non-traditional	0.00	0.00%
<b>F</b> Commodities	0.00	0.00%
<b>G</b> Other	0.00	0.00%
<b>Total assets</b>	<b>\$761,238.45</b>	<b>100.00%</b>

**Value of your account** **\$761,238.45**

### 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 2016	Year to date
S&P 500	-0.13%	-5.09%
Russell 3000	-0.03%	-5.67%
MSCI - Europe, Australia & Far East	-1.80%	-8.89%
Barclays Capital U.S. Aggregate Bond Index	0.71%	2.10%

#### Interest rates on February 29, 2016

3-month Treasury bills: 0.32%  
One-month LIBOR: 0.44%

**CONFIDENTIAL**



## Change in the value of your account

	February 2016 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$827,886.93</b>	<b>\$798,007.41</b>
Deposits, including investments transferred in	0.00	31,000.00
Withdrawals and fees, including investments transferred out	-57,913.64	-58,998.88
Dividend and interest income	2,152.99	3,991.28
Change in market value	-10,887.83	-12,761.36
<b>Closing account value</b>	<b>\$761,238.45</b>	<b>\$761,238.45</b>

## 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 2016 (\$)	Year to date (\$)
Taxable dividends	2,152.85	3,991.14
Taxable interest	0.14	0.14
<b>Total current year</b>	<b>\$2,152.99</b>	<b>\$3,991.28</b>
<b>Total dividend &amp; interest</b>	<b>\$2,152.99</b>	<b>\$3,991.28</b>

## 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 2016 (\$)	Year to date (\$)	
Short term	0.00	0.00	-2,172.55
Long term	0.00	-731.86	82,428.93
<b>Total</b>	<b>\$0.00</b>	<b>-\$731.86</b>	<b>\$80,256.38</b>

## 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 2016 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$57,913.64</b>	<b>\$92.72</b>
<i>Additions</i>		
Deposits and other funds credited	0.00	31,000.00
Dividend and interest income	2,152.99	3,991.28
Proceeds from investment transactions	0.00	56,067.87
<b>Total additions</b>	<b>\$2,152.99</b>	<b>\$91,059.15</b>
<i>Subtractions</i>		
Professional management fees and related services	0.00	-992.52
Other funds debited	-57,913.64	-58,006.36
Funds withdrawn for investments bought	0.00	-30,000.00
<b>Total subtractions</b>	<b>-\$57,913.64</b>	<b>-\$88,998.88</b>
<b>Net cash flow</b>	<b>-\$55,760.65</b>	<b>\$2,060.27</b>
<b>Closing balances</b>	<b>\$2,152.99</b>	<b>\$2,152.99</b>

SDNY\_GM\_00020875

**CONFIDENTIAL**



## UBS Bank USA Deposit Account APY

Interest period Jan 8 - Feb 4

Opening UBS Bank USA Deposit balance Jan 8	\$217.10
Closing UBS Bank USA Deposit balance Feb 4	\$828.22
Number of days in interest period	28
Average daily balance	\$10,500.88
Interest earned	\$0.14
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 Feb 1 (\$)	Closing balance on Feb 29 (\$)	Price per share on Feb 29 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	57,913.64	2,152.99					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 29 (\$)	Value on Feb 29 (\$)	Unrealized gain or loss (\$)	Holding period
<b>AECOM</b>								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	27.460	13,730.00	420.05	LT
	Jan 30, 15	100.000	25.532	2,553.24	27.460	2,746.00	192.76	LT
Security total		600.000	26.439	15,863.19		16,476.00	612.81	
<b>AUTOMATIC DATA PROCESSING INC</b>								
Symbol: ADP Exchange: OTC								
EAI: \$153 Current yield: 2.51%	Apr 22, 13	72.000	56.870	4,094.67	84.690	6,097.68	2,003.01	LT
<b>BLACKROCK INC</b>								
Symbol: BLK Exchange: NYSE								
EAI: \$660 Current yield: 2.94%	Apr 22, 13	72.000	251.093	18,078.71	311.960	22,461.12	4,382.41	LT
<b>COLGATE PALMOLIVE CO</b>								
Symbol: CL Exchange: NYSE								
EAI: \$2,292 Current yield: 2.32%	Aug 4, 11	174.000	41.632	7,244.05	65.640	11,421.36	4,177.31	LT
	Aug 12, 11	4.000	42.450	169.80	65.640	262.56	92.76	LT

continued next page

SDNY\_GM\_00020877

CNP70008005749159 NP7000202277 00002 0216 030575004 Y1 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 Feb 29 (\$)	Value on Feb 29 (\$)	Unrealized gain or loss (\$)	Holding period
	Jan 23, 13	910.000	54.240	49,358.63	65.640	59,732.40	10,373.77	LT
	Apr 22, 13	420.000	59.788	25,111.32	65.640	27,568.80	2,457.48	LT
Security total		1,508.000	54.300	81,883.80		98,985.12	17,101.32	
EOG RESOURCES INC								
Symbol: EOG Exchange: NYSE								
EAI: \$335 Current yield: 1.03%								
	Jan 28, 15	500.000	90.411	45,205.72	64.740	32,370.00	-12,835.72	LT
FORTINET INC								
Symbol: FTNT Exchange: OTC								
	Jan 28, 15	500.000	31.942	15,971.36	28.400	14,200.00	-1,771.36	LT
	Jan 30, 15	250.000	29.431	7,357.75	28.400	7,100.00	-257.75	LT
	Oct 26, 15	250.000	34.170	8,542.53	28.400	7,100.00	-1,442.53	ST
	Jan 15, 16	1,000.000	29.130	29,130.02	28.400	28,400.00	-730.02	ST
Security total		2,000.000	30.501	61,001.66		56,800.00	-4,201.66	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE								
EAI: \$3,312 Current yield: 2.99%								
	Aug 4, 11	191.000	36.265	6,926.77	58.850	11,240.35	4,313.58	LT
	Aug 12, 11	5.000	35.754	178.77	58.850	294.25	115.48	LT
	Jan 23, 13	1,001.000	41.387	41,428.89	58.850	58,908.85	17,479.96	LT
	Apr 22, 13	464.000	50.287	23,333.21	58.850	27,306.40	3,973.19	LT
	Jun 17, 13	148.000	49.739	7,361.45	58.850	8,709.80	1,348.35	LT
	Jun 18, 13	73.000	49.836	3,638.07	58.850	4,296.05	657.98	LT
Security total		1,882.000	44.031	82,867.16		110,755.70	27,888.54	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$198 Current yield: 2.85%								
	Apr 22, 13	66.000	84.721	5,591.64	105.210	6,943.86	1,352.22	LT
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,624 Current yield: 3.04%								
	Aug 4, 11	95.000	84.969	8,072.06	117.190	11,133.05	3,060.99	LT
	Aug 12, 11	3.000	85.910	257.73	117.190	351.57	93.84	LT
	Nov 29, 12	8.000	86.456	691.65	117.190	937.52	245.87	LT
	Jan 23, 13	555.000	93.053	51,644.75	117.190	65,040.45	13,395.70	LT
	Apr 22, 13	255.000	99.318	25,326.32	117.190	29,883.45	4,557.13	LT
	Sep 19, 13	78.000	97.879	7,634.63	117.190	9,140.82	1,506.19	LT
	Sep 19, 13	22.000	97.425	2,143.36	117.190	2,578.18	434.82	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 29 (\$)	Value on Feb 29 (\$)	Unrealized gain or loss (\$)	Holding period
	Sep 19, 13	2.000	97.830	195.66	117.190	234.38	38.72	LT
Security total		1,018.000	94.269	95,966.16		119,299.42	23,333.26	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$564 Current yield: 3.09%								
	Apr 22, 13	162.000	79.757	12,920.65	112.820	18,276.84	5,356.19	LT
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,907 Current yield: 4.36%								
	Feb 12, 14	148.000	88.959	13,165.96	68.820	10,185.36	-2,980.60	LT
	Feb 12, 14	117.000	88.989	10,411.82	68.820	8,051.94	-2,359.88	LT
	Feb 12, 14	32.000	89.002	2,848.07	68.820	2,202.24	-645.83	LT
	Feb 12, 14	7.000	88.857	622.00	68.820	481.74	-140.26	LT
	Feb 13, 14	110.000	88.885	9,777.41	68.820	7,570.20	-2,207.21	LT
	Feb 13, 14	68.000	88.708	6,032.19	68.820	4,679.76	-1,352.43	LT
	Feb 13, 14	33.000	88.369	2,916.19	68.820	2,271.06	-645.13	LT
	Feb 13, 14	6.000	88.421	530.53	68.820	412.92	-117.61	LT
	Feb 14, 14	334.000	92.065	30,749.82	68.820	22,985.88	-7,763.94	LT
	Feb 18, 14	114.000	92.677	10,565.23	68.820	7,845.48	-2,719.75	LT
Security total		969.000	90.422	87,619.22		66,686.58	-20,932.64	
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,243 Current yield: 2.87%								
	Aug 4, 11	115.000	63.979	7,357.65	97.820	11,249.30	3,891.65	LT
	Aug 12, 11	3.000	63.023	189.07	97.820	293.46	104.39	LT
	May 16, 12	6.000	68.535	411.21	97.820	586.92	175.71	LT
	Oct 24, 12	1.000	68.690	68.69	97.820	97.82	29.13	LT
	Oct 25, 12	2.000	68.810	137.62	97.820	195.64	58.02	LT
	Oct 26, 12	1.000	68.890	68.89	97.820	97.82	28.93	LT
	Oct 31, 12	1.000	69.370	69.37	97.820	97.82	28.45	LT
	Nov 6, 12	1.000	69.370	69.37	97.820	97.82	28.45	LT
	Nov 7, 12	1.000	69.150	69.15	97.820	97.82	28.67	LT
	Nov 8, 12	2.000	69.090	138.18	97.820	195.64	57.46	LT
	Jan 23, 13	699.000	72.166	50,444.31	97.820	68,376.18	17,931.87	LT
	Apr 22, 13	322.000	82.251	26,484.85	97.820	31,498.04	5,013.19	LT

continued next page

SDNY\_GM\_00020879

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 29 (\$)	Value on Feb 29 (\$)	Unrealized gain or loss (\$)	Holding period
<b>Security total</b>								
PROCTER & GAMBLE CO								
Symbol: PG Exchange: NYSE								
EAI: \$3,007 Current yield: 3.30%								
	Aug 4, 11	118.000	60.103	7,092.22	80.290	9,474.22	2,382.00	LT
	Aug 12, 11	3.000	60.896	182.69	80.290	240.87	58.18	LT
	Jan 23, 13	619.000	69.941	43,293.73	80.290	49,699.51	6,405.78	LT
	Apr 22, 13	286.000	81.332	23,261.18	80.290	22,962.94	-298.24	LT
	Apr 24, 13	108.000	77.762	8,398.32	80.290	8,671.32	273.00	LT
<b>Security total</b>								
		1,134.000	72.512	82,228.14		91,048.86	8,820.72	
<b>Total</b>				<b>\$678,829.08</b>		<b>\$759,085.46</b>	<b>\$80,256.38</b>	
<b>Total estimated annual income: \$20,295</b>								

Your total assets

		Value on Feb 29 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
<b>Cash</b>	<b>Cash and money balances</b>	<b>2,152.99</b>	<b>0.28%</b>	<b>2,152.99</b>		
<b>Equities</b>	<b>Common stock</b>	<b>759,085.46</b>	<b>99.72%</b>	<b>678,829.08</b>	<b>20,295.00</b>	<b>80,256.38</b>
<b>Total</b>		<b>\$761,238.45</b>	<b>100.00%</b>	<b>\$680,982.07</b>	<b>\$20,295.00</b>	<b>\$80,256.38</b>

Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Taxable dividends</i>				
	Feb 1	Dividend	GENL MILLS INC PAID ON 1882	828.08
	Feb 16	Dividend	COLGATE PALMOLIVE CO PAID ON 1508	573.04
	Feb 16	Dividend	PROCTER & GAMBLE CO PAID ON 1134	751.73
<b>Total taxable dividends</b>				<b>\$2,152.85</b>
<i>Taxable interest</i>				
	Feb 5	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 02/04/16	0.14
<b>Total taxable interest</b>				<b>\$0.14</b>
<b>Total dividend and interest income</b>				<b>\$2,152.99</b>
<b>Other funds debited</b>				
	Feb 1	Transfer	JOURNAL TO Y1 23575 GHISLAINE MAXWELL	-57,913.64
<b>Total other funds debited</b>				<b>-\$57,913.64</b>

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>	<b>Jan 29</b>	<b>Balance forward</b>		<b>\$57,913.64</b>
	Feb 2	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 02/01/16	-57,085.56
	Feb 5	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 02/04/16	0.14
	Feb 17	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,324.77
	<b>Feb 29</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$2,152.99</b>

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. If we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

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](http://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](http://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](http://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\_00020883

# CONFIDENTIAL

EFTA\_00131503

EFTA01273710

## 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/accounts/disclosures](http://www.ubs.com/accounts/disclosures).

### 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](http://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. 201511

SDNY\_GM\_00020884

# CONFIDENTIAL

EFTA\_00131504

EFTA01273711



UBS Financial Services Inc.  
 299 Park Avenue  
 25th Floor  
 New York NY 10171-0002  
 CNP70065181650316.X13 Y1 0

# UBS Strategic Advisor

March 2016

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

**Account name:** GHISLAINE MAXWELL

**Friendly account name:** [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 [REDACTED]  
 account [REDACTED]

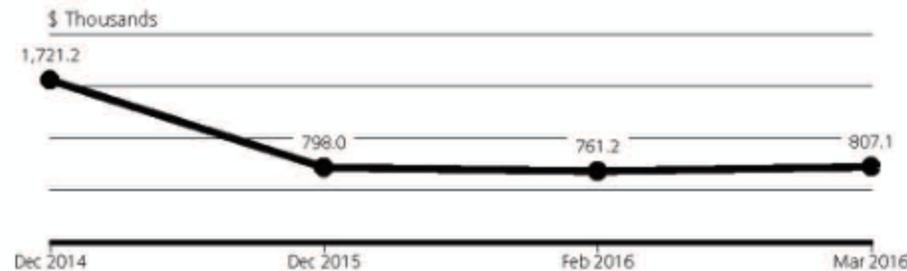
**Visit our website:**

[REDACTED]

## Value of your account

	on February 29 (\$)	on March 31 (\$)
Your assets	761,238.45	807,099.30
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$761,238.45</b>	<b>\$807,099.30</b>

## Tracking the value of your account



**Sources of your account growth during 2016**

Value of your account at year end 2015	\$798,007.41
Net deposits and withdrawals	-\$30,151.87
Your investment return:	
Dividend and interest income	\$6,063.31
Change in market value	\$33,180.45
<b>Value of your account on Mar 31, 2016</b>	<b>\$807,099.30</b>

**CONFIDENTIAL**



## Your account balance sheet

### Summary of your assets

	Value on March 31 (\$)	Percentage of your account
<b>A</b> Cash and money balances	2,072.89	0.26%
<b>B</b> Cash alternatives	0.00	0.00%
<b>C</b> Equities	805,026.41	99.74%
<b>D</b> Fixed income	0.00	0.00%
<b>E</b> Non-traditional	0.00	0.00%
<b>F</b> Commodities	0.00	0.00%
<b>G</b> Other	0.00	0.00%
<b>Total assets</b>	<b>\$807,099.30</b>	<b>100.00%</b>

**Value of your account** **\$807,099.30**

### 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 2016	Year to date
S&P 500	6.78%	1.35%
Russell 3000	7.04%	0.97%
MSCI - Europe, Australia & Far East	6.59%	-2.88%
Barclays Capital U.S. Aggregate Bond Index	0.92%	3.03%

#### Interest rates on March 31, 2016

3-month Treasury bills: 0.21%  
One-month LIBOR: 0.44%

**CONFIDENTIAL**



## Change in the value of your account

	March 2016 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$761,238.45</b>	<b>\$798,007.41</b>
Deposits, including investments transferred in	0.00	31,000.00
Withdrawals and fees, including investments transferred out	-2,152.99	-61,151.87
Dividend and interest income	2,072.03	6,063.31
Change in market value	45,941.81	33,180.45
<b>Closing account value</b>	<b>\$807,099.30</b>	<b>\$807,099.30</b>

## 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 2016 (\$)	Year to date (\$)
Taxable dividends	2,072.03	6,063.17
Taxable interest	0.00	0.14
<b>Total current year</b>	<b>\$2,072.03</b>	<b>\$6,063.31</b>
<b>Total dividend &amp; interest</b>	<b>\$2,072.03</b>	<b>\$6,063.31</b>

## 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 2016 (\$)	Year to date (\$)	
Short term	0.00	0.00	614.95
Long term	-0.26	-732.12	125,583.50
<b>Total</b>	<b>-\$0.26</b>	<b>-\$732.12</b>	<b>\$126,198.45</b>

## 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 2016 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$2,152.99</b>	<b>\$92.72</b>
<i>Additions</i>		
Deposits and other funds credited	0.00	31,000.00
Dividend and interest income	2,072.03	6,063.31
Proceeds from investment transactions	0.86	56,068.73
<b>Total additions</b>	<b>\$2,072.89</b>	<b>\$93,132.04</b>
<i>Subtractions</i>		
Professional management fees and related services	0.00	-992.52
Other funds debited	-2,152.99	-60,159.35
Funds withdrawn for investments bought	0.00	-30,000.00
<b>Total subtractions</b>	<b>-\$2,152.99</b>	<b>-\$91,151.87</b>
<b>Net cash flow</b>	<b>-\$80.10</b>	<b>\$1,980.17</b>
<b>Closing balances</b>	<b>\$2,072.89</b>	<b>\$2,072.89</b>

SDNY\_GM\_00020887

**CONFIDENTIAL**



## UBS Bank USA Deposit Account APY

Interest period Feb 5 - Mar 6

Opening UBS Bank USA Deposit balance Feb 5	\$828.22
Closing UBS Bank USA Deposit balance Mar 6	\$0.00
Number of days in interest period	31
Average daily balance	\$1,223.47
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:**

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	2,152.99	2,072.89					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
<b>AECOM</b>								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	30.790	15,395.00	2,085.05	LT
	Jan 30, 15	100.000	25.532	2,553.24	30.790	3,079.00	525.76	LT
Security total		600.000	26.439	15,863.19		18,474.00	2,610.81	
<b>AUTOMATIC DATA PROCESSING INC</b>								
Symbol: ADP Exchange: OTC								
EAI: \$153 Current yield: 2.37%	Apr 22, 13	72.000	56.870	4,094.67	89.710	6,459.12	2,364.45	LT
<b>BLACKROCK INC</b>								
Symbol: BLK Exchange: NYSE								
EAI: \$660 Current yield: 2.69%	Apr 22, 13	72.000	251.093	18,078.71	340.570	24,521.04	6,442.33	LT
<b>CALIFORNIA RESOURCES CORP</b>								
Symbol: CRC Exchange: NYSE	Feb 12, 14	13.856	1.561	21.63	1.030	14.27	-7.36	LT
	Feb 12, 14	10.953	1.561	17.10	1.030	11.28	-5.82	LT
	Feb 12, 14	2.280	1.561	3.56	1.030	2.35	-1.21	LT

continued next page

SDNY\_GM\_00020889

**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
	Feb 12, 14	0.655	1.556	1.02	1.030	0.67	-0.35	LT
	Feb 13, 14	10.298	1.559	16.06	1.030	10.61	-5.45	LT
	Feb 13, 14	6.366	1.556	9.91	1.030	6.56	-3.35	LT
	Feb 13, 14	3.089	1.550	4.79	1.030	3.18	-1.61	LT
	Feb 13, 14	0.562	1.548	0.87	1.030	0.58	-0.29	LT
	Feb 14, 14	31.268	1.615	50.51	1.030	32.21	-18.30	LT
	Feb 18, 14	10.672	1.625	17.35	1.030	10.99	-6.36	LT
Security total		90.000	1.587	142.80		92.70	-50.10	
<b>COLGATE PALMOLIVE CO</b>								
Symbol: CL Exchange: NYSE								
EAI: \$2,352 Current yield: 2.21%								
	Aug 4, 11	174.000	41.632	7,244.05	70.650	12,293.10	5,049.05	LT
	Aug 12, 11	4.000	42.450	169.80	70.650	282.60	112.80	LT
	Jan 23, 13	910.000	54.240	49,358.63	70.650	64,291.50	14,932.87	LT
	Apr 22, 13	420.000	59.788	25,111.32	70.650	29,673.00	4,561.68	LT
Security total		1,508.000	54.300	81,883.80		106,540.20	24,656.40	
<b>EOG RESOURCES INC</b>								
Symbol: EOG Exchange: NYSE								
EAI: \$335 Current yield: 0.92%								
	Jan 28, 15	500.000	90.411	45,205.72	72.580	36,290.00	-8,915.72	LT
<b>FORTINET INC</b>								
Symbol: FTNT Exchange: OTC								
	Jan 28, 15	500.000	31.942	15,971.36	30.630	15,315.00	-656.36	LT
	Jan 30, 15	250.000	29.431	7,357.75	30.630	7,657.50	299.75	LT
	Oct 26, 15	250.000	34.170	8,542.53	30.630	7,657.50	-885.03	ST
	Jan 15, 16	1,000.000	29.130	29,130.02	30.630	30,630.00	1,499.98	ST
Security total		2,000.000	30.501	61,001.66		61,260.00	258.34	
<b>GENL MILLS INC</b>								
Symbol: GIS Exchange: NYSE								
EAI: \$3,463 Current yield: 2.90%								
	Aug 4, 11	191.000	36.265	6,926.77	63.350	12,099.85	5,173.08	LT
	Aug 12, 11	5.000	35.754	178.77	63.350	316.75	137.98	LT
	Jan 23, 13	1,001.000	41.387	41,428.89	63.350	63,413.35	21,984.46	LT
	Apr 22, 13	464.000	50.287	23,333.21	63.350	29,394.40	6,061.19	LT
	Jun 17, 13	148.000	49.739	7,361.45	63.350	9,375.80	2,014.35	LT
	Jun 18, 13	73.000	49.836	3,638.07	63.350	4,624.55	986.48	LT
Security total		1,882.000	44.031	82,867.16		119,224.70	36,357.54	

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
<b>JOHNSON &amp; JOHNSON COM</b>								
Symbol: JNJ Exchange: NYSE								
EAI: \$198 Current yield: 2.77%								
	Apr 22, 13	66.000	84.721	5,591.64	108.200	7,141.20	1,549.56	LT
<b>MCDONALDS CORP</b>								
Symbol: MCD Exchange: NYSE								
EAI: \$3,624 Current yield: 2.83%								
	Aug 4, 11	95.000	84.969	8,072.06	125.680	11,939.60	3,867.54	LT
	Aug 12, 11	3.000	85.910	257.73	125.680	377.04	119.31	LT
	Nov 29, 12	8.000	86.456	691.65	125.680	1,005.44	313.79	LT
	Jan 23, 13	555.000	93.053	51,644.75	125.680	69,752.40	18,107.65	LT
	Apr 22, 13	255.000	99.318	25,326.32	125.680	32,048.40	6,722.08	LT
	Sep 19, 13	78.000	97.879	7,634.63	125.680	9,803.04	2,168.41	LT
	Sep 19, 13	22.000	97.425	2,143.36	125.680	2,764.96	621.60	LT
	Sep 19, 13	2.000	97.830	195.66	125.680	251.36	55.70	LT
Security total		1,018.000	94.269	95,966.16		127,942.24	31,976.08	
<b>NEXTERA ENERGY INC COM</b>								
Symbol: NEE Exchange: NYSE								
EAI: \$564 Current yield: 2.94%								
	Apr 22, 13	162.000	79.757	12,920.65	118.340	19,171.08	6,250.43	LT
<b>OCCIDENTAL PETROLEUM CRP</b>								
Symbol: OXY Exchange: NYSE								
EAI: \$2,907 Current yield: 4.38%								
	Feb 12, 14	148.000	88.813	13,144.33	68.430	10,127.64	-3,016.69	LT
	Feb 12, 14	117.000	88.843	10,394.72	68.430	8,006.31	-2,388.41	LT
	Feb 12, 14	32.000	88.855	2,843.39	68.430	2,189.76	-653.63	LT
	Feb 12, 14	7.000	88.711	620.98	68.430	479.01	-141.97	LT
	Feb 13, 14	110.000	88.739	9,761.35	68.430	7,527.30	-2,234.05	LT
	Feb 13, 14	68.000	88.562	6,022.28	68.430	4,653.24	-1,369.04	LT
	Feb 13, 14	33.000	88.224	2,911.40	68.430	2,258.19	-653.21	LT
	Feb 13, 14	6.000	88.276	529.66	68.430	410.58	-119.08	LT
	Feb 14, 14	334.000	91.914	30,699.31	68.430	22,855.62	-7,843.69	LT
	Feb 18, 14	114.000	92.525	10,547.88	68.430	7,801.02	-2,746.86	LT
Security total		969.000	90.274	87,475.30		66,308.67	-21,166.63	

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
<b>PEPSICO INC</b>								
Symbol: PEP Exchange: NYSE								
EAI: \$3,243 Current yield: 2.74%								
	Aug 4, 11	115.000	63.979	7,357.65	102.480	11,785.20	4,427.55	LT
	Aug 12, 11	3.000	63.023	189.07	102.480	307.44	118.37	LT
	May 16, 12	6.000	68.535	411.21	102.480	614.88	203.67	LT
	Oct 24, 12	1.000	68.690	68.69	102.480	102.48	33.79	LT
	Oct 25, 12	2.000	68.810	137.62	102.480	204.96	67.34	LT
	Oct 26, 12	1.000	68.890	68.89	102.480	102.48	33.59	LT
	Oct 31, 12	1.000	69.370	69.37	102.480	102.48	33.11	LT
	Nov 6, 12	1.000	69.370	69.37	102.480	102.48	33.11	LT
	Nov 7, 12	1.000	69.150	69.15	102.480	102.48	33.33	LT
	Nov 8, 12	2.000	69.090	138.18	102.480	204.96	66.78	LT
	Jan 23, 13	699.000	72.166	50,444.31	102.480	71,633.52	21,189.21	LT
	Apr 22, 13	322.000	82.251	26,484.85	102.480	32,998.56	6,513.71	LT
<b>Security total</b>		<b>1,154.000</b>	<b>74.097</b>	<b>85,508.36</b>		<b>118,261.92</b>	<b>32,753.56</b>	
<b>PROCTER &amp; GAMBLE CO</b>								
Symbol: PG Exchange: NYSE								
EAI: \$3,007 Current yield: 3.22%								
	Aug 4, 11	118.000	60.103	7,092.22	82.310	9,712.58	2,620.36	LT
	Aug 12, 11	3.000	60.896	182.69	82.310	246.93	64.24	LT
	Jan 23, 13	619.000	69.941	43,293.73	82.310	50,949.89	7,656.16	LT
	Apr 22, 13	286.000	81.332	23,261.18	82.310	23,540.66	279.48	LT
	Apr 24, 13	108.000	77.762	8,398.32	82.310	8,889.48	491.16	LT
<b>Security total</b>		<b>1,134.000</b>	<b>72.512</b>	<b>82,228.14</b>		<b>93,339.54</b>	<b>11,111.40</b>	
<b>Total</b>				<b>\$678,827.96</b>		<b>\$805,026.41</b>	<b>\$126,198.45</b>	
<b>Total estimated annual income: \$20,506</b>								

Your total assets

		Value on Mar 31 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
<b>Cash</b>	<b>Cash and money balances</b>	<b>2,072.89</b>	<b>0.26%</b>	<b>2,072.89</b>		
<b>Equities</b>	<b>Common stock</b>	<b>805,026.41</b>	<b>99.74%</b>	<b>678,827.96</b>	<b>20,506.00</b>	<b>126,198.45</b>
<b>Total</b>		<b>\$807,099.30</b>	<b>100.00%</b>	<b>\$680,900.85</b>	<b>\$20,506.00</b>	<b>\$126,198.45</b>

**CONFIDENTIAL**



## Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Taxable dividends</i>				
	Mar 8	Dividend	JOHNSON & JOHNSON COM PAID ON 66	49.50
	Mar 15	Dividend	MCDONALDS CORP PAID ON 1018	906.02
	Mar 15	Dividend	NEXTERA ENERGY INC COM PAID ON 162	140.94
	Mar 23	Dividend	BLACKROCK INC PAID ON 72	164.88
	Mar 30	Dividend	PEPSICO INC PAID ON 1154	810.69
			<b>Total taxable dividends</b>	<b>\$2,072.03</b>
			<b>Total dividend and interest income</b>	<b>\$2,072.03</b>
<b>Other funds debited</b>				
	Mar 1	Transfer	JOURNAL TO Y1 23575 GHISLAINE MAXWELL	-2,152.99
			<b>Total other funds debited</b>	<b>-\$2,152.99</b>

### 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 (\$)
Mar 24	Cash In Lieu	CALIFORNIA RESOURCES CORP				0.86		
Mar 24	Spin Off	CALIFORNIA RESOURCES CORP	90.000					
	<b>Total</b>					<b>\$0.86</b>		

	Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>				
	<b>Feb 29</b>		<b>Balance forward</b>	<b>\$2,152.99</b>
	Mar 2	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 03/01/16	-2,152.99
	Mar 9	Deposit	UBS BANK USA DEPOSIT ACCOUNT	49.50
	Mar 16	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,046.96
	Mar 24	Deposit	UBS BANK USA DEPOSIT ACCOUNT	164.88
	Mar 31	Deposit	UBS BANK USA DEPOSIT ACCOUNT	811.55
	<b>Mar 31</b>		<b>Closing UBS Bank USA Deposit Account</b>	<b>\$2,072.89</b>

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 (\$)
CALIFORNIA RESOURCES CORP	FIFO	0.715	Feb 12, 14	Mar 24, 16	0.86	1.12		-0.26	

**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.

As described in the account agreements, you must notify us of any errors or fraud involving checks reflected on your statement within 30 days after it was mailed or made available. All statements shall be deemed complete and accurate in all other respects 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. For alleged errors involving UBS Visa® debit card transactions, if we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

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](http://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](http://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, 2015. 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 USA, (ii) cash at UBS AG U.S. branches, (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](http://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 your accounts. 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.
- **Investment Eligibility Consideration:** If selected, a portion of the portfolio for that account may include complex strategies, limited liquidity and greater volatility.

## Statement "householding"

We may consolidate all related account statements with the same address in the same envelope, e.g. because they have owners who also maintain joint account relationships with other clients at the same address. 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 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 deposit balances at UBS Bank USA, UBS AG U.S. Branches 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\_00020895

# CONFIDENTIAL

EFTA\_00131515

EFTA01273722

## 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/accounts/disclosures](http://www.ubs.com/accounts/disclosures).

### 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/privacy-policy](http://www.ubs.com/privacy-policy).

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. 201603

SDNY\_GM\_00020896

# CONFIDENTIAL

EFTA\_00131516

EFTA01273723



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

CNP7005675103 0416 Y1 0

# UBS Strategic Advisor

April 2016

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

**Account name:** GHISLAINE MAXWELL

**Friendly account name:** Individ [REDACTED]

**Account number:** [REDACTED]

**Your Financial Advisor:**

SCOTT STACKMAN/LYLE CASRIEL

Phone: 2 [REDACTED]

**Questions about your statement?**

Call your Financial Advisor or the  
RMA Resource line at 8 [REDACTED]  
account 0 [REDACTED]

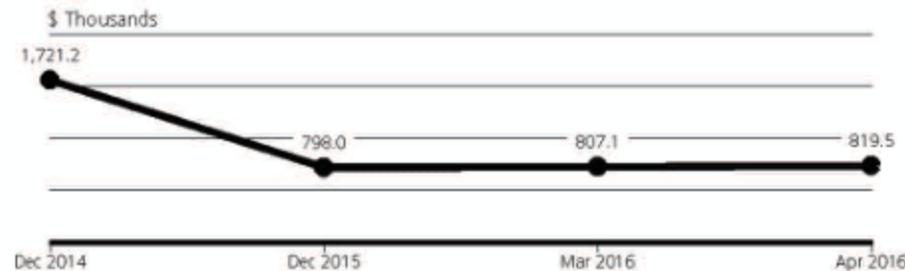
**Visit our website:**

[www.ubs.com/financialservices](http://www.ubs.com/financialservices)

## Value of your account

	on March 31 (\$)	on April 29 (\$)
Your assets	807,099.30	819,478.26
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$807,099.30</b>	<b>\$819,478.26</b>

## Tracking the value of your account



**Sources of your account growth during 2016**

Value of your account at year end 2015	\$798,007.41
Net deposits and withdrawals	-\$33,075.32
Your investment return:	
Dividend and interest income	\$6,911.97
Change in market value	\$47,634.20
<b>Value of your account on Apr 29, 2016</b>	<b>\$819,478.26</b>

**CONFIDENTIAL**



## Your account balance sheet

### Summary of your assets

	Value on April 29 (\$)	Percentage of your account
<b>A</b> Cash and money balances	83.75	0.01%
<b>B</b> Cash alternatives	0.00	0.00%
<b>C</b> Equities	819,394.51	99.99%
<b>D</b> Fixed income	0.00	0.00%
<b>E</b> Non-traditional	0.00	0.00%
<b>F</b> Commodities	0.00	0.00%
<b>G</b> Other	0.00	0.00%
<b>Total assets</b>	<b>\$819,478.26</b>	<b>100.00%</b>

**Value of your account** **\$819,478.26**

### 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 2016	Year to date
S&P 500	0.39%	1.74%
Russell 3000	0.62%	1.59%
MSCI - Europe, Australia & Far East	3.00%	0.04%
Barclays Capital U.S. Aggregate Bond Index	0.38%	3.43%

#### Interest rates on April 29, 2016

3-month Treasury bills: 0.20%  
One-month LIBOR: 0.44%

**CONFIDENTIAL**



## Change in the value of your account

	April 2016 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$807,099.30</b>	<b>\$798,007.41</b>
Deposits, including investments transferred in	1,510.00	32,510.00
Withdrawals and fees, including investments transferred out	-4,433.45	-65,585.32
Dividend and interest income	848.66	6,911.97
Change in market value	14,453.75	47,634.20
<b>Closing account value</b>	<b>\$819,478.26</b>	<b>\$819,478.26</b>

## 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 2016 (\$)	Year to date (\$)
Taxable dividends	848.66	6,911.83
Taxable interest	0.00	0.14
<b>Total current year</b>	<b>\$848.66</b>	<b>\$6,911.97</b>
<b>Total dividend &amp; interest</b>	<b>\$848.66</b>	<b>\$6,911.97</b>

## 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 2016 (\$)	Year to date (\$)	
Short term	0.00	0.00	2,964.95
Long term	-58.43	-790.56	137,745.69
<b>Total</b>	<b>-\$58.43</b>	<b>-\$790.56</b>	<b>\$140,710.64</b>

## 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 2016 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$2,072.89</b>	<b>\$92.72</b>
<i>Additions</i>		
Deposits and other funds credited	1,510.00	32,510.00
Dividend and interest income	848.66	6,911.97
Proceeds from investment transactions	85.65	56,154.38
<b>Total additions</b>	<b>\$2,444.31</b>	<b>\$95,576.35</b>
<i>Subtractions</i>		
Professional management fees and related services	-1,551.42	-2,543.94
Other funds debited	-2,882.03	-63,041.38
Funds withdrawn for investments bought	0.00	-30,000.00
<b>Total subtractions</b>	<b>-\$4,433.45</b>	<b>-\$95,585.32</b>
<b>Net cash flow</b>	<b>-\$1,989.14</b>	<b>-\$8.97</b>
<b>Closing balances</b>	<b>\$83.75</b>	<b>\$83.75</b>

SDNY\_GM\_00020899

**CONFIDENTIAL**



## UBS Bank USA Deposit Account APY

Interest period Mar 7 - Apr 6

Opening UBS Bank USA Deposit balance Mar 7	\$0.00
Closing UBS Bank USA Deposit balance Apr 6	\$38.16
Number of days in interest period	31
Average daily balance	\$653.21
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:**

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 29 (\$)	Price per share on Apr 29 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	2,072.89	83.75					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 29 (\$)	Value on Apr 29 (\$)	Unrealized gain or loss (\$)	Holding period
<b>AECOM</b>								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	32.490	16,245.00	2,935.05	LT
	Jan 30, 15	100.000	25.532	2,553.24	32.490	3,249.00	695.76	LT
Security total		600.000	26.439	15,863.19		19,494.00	3,630.81	
<b>AUTOMATIC DATA PROCESSING INC</b>								
Symbol: ADP Exchange: OTC	Apr 22, 13	72.000	56.870	4,094.67	88.440	6,367.68	2,273.01	LT
EAI: \$153 Current yield: 2.40%								
<b>BLACKROCK INC</b>								
Symbol: BLK Exchange: NYSE	Apr 22, 13	72.000	251.093	18,078.71	356.330	25,655.76	7,577.05	LT
EAI: \$660 Current yield: 2.57%								
<b>COLGATE PALMOLIVE CO</b>								
Symbol: CL Exchange: NYSE	Aug 4, 11	174.000	41.632	7,244.05	70.920	12,340.08	5,096.03	LT
EAI: \$2,352 Current yield: 2.20%	Aug 12, 11	4.000	42.450	169.80	70.920	283.68	113.88	LT

*continued next page*

SDNY\_GM\_00020901

**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 29 (\$)	Value on Apr 29 (\$)	Unrealized gain or loss (\$)	Holding period
	Sep 19, 13	2.000	97.830	195.66	126.490	252.98	57.32	LT
Security total		1,018.000	94.269	95,966.16		128,766.82	32,800.66	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$564 Current yield: 2.96%								
	Apr 22, 13	162.000	79.757	12,920.65	117.580	19,047.96	6,127.31	LT
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,907 Current yield: 3.91%								
	Feb 12, 14	148.000	88.811	13,144.15	76.650	11,344.20	-1,799.95	LT
	Feb 12, 14	117.000	88.842	10,394.56	76.650	8,968.05	-1,426.51	LT
	Feb 12, 14	32.000	88.854	2,843.35	76.650	2,452.80	-390.55	LT
	Feb 12, 14	7.000	88.710	620.97	76.650	536.55	-84.42	LT
	Feb 13, 14	110.000	88.738	9,761.20	76.650	8,431.50	-1,329.70	LT
	Feb 13, 14	68.000	88.561	6,022.19	76.650	5,212.20	-809.99	LT
	Feb 13, 14	33.000	88.223	2,911.36	76.650	2,529.45	-381.91	LT
	Feb 13, 14	6.000	88.275	529.65	76.650	459.90	-69.75	LT
	Feb 14, 14	334.000	91.912	30,698.86	76.650	25,601.10	-5,097.76	LT
	Feb 18, 14	114.000	92.523	10,547.72	76.650	8,738.10	-1,809.62	LT
Security total		969.000	90.272	87,474.01		74,273.85	-13,200.16	
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,243 Current yield: 2.73%								
	Aug 4, 11	115.000	63.979	7,357.65	102.960	11,840.40	4,482.75	LT
	Aug 12, 11	3.000	63.023	189.07	102.960	308.88	119.81	LT
	May 16, 12	6.000	68.535	411.21	102.960	617.76	206.55	LT
	Oct 24, 12	1.000	68.690	68.69	102.960	102.96	34.27	LT
	Oct 25, 12	2.000	68.810	137.62	102.960	205.92	68.30	LT
	Oct 26, 12	1.000	68.890	68.89	102.960	102.96	34.07	LT
	Oct 31, 12	1.000	69.370	69.37	102.960	102.96	33.59	LT
	Nov 6, 12	1.000	69.370	69.37	102.960	102.96	33.59	LT
	Nov 7, 12	1.000	69.150	69.15	102.960	102.96	33.81	LT
	Nov 8, 12	2.000	69.090	138.18	102.960	205.92	67.74	LT
	Jan 23, 13	699.000	72.166	50,444.31	102.960	71,969.04	21,524.73	LT
	Apr 22, 13	322.000	82.251	26,484.85	102.960	33,153.12	6,668.27	LT

continued next page

SDNY\_GM\_00020903

CONFIDENTIAL





Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
<b>Fees</b>	Apr 19	Fee Charged	PRORATED FEE	-46.38
	Apr 22	Fee Charged	QUARTERLY FEE	-1,505.04
	<b>Total professional management fees</b>			<b>-\$1,551.42</b>

	Date	Activity	Description	Amount (\$)
<b>Other funds debited</b>	Apr 1	Transfer	JOURNAL TO Y1 23575 GHISLAINE MAXWELL	-2,072.89
	Apr 27	Transfer	JOURNAL TO Y1 23575 GHISLAINE MAXWELL	-809.14
	<b>Total other funds debited</b>			<b>-\$2,882.03</b>

**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 (\$)
Apr 6	Sold	CALIFORNIA RESOURCES CORP	-90.000		.951800	85.65		
<b>Total</b>						<b>\$85.65</b>		

	Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>	<b>Mar 31</b>	<b>Balance forward</b>		<b>\$2,072.89</b>
	Apr 4	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 04/01/16	-2,034.73
	Apr 7	Deposit	UBS BANK USA DEPOSIT ACCOUNT	85.65
	Apr 18	Deposit	UBS BANK USA DEPOSIT ACCOUNT	726.75
	Apr 20	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 04/19/16	-46.38
	Apr 21	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,510.00
	Apr 25	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 04/22/16	-1,505.04
	Apr 28	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 04/27/16	-809.14
	Apr 29	Deposit	UBS BANK USA DEPOSIT ACCOUNT	83.75
	<b>Apr 29</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$83.75</b>

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 (\$)
CALIFORNIA RESOURCES CORP									
	FIFO	2.280	Feb 12, 14	Apr 01, 16	2.17	3.59		-1.42	
	FIFO	0.655	Feb 12, 14	Apr 01, 16	0.62	1.03		-0.41	
	FIFO	10.953	Feb 12, 14	Apr 01, 16	10.43	17.26		-6.83	
	FIFO	13.855	Feb 12, 14	Apr 01, 16	13.18	21.81		-8.63	
	FIFO	0.561	Feb 13, 14	Apr 01, 16	0.54	0.88		-0.34	
	FIFO	6.366	Feb 13, 14	Apr 01, 16	6.06	10.00		-3.94	
	FIFO	3.089	Feb 13, 14	Apr 01, 16	2.94	4.83		-1.89	
	FIFO	10.298	Feb 13, 14	Apr 01, 16	9.80	16.21		-6.41	
	FIFO	31.268	Feb 14, 14	Apr 01, 16	29.75	50.96		-21.21	
	FIFO	10.672	Feb 18, 14	Apr 01, 16	10.16	17.51		-7.35	
<b>Total</b>					<b>\$85.65</b>	<b>\$144.08</b>		<b>-\$58.43</b>	
<b>Net long-term capital gains or losses</b>								<b>-\$58.43</b>	
<b>Net capital gains/losses:</b>								<b>-\$58.43</b>	

### Prior month or year activity adjustments

Gain and loss details presented here reflect changes to previously reported gains and losses, resulting from a trade cancellation, wash sale transaction or an update to cost basis. If the adjustment is a result of a wash

sale transaction, the amount of the disallowed loss has been added to the cost basis of the securities of the same issuer that you held subsequent to the wash sale.

### 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 (\$)
CALIFORNIA RESOURCES CORP									
	Adjustment	0.715	Feb 12, 14	Mar 24, 16	0.86	1.13		-0.27	

**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. As described in the account agreements, you must notify us of any errors or fraud involving checks reflected on your statement within 30 days after it was mailed or made available. All statements shall be deemed complete and accurate in all other respects 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. For alleged errors involving UBS Visa® debit card transactions, if we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

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](http://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/sweepyield](http://www.ubs.com/sweepyield), 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, 2015. 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 USA, (ii) cash at UBS AG U.S. branches, (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](http://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 your accounts. 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.
- **Investment Eligibility Consideration:** If selected, a portion of the portfolio for that account may include complex strategies, limited liquidity and greater volatility.

## Statement "householding"

We may consolidate all related account statements with the same address in the same envelope, e.g. because they have owners who also maintain joint account relationships with other clients at the same address. 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 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 deposit balances at UBS Bank USA, UBS AG U.S. Branches 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

SDNY\_GM\_00020907

# CONFIDENTIAL

EFTA\_00131527

EFTA01273734

## Important information about your statement (continued)

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](http://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.

– DPP and unlisted REIT securities are not listed on a national securities exchange, and are generally

liquid and even if they can be sold, the price received may be less than the per share estimated value provided in the account statement.

• **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](http://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. 201604

SDNY\_GM\_00020908

# CONFIDENTIAL

EFTA\_00131528

EFTA01273735



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

CNP70055801070516 Y1 0

# UBS Strategic Advisor

May 2016

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

**Account name:** GHISLAINE MAXWELL

**Friendly account name:** [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 [REDACTED]  
account [REDACTED]

**Visit our website:**

[REDACTED]

## Value of your account

	on April 29 (\$)	on May 31 (\$)
Your assets	819,478.26	820,335.93
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$819,478.26</b>	<b>\$820,335.93</b>

## Tracking the value of your account



**Sources of your account growth during 2016**

Value of your account at year end 2015	\$798,007.41
Net deposits and withdrawals	-\$33,159.07
Your investment return:	
Dividend and interest income	\$9,125.02
Change in market value	\$46,362.57
<b>Value of your account on May 31, 2016</b>	<b>\$820,335.93</b>

**CONFIDENTIAL**



## Your account balance sheet

### Summary of your assets

	Value on May 31 (\$)	Percentage of your account
<b>A</b> Cash and money balances	2,213.05	0.27%
<b>B</b> Cash alternatives	0.00	0.00%
<b>C</b> Equities	818,122.88	99.73%
<b>D</b> Fixed income	0.00	0.00%
<b>E</b> Non-traditional	0.00	0.00%
<b>F</b> Commodities	0.00	0.00%
<b>G</b> Other	0.00	0.00%
<b>Total assets</b>	<b>\$820,335.93</b>	<b>100.00%</b>

**Value of your account** **\$820,335.93**

### 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 2016	Year to date
S&P 500	1.80%	3.57%
Russell 3000	1.79%	3.41%
MSCI - Europe, Australia & Far East	-0.78%	-0.75%
Barclays Capital U.S. Aggregate Bond Index	0.03%	3.45%

#### Interest rates on May 31, 2016

3-month Treasury bills: 0.34%  
One-month LIBOR: 0.47%

**CONFIDENTIAL**



## Change in the value of your account

	May 2016 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$819,478.26</b>	<b>\$798,007.41</b>
Deposits, including investments transferred in	0.00	32,510.00
Withdrawals and fees, including investments transferred out	-83.75	-65,669.07
Dividend and interest income	2,213.05	9,125.02
Change in market value	-1,271.63	46,362.57
<b>Closing account value</b>	<b>\$820,335.93</b>	<b>\$820,335.93</b>

## 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 2016 (\$)	Year to date (\$)
Taxable dividends	2,213.05	9,124.88
Taxable interest	0.00	0.14
<b>Total current year</b>	<b>\$2,213.05</b>	<b>\$9,125.02</b>
<b>Total dividend &amp; interest</b>	<b>\$2,213.05</b>	<b>\$9,125.02</b>

## 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 2016 (\$)	Year to date (\$)	
Short term	0.00	0.00	5,089.95
Long term	0.00	-790.56	134,349.06
<b>Total</b>	<b>\$0.00</b>	<b>-\$790.56</b>	<b>\$139,439.01</b>

## 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 2016 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$83.75</b>	<b>\$92.72</b>
<i>Additions</i>		
Deposits and other funds credited	0.00	32,510.00
Dividend and interest income	2,213.05	9,125.02
Proceeds from investment transactions	0.00	56,154.38
<b>Total additions</b>	<b>\$2,213.05</b>	<b>\$97,789.40</b>
<i>Subtractions</i>		
Professional management fees and related services	0.00	-2,543.94
Other funds debited	-83.75	-63,125.13
Funds withdrawn for investments bought	0.00	-30,000.00
<b>Total subtractions</b>	<b>-\$83.75</b>	<b>-\$95,669.07</b>
<b>Net cash flow</b>	<b>\$2,129.30</b>	<b>\$2,120.33</b>
<b>Closing balances</b>	<b>\$2,213.05</b>	<b>\$2,213.05</b>

SDNY\_GM\_00020911

**CONFIDENTIAL**



## UBS Bank USA Deposit Account APY

Interest period Apr 7 - May 5

Opening UBS Bank USA Deposit balance Apr 7	\$38.16
Closing UBS Bank USA Deposit balance May 5	\$865.72
Number of days in interest period	29
Average daily balance	\$452.17
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:**

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 31 (\$)	Price per share on May 31 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	83.75	2,213.05					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 31 (\$)	Value on May 31 (\$)	Unrealized gain or loss (\$)	Holding period
<b>AECOM</b>								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	32.110	16,055.00	2,745.05	LT
	Jan 30, 15	100.000	25.532	2,553.24	32.110	3,211.00	657.76	LT
Security total		600.000	26.439	15,863.19		19,266.00	3,402.81	
<b>AUTOMATIC DATA PROCESSING INC</b>								
Symbol: ADP Exchange: OTC	Apr 22, 13	72.000	56.870	4,094.67	87.840	6,324.48	2,229.81	LT
EAI: \$153 Current yield: 2.42%								
<b>BLACKROCK INC</b>								
Symbol: BLK Exchange: NYSE	Apr 22, 13	72.000	251.093	18,078.71	363.850	26,197.20	8,118.49	LT
EAI: \$660 Current yield: 2.52%								
<b>COLGATE PALMOLIVE CO</b>								
Symbol: CL Exchange: NYSE	Aug 4, 11	174.000	41.632	7,244.05	70.410	12,251.34	5,007.29	LT
EAI: \$2,352 Current yield: 2.22%	Aug 12, 11	4.000	42.450	169.80	70.410	281.64	111.84	LT

*continued next page*

SDNY\_GM\_00020913

CNP70006005580111 NP7000191995 00002 0516 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 31 (\$)	Value on May 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Sep 19, 13	2.000	97.830	195.66	122.060	244.12	48.46	LT
Security total		1,018.000	94.269	95,966.16		124,257.08	28,290.92	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$564 Current yield: 2.90%								
	Apr 22, 13	162.000	79.757	12,920.65	120.120	19,459.44	6,538.79	LT
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,907 Current yield: 3.98%								
	Feb 12, 14	148.000	88.811	13,144.15	75.440	11,165.12	-1,979.03	LT
	Feb 12, 14	117.000	88.842	10,394.56	75.440	8,826.48	-1,568.08	LT
	Feb 12, 14	32.000	88.854	2,843.35	75.440	2,414.08	-429.27	LT
	Feb 12, 14	7.000	88.710	620.97	75.440	528.08	-92.89	LT
	Feb 13, 14	110.000	88.738	9,761.20	75.440	8,298.40	-1,462.80	LT
	Feb 13, 14	68.000	88.561	6,022.19	75.440	5,129.92	-892.27	LT
	Feb 13, 14	33.000	88.223	2,911.36	75.440	2,489.52	-421.84	LT
	Feb 13, 14	6.000	88.275	529.65	75.440	452.64	-77.01	LT
	Feb 14, 14	334.000	91.912	30,698.86	75.440	25,196.96	-5,501.90	LT
	Feb 18, 14	114.000	92.523	10,547.72	75.440	8,600.16	-1,947.56	LT
Security total		969.000	90.272	87,474.01		73,101.36	-14,372.65	
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,474 Current yield: 2.98%								
	Aug 4, 11	115.000	63.979	7,357.65	101.170	11,634.55	4,276.90	LT
	Aug 12, 11	3.000	63.023	189.07	101.170	303.51	114.44	LT
	May 16, 12	6.000	68.535	411.21	101.170	607.02	195.81	LT
	Oct 24, 12	1.000	68.690	68.69	101.170	101.17	32.48	LT
	Oct 25, 12	2.000	68.810	137.62	101.170	202.34	64.72	LT
	Oct 26, 12	1.000	68.890	68.89	101.170	101.17	32.28	LT
	Oct 31, 12	1.000	69.370	69.37	101.170	101.17	31.80	LT
	Nov 6, 12	1.000	69.370	69.37	101.170	101.17	31.80	LT
	Nov 7, 12	1.000	69.150	69.15	101.170	101.17	32.02	LT
	Nov 8, 12	2.000	69.090	138.18	101.170	202.34	64.16	LT
	Jan 23, 13	699.000	72.166	50,444.31	101.170	70,717.83	20,273.52	LT
	Apr 22, 13	322.000	82.251	26,484.85	101.170	32,576.74	6,091.89	LT

continued next page

SDNY\_GM\_00020915

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 31 (\$)	Value on May 31 (\$)	Unrealized gain or loss (\$)	Holding period
<b>Security total</b>								
PROCTER & GAMBLE CO								
Symbol: PG Exchange: NYSE								
EAI: \$3,037 Current yield: 3.30%								
	Aug 4, 11	118.000	60.103	7,092.22	81.040	9,562.72	2,470.50	LT
	Aug 12, 11	3.000	60.896	182.69	81.040	243.12	60.43	LT
	Jan 23, 13	619.000	69.941	43,293.73	81.040	50,163.76	6,870.03	LT
	Apr 22, 13	286.000	81.332	23,261.18	81.040	23,177.44	-83.74	LT
	Apr 24, 13	108.000	77.762	8,398.32	81.040	8,752.32	354.00	LT
<b>Security total</b>								
		1,134.000	72.512	82,228.14		91,899.36	9,671.22	
<b>Total</b>				<b>\$678,683.87</b>		<b>\$818,122.88</b>	<b>\$139,439.01</b>	
<b>Total estimated annual income: \$20,780</b>								

Your total assets

		Value on May 31 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
<b>Cash</b>	<b>Cash and money balances</b>	<b>2,213.05</b>	<b>0.27%</b>	<b>2,213.05</b>		
<b>Equities</b>	<b>Common stock</b>	<b>818,122.88</b>	<b>99.73%</b>	<b>678,683.87</b>	<b>20,780.00</b>	<b>139,439.01</b>
<b>Total</b>		<b>\$820,335.93</b>	<b>100.00%</b>	<b>\$680,896.92</b>	<b>\$20,780.00</b>	<b>\$139,439.01</b>

Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Taxable dividends</i>				
	May 2	Dividend	GENL MILLS INC PAID ON 1882	865.72
	May 16	Dividend	COLGATE PALMOLIVE CO PAID ON 1508	588.12
	May 16	Dividend	PROCTER & GAMBLE CO PAID ON 1134	759.21
<b>Total taxable dividends</b>				<b>\$2,213.05</b>
<b>Total dividend and interest income</b>				<b>\$2,213.05</b>
<b>Other funds debited</b>				
	May 2	Transfer	JOURNAL TO Y1 23575 GHISLAINE MAXWELL	-83.75
<b>Total other funds debited</b>				<b>-\$83.75</b>

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>	<b>Apr 29</b>	<b>Balance forward</b>		<b>\$83.75</b>
	May 3	Deposit	UBS BANK USA DEPOSIT ACCOUNT	781.97
	May 17	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,347.33
	<b>May 31</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$2,213.05</b>

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

**CONFIDENTIAL**



Your notes

**CONFIDENTIAL**

# Important information about your statement

LBS 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. As described in the account agreements, you must notify us of any errors or fraud involving checks reflected on your statement within 30 days after it was mailed or made available. All statements shall be deemed complete and accurate in all other respects 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. For alleged errors involving UBS Visa® debit card transactions, if we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

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](http://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 SIPIC. Money Fund shares are protected by SIPIC. 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/sweepyield](http://www.ubs.com/sweepyield), 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, 2015. 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 USA, (ii) cash at UBS AG U.S. branches, (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](http://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 your accounts. 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.
- **Investment Eligibility Consideration:** If selected, a portion of the portfolio for that account may include complex strategies, limited liquidity and greater volatility.

## Statement "householding"

We may consolidate all related account statements with the same address in the same envelope, e.g. because they have owners who also maintain joint account relationships with other clients at the same address. 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 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 deposit balances at UBS Bank USA, UBS AG U.S. Branches 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

SDNY\_GM\_00020919

# CONFIDENTIAL

EFTA\_00131539

EFTA01273746

## Important information about your statement (continued)

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](http://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.

– DPP and unlisted REIT securities are not listed on a national securities exchange, and are generally

liquid and even if they can be sold, the price received may be less than the per share estimated value provided in the account statement.

• **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/privacy-policy](http://www.ubs.com/privacy-policy).

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. 201604

SDNY\_GM\_00020920

# CONFIDENTIAL

EFTA\_00131540

EFTA01273747



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

CNP70065051990616.X1235 Y1 0

# UBS Strategic Advisor

June 2016

GHISLAINE MAXWELL  
P.O. BOX 308  
TEANECK NJ 07666-0308

**Account name:** GHISLAINE MAXWELL

**Friendly account name:** Inc [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 [REDACTED]  
account [REDACTED]

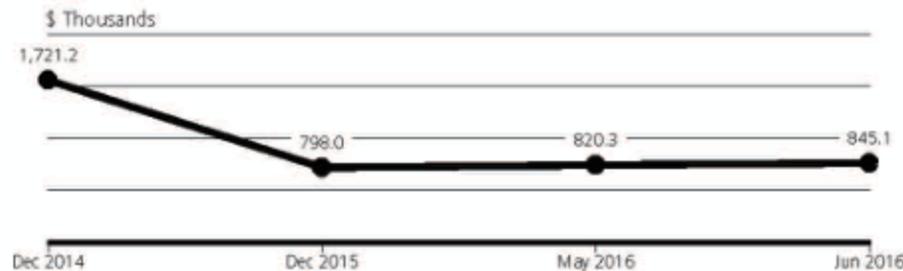
**Visit our website:**

[www.ubs.com/financialservices](http://www.ubs.com/financialservices)

## Value of your account

	on May 31 (\$)	on June 30 (\$)
Your assets	820,335.93	845,096.57
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$820,335.93</b>	<b>\$845,096.57</b>

## Tracking the value of your account



**Sources of your account growth during 2016**

Value of your account at year end 2015	\$798,007.41
Net deposits and withdrawals	-\$35,372.12
Your investment return:	
Dividend and interest income	\$11,258.05
Change in market value	\$71,203.23
<b>Value of your account on Jun 30, 2016</b>	<b>\$845,096.57</b>

**CONFIDENTIAL**



## Your account balance sheet

### Summary of your assets

	Value on June 30 (\$)	Percentage of your account
<b>A</b> Cash and money balances	2,133.03	0.25 %
<b>B</b> Cash alternatives	0.00	0.00 %
<b>C</b> Equities	842,963.54	99.75 %
<b>D</b> Fixed income	0.00	0.00 %
<b>E</b> Non-traditional	0.00	0.00 %
<b>F</b> Commodities	0.00	0.00 %
<b>G</b> Other	0.00	0.00 %
<b>Total assets</b>	<b>\$845,096.57</b>	<b>100.00 %</b>

**Value of your account** **\$845,096.57**

### 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 2016	Year to date
S&P 500	0.26%	3.84%
Russell 3000	0.21%	3.62%
MSCI - Europe, Australia & Far East	-3.32%	-4.04%
Barclays Capital U.S. Aggregate Bond Index	1.80%	5.31%

#### Interest rates on June 30, 2016

3-month Treasury bills: 0.26%  
One-month LIBOR: 0.47%

**CONFIDENTIAL**



## Change in the value of your account

	June 2016 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$820,335.93</b>	<b>\$798,007.41</b>
Deposits, including investments transferred in	0.00	32,510.00
Withdrawals and fees, including investments transferred out	-2,213.05	-67,882.12
Dividend and interest income	2,133.03	11,258.05
Change in market value	24,840.66	71,203.23
<b>Closing account value</b>	<b>\$845,096.57</b>	<b>\$845,096.57</b>

## 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 2016 (\$)	Year to date (\$)
Taxable dividends	2,133.03	11,257.91
Taxable interest	0.00	0.14
<b>Total current year</b>	<b>\$2,133.03</b>	<b>\$11,258.05</b>
<b>Total dividend &amp; interest</b>	<b>\$2,133.03</b>	<b>\$11,258.05</b>

## 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 2016 (\$)	Year to date (\$)	
Short term	0.00	0.00	1,814.95
Long term	0.00	-790.56	162,464.72
<b>Total</b>	<b>\$0.00</b>	<b>-\$790.56</b>	<b>\$164,279.67</b>

## 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 2016 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$2,213.05</b>	<b>\$92.72</b>
<i>Additions</i>		
Deposits and other funds credited	0.00	32,510.00
Dividend and interest income	2,133.03	11,258.05
Proceeds from investment transactions	0.00	56,154.38
<b>Total additions</b>	<b>\$2,133.03</b>	<b>\$99,922.43</b>
<i>Subtractions</i>		
Professional management fees and related services	0.00	-2,543.94
Other funds debited	-2,213.05	-65,338.18
Funds withdrawn for investments bought	0.00	-30,000.00
<b>Total subtractions</b>	<b>-\$2,213.05</b>	<b>-\$97,882.12</b>
<b>Net cash flow</b>	<b>-\$80.02</b>	<b>\$2,040.31</b>
<b>Closing balances</b>	<b>\$2,133.03</b>	<b>\$2,133.03</b>

SDNY\_GM\_00020923

**CONFIDENTIAL**



## UBS Bank USA Deposit Account APY

Interest period May 6 - Jun 6

Opening UBS Bank USA Deposit balance May 6	\$865.72
Closing UBS Bank USA Deposit balance Jun 6	\$0.00
Number of days in interest period	32
Average daily balance	\$1,334.96
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:**

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	2,213.05	2,133.03					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
<b>AECOM</b>								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	31.770	15,885.00	2,575.05	LT
	Jan 30, 15	100.000	25.532	2,553.24	31.770	3,177.00	623.76	LT
Security total		600.000	26.439	15,863.19		19,062.00	3,198.81	
<b>AUTOMATIC DATA PROCESSING INC</b>								
Symbol: ADP Exchange: OTC	Apr 22, 13	72.000	56.870	4,094.67	91.870	6,614.64	2,519.97	LT
EAI: \$153 Current yield: 2.31%								
<b>BLACKROCK INC</b>								
Symbol: BLK Exchange: NYSE	Apr 22, 13	72.000	251.093	18,078.71	342.530	24,662.16	6,583.45	LT
EAI: \$660 Current yield: 2.68%								
<b>COLGATE PALMOLIVE CO</b>								
Symbol: CL Exchange: NYSE	Aug 4, 11	174.000	41.632	7,244.05	73.200	12,736.80	5,492.75	LT
EAI: \$2,352 Current yield: 2.13%	Aug 12, 11	4.000	42.450	169.80	73.200	292.80	123.00	LT

continued next page

SDNY\_GM\_00020925

**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
	Jan 23, 13	910.000	54.240	49,358.63	73.200	66,612.00	17,253.37	LT
	Apr 22, 13	420.000	59.788	25,111.32	73.200	30,744.00	5,632.68	LT
Security total		1,508.000	54.300	81,883.80		110,385.60	28,501.80	
EOG RESOURCES INC								
Symbol: EOG Exchange: NYSE								
EAI: \$335 Current yield: 0.80%								
	Jan 28, 15	500.000	90.411	45,205.72	83.420	41,710.00	-3,495.72	LT
FORTINET INC								
Symbol: FTNT Exchange: OTC								
	Jan 28, 15	500.000	31.942	15,971.36	31.590	15,795.00	-176.36	LT
	Jan 30, 15	250.000	29.431	7,357.75	31.590	7,897.50	539.75	LT
	Oct 26, 15	250.000	34.170	8,542.53	31.590	7,897.50	-645.03	ST
	Jan 15, 16	1,000.000	29.130	29,130.02	31.590	31,590.00	2,459.98	ST
Security total		2,000.000	30.501	61,001.66		63,180.00	2,178.34	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE								
EAI: \$3,613 Current yield: 2.69%								
	Aug 4, 11	191.000	36.265	6,926.77	71.320	13,622.12	6,695.35	LT
	Aug 12, 11	5.000	35.754	178.77	71.320	356.60	177.83	LT
	Jan 23, 13	1,001.000	41.387	41,428.89	71.320	71,391.32	29,962.43	LT
	Apr 22, 13	464.000	50.287	23,333.21	71.320	33,092.48	9,759.27	LT
	Jun 17, 13	148.000	49.739	7,361.45	71.320	10,555.36	3,193.91	LT
	Jun 18, 13	73.000	49.836	3,638.07	71.320	5,206.36	1,568.29	LT
Security total		1,882.000	44.031	82,867.16		134,224.24	51,357.08	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$211 Current yield: 2.64%								
	Apr 22, 13	66.000	84.721	5,591.64	121.300	8,005.80	2,414.16	LT
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,624 Current yield: 2.96%								
	Aug 4, 11	95.000	84.969	8,072.06	120.340	11,432.30	3,360.24	LT
	Aug 12, 11	3.000	85.910	257.73	120.340	361.02	103.29	LT
	Nov 29, 12	8.000	86.456	691.65	120.340	962.72	271.07	LT
	Jan 23, 13	555.000	93.053	51,644.75	120.340	66,788.70	15,143.95	LT
	Apr 22, 13	255.000	99.318	25,326.32	120.340	30,686.70	5,360.38	LT
	Sep 19, 13	78.000	97.879	7,634.63	120.340	9,386.52	1,751.89	LT
	Sep 19, 13	22.000	97.425	2,143.36	120.340	2,647.48	504.12	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 Jun 30 (\$)	Value on Jun 30 (\$)	Unrealized gain or loss (\$)	Holding period
	Sep 19, 13	2.000	97.830	195.66	120.340	240.68	45.02	LT
Security total		1,018.000	94.269	95,966.16		122,506.12	26,539.96	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$564 Current yield: 2.67%								
	Apr 22, 13	162.000	79.757	12,920.65	130.400	21,124.80	8,204.15	LT
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,907 Current yield: 3.97%								
	Feb 12, 14	148.000	88.811	13,144.15	75.560	11,182.88	-1,961.27	LT
	Feb 12, 14	117.000	88.842	10,394.56	75.560	8,840.52	-1,554.04	LT
	Feb 12, 14	32.000	88.854	2,843.35	75.560	2,417.92	-425.43	LT
	Feb 12, 14	7.000	88.710	620.97	75.560	528.92	-92.05	LT
	Feb 13, 14	110.000	88.738	9,761.20	75.560	8,311.60	-1,449.60	LT
	Feb 13, 14	68.000	88.561	6,022.19	75.560	5,138.08	-884.11	LT
	Feb 13, 14	33.000	88.223	2,911.36	75.560	2,493.48	-417.88	LT
	Feb 13, 14	6.000	88.275	529.65	75.560	453.36	-76.29	LT
	Feb 14, 14	334.000	91.912	30,698.86	75.560	25,237.04	-5,461.82	LT
	Feb 18, 14	114.000	92.523	10,547.72	75.560	8,613.84	-1,933.88	LT
Security total		969.000	90.272	87,474.01		73,217.64	-14,256.37	
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,474 Current yield: 2.84%								
	Aug 4, 11	115.000	63.979	7,357.65	105.940	12,183.10	4,825.45	LT
	Aug 12, 11	3.000	63.023	189.07	105.940	317.82	128.75	LT
	May 16, 12	6.000	68.535	411.21	105.940	635.64	224.43	LT
	Oct 24, 12	1.000	68.690	68.69	105.940	105.94	37.25	LT
	Oct 25, 12	2.000	68.810	137.62	105.940	211.88	74.26	LT
	Oct 26, 12	1.000	68.890	68.89	105.940	105.94	37.05	LT
	Oct 31, 12	1.000	69.370	69.37	105.940	105.94	36.57	LT
	Nov 6, 12	1.000	69.370	69.37	105.940	105.94	36.57	LT
	Nov 7, 12	1.000	69.150	69.15	105.940	105.94	36.79	LT
	Nov 8, 12	2.000	69.090	138.18	105.940	211.88	73.70	LT
	Jan 23, 13	699.000	72.166	50,444.31	105.940	74,052.06	23,607.75	LT
	Apr 22, 13	322.000	82.251	26,484.85	105.940	34,112.68	7,627.83	LT

continued next page

SDNY\_GM\_00020927

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
<b>Security total</b>								
PROCTER & GAMBLE CO								
Symbol: PG Exchange: NYSE								
EAI: \$3,037 Current yield: 3.16%								
	Aug 4, 11	118.000	60.103	7,092.22	84.670	9,991.06	2,898.84	LT
	Aug 12, 11	3.000	60.896	182.69	84.670	254.01	71.32	LT
	Jan 23, 13	619.000	69.941	43,293.73	84.670	52,410.73	9,117.00	LT
	Apr 22, 13	286.000	81.332	23,261.18	84.670	24,215.62	954.44	LT
	Apr 24, 13	108.000	77.762	8,398.32	84.670	9,144.36	746.04	LT
<b>Security total</b>								
		1,134.000	72.512	82,228.14		96,015.78	13,787.64	
<b>Total</b>				<b>\$678,683.87</b>		<b>\$842,963.54</b>	<b>\$164,279.67</b>	
<b>Total estimated annual income: \$20,930</b>								

Your total assets

		Value on Jun 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
<b>Cash</b>	<b>Cash and money balances</b>	<b>2,133.03</b>	<b>0.25%</b>	<b>2,133.03</b>		
<b>Equities</b>	<b>Common stock</b>	<b>842,963.54</b>	<b>99.75%</b>	<b>678,683.87</b>	<b>20,930.00</b>	<b>164,279.67</b>
<b>Total</b>		<b>\$845,096.57</b>	<b>100.00%</b>	<b>\$680,816.90</b>	<b>\$20,930.00</b>	<b>\$164,279.67</b>

Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Taxable dividends</i>				
	Jun 7	Dividend	JOHNSON & JOHNSON COM PAID ON 66	52.80
	Jun 15	Dividend	NEXTERA ENERGY INC COM PAID ON 162	140.94
	Jun 20	Dividend	MCDONALDS CORP PAID ON 1018	906.02
	Jun 23	Dividend	BLACKROCK INC PAID ON 72	164.88
	Jun 29	Dividend	PEPSICO INC PAID ON 1154	868.39
<b>Total taxable dividends</b>				<b>\$2,133.03</b>
<b>Total dividend and interest income</b>				<b>\$2,133.03</b>
<b>Other funds debited</b>				
	Jun 1	Transfer	JOURNAL TO Y1 23575 GHISLAINE MAXWELL	-2,213.05
<b>Total other funds debited</b>				<b>-\$2,213.05</b>

**CONFIDENTIAL**



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>	<b>May 31</b>	<b>Balance forward</b>		<b>\$2,213.05</b>
	Jun 2	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 06/01/16	-2,213.05
	Jun 8	Deposit	UBS BANK USA DEPOSIT ACCOUNT	52.80
	Jun 16	Deposit	UBS BANK USA DEPOSIT ACCOUNT	140.94
	Jun 21	Deposit	UBS BANK USA DEPOSIT ACCOUNT	906.02
	Jun 24	Deposit	UBS BANK USA DEPOSIT ACCOUNT	164.88
	Jun 30	Deposit	UBS BANK USA DEPOSIT ACCOUNT	868.39
	<b>Jun 30</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$2,133.03</b>

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

**CONFIDENTIAL**



Your notes

**CONFIDENTIAL**

# Important information about your statement

LBS 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. As described in the account agreements, you must notify us of any errors or fraud involving checks reflected on your statement within 30 days after it was mailed or made available. All statements shall be deemed complete and accurate in all other respects 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. For alleged errors involving UBS Visa® debit card transactions, if we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

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](http://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/sweepyield](http://www.ubs.com/sweepyield), 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, 2015. Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 billion 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 USA, (ii) cash at UBS AG U.S. branches, (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](http://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 your accounts. 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.
- **Investment Eligibility Consideration:** If selected, a portion of the portfolio for that account may include complex strategies, limited liquidity and greater volatility.

## Statement "householding"

We may consolidate all related account statements with the same address in the same envelope, e.g. because they have owners who also maintain joint account relationships with other clients at the same address. 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 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 deposit balances at UBS Bank USA, UBS AG U.S. Branches 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

SDNY\_GM\_00020931

# CONFIDENTIAL

EFTA\_00131551

EFTA01273758

## Important information about your statement (continued)

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](http://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.

– DPP and unlisted REIT securities are not listed on a national securities exchange, and are generally

liquid and even if they can be sold, the price received may be less than the per share estimated value provided in the account statement.

• **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](http://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. 201604

SDNY\_GM\_00020932

# CONFIDENTIAL

EFTA\_00131552

EFTA01273759



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

CNP70056542370716 Y1 0

# UBS Strategic Advisor

July 2016

GHISLAINE MAXWELL  
P.O. BOX 308  
TEANECK NJ 07666-0308

**Account name:** GHISLAINE MAXWELL

**Friendly account name:** [REDACTED]

**Account number:** [REDACTED]

**Your Financial Advisor:**

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED]

**Questions about your statement?**

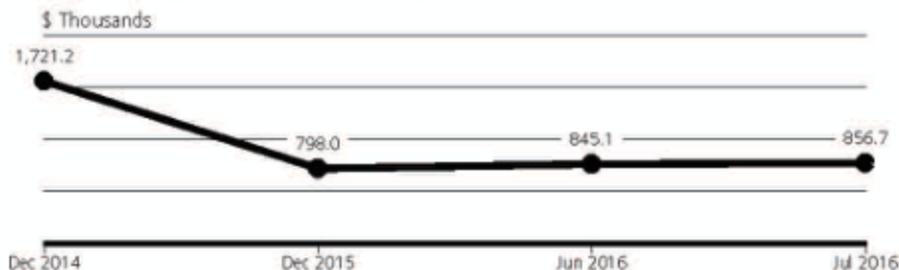
Call your Financial Advisor or the  
RMA ResourceLine [REDACTED]  
account [REDACTED]

**Visit our website:**  
[REDACTED]

## Value of your account

	on June 30 (\$)	on July 29 (\$)
Your assets	845,096.57	856,673.24
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$845,096.57</b>	<b>\$856,673.24</b>

## Tracking the value of your account



**Sources of your account growth during 2016**

Value of your account at year end 2015	\$798,007.41
Net deposits and withdrawals	-\$37,498.36
Your investment return:	
Dividend and interest income	\$12,106.71
Change in market value	\$84,057.48
<b>Value of your account on Jul 29, 2016</b>	<b>\$856,673.24</b>

**CONFIDENTIAL**



## Your account balance sheet

### Summary of your assets

	Value on July 29 (\$)	Percentage of your account
<b>A</b> Cash and money balances	855.45	0.10%
<b>B</b> Cash alternatives	0.00	0.00%
<b>C</b> Equities	855,817.79	99.90%
<b>D</b> Fixed income	0.00	0.00%
<b>E</b> Non-traditional	0.00	0.00%
<b>F</b> Commodities	0.00	0.00%
<b>G</b> Other	0.00	0.00%
<b>Total assets</b>	<b>\$856,673.24</b>	<b>100.00%</b>

**Value of your account** **\$856,673.24**

### 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	
	July 2016	Year to date
S&P 500	3.69%	7.66%
Russell 3000	3.97%	7.74%
MSCI - Europe, Australia & Far East	5.08%	0.83%
Barclays Capital U.S. Aggregate Bond Index	0.63%	5.98%

#### Interest rates on July 29, 2016

3-month Treasury bills: 0.25%  
One-month LIBOR: 0.50%

**CONFIDENTIAL**



## Change in the value of your account

	July 2016 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$845,096.57</b>	<b>\$798,007.41</b>
Deposits, including investments transferred in	1,600.00	34,110.00
Withdrawals and fees, including investments transferred out	-3,726.24	-71,608.36
Dividend and interest income	848.66	12,106.71
Change in market value	12,854.25	84,057.48
<b>Closing account value</b>	<b>\$856,673.24</b>	<b>\$856,673.24</b>

## 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 2016 (\$)	Year to date (\$)
Taxable dividends	848.66	12,106.57
Taxable interest	0.00	0.14
<b>Total current year</b>	<b>\$848.66</b>	<b>\$12,106.71</b>
<b>Total dividend &amp; interest</b>	<b>\$848.66</b>	<b>\$12,106.71</b>

## 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 2016 (\$)	Year to date (\$)	
Short term	0.00	0.00	5,689.95
Long term	0.00	-790.56	171,443.97
<b>Total</b>	<b>\$0.00</b>	<b>-\$790.56</b>	<b>\$177,133.92</b>

## 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 2016 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$2,133.03</b>	<b>\$92.72</b>
<i>Additions</i>		
Deposits and other funds credited	1,600.00	34,110.00
Dividend and interest income	848.66	12,106.71
Proceeds from investment transactions	0.00	56,154.38
<b>Total additions</b>	<b>\$2,448.66</b>	<b>\$102,371.09</b>
<i>Subtractions</i>		
Professional management fees and related services	-1,593.21	-4,137.15
Other funds debited	-2,133.03	-67,471.21
Funds withdrawn for investments bought	0.00	-30,000.00
<b>Total subtractions</b>	<b>-\$3,726.24</b>	<b>-\$101,608.36</b>
<b>Net cash flow</b>	<b>-\$1,277.58</b>	<b>\$762.73</b>
<b>Closing balances</b>	<b>\$855.45</b>	<b>\$855.45</b>

SDNY\_GM\_00020935

**CONFIDENTIAL**



Account name: GHISLAINE MAXWELL  
Friendly account name: Individual  
Account number: Y1 [REDACTED]

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

## UBS Bank USA Deposit Account APY

Interest period Jun 7 - Jul 7

Opening UBS Bank USA Deposit balance Jun 7	\$0.00
Closing UBS Bank USA Deposit balance Jul 7	\$38.16
Number of days in interest period	31
Average daily balance	\$473.50
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:**

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 29 (\$)	Price per share on Jul 29 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	2,133.03	855.45					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 29 (\$)	Value on Jul 29 (\$)	Unrealized gain or loss (\$)	Holding period
<b>AECOM</b>								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	35.490	17,745.00	4,435.05	LT
	Jan 30, 15	100.000	25.532	2,553.24	35.490	3,549.00	995.76	LT
Security total		600.000	26.439	15,863.19		21,294.00	5,430.81	
<b>AUTOMATIC DATA PROCESSING INC</b>								
Symbol: ADP Exchange: OTC								
EAI: \$153 Current yield: 2.39%	Apr 22, 13	72.000	56.870	4,094.67	88.950	6,404.40	2,309.73	LT
<b>BLACKROCK INC</b>								
Symbol: BLK Exchange: NYSE								
EAI: \$660 Current yield: 2.50%	Apr 22, 13	72.000	251.093	18,078.71	366.250	26,370.00	8,291.29	LT
<b>COLGATE PALMOLIVE CO</b>								
Symbol: CL Exchange: NYSE								
EAI: \$2,352 Current yield: 2.10%	Aug 4, 11	174.000	41.632	7,244.05	74.430	12,950.82	5,706.77	LT
	Aug 12, 11	4.000	42.450	169.80	74.430	297.72	127.92	LT

continued next page

SDNY\_GM\_00020937

**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 29 (\$)	Value on Jul 29 (\$)	Unrealized gain or loss (\$)	Holding period
	Jan 23, 13	910.000	54.240	49,358.63	74.430	67,731.30	18,372.67	LT
	Apr 22, 13	420.000	59.788	25,111.32	74.430	31,260.60	6,149.28	LT
Security total		1,508.000	54.300	81,883.80		112,240.44	30,356.64	
EOG RESOURCES INC								
Symbol: EOG Exchange: NYSE								
EAI: \$335 Current yield: 0.82%								
	Jan 28, 15	500.000	90.411	45,205.72	81.700	40,850.00	-4,355.72	LT
FORTINET INC								
Symbol: FTNT Exchange: OTC								
	Jan 28, 15	500.000	31.942	15,971.36	34.690	17,345.00	1,373.64	LT
	Jan 30, 15	250.000	29.431	7,357.75	34.690	8,672.50	1,314.75	LT
	Oct 26, 15	250.000	34.170	8,542.53	34.690	8,672.50	129.97	ST
	Jan 15, 16	1,000.000	29.130	29,130.02	34.690	34,690.00	5,559.98	ST
Security total		2,000.000	30.501	61,001.66		69,380.00	8,378.34	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE								
EAI: \$3,613 Current yield: 2.67%								
	Aug 4, 11	191.000	36.265	6,926.77	71.890	13,730.99	6,804.22	LT
	Aug 12, 11	5.000	35.754	178.77	71.890	359.45	180.68	LT
	Jan 23, 13	1,001.000	41.387	41,428.89	71.890	71,961.89	30,533.00	LT
	Apr 22, 13	464.000	50.287	23,333.21	71.890	33,356.96	10,023.75	LT
	Jun 17, 13	148.000	49.739	7,361.45	71.890	10,639.72	3,278.27	LT
	Jun 18, 13	73.000	49.836	3,638.07	71.890	5,247.97	1,609.90	LT
Security total		1,882.000	44.031	82,867.16		135,296.98	52,429.82	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$211 Current yield: 2.55%								
	Apr 22, 13	66.000	84.721	5,591.64	125.230	8,265.18	2,673.54	LT
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,624 Current yield: 3.03%								
	Aug 4, 11	95.000	84.969	8,072.06	117.650	11,176.75	3,104.69	LT
	Aug 12, 11	3.000	85.910	257.73	117.650	352.95	95.22	LT
	Nov 29, 12	8.000	86.456	691.65	117.650	941.20	249.55	LT
	Jan 23, 13	555.000	93.053	51,644.75	117.650	65,295.75	13,651.00	LT
	Apr 22, 13	255.000	99.318	25,326.32	117.650	30,000.75	4,674.43	LT
	Sep 19, 13	78.000	97.879	7,634.63	117.650	9,176.70	1,542.07	LT
	Sep 19, 13	22.000	97.425	2,143.36	117.650	2,588.30	444.94	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 29 (\$)	Value on Jul 29 (\$)	Unrealized gain or loss (\$)	Holding period
	Sep 19, 13	2.000	97.830	195.66	117.650	235.30	39.64	LT
Security total		1,018.000	94.269	95,966.16		119,767.70	23,801.54	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$564 Current yield: 2.71%								
	Apr 22, 13	162.000	79.757	12,920.65	128.290	20,782.98	7,862.33	LT
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,946 Current yield: 4.07%								
	Feb 12, 14	148.000	88.811	13,144.15	74.730	11,060.04	-2,084.11	LT
	Feb 12, 14	117.000	88.842	10,394.56	74.730	8,743.41	-1,651.15	LT
	Feb 12, 14	32.000	88.854	2,843.35	74.730	2,391.36	-451.99	LT
	Feb 12, 14	7.000	88.710	620.97	74.730	523.11	-97.86	LT
	Feb 13, 14	110.000	88.738	9,761.20	74.730	8,220.30	-1,540.90	LT
	Feb 13, 14	68.000	88.561	6,022.19	74.730	5,081.64	-940.55	LT
	Feb 13, 14	33.000	88.223	2,911.36	74.730	2,466.09	-445.27	LT
	Feb 13, 14	6.000	88.275	529.65	74.730	448.38	-81.27	LT
	Feb 14, 14	334.000	91.912	30,698.86	74.730	24,959.82	-5,739.04	LT
	Feb 18, 14	114.000	92.523	10,547.72	74.730	8,519.22	-2,028.50	LT
Security total		969.000	90.272	87,474.01		72,413.37	-15,060.64	
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,474 Current yield: 2.76%								
	Aug 4, 11	115.000	63.979	7,357.65	108.920	12,525.80	5,168.15	LT
	Aug 12, 11	3.000	63.023	189.07	108.920	326.76	137.69	LT
	May 16, 12	6.000	68.535	411.21	108.920	653.52	242.31	LT
	Oct 24, 12	1.000	68.690	68.69	108.920	108.92	40.23	LT
	Oct 25, 12	2.000	68.810	137.62	108.920	217.84	80.22	LT
	Oct 26, 12	1.000	68.890	68.89	108.920	108.92	40.03	LT
	Oct 31, 12	1.000	69.370	69.37	108.920	108.92	39.55	LT
	Nov 6, 12	1.000	69.370	69.37	108.920	108.92	39.55	LT
	Nov 7, 12	1.000	69.150	69.15	108.920	108.92	39.77	LT
	Nov 8, 12	2.000	69.090	138.18	108.920	217.84	79.66	LT
	Jan 23, 13	699.000	72.166	50,444.31	108.920	76,135.08	25,690.77	LT
	Apr 22, 13	322.000	82.251	26,484.85	108.920	35,072.24	8,587.39	LT

continued next page

SDNY\_GM\_00020939

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 29 (\$)	Value on Jul 29 (\$)	Unrealized gain or loss (\$)	Holding period
<b>Security total</b>								
PROCTER & GAMBLE CO								
Symbol: PG Exchange: NYSE								
EAI: \$3,037 Current yield: 3.13%								
	Aug 4, 11	118.000	60.103	7,092.22	85.590	10,099.62	3,007.40	LT
	Aug 12, 11	3.000	60.896	182.69	85.590	256.77	74.08	LT
	Jan 23, 13	619.000	69.941	43,293.73	85.590	52,980.21	9,686.48	LT
	Apr 22, 13	286.000	81.332	23,261.18	85.590	24,478.74	1,217.56	LT
	Apr 24, 13	108.000	77.762	8,398.32	85.590	9,243.72	845.40	LT
<b>Security total</b>								
		1,134.000	72.512	82,228.14		97,059.06	14,830.92	
<b>Total</b>				<b>\$678,683.87</b>		<b>\$855,817.79</b>	<b>\$177,133.92</b>	
<b>Total estimated annual income: \$20,969</b>								

Your total assets

		Value on Jul 29 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
<b>Cash</b>	<b>Cash and money balances</b>	<b>855.45</b>	<b>0.10%</b>	<b>855.45</b>		
<b>Equities</b>	<b>Common stock</b>	<b>855,817.79</b>	<b>99.90%</b>	<b>678,683.87</b>	<b>20,969.00</b>	<b>177,133.92</b>
<b>Total</b>		<b>\$856,673.24</b>	<b>100.00%</b>	<b>\$679,539.32</b>	<b>\$20,969.00</b>	<b>\$177,133.92</b>

Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Deposits and other funds credited</b>	Jul 15	Transfer	FM Y1 23575 0100	1,600.00
	<b>Total deposits and other funds credited</b>			<b>\$1,600.00</b>
<b>Dividend and interest income</b>				
	<i>Taxable dividends</i>			
	Jul 1	Dividend	AUTOMATIC DATA PROCESSNG INC PAID ON 72	38.16
	Jul 15	Dividend	OCCIDENTAL PETROLEUM CRP PAID ON 969	726.75
	Jul 28	Dividend	EOG RESOURCES INC PAID ON 500	83.75
<b>Total taxable dividends</b>			<b>\$848.66</b>	
<b>Total dividend and interest income</b>			<b>\$848.66</b>	

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
<b>Fees</b>	Jul 22	Fee Charged	QUARTERLY FEE	-1,593.21
	<b>Total professional management fees</b>			<b>-\$1,593.21</b>
<b>Other funds debited</b>	Jul 1	Transfer	JOURNAL TO Y1 23575 GHISLAINE MAXWELL	-2,133.03
	<b>Total other funds debited</b>			<b>-\$2,133.03</b>
<b>Money balance activities</b>	Jun 30	<b>Balance forward</b>		<b>\$2,133.03</b>
	Jul 5	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 07/01/16	-2,094.87
	Jul 18	Deposit	UBS BANK USA DEPOSIT ACCOUNT	2,326.75
	Jul 25	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 07/22/16	-1,593.21
	Jul 29	Deposit	UBS BANK USA DEPOSIT ACCOUNT	83.75
	Jul 29	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$855.45</b>

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

**CONFIDENTIAL**



Your notes

**CONFIDENTIAL**

# Important information about your statement

LBS 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. As described in the account agreements, you must notify us of any errors or fraud involving checks reflected on your statement within 30 days after it was mailed or made available. All statements shall be deemed complete and accurate in all other respects 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. For alleged errors involving UBS Visa® debit card transactions, if we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

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](http://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/sweepyield](http://www.ubs.com/sweepyield), 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, 2015. 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 USA, (ii) cash at UBS AG U.S. branches, (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](http://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 your accounts. 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.
- **Investment Eligibility Consideration:** If selected, a portion of the portfolio for that account may include complex strategies, limited liquidity and greater volatility.

## Statement "householding"

We may consolidate all related account statements with the same address in the same envelope, e.g. because they have owners who also maintain joint account relationships with other clients at the same address. 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 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 deposit balances at UBS Bank USA, UBS AG U.S. Branches 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

SDNY\_GM\_00020943

# CONFIDENTIAL

EFTA\_00131563

EFTA01273770

## Important information about your statement (continued)

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](http://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.

– DPP and unlisted REIT securities are not listed on a national securities exchange, and are generally

liquid and even if they can be sold, the price received may be less than the per share estimated value provided in the account statement.

• **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](http://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. 201604

SDNY\_GM\_00020944

# CONFIDENTIAL

EFTA\_00131564

EFTA01273771



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

CNF70056338070816 Y1 0

# UBS Strategic Advisor

August 2016

GHISLAINE MAXWELL  
P.O. BOX 308  
TEANECK NJ 07666-0308

**Account name:** GHISLAINE MAXWELL

**Friendly account name:** [REDACTED]

**Account number:** [REDACTED]

**Your Financial Advisor:**

SCOTT STACKMAN/LYLE CASRIEL

Phone: 2 [REDACTED]

**Questions about your statement?**

Call your Financial Advisor or the  
RMA ResourceLine at 8 [REDACTED]  
account 0 [REDACTED]

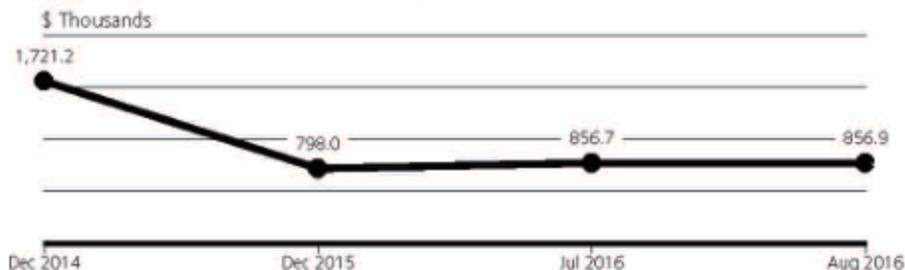
**Visit our website:**

[REDACTED]

## Value of your account

	on July 29 (\$)	on August 31 (\$)
Your assets	856,673.24	856,944.22
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$856,673.24</b>	<b>\$856,944.22</b>

## Tracking the value of your account



**Sources of your account growth during 2016**

Value of your account at year end 2015	\$798,007.41
Net deposits and withdrawals	-\$39,257.17
Your investment return:	
Dividend and interest income	\$14,357.40
Change in market value	\$83,836.58
<b>Value of your account on Aug 31, 2016</b>	<b>\$856,944.22</b>

**CONFIDENTIAL**



## Your account balance sheet

### Summary of your assets

	Value on August 31 (\$)	Percentage of your account
<b>A</b> Cash and money balances	1,347.33	0.16%
<b>B</b> Cash alternatives	0.00	0.00%
<b>C</b> Equities	855,596.89	99.84%
<b>D</b> Fixed income	0.00	0.00%
<b>E</b> Non-traditional	0.00	0.00%
<b>F</b> Commodities	0.00	0.00%
<b>G</b> Other	0.00	0.00%
<b>Total assets</b>	<b>\$856,944.22</b>	<b>100.00%</b>

**Value of your account** **\$856,944.22**

### 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 2016	Year to date
S&P 500	0.14%	7.82%
Russell 3000	0.26%	8.01%
MSCI - Europe, Australia & Far East	0.08%	0.92%
Barclays Capital U.S. Aggregate Bond Index	-0.11%	5.86%

#### Interest rates on August 31, 2016

3-month Treasury bills: 0.33%  
One-month LIBOR: 0.52%

**CONFIDENTIAL**



## Change in the value of your account

	August 2016 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$856,673.24</b>	<b>\$798,007.41</b>
Deposits, including investments transferred in	0.00	34,110.00
Withdrawals and fees, including investments transferred out	-1,758.81	-73,367.17
Dividend and interest income	2,250.69	14,357.40
Change in market value	-220.90	83,836.58
<b>Closing account value</b>	<b>\$856,944.22</b>	<b>\$856,944.22</b>

## 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 2016 (\$)	Year to date (\$)
Taxable dividends	2,250.69	14,357.26
Taxable interest	0.00	0.14
<b>Total current year</b>	<b>\$2,250.69</b>	<b>\$14,357.40</b>
<b>Total dividend &amp; interest</b>	<b>\$2,250.69</b>	<b>\$14,357.40</b>

## 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 2016 (\$)	Year to date (\$)	
Short term	0.00	0.00	7,502.45
Long term	0.00	-790.56	169,410.57
<b>Total</b>	<b>\$0.00</b>	<b>-\$790.56</b>	<b>\$176,913.02</b>

## 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 2016 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$855.45</b>	<b>\$92.72</b>
<i>Additions</i>		
Deposits and other funds credited	0.00	34,110.00
Dividend and interest income	2,250.69	14,357.40
Proceeds from investment transactions	0.00	56,154.38
<b>Total additions</b>	<b>\$2,250.69</b>	<b>\$104,621.78</b>
<i>Subtractions</i>		
Professional management fees and related services	0.00	-4,137.15
Other funds debited	-1,758.81	-69,230.02
Funds withdrawn for investments bought	0.00	-30,000.00
<b>Total subtractions</b>	<b>-\$1,758.81</b>	<b>-\$103,367.17</b>
<b>Net cash flow</b>	<b>\$491.88</b>	<b>\$1,254.61</b>
<b>Closing balances</b>	<b>\$1,347.33</b>	<b>\$1,347.33</b>

SDNY\_GM\_00020947

**CONFIDENTIAL**



## UBS Bank USA Deposit Account APY

Interest period Jul 8 - Aug 4

Opening UBS Bank USA Deposit balance Jul 8	\$38.16
Closing UBS Bank USA Deposit balance Aug 4	\$0.00
Number of days in interest period	28
Average daily balance	\$666.61
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:**

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 (\$)
UBS BANK USA DEP ACCT	855.45	1,347.33					250,000.00

### 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
<b>AECOM</b>								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	30.830	15,415.00	2,105.05	LT
	Jan 30, 15	100.000	25.532	2,553.24	30.830	3,083.00	529.76	LT
Security total		600.000	26.439	15,863.19		18,498.00	2,634.81	
<b>AUTOMATIC DATA PROCESSING INC</b>								
Symbol: ADP Exchange: OTC	Apr 22, 13	72.000	56.870	4,094.67	89.810	6,466.32	2,371.65	LT
EAI: \$153 Current yield: 2.37%								
<b>BLACKROCK INC</b>								
Symbol: BLK Exchange: NYSE	Apr 22, 13	72.000	251.093	18,078.71	372.810	26,842.32	8,763.61	LT
EAI: \$660 Current yield: 2.46%								
<b>COLGATE PALMOLIVE CO</b>								
Symbol: CL Exchange: NYSE	Aug 4, 11	174.000	41.632	7,244.05	74.340	12,935.16	5,691.11	LT
EAI: \$2,352 Current yield: 2.10%	Aug 12, 11	4.000	42.450	169.80	74.340	297.36	127.56	LT

continued next page

SDNY\_GM\_00020949

**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
	Sep 19, 13	2.000	97.830	195.66	115.660	231.32	35.66	LT
Security total		1,018.000	94.269	95,966.16		117,741.88	21,775.72	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$564 Current yield: 2.88%								
	Apr 22, 13	162.000	79.757	12,920.65	120.940	19,592.28	6,671.63	LT
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,946 Current yield: 3.96%								
	Feb 12, 14	148.000	88.811	13,144.15	76.850	11,373.80	-1,770.35	LT
	Feb 12, 14	117.000	88.842	10,394.56	76.850	8,991.45	-1,403.11	LT
	Feb 12, 14	32.000	88.854	2,843.35	76.850	2,459.20	-384.15	LT
	Feb 12, 14	7.000	88.710	620.97	76.850	537.95	-83.02	LT
	Feb 13, 14	110.000	88.738	9,761.20	76.850	8,453.50	-1,307.70	LT
	Feb 13, 14	68.000	88.561	6,022.19	76.850	5,225.80	-796.39	LT
	Feb 13, 14	33.000	88.223	2,911.36	76.850	2,536.05	-375.31	LT
	Feb 13, 14	6.000	88.275	529.65	76.850	461.10	-68.55	LT
	Feb 14, 14	334.000	91.912	30,698.86	76.850	25,667.90	-5,030.96	LT
	Feb 18, 14	114.000	92.523	10,547.72	76.850	8,760.90	-1,786.82	LT
Security total		969.000	90.272	87,474.01		74,467.65	-13,006.36	
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,474 Current yield: 2.82%								
	Aug 4, 11	115.000	63.979	7,357.65	106.750	12,276.25	4,918.60	LT
	Aug 12, 11	3.000	63.023	189.07	106.750	320.25	131.18	LT
	May 16, 12	6.000	68.535	411.21	106.750	640.50	229.29	LT
	Oct 24, 12	1.000	68.690	68.69	106.750	106.75	38.06	LT
	Oct 25, 12	2.000	68.810	137.62	106.750	213.50	75.88	LT
	Oct 26, 12	1.000	68.890	68.89	106.750	106.75	37.86	LT
	Oct 31, 12	1.000	69.370	69.37	106.750	106.75	37.38	LT
	Nov 6, 12	1.000	69.370	69.37	106.750	106.75	37.38	LT
	Nov 7, 12	1.000	69.150	69.15	106.750	106.75	37.60	LT
	Nov 8, 12	2.000	69.090	138.18	106.750	213.50	75.32	LT
	Jan 23, 13	699.000	72.166	50,444.31	106.750	74,618.25	24,173.94	LT
	Apr 22, 13	322.000	82.251	26,484.85	106.750	34,373.50	7,888.65	LT

continued next page

SDNY\_GM\_00020951

**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
<b>Security total</b>								
PROCTER & GAMBLE CO								
Symbol: PG Exchange: NYSE								
EAI: \$3,037 Current yield: 3.07%								
	Aug 4, 11	118.000	60.103	7,092.22	87.310	10,302.58	3,210.36	LT
	Aug 12, 11	3.000	60.896	182.69	87.310	261.93	79.24	LT
	Jan 23, 13	619.000	69.941	43,293.73	87.310	54,044.89	10,751.16	LT
	Apr 22, 13	286.000	81.332	23,261.18	87.310	24,970.66	1,709.48	LT
	Apr 24, 13	108.000	77.762	8,398.32	87.310	9,429.48	1,031.16	LT
<b>Security total</b>								
		1,134.000	72.512	82,228.14		99,009.54	16,781.40	
<b>Total</b>				<b>\$678,683.87</b>		<b>\$855,596.89</b>	<b>\$176,913.02</b>	
<b>Total estimated annual income: \$20,969</b>								

Your total assets

		Value on Aug 31 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
<b>Cash</b>	<b>Cash and money balances</b>	<b>1,347.33</b>	<b>0.16%</b>	<b>1,347.33</b>		
<b>Equities</b>	<b>Common stock</b>	<b>855,596.89</b>	<b>99.84%</b>	<b>678,683.87</b>	<b>20,969.00</b>	<b>176,913.02</b>
<b>Total</b>		<b>\$856,944.22</b>	<b>100.00%</b>	<b>\$680,031.20</b>	<b>\$20,969.00</b>	<b>\$176,913.02</b>

Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Taxable dividends</i>				
	Aug 1	Dividend	GENL MILLS INC PAID ON 1882	903.36
	Aug 15	Dividend	COLGATE PALMOLIVE CO PAID ON 1508	588.12
	Aug 15	Dividend	PROCTER & GAMBLE CO PAID ON 1134	759.21
<b>Total taxable dividends</b>				<b>\$2,250.69</b>
<b>Total dividend and interest income</b>				<b>\$2,250.69</b>
<b>Other funds debited</b>				
	Aug 2	Transfer	JOURNAL TO Y1 23575 GHISLAINE MAXWELL	-1,758.81
<b>Total other funds debited</b>				<b>-\$1,758.81</b>

**CONFIDENTIAL**



Account name: GHISLAINE MAXWELL  
 Friendly account name: [REDACTED]  
 Account number: [REDACTED]

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

Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>	<b>Jul 29</b>	<b>Balance forward</b>		<b>\$855.45</b>
	Aug 2	Deposit	UBS BANK USA DEPOSIT ACCOUNT	903.36
	Aug 3	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 08/02/16	-1,758.81
	Aug 16	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,347.33
	<b>Aug 31</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$1,347.33</b>

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

**CONFIDENTIAL**



Your notes

**CONFIDENTIAL**

## Important information about your statement

LBS 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. As described in the account agreements, you must notify us of any errors or fraud involving checks reflected on your statement within 30 days after it was mailed or made available. All statements shall be deemed complete and accurate in all other respects 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. For alleged errors involving UBS Visa® debit card transactions, if we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

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](http://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/sweepyield](http://www.ubs.com/sweepyield), 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, 2015. Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 billion 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 USA, (ii) cash at UBS AG U.S. branches, (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](http://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 your accounts. 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.
- **Investment Eligibility Consideration:** If selected, a portion of the portfolio for that account may include complex strategies, limited liquidity and greater volatility.

### Statement "householding"

We may consolidate all related account statements with the same address in the same envelope, e.g. because they have owners who also maintain joint account relationships with other clients at the same address. 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 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 deposit balances at UBS Bank USA, UBS AG U.S. Branches 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

SDNY\_GM\_00020955

# CONFIDENTIAL

EFTA\_00131575

EFTA01273782

## Important information about your statement (continued)

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](http://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.

– DPP and unlisted REIT securities are not listed on a national securities exchange, and are generally

liquid and even if they can be sold, the price received may be less than the per share estimated value provided in the account statement.

• **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](http://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. 201604

SDNY\_GM\_00020956

# CONFIDENTIAL

EFTA\_00131576

EFTA01273783



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

CNP70064547350916.X13 Y1 0

# UBS Strategic Advisor

September 2016

GHISLAINE MAXWELL  
P.O. BOX 308  
TEANECK NJ 07666-0308

**Account name:** GHISLAINE MAXWELL

**Friendly account name:** [REDACTED]

**Account number:** [REDACTED]

**Your Financial Advisor:**

SCOTT STACKMAN/LYLE CASBIE

Phone: [REDACTED]

**Questions about your statement?**

Call your Financial Advisor or the  
RMA ResourceLine at [REDACTED]  
account [REDACTED]

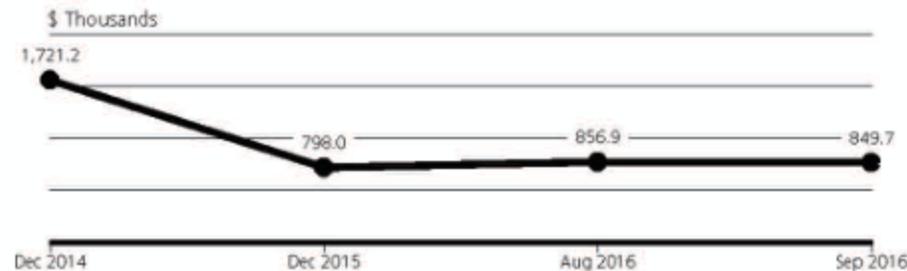
**Visit our website:**

[REDACTED]

## Value of your account

	on August 31 (\$)	on September 30 (\$)
Your assets	856,944.22	849,664.29
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$856,944.22</b>	<b>\$849,664.29</b>

## Tracking the value of your account



**Sources of your account growth during 2016**

Value of your account at year end 2015	\$798,007.41
Net deposits and withdrawals	-\$40,604.50
Your investment return:	
Dividend and interest income	\$16,490.43
Change in market value	\$75,770.95
<b>Value of your account on Sep 30, 2016</b>	<b>\$849,664.29</b>

**CONFIDENTIAL**



## Your account balance sheet

### Summary of your assets

	Value on September 30 (\$)	Percentage of your account
<b>A</b> Cash and money balances	2,133.03	0.25%
<b>B</b> Cash alternatives	0.00	0.00%
<b>C</b> Equities	847,531.26	99.75%
<b>D</b> Fixed income	0.00	0.00%
<b>E</b> Non-traditional	0.00	0.00%
<b>F</b> Commodities	0.00	0.00%
<b>G</b> Other	0.00	0.00%
<b>Total assets</b>	<b>\$849,664.29</b>	<b>100.00%</b>

**Value of your account** **\$849,664.29**

### 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 2016	Year to date
S&P 500	0.02%	7.84%
Russell 3000	0.16%	8.18%
MSCI - Europe, Australia & Far East	1.27%	2.20%
Barclays Capital U.S. Aggregate Bond Index	-0.06%	5.80%

#### Interest rates on September 30, 2016

3-month Treasury bills: 0.27%  
One-month LIBOR: 0.53%

**CONFIDENTIAL**



## Change in the value of your account

	September 2016 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$856,944.22</b>	<b>\$798,007.41</b>
Deposits, including investments transferred in	0.00	34,110.00
Withdrawals and fees, including investments transferred out	-1,347.33	-74,714.50
Dividend and interest income	2,133.03	16,490.43
Change in market value	-8,065.63	75,770.95
<b>Closing account value</b>	<b>\$849,664.29</b>	<b>\$849,664.29</b>

## 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 2016 (\$)	Year to date (\$)
Taxable dividends	2,133.03	16,490.29
Taxable interest	0.00	0.14
<b>Total current year</b>	<b>\$2,133.03</b>	<b>\$16,490.43</b>
<b>Total dividend &amp; interest</b>	<b>\$2,133.03</b>	<b>\$16,490.43</b>

## 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 2016 (\$)	Year to date (\$)	
Short term	0.00	0.00	8,489.95
Long term	0.00	-790.56	160,357.44
<b>Total</b>	<b>\$0.00</b>	<b>-\$790.56</b>	<b>\$168,847.39</b>

## 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 2016 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$1,347.33</b>	<b>\$92.72</b>
<i>Additions</i>		
Deposits and other funds credited	0.00	34,110.00
Dividend and interest income	2,133.03	16,490.43
Proceeds from investment transactions	0.00	56,154.38
<b>Total additions</b>	<b>\$2,133.03</b>	<b>\$106,754.81</b>
<i>Subtractions</i>		
Professional management fees and related services	0.00	-4,137.15
Other funds debited	-1,347.33	-70,577.35
Funds withdrawn for investments bought	0.00	-30,000.00
<b>Total subtractions</b>	<b>-\$1,347.33</b>	<b>-\$104,714.50</b>
<b>Net cash flow</b>	<b>\$785.70</b>	<b>\$2,040.31</b>
<b>Closing balances</b>	<b>\$2,133.03</b>	<b>\$2,133.03</b>

SDNY\_GM\_00020959

**CONFIDENTIAL**



## UBS Bank USA Deposit Account APY

Interest period Aug 5 - Sep 7

Opening UBS Bank USA Deposit balance Aug 5	\$0.00
Closing UBS Bank USA Deposit balance Sep 7	\$52.80
Number of days in interest period	34
Average daily balance	\$635.59
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:**

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 (\$)
UBS BANK USA DEP ACCT	1,347.33	2,133.03					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
<b>AECOM</b>								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	29.730	14,865.00	1,555.05	LT
	Jan 30, 15	100.000	25.532	2,553.24	29.730	2,973.00	419.76	LT
Security total		600.000	26.439	15,863.19		17,838.00	1,974.81	
<b>AUTOMATIC DATA PROCESSING INC</b>								
Symbol: ADP Exchange: OTC	Apr 22, 13	72.000	56.870	4,094.67	88.200	6,350.40	2,255.73	LT
EAI: \$153 Current yield: 2.41%								
<b>BLACKROCK INC</b>								
Symbol: BLK Exchange: NYSE	Apr 22, 13	72.000	251.093	18,078.71	362.460	26,097.12	8,018.41	LT
EAI: \$660 Current yield: 2.53%								
<b>COLGATE PALMOLIVE CO</b>								
Symbol: CL Exchange: NYSE	Aug 4, 11	174.000	41.632	7,244.05	74.140	12,900.36	5,656.31	LT
EAI: \$2,352 Current yield: 2.10%	Aug 12, 11	4.000	42.450	169.80	74.140	296.56	126.76	LT

continued next page

SDNY\_GM\_00020961

**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	910.000	54.240	49,358.63	74.140	67,467.40	18,108.77	LT
	Apr 22, 13	420.000	59.788	25,111.32	74.140	31,138.80	6,027.48	LT
Security total		1,508.000	54.300	81,883.80		111,803.12	29,919.32	
EOG RESOURCES INC								
Symbol: EOG Exchange: NYSE								
EAI: \$335 Current yield: 0.69%								
	Jan 28, 15	500.000	90.411	45,205.72	96.710	48,355.00	3,149.28	LT
FORTINET INC								
Symbol: FTNT Exchange: OTC								
	Jan 28, 15	500.000	31.942	15,971.36	36.930	18,465.00	2,493.64	LT
	Jan 30, 15	250.000	29.431	7,357.75	36.930	9,232.50	1,874.75	LT
	Oct 26, 15	250.000	34.170	8,542.53	36.930	9,232.50	689.97	ST
	Jan 15, 16	1,000.000	29.130	29,130.02	36.930	36,930.00	7,799.98	ST
Security total		2,000.000	30.501	61,001.66		73,860.00	12,858.34	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE								
EAI: \$3,613 Current yield: 3.01%								
	Aug 4, 11	191.000	36.265	6,926.77	63.880	12,201.08	5,274.31	LT
	Aug 12, 11	5.000	35.754	178.77	63.880	319.40	140.63	LT
	Jan 23, 13	1,001.000	41.387	41,428.89	63.880	63,943.88	22,514.99	LT
	Apr 22, 13	464.000	50.287	23,333.21	63.880	29,640.32	6,307.11	LT
	Jun 17, 13	148.000	49.739	7,361.45	63.880	9,454.24	2,092.79	LT
	Jun 18, 13	73.000	49.836	3,638.07	63.880	4,663.24	1,025.17	LT
Security total		1,882.000	44.031	82,867.16		120,222.16	37,355.00	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$211 Current yield: 2.71%								
	Apr 22, 13	66.000	84.721	5,591.64	118.130	7,796.58	2,204.94	LT
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,828 Current yield: 3.26%								
	Aug 4, 11	95.000	84.969	8,072.06	115.360	10,959.20	2,887.14	LT
	Aug 12, 11	3.000	85.910	257.73	115.360	346.08	88.35	LT
	Nov 29, 12	8.000	86.456	691.65	115.360	922.88	231.23	LT
	Jan 23, 13	555.000	93.053	51,644.75	115.360	64,024.80	12,380.05	LT
	Apr 22, 13	255.000	99.318	25,326.32	115.360	29,416.80	4,090.48	LT
	Sep 19, 13	78.000	97.879	7,634.63	115.360	8,998.08	1,363.45	LT
	Sep 19, 13	22.000	97.425	2,143.36	115.360	2,537.92	394.56	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
	Sep 19, 13	2.000	97.830	195.66	115.360	230.72	35.06	LT
Security total		1,018.000	94.269	95,966.16		117,436.48	21,470.32	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$564 Current yield: 2.85%								
	Apr 22, 13	162.000	79.757	12,920.65	122.320	19,815.84	6,895.19	LT
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,946 Current yield: 4.17%								
	Feb 12, 14	148.000	88.811	13,144.15	72.920	10,792.16	-2,351.99	LT
	Feb 12, 14	117.000	88.842	10,394.56	72.920	8,531.64	-1,862.92	LT
	Feb 12, 14	32.000	88.854	2,843.35	72.920	2,333.44	-509.91	LT
	Feb 12, 14	7.000	88.710	620.97	72.920	510.44	-110.53	LT
	Feb 13, 14	110.000	88.738	9,761.20	72.920	8,021.20	-1,740.00	LT
	Feb 13, 14	68.000	88.561	6,022.19	72.920	4,958.56	-1,063.63	LT
	Feb 13, 14	33.000	88.223	2,911.36	72.920	2,406.36	-505.00	LT
	Feb 13, 14	6.000	88.275	529.65	72.920	437.52	-92.13	LT
	Feb 14, 14	334.000	91.912	30,698.86	72.920	24,355.28	-6,343.58	LT
	Feb 18, 14	114.000	92.523	10,547.72	72.920	8,312.88	-2,234.84	LT
Security total		969.000	90.272	87,474.01		70,659.48	-16,814.53	
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,474 Current yield: 2.77%								
	Aug 4, 11	115.000	63.979	7,357.65	108.770	12,508.55	5,150.90	LT
	Aug 12, 11	3.000	63.023	189.07	108.770	326.31	137.24	LT
	May 16, 12	6.000	68.535	411.21	108.770	652.62	241.41	LT
	Oct 24, 12	1.000	68.690	68.69	108.770	108.77	40.08	LT
	Oct 25, 12	2.000	68.810	137.62	108.770	217.54	79.92	LT
	Oct 26, 12	1.000	68.890	68.89	108.770	108.77	39.88	LT
	Oct 31, 12	1.000	69.370	69.37	108.770	108.77	39.40	LT
	Nov 6, 12	1.000	69.370	69.37	108.770	108.77	39.40	LT
	Nov 7, 12	1.000	69.150	69.15	108.770	108.77	39.62	LT
	Nov 8, 12	2.000	69.090	138.18	108.770	217.54	79.36	LT
	Jan 23, 13	699.000	72.166	50,444.31	108.770	76,030.23	25,585.92	LT
	Apr 22, 13	322.000	82.251	26,484.85	108.770	35,023.94	8,539.09	LT

continued next page

SDNY\_GM\_00020963

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
<b>Security total</b>								
PROCTER & GAMBLE CO								
Symbol: PG Exchange: NYSE								
EAI: \$3,037 Current yield: 2.98%								
	Aug 4, 11	118.000	60.103	7,092.22	89.750	10,590.50	3,498.28	LT
	Aug 12, 11	3.000	60.896	182.69	89.750	269.25	86.56	LT
	Jan 23, 13	619.000	69.941	43,293.73	89.750	55,555.25	12,261.52	LT
	Apr 22, 13	286.000	81.332	23,261.18	89.750	25,668.50	2,407.32	LT
	Apr 24, 13	108.000	77.762	8,398.32	89.750	9,693.00	1,294.68	LT
<b>Security total</b>								
		1,134.000	72.512	82,228.14		101,776.50	19,548.36	
<b>Total</b>				<b>\$678,683.87</b>		<b>\$847,531.26</b>	<b>\$168,847.39</b>	

Total estimated annual income: \$21,173

Your total assets

		Value on Sep 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
<b>Cash</b>	<b>Cash and money balances</b>	<b>2,133.03</b>	<b>0.25%</b>	<b>2,133.03</b>		
<b>Equities</b>	<b>Common stock</b>	<b>847,531.26</b>	<b>99.75%</b>	<b>678,683.87</b>	<b>21,173.00</b>	<b>168,847.39</b>
<b>Total</b>		<b>\$849,664.29</b>	<b>100.00%</b>	<b>\$680,816.90</b>	<b>\$21,173.00</b>	<b>\$168,847.39</b>

Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Taxable dividends</i>				
	Sep 6	Dividend	JOHNSON & JOHNSON COM PAID ON 66	52.80
	Sep 15	Dividend	NEXTERA ENERGY INC COM PAID ON 162	140.94
	Sep 16	Dividend	MCDONALDS CORP PAID ON 1018	906.02
	Sep 23	Dividend	BLACKROCK INC PAID ON 72	164.88
	Sep 29	Dividend	PEPSICO INC PAID ON 1154	868.39
<b>Total taxable dividends</b>				<b>\$2,133.03</b>
<b>Total dividend and interest income</b>				<b>\$2,133.03</b>
<b>Other funds debited</b>				
	Sep 1	Transfer	JOURNAL TO Y1 23575 GHISLAINE MAXWELL	-1,347.33
<b>Total other funds debited</b>				<b>-\$1,347.33</b>

CONFIDENTIAL



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>	<b>Aug 31</b>	<b>Balance forward</b>		<b>\$1,347.33</b>
	Sep 2	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 09/01/16	-1,347.33
	Sep 7	Deposit	UBS BANK USA DEPOSIT ACCOUNT	52.80
	Sep 16	Deposit	UBS BANK USA DEPOSIT ACCOUNT	140.94
	Sep 19	Deposit	UBS BANK USA DEPOSIT ACCOUNT	906.02
	Sep 26	Deposit	UBS BANK USA DEPOSIT ACCOUNT	164.88
	Sep 30	Deposit	UBS BANK USA DEPOSIT ACCOUNT	868.39
	<b>Sep 30</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$2,133.03</b>

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

**CONFIDENTIAL**



Your notes

**CONFIDENTIAL**

# Important information about your statement

LBS 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. As described in the account agreements, you must notify us of any errors or fraud involving checks reflected on your statement within 30 days after it was mailed or made available. All statements shall be deemed complete and accurate in all other respects 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. For alleged errors involving UBS Visa® debit card transactions, if we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

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](http://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/sweepyield](http://www.ubs.com/sweepyield), 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, 2015. Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 billion 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 USA, (ii) cash at UBS AG U.S. branches, (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](http://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 your accounts. 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.
- **Investment Eligibility Consideration:** If selected, a portion of the portfolio for that account may include complex strategies, limited liquidity and greater volatility.

## Statement "householding"

We may consolidate all related account statements with the same address in the same envelope, e.g. because they have owners who also maintain joint account relationships with other clients at the same address. 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 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 deposit balances at UBS Bank USA, UBS AG U.S. Branches 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

SDNY\_GM\_00020967

# CONFIDENTIAL

EFTA\_00131587

EFTA01273794

## Important information about your statement (continued)

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](http://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.

– DPP and unlisted REIT securities are not listed on a national securities exchange, and are generally

liquid and even if they can be sold, the price received may be less than the per share estimated value provided in the account statement.

• **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](http://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. 201604

SDNY\_GM\_00020968

# CONFIDENTIAL

EFTA\_00131588

EFTA01273795



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

CNP7005591813 1016 Y1 0

# UBS Strategic Advisor

October 2016

GHISLAINE MAXWELL  
P.O. BOX 308  
TEANECK NJ 07666-0308

**Account name:** GHISLAINE MAXWELL

**Friendly account name:** [REDACTED]

**Account number:** [REDACTED]

**Your Financial Advisor:**

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED]

**Questions about your statement?**

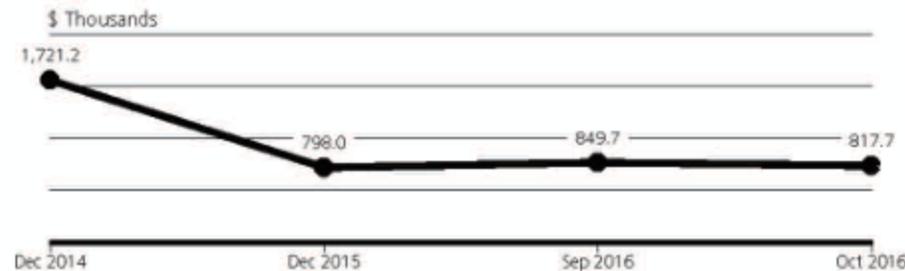
Call your Financial Advisor or the  
RMA ResourceLine at [REDACTED]  
account [REDACTED]

**Visit our website:** [REDACTED]

## Value of your account

	on September 30 (\$)	on October 31 (\$)
Your assets	849,664.29	817,718.75
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$849,664.29</b>	<b>\$817,718.75</b>

## Tracking the value of your account



**Sources of your account growth during 2016**

Value of your account at year end 2015	\$798,007.41
Net deposits and withdrawals	-\$42,789.36
Your investment return:	
Dividend and interest income	\$17,348.78
Change in market value	\$45,151.92
<b>Value of your account on Oct 31, 2016</b>	<b>\$817,718.75</b>

**CONFIDENTIAL**





## Change in the value of your account

	October 2016 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$849,664.29</b>	<b>\$798,007.41</b>
Deposits, including investments transferred in	1,550.00	35,660.00
Withdrawals and fees, including investments transferred out	-3,734.86	-78,449.36
Dividend and interest income	858.35	17,348.78
Change in market value	-30,619.03	45,151.92
<b>Closing account value</b>	<b>\$817,718.75</b>	<b>\$817,718.75</b>

## 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 2016 (\$)	Year to date (\$)
Taxable dividends	858.35	17,348.64
Taxable interest	0.00	0.14
<b>Total current year</b>	<b>\$858.35</b>	<b>\$17,348.78</b>
<b>Total dividend &amp; interest</b>	<b>\$858.35</b>	<b>\$17,348.78</b>

## 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 2016 (\$)	Year to date (\$)	
Short term	0.00	0.00	2,929.98
Long term	0.00	-790.56	135,298.38
<b>Total</b>	<b>\$0.00</b>	<b>-\$790.56</b>	<b>\$138,228.36</b>

## 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 2016 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$2,133.03</b>	<b>\$92.72</b>
<i>Additions</i>		
Deposits and other funds credited	1,550.00	35,660.00
Dividend and interest income	858.35	17,348.78
Proceeds from investment transactions	0.00	56,154.38
<b>Total additions</b>	<b>\$2,408.35</b>	<b>\$109,163.16</b>
<i>Subtractions</i>		
Professional management fees and related services	-1,601.83	-5,738.98
Other funds debited	-2,133.03	-72,710.38
Funds withdrawn for investments bought	0.00	-30,000.00
<b>Total subtractions</b>	<b>-\$3,734.86</b>	<b>-\$108,449.36</b>
<b>Net cash flow</b>	<b>-\$1,326.51</b>	<b>\$713.80</b>
<b>Closing balances</b>	<b>\$806.52</b>	<b>\$806.52</b>

SDNY\_GM\_00020971

**CONFIDENTIAL**



Account name: GHISLAINE MAXWELL  
Friendly account name: Indr [REDACTED]  
Account number: Y1 [REDACTED]

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

## UBS Bank USA Deposit Account APY

Interest period Sep 8 - Oct 6

Opening UBS Bank USA Deposit balance Sep 8	\$52.80
Closing UBS Bank USA Deposit balance Oct 6	\$38.16
Number of days in interest period	29
Average daily balance	\$700.42
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:**

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	2,133.03	806.52					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
<b>AECOM</b>								
Symbol: ACM Exchange: NYSE	Jan 28, 15	500.000	26.619	13,309.95	27.850	13,925.00	615.05	LT
	Jan 30, 15	100.000	25.532	2,553.24	27.850	2,785.00	231.76	LT
Security total		600.000	26.439	15,863.19		16,710.00	846.81	
<b>AUTOMATIC DATA PROCESSING INC</b>								
Symbol: ADP Exchange: OTC	Apr 22, 13	72.000	56.870	4,094.67	87.060	6,268.32	2,173.65	LT
EAI: \$153 Current yield: 2.44%								
<b>BLACKROCK INC</b>								
Symbol: BLK Exchange: NYSE	Apr 22, 13	72.000	251.093	18,078.71	341.240	24,569.28	6,490.57	LT
EAI: \$660 Current yield: 2.69%								
<b>COLGATE PALMOLIVE CO</b>								
Symbol: CL Exchange: NYSE	Aug 4, 11	174.000	41.632	7,244.05	71.360	12,416.64	5,172.59	LT
EAI: \$2,352 Current yield: 2.19%	Aug 12, 11	4.000	42.450	169.80	71.360	285.44	115.64	LT

*continued next page*

SDNY\_GM\_00020973

**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	910.000	54.240	49,358.63	71.360	64,937.60	15,578.97	LT
	Apr 22, 13	420.000	59.788	25,111.32	71.360	29,971.20	4,859.88	LT
Security total		1,508.000	54.300	81,883.80		107,610.88	25,727.08	
EOG RESOURCES INC								
Symbol: EOG Exchange: NYSE								
EAI: \$335 Current yield: 0.74%								
	Jan 28, 15	500.000	90.411	45,205.72	90.420	45,210.00	4.28	LT
FORTINET INC								
Symbol: FTNT Exchange: OTC								
	Jan 28, 15	500.000	31.942	15,971.36	32.060	16,030.00	58.64	LT
	Jan 30, 15	250.000	29.431	7,357.75	32.060	8,015.00	657.25	LT
	Oct 26, 15	250.000	34.170	8,542.53	32.060	8,015.00	-527.53	LT
	Jan 15, 16	1,000.000	29.130	29,130.02	32.060	32,060.00	2,929.98	ST
Security total		2,000.000	30.501	61,001.66		64,120.00	3,118.34	
GENL MILLS INC								
Symbol: GIS Exchange: NYSE								
EAI: \$3,613 Current yield: 3.10%								
	Aug 4, 11	191.000	36.265	6,926.77	61.980	11,838.18	4,911.41	LT
	Aug 12, 11	5.000	35.754	178.77	61.980	309.90	131.13	LT
	Jan 23, 13	1,001.000	41.387	41,428.89	61.980	62,041.98	20,613.09	LT
	Apr 22, 13	464.000	50.287	23,333.21	61.980	28,758.72	5,425.51	LT
	Jun 17, 13	148.000	49.739	7,361.45	61.980	9,173.04	1,811.59	LT
	Jun 18, 13	73.000	49.836	3,638.07	61.980	4,524.54	886.47	LT
Security total		1,882.000	44.031	82,867.16		116,646.36	33,779.20	
JOHNSON & JOHNSON COM								
Symbol: JNJ Exchange: NYSE								
EAI: \$211 Current yield: 2.76%								
	Apr 22, 13	66.000	84.721	5,591.64	115.990	7,655.34	2,063.70	LT
MCDONALDS CORP								
Symbol: MCD Exchange: NYSE								
EAI: \$3,828 Current yield: 3.34%								
	Aug 4, 11	95.000	84.969	8,072.06	112.570	10,694.15	2,622.09	LT
	Aug 12, 11	3.000	85.910	257.73	112.570	337.71	79.98	LT
	Nov 29, 12	8.000	86.456	691.65	112.570	900.56	208.91	LT
	Jan 23, 13	555.000	93.053	51,644.75	112.570	62,476.35	10,831.60	LT
	Apr 22, 13	255.000	99.318	25,326.32	112.570	28,705.35	3,379.03	LT
	Sep 19, 13	78.000	97.879	7,634.63	112.570	8,780.46	1,145.83	LT
	Sep 19, 13	22.000	97.425	2,143.36	112.570	2,476.54	333.18	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 Oct 31 (\$)	Value on Oct 31 (\$)	Unrealized gain or loss (\$)	Holding period
	Sep 19, 13	2.000	97.830	195.66	112.570	225.14	29.48	LT
Security total		1,018.000	94.269	95,966.16		114,596.26	18,630.10	
NEXTERA ENERGY INC COM								
Symbol: NEE Exchange: NYSE								
EAI: \$564 Current yield: 2.72%								
	Apr 22, 13	162.000	79.757	12,920.65	128.000	20,736.00	7,815.35	LT
OCCIDENTAL PETROLEUM CRP								
Symbol: OXY Exchange: NYSE								
EAI: \$2,946 Current yield: 4.17%								
	Feb 12, 14	148.000	88.811	13,144.15	72.910	10,790.68	-2,353.47	LT
	Feb 12, 14	117.000	88.842	10,394.56	72.910	8,530.47	-1,864.09	LT
	Feb 12, 14	32.000	88.854	2,843.35	72.910	2,333.12	-510.23	LT
	Feb 12, 14	7.000	88.710	620.97	72.910	510.37	-110.60	LT
	Feb 13, 14	110.000	88.738	9,761.20	72.910	8,020.10	-1,741.10	LT
	Feb 13, 14	68.000	88.561	6,022.19	72.910	4,957.88	-1,064.31	LT
	Feb 13, 14	33.000	88.223	2,911.36	72.910	2,406.03	-505.33	LT
	Feb 13, 14	6.000	88.275	529.65	72.910	437.46	-92.19	LT
	Feb 14, 14	334.000	91.912	30,698.86	72.910	24,351.94	-6,346.92	LT
	Feb 18, 14	114.000	92.523	10,547.72	72.910	8,311.74	-2,235.98	LT
Security total		969.000	90.272	87,474.01		70,649.79	-16,824.22	
PEPSICO INC								
Symbol: PEP Exchange: NYSE								
EAI: \$3,474 Current yield: 2.81%								
	Aug 4, 11	115.000	63.979	7,357.65	107.200	12,328.00	4,970.35	LT
	Aug 12, 11	3.000	63.023	189.07	107.200	321.60	132.53	LT
	May 16, 12	6.000	68.535	411.21	107.200	643.20	231.99	LT
	Oct 24, 12	1.000	68.690	68.69	107.200	107.20	38.51	LT
	Oct 25, 12	2.000	68.810	137.62	107.200	214.40	76.78	LT
	Oct 26, 12	1.000	68.890	68.89	107.200	107.20	38.31	LT
	Oct 31, 12	1.000	69.370	69.37	107.200	107.20	37.83	LT
	Nov 6, 12	1.000	69.370	69.37	107.200	107.20	37.83	LT
	Nov 7, 12	1.000	69.150	69.15	107.200	107.20	38.05	LT
	Nov 8, 12	2.000	69.090	138.18	107.200	214.40	76.22	LT
	Jan 23, 13	699.000	72.166	50,444.31	107.200	74,932.80	24,488.49	LT
	Apr 22, 13	322.000	82.251	26,484.85	107.200	34,518.40	8,033.55	LT

continued next page

SDNY\_GM\_00020975

CONFIDENTIAL





Account activity this month (continued)

	Date	Activity	Description	Amount (\$)	
<b>Fees</b>	Oct 24	Fee Charged	QUARTERLY FEE	-1,601.83	
	<b>Total professional management fees</b>			<b>-\$1,601.83</b>	
<b>Other funds debited</b>	Oct 3	Transfer	JOURNAL TO Y1 23575 GHISLAINE MAXWELL	-2,133.03	
	<b>Total other funds debited</b>			<b>-\$2,133.03</b>	
<b>Money balance activities</b>	<b>Sep 30</b>	<b>Balance forward</b>		<b>\$2,133.03</b>	
	Oct 4	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 10/03/16	-2,094.87	
	Oct 17	Deposit	UBS BANK USA DEPOSIT ACCOUNT	736.44	
	Oct 18	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,550.00	
	Oct 25	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 10/24/16	-1,601.83	
	Oct 31	Deposit	UBS BANK USA DEPOSIT ACCOUNT	83.75	
	<b>Oct 31</b>	<b>Closing UBS Bank USA Deposit Account</b>			<b>\$806.52</b>

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

**CONFIDENTIAL**



Your notes

**CONFIDENTIAL**

# Important information about your statement

LBS 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. As described in the account agreements, you must notify us of any errors or fraud involving checks reflected on your statement within 30 days after it was mailed or made available. All statements shall be deemed complete and accurate in all other respects 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. For alleged errors involving UBS Visa® debit card transactions, if we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

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](http://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/sweepyield](http://www.ubs.com/sweepyield), 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, 2015. Subject to the policy conditions and limitations, cash at the Firm is further protected for up to \$1.9 billion 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 USA, (ii) cash at UBS AG U.S. branches, (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](http://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 your accounts. 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.
- **Investment Eligibility Consideration:** If selected, a portion of the portfolio for that account may include complex strategies, limited liquidity and greater volatility.

## Statement "householding"

We may consolidate all related account statements with the same address in the same envelope, e.g. because they have owners who also maintain joint account relationships with other clients at the same address. 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 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 deposit balances at UBS Bank USA, UBS AG U.S. Branches 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

SDNY\_GM\_00020979

# CONFIDENTIAL

EFTA\_00131599

EFTA01273806

## Important information about your statement (continued)

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](http://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.

– DPP and unlisted REIT securities are not listed on a national securities exchange, and are generally

liquid and even if they can be sold, the price received may be less than the per share estimated value provided in the account statement.

• **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](http://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. 201604

SDNY\_GM\_00020980

# CONFIDENTIAL

EFTA\_00131600

EFTA01273807



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

CNP7005535531 1116.X135.Y1 0

# Resource Management Account

November 2016

GHISLAINE MAXWELL  
P.O. BOX 308  
TEANECK NJ 07666-0308

**Account name:** GHISLAINE MAXWELL

**Friendly account name:** Individ

**Account number:**

**Your Financial Advisor:**

SCOTT STACKMAN/LYLE CASRIEL

Phone:

**Questions about your statement?**

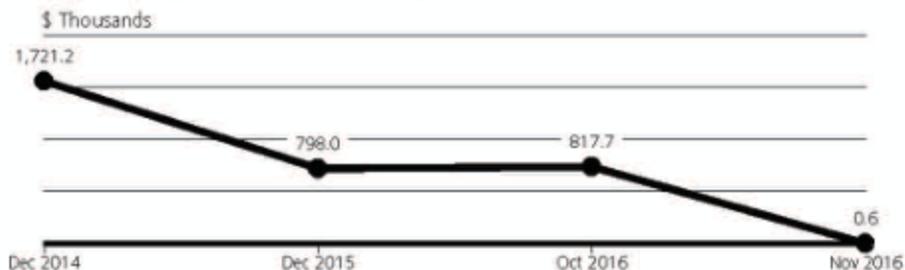
Call your Financial Advisor or the  
RMA ResourceLine at  
account

**Visit our website:**

## Value of your account

	on October 31 (\$)	on November 30 (\$)
Your assets	817,718.75	557.14
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$817,718.75</b>	<b>\$557.14</b>

## Tracking the value of your account



### Sources of your account growth during 2016

Value of your account at year end 2015	\$798,007.41
Net deposits and withdrawals	-\$854,604.16
Your investment return:	
Dividend and interest income	\$19,599.47
Change in market value	\$37,554.42
<b>Value of your account on Nov 30, 2016</b>	<b>\$557.14</b>

**CONFIDENTIAL**



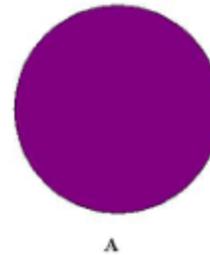
## Your account balance sheet

### Summary of your assets

	Value on November 30 (\$)	Percentage of your account
<b>A</b> Cash and money balances	557.14	100.00%
<b>B</b> Cash alternatives	0.00	0.00%
<b>C</b> Equities	0.00	0.00%
<b>D</b> Fixed income	0.00	0.00%
<b>E</b> Non-traditional	0.00	0.00%
<b>F</b> Commodities	0.00	0.00%
<b>G</b> Other	0.00	0.00%
<b>Total assets</b>	<b>\$557.14</b>	<b>100.00%</b>

**Value of your account** **\$557.14**

### Your current asset allocation



### Eye on the markets

Index	Percentage change	
	November 2016	Year to date
S&P 500	3.70%	9.79%
Russell 3000	4.48%	10.58%
MSCI - Europe, Australia & Far East	-1.98%	-1.86%
Barclays Capital U.S. Aggregate Bond Index	-2.37%	2.50%

#### Interest rates on November 30, 2016

3-month Treasury bills: 0.48%  
One-month LIBOR: 0.62%

**CONFIDENTIAL**



## Change in the value of your account

	November 2016 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$817,718.75</b>	<b>\$798,007.41</b>
Deposits, including investments transferred in	0.00	35,660.00
Withdrawals and fees, including investments transferred out	-811,814.80	-890,264.16
Dividend and interest income	2,250.69	19,599.47
Change in market value	-7,597.50	37,554.42
<b>Closing account value</b>	<b>\$557.14</b>	<b>\$557.14</b>

## 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 2016 (\$)	Year to date (\$)
Taxable dividends	2,250.69	19,599.33
Taxable interest	0.00	0.14
<b>Total current year</b>	<b>\$2,250.69</b>	<b>\$19,599.47</b>
<b>Total dividend &amp; interest</b>	<b>\$2,250.69</b>	<b>\$19,599.47</b>

## 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 2016 (\$)	Year to date (\$)	
Long term	0.00	-790.56	0.00

## 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 2016 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$806.52</b>	<b>\$92.72</b>
<i>Additions</i>		
Deposits and other funds credited	0.00	35,660.00
Dividend and interest income	2,250.69	19,599.47
Proceeds from investment transactions	0.00	56,154.38
<b>Total additions</b>	<b>\$2,250.69</b>	<b>\$111,413.85</b>
<i>Subtractions</i>		
Professional management fees and related services	557.14	-5,181.84
Other funds debited	-3,057.21	-75,767.59
Funds withdrawn for investments bought	0.00	-30,000.00
<b>Total subtractions</b>	<b>-\$2,500.07</b>	<b>-\$110,949.43</b>
<b>Net cash flow</b>	<b>-\$249.38</b>	<b>\$464.42</b>
<b>Closing balances</b>	<b>\$557.14</b>	<b>\$557.14</b>

SDNY\_GM\_00020983

CNP70006005535533 NP7000185219 00002 1116 030575004 Y123568550 101010

Page 3 of 6

**CONFIDENTIAL**

EFTA\_00131603

EFTA01273810



## UBS Bank USA Deposit Account APY

Interest period Oct 7 - Nov 6

Opening UBS Bank USA Deposit balance Oct 7	\$38.16
Closing UBS Bank USA Deposit balance Nov 6	\$903.36
Number of days in interest period	31
Average daily balance	\$848.16
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:**

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 Nov 1 (\$)	Closing balance on Nov 30 (\$)	Price per share on Nov 30 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
Cash	0.00	557.14					
UBS BANK USA DEP ACCT	806.52	0.00					250,000.00
<b>Total</b>	<b>\$806.52</b>	<b>\$557.14</b>					

### Your total assets

Cash	Cash and money balances	Value on Nov 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
		<b>557.14</b>	<b>100.00%</b>	<b>557.14</b>		
<b>Total</b>		<b>\$557.14</b>	<b>100.00%</b>	<b>\$557.14</b>		

## Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Taxable dividends</i>				
	Nov 1	Dividend	GENL MILLS INC PAID ON 1882	903.36
	Nov 15	Dividend	COLGATE PALMOLIVE CO PAID ON 1508	588.12
	Nov 15	Dividend	PROCTER & GAMBLE CO PAID ON 1134	759.21
		<b>Total taxable dividends</b>		<b>\$2,250.69</b>
		<b>Total dividend and interest income</b>		<b>\$2,250.69</b>
<b>Fees</b>				
	Nov 30	Refund	PRORATED ADVISORY FEE	557.14
		<b>Total professional management fees</b>		<b>\$557.14</b>
<b>Other funds debited</b>				
	Nov 1	Transfer	JOURNAL TO Y1 23575 GHISLAINE MAXWELL	-806.52

continued next page

SDNY\_GM\_00020985

CNP70006005535535 NP7000185219 00002 1116 030575004 Y123568550 101010

Page 5 of 6

**CONFIDENTIAL**

EFTA\_00131605

EFTA01273812



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
<b>Other funds debited</b> (continued)	Nov 28	Transfer	TO Y1 36506 8200	-2,250.69
		<b>Total other funds debited</b>		<b>-\$3,057.21</b>

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 (\$)
Nov 28	Transfer	OCCIDENTAL PETROLEUM CRP TO Y1 36506 8200	-969.000	-66,269.91				
Nov 28	Transfer	AUTOMATIC DATA PROCESSNG INC TO Y1 36506 8200	-72.000	-6,953.04				
Nov 28	Transfer	BLACKROCK INC TO Y1 36506 8200	-72.000	-26,542.80				
Nov 28	Transfer	COLGATE PALMOLIVE CO TO Y1 36506 8200	-1,508.000	-100,176.44				
Nov 28	Transfer	EOG RESOURCES INC TO Y1 36506 8200	-500.000	-46,735.00				
Nov 28	Transfer	FORTINET INC TO Y1 36506 8200	-2,000.000	-60,480.00				
Nov 28	Transfer	GENL MILLS INC TO Y1 36506 8200	-1,882.000	-116,834.56				
Nov 28	Transfer	AECOM TO Y1 36506 8200	-600.000	-22,182.00				
Nov 28	Transfer	JOHNSON & JOHNSON COM TO Y1 36506 8200	-66.000	-7,466.58				
Nov 28	Transfer	MCDONALDS CORP TO Y1 36506 8200	-1,018.000	-124,012.76				
Nov 28	Transfer	NEXTERA ENERGY INC COM TO Y1 36506 8200	-162.000	-18,840.60				
Nov 28	Transfer	PEPSICO INC TO Y1 36506 8200	-1,154.000	-118,619.66				
Nov 28	Transfer	PROCTER & GAMBLE CO TO Y1 36506 8200	-1,134.000	-94,201.38				

**Total**

**Securities transferred out** **-\$809,314.73**

	Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>	<b>Oct 31</b>	<b>Balance forward</b>		<b>\$806.52</b>
	Nov 2	Deposit	UBS BANK USA DEPOSIT ACCOUNT	96.84
	Nov 16	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1,347.33
	Nov 29	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 11/28/16	-2,250.69
	<b>Nov 30</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$0.00</b>

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. As described in the account agreements, you must notify us of any errors or fraud involving checks reflected on your statement within 30 days after it was mailed or made available. All statements shall be deemed complete and accurate in all other respects 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. For alleged errors involving UBS Visa® debit card transactions, if we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

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](http://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/sweepyield](http://www.ubs.com/sweepyield), 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, 2015. 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 USA, (ii) cash at UBS AG U.S. branches, (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](http://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 your accounts. 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.
- **Investment Eligibility Consideration:** If selected, a portion of the portfolio for that account may include complex strategies, limited liquidity and greater volatility.

## Statement "householding"

We may consolidate all related account statements with the same address in the same envelope, e.g. because they have owners who also maintain joint account relationships with other clients at the same address. 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 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 deposit balances at UBS Bank USA, UBS AG U.S. Branches 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

SDNY\_GM\_00020987

# CONFIDENTIAL

EFTA\_00131607

EFTA01273814

## Important information about your statement (continued)

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](http://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.

– DPP and unlisted REIT securities are not listed on a national securities exchange, and are generally

liquid and even if they can be sold, the price received may be less than the per share estimated value provided in the account statement.

• **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](http://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. 201604

SDNY\_GM\_00020988

# CONFIDENTIAL

EFTA\_00131608

EFTA01273815



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

CNF70078410871216X12 Y1 0

# Resource Management Account

December 2016

GHISLAINE MAXWELL  
P.O. BOX 308  
TEANECK NJ 07666-0308

**Account name:** GHISLAINE MAXWELL

**Friendly account name:** [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 [REDACTED] account [REDACTED]

**Visit our website:**

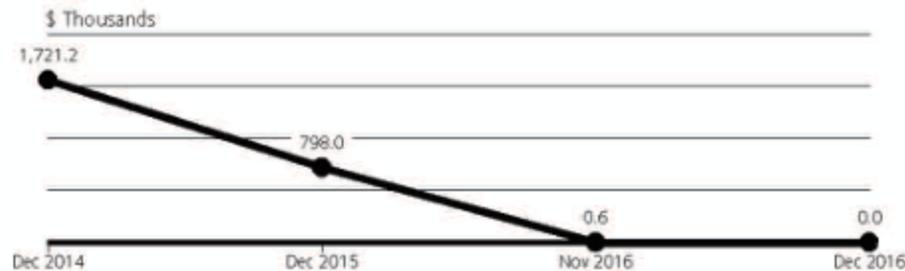
**Items for your attention**

► Help protect yourself from fraud and review bank, credit card, and brokerage statements regularly. Also, get your free credit report annually from [www.annualcreditreport.com](http://www.annualcreditreport.com).

## Value of your account

	on November 30 (\$)	on December 30 (\$)
Your assets	557.14	0.00
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$557.14</b>	<b>\$0.00</b>

## Tracking the value of your account



**Sources of your account growth during 2016**

Value of your account at year end 2015	\$798,007.41
Net deposits and withdrawals	-\$855,355.04
Your investment return:	
Dividend and interest income	\$19,793.21
Change in market value	\$37,554.42
<b>Value of your account on Dec 30, 2016</b>	<b>\$0.00</b>

**CONFIDENTIAL**



## Your account balance sheet

### Summary of your assets

	Value on December 30 (\$)
A Cash and money balances	0.00
B Cash alternatives	0.00
C Equities	0.00
D Fixed income	0.00
E Non-traditional	0.00
F Commodities	0.00
G Other	0.00
<b>Total assets</b>	<b>\$0.00</b>

**Value of your account** **\$0.00**

### Eye on the markets

Index	Percentage change	
	December 2016	Year to date
S&P 500	1.98%	11.96%
Russell 3000	1.95%	12.74%
MSCI - Europe, Australia & Far East	3.44%	1.51%
Barclays Capital U.S. Aggregate Bond Index	0.14%	2.65%

#### Interest rates on December 30, 2016

3-month Treasury bills: 0.48%  
One-month LIBOR: 0.77%

**CONFIDENTIAL**



## Change in the value of your account

	December 2016 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$557.14</b>	<b>\$798,007.41</b>
Deposits, including investments transferred in	0.00	35,660.00
Withdrawals and fees, including investments transferred out	-750.88	-891,015.04
Dividend and interest income	193.74	19,793.21
Change in market value	0.00	37,554.42
<b>Closing account value</b>	<b>\$0.00</b>	<b>\$0.00</b>

## 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 2016 (\$)	Year to date (\$)
Taxable dividends	193.74	19,793.07
Taxable interest	0.00	0.14
<b>Total current year</b>	<b>\$193.74</b>	<b>\$19,793.21</b>
<b>Total dividend &amp; interest</b>	<b>\$193.74</b>	<b>\$19,793.21</b>

## 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 2016 (\$)	Year to date (\$)	
Long term	0.00	-790.56	0.00

## 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 2016 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$557.14</b>	<b>\$92.72</b>
<i>Additions</i>		
Deposits and other funds credited	0.00	35,660.00
Dividend and interest income	193.74	19,793.21
Proceeds from investment transactions	0.00	56,154.38
<b>Total additions</b>	<b>\$193.74</b>	<b>\$111,607.59</b>
<i>Subtractions</i>		
Professional management fees and related services	0.00	-5,181.84
Other funds debited	-750.88	-76,518.47
Funds withdrawn for investments bought	0.00	-30,000.00
<b>Total subtractions</b>	<b>-\$750.88</b>	<b>-\$111,700.31</b>
<b>Net cash flow</b>	<b>-\$557.14</b>	<b>-\$92.72</b>
<b>Closing balances</b>	<b>\$0.00</b>	<b>\$0.00</b>

SDNY\_GM\_00020991

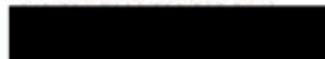
CNP70010007841089 NP7000310136 00002 1216 030575004 Y123568550 110000

Page 3 of 6

**CONFIDENTIAL**

EFTA\_00131611

EFTA01273818



## UBS Bank USA Deposit Account APY

Interest period Nov 7 - Dec 6

Opening UBS Bank USA Deposit balance Nov 7	\$903.36
Closing UBS Bank USA Deposit balance Dec 6	\$0.00
Number of days in interest period	30
Average daily balance	\$1,171.28
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:**

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 Dec 1 (\$)	Closing balance on Dec 30 (\$)	Price per share on Dec 30 (\$)	Average rate	Dividend Interest period	Days in period
Cash	557.14	0.00				

## Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Taxable dividends</i>				
	Dec 6	Dividend	JOHNSON & JOHNSON COM PAID ON 66	52.80
	Dec 15	Dividend	NEXTERA ENERGY INC COM PAID ON 162	140.94
	<b>Total taxable dividends</b>			<b>\$193.74</b>
	<b>Total dividend and interest income</b>			<b>\$193.74</b>
<b>Other funds debited</b>				
	Dec 1	Transfer	JOURNAL TO Y1 36506 ANGARA TRUST	-557.14
	Dec 13	Transfer	JOURNAL TO Y1 36506 ANGARA TRUST	-52.80
	Dec 19	Transfer	JOURNAL TO Y1 36506 ANGARA TRUST	-140.94
	<b>Total other funds debited</b>			<b>-\$750.88</b>
<b>Money balance activities</b>				
	<b>Nov 30</b>	<b>Balance forward</b>		<b>\$0.00</b>
	Dec 1	Deposit	UBS BANK USA DEPOSIT ACCOUNT	557.14
	Dec 2	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 12/01/16	-557.14
	Dec 7	Deposit	UBS BANK USA DEPOSIT ACCOUNT	52.80
	Dec 14	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 12/13/16	-52.80
	Dec 16	Deposit	UBS BANK USA DEPOSIT ACCOUNT	140.94
	Dec 20	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 12/19/16	-140.94
	<b>Dec 30</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$0.00</b>

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

SDNY\_GM\_00020993

CNP70010007841091 NP7000310136 00002 1216 030575004 Y123568550 110000

**CONFIDENTIAL**



## Summary of approved payees and recurring payments

Based on your instructions, the following payees and recurring payments are considered "approved payees". As a result, (1) you may authorize additional transfers to these payees verbally and (2) you are no longer receiving individual confirmations for payments to these payees.

The payees and recurring payments listed below do not include Bill Payments, Electronic Funds Transfers and certain other transfers between accounts at UBS. If you have additional payees and/or recurring instructions on file, you will receive separate confirmations from your Financial Advisor.

To update or cancel any of these instructions, please contact your Financial Advisor.

Payee description	Amount (\$)	Disbursement method	Type/Event	Frequency	Start date	End date	Last used date
Y123575	varied	Transfer	Payee on file	Upon request	n/a	n/a	Nov 01, 16

**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. As described in the account agreements, you must notify us of any errors or fraud involving checks reflected on your statement within 30 days after it was mailed or made available. All statements shall be deemed complete and accurate in all other respects 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.
- For TTY services: Call 844-612-0986 or from outside the U.S.: Call 201-352-1495
- 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. For alleged errors involving UBS Visa® debit card transactions, if we take more than 10 business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes us to complete our investigation.

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](http://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 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](http://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, 2015. 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 USA, (ii) cash at UBS AG U.S. branches, (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](http://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 your accounts. 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.
- **Investment Eligibility Consideration:** If selected, a portion of the portfolio for that account may include complex strategies, limited liquidity and greater volatility.

## Statement "householding"

We may consolidate all related account statements with the same address in the same envelope, e.g. because they have owners who also maintain joint account relationships with other clients at the same address. 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 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 deposit balances at UBS Bank USA, UBS AG U.S. Branches 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\_00020995

# CONFIDENTIAL

EFTA\_00131615

EFTA01273822

## 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/accounts/disclosures](http://www.ubs.com/accounts/disclosures).

### 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.

- DFP and unlisted REIT securities are not listed on a national securities exchange, and are generally liquid and even if they can be sold, the price received may be less than the per share estimated value provided in the account statement.

- **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](http://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 is a registered trademark owned by Visa International Service Association and used under license. The UBS Visa credit cards and the UBS Visa debit cards are issued by UBS Bank USA with permission from Visa U.S.A. Incorporated. All other trademarks, registered trademarks, service marks and registered service marks are of their respective companies.

UBS Financial Services Inc.

Rev. 201612

SDNY\_GM\_00020996

# CONFIDENTIAL

EFTA\_00131616

EFTA01273823