

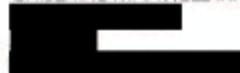


UBS Financial Services Inc.  
Private Wealth Management  
299 Park Avenue  
26th Floor  
New York NY 10171-0002

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Retirement Account  
**UBS Strategic Advisor**  
January 2019

GHISLAINE MAXWELL IRA



**Account name:** GHISLAINE MAXWELL IRA  
**Friendly account name:** Indiv: IRA  
**Account type:** Individual Retirement Account  
**Account number:** [REDACTED]

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

**Questions about your statement?**  
Call your Financial Advisor or the  
RMA ResourceLine at 800-RMA-1000,  
account [REDACTED]

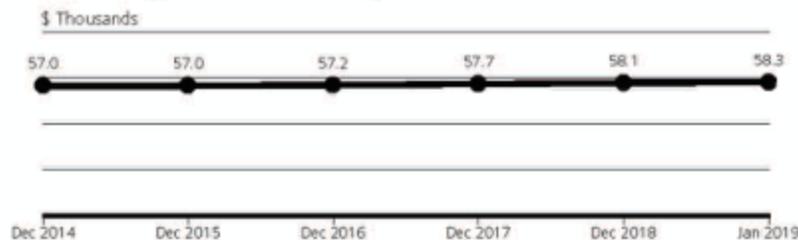
**Visit our website:**  
[www.ubs.com/financialservices](http://www.ubs.com/financialservices)

**Items for your attention**  
Please note, Average Daily Balance and APY values in the Deposit Account APY section of your December statement were misstated. January statement values have been corrected.

### Value of your account

	on December 31 (\$)	on January 31 (\$)
Your assets	58,125.23	58,260.54
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$58,125.23</b>	<b>\$58,260.54</b>

### Tracking the value of your account



#### Sources of your account growth during 2019

Value of your account at year end 2018	\$58,125.23
Net deposits and withdrawals	-\$107.49
Your investment return:	
Dividend and interest income	\$133.55
Change in market value	\$109.25
<b>Value of your account on Jan 31, 2019</b>	<b>\$58,260.54</b>



## Your account balance sheet

### Summary of your assets

	Value on January 31 (\$)	Percentage of your account
<b>A</b> Cash and money balances	1,197.41	2.06%
<b>B</b> Cash alternatives	0.00	0.00%
<b>C</b> Equities	0.00	0.00%
<b>D</b> Fixed income	57,063.13	97.94%
<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>\$58,260.54</b>	<b>100.00%</b>

**Value of your account** **\$58,260.54**

### Your current asset allocation



► *Cash and money balances* may include available cash balances, UBS Bank USA deposit accounts, UBS FDIC Insured Deposit Program Bank accounts, 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 2019	Year to date
S&P 500	8.01%	8.01%
Russell 3000	8.58%	8.58%
MSCI - Europe, Australia & Far East	6.59%	6.59%
Barclays Capital U.S. Aggregate Bond Index	1.06%	1.06%

### Interest rates on January 31, 2019

3-month Treasury bills: 2.36%  
One-month LIBOR: 2.51%



UBS Strategic Advisor  
January 2019

Account name: GHISLAINE MAXWELL IRA  
Friendly account name: Indiv. IRA  
Account type: Individual Retirement Account  
Account number: [REDACTED]

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

## Change in the value of your account

	January 2019 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$58,125.23</b>	<b>\$58,125.23</b>
Withdrawals and fees, including investments transferred out	-107.49	-107.49
Dividend and interest income	133.55	133.55
Change in market value	109.25	109.25
<b>Closing account value</b>	<b>\$58,260.54</b>	<b>\$58,260.54</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 2019 (\$)	Year to date (\$)
Dividends	36.20	36.20
Interest	0.07	0.07
<b>Total current year</b>	<b>\$36.27</b>	<b>\$36.27</b>
Prior year adjustment	97.28	97.28
<b>Total dividend &amp; interest</b>	<b>\$133.55</b>	<b>\$133.55</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 2019 (\$)	Year to date (\$)	
Short term	0.00	0.00	4.67
Long term	0.00	0.00	-823.36
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>-\$818.69</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 to deposits at UBS Bank USA and all banks participating in the UBS FDIC Insured Deposit Program. It does not apply to deposits at UBS AG, Stamford Branch. 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 2019 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$1,304.58</b>	<b>\$1,304.58</b>
<i>Additions</i>		
Dividend and interest income	133.55	133.55
<b>Total additions</b>	<b>\$133.55</b>	<b>\$133.55</b>
<i>Subtractions</i>		
Professional management fees and related services	-107.49	-107.49
Funds withdrawn for investments bought	-133.23	-133.23
<b>Total subtractions</b>	<b>-\$240.72</b>	<b>-\$240.72</b>
<b>Net cash flow</b>	<b>-\$107.17</b>	<b>-\$107.17</b>
<b>Closing balances</b>	<b>\$1,197.41</b>	<b>\$1,197.41</b>



Account name: GHISLAINE MAXWELL IRA  
Friendly account name: Indiv. IRA  
Account type: Individual Retirement Account  
Account number: [REDACTED]

Your Financial Advisor:  
SCOTT STACKMAN LYLE CASRIEL  
[REDACTED]

## UBS Bank USA Deposit Account APY

Interest period Dec 7 - Jan 7

Opening UBS Bank USA Deposit balance Dec 7	\$1,304.58
Closing UBS Bank USA Deposit balance Jan 7	\$1,304.90
Number of days in interest period	32
Average daily balance	\$1,304.63
Interest earned	\$0.32
Annual percentage yield earned	0.28%

### Your investment objectives:

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

**Your return objective:**

Current income & capital appreciation

**Your risk profile:**

Primary - Moderate

Investment eligibility consideration - None selected

### Your account instructions

- UBS Financial Services Inc. is your IRA custodian.
- Your account cost basis default closing method is FIFO, First In, First Out.



Account name: GHISLAINE MAXWELL IRA  
 Friendly account name: Indiv. IRA  
 Account type: Individual Retirement Account  
 Account number: [REDACTED]

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

## 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 FDIC Insured Program Bank Balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA and all UBS FDIC Insured Program Bank 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 31 (\$)	Price per share on Jan 31 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	1,304.58	1,197.41					250,000.00

### Fixed income

#### Mutual funds

Total reinvested is the total of all reinvested dividends. It does not include any cash dividends. It is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot.

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.

Cost basis is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

Investment return is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Purchase price Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Jan 31 (\$)	Value on Jan 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
DOUBLE LINE TOTAL RETURN FUND INSTL									
Symbol: DBLTX									
Trade date: Mar 31, 17	1,693.321	10.629	18,000.00	18,000.00	10.450	17,695.20	-304.80		LT
Total reinvested	112.161	10.519		1,179.83	10.450	1,172.08	-7.75		
EAI: \$702 Current yield: 3.72%									
Security total	1,805.482	10.623	18,000.00	19,179.83		18,867.28	-312.55	867.28	
JP MORGAN SHORT DURATION BOND FUND CLASS I									

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UBS Strategic Advisor  
January 2019

Account name: GHISLAINE MAXWELL IRA  
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Account type: Individual Retirement Account  
Account number: [REDACTED]

Your Financial Advisor:  
SCOTT STACKMAN LYLE CASRIEL  
[REDACTED]

Your assets • Fixed income • Mutual funds (continued)

Holding	Number of shares	Purchase price Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Jan 31 (\$)	Value on Jan 31 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
Symbol: HLLVX									
Total reinvested	1,830.676	10.986		20,112.36	10.730	19,643.15	-469.21	19,643.15	
EAI: \$350 Current yield: 1.78%									
PUTNAM SHORT DURATION INCOME FUND Y									
Symbol: PSDYX									
Trade date: Mar 31, 17									
Total reinvested	1,789.264	10.060	18,000.00	18,000.00	10.040	17,964.21	-35.79		LT
	58.615	10.059		589.63	10.040	588.49	-1.14		
EAI: \$406 Current yield: 2.19%									
Security total	1,847.879	10.060	18,000.00	18,589.63		18,552.70	-36.93	552.70	
<b>Total</b>			<b>\$36,000.00</b>	<b>\$57,881.82</b>		<b>\$57,063.13</b>	<b>-\$818.69</b>	<b>\$21,063.13</b>	

Total estimated annual income: \$1,458

Your total assets

		Value on Jan 31 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
<b>Cash</b>	<b>Cash and money balances</b>	<b>1,197.41</b>	<b>2.06%</b>	<b>1,197.41</b>		
<b>Fixed income</b>	<b>Mutual funds</b>	<b>\$7,063.13</b>	<b>97.94%</b>	<b>\$7,881.82</b>	<b>1,458.00</b>	<b>-818.69</b>
<b>Total</b>		<b>\$58,260.54</b>	<b>100.00%</b>	<b>\$59,079.23</b>	<b>\$1,458.00</b>	<b>-\$818.69</b>

Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Dividends</i>				
	Jan 30	Dividend	JP MORGAN SHORT DURATION BOND FUND CLASS I SYMBOL: HLLVX	36.20
<b>Total dividends</b>				<b>\$36.20</b>
<i>Interest</i>				
	Jan 8	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 01/07/19	0.07
<b>Total interest</b>				<b>\$0.07</b>
<i>Miscellaneous</i>				
	Jan 2	Dividend	DOUBLE LINE TOTAL RETURN FUND INSTL AS OF 12/31/18 SYMBOL: DBLTX	58.68

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Account activity this month (continued)

Date	Activity	Description	Amount (\$)
<b>Dividend and interest income (continued)</b>			
<i>Miscellaneous (continued)</i>			
Jan 2	Dividend	PUTNAM SHORT DURATION INCOME FUND Y AS OF 12/31/18 SYMBOL: PSDYX	38.35
Jan 2	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 12/31/18	0.25
<b>Total miscellaneous</b>			<b>\$97.28</b>
<b>Total dividend and interest income</b>			<b>\$133.55</b>
<b>Fees</b>			
Jan 24	Fee Charged	QUARTERLY FEE	-107.49
<b>Total professional management fees</b>			<b>-\$107.49</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 2	Reinvestment	DOUBLE LINE TOTAL RETURN FUND INSTL DIVIDEND REINVESTED AT 10.42 NAV ON 12/31/18 AS OF 12/31/18 SYMBOL: DBLTX	5.631				-58.68	
Jan 2	Reinvestment	PUTNAM SHORT DURATION INCOME FUND Y DIVIDEND REINVESTED AT 10.03 NAV ON 12/31/18 AS OF 12/31/18 SYMBOL: PSDYX	3.824				-38.35	
Jan 30	Reinvestment	JP MORGAN SHORT DURATION BOND FUND CLASS I DIVIDEND REINVESTED AT 10.71 NAV ON 01/29/19 SYMBOL: HLLVX	3.380				-36.20	
<b>Total</b>							<b>-\$133.23</b>	

Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>			
<b>Dec 31</b>	<b>Balance forward</b>		<b>\$1,304.58</b>
Jan 2	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 12/31/18	0.25
Jan 8	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 01/07/19	0.07
Jan 25	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 01/24/19	-107.49
<b>Jan 31</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$1,197.41</b>

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



Your notes

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Page 8 of 8

End of statement for account number [REDACTED]

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## 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.
- 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.
- All statements shall be deemed complete and accurate if not objected to in writing within 60 days.
- 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 to bank deposit accounts at non-affiliated banks and affiliated banks and money market mutual funds (Money Funds). Deposit accounts at UBS Bank USA and non-affiliated banks participating in the UBS FDIC-insured Deposit Program are FDIC-insured in accordance with FDIC rules. For more information, please visit [www.fdic.gov](http://www.fdic.gov). Deposit accounts at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Bank deposits 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 deposits 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 customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at [www.sipc.org](http://www.sipc.org). 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 insurance. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2016. 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.

Neither the SIPC protection nor the supplemental protection apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services. For example certain (i) insurance products, including variable annuities, and (ii) shares of mutual funds registered in the name of the account holder on the books of the issuer or transfer agent;
  - Investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933;
  - Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts; and
  - Deposit accounts (except certificates of deposit) at UBS Bank USA, UBS AG U.S. branches and banks in the FDIC Insured Deposit Program.
- 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).

### 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, is not intended to reflect any strategy, product, recommendation, investment objective or risk profile associated with your accounts, and is not a promise or guarantee that wealth, or any financial results, can or will be achieved. All investments involve the risk of loss, including the risk of loss of the entire investment. 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 untraded 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 affiliated and non-affiliated banks, and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

### Lending information

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

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## Important information about your statement (continued)

### 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.
- **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 illiquid 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.
- In addition to commissions received from the purchase and sale of NextShares funds, we and/or our affiliate receive an asset-based revenue sharing payment from NextShares distributors, as well as funding for technology development, training and education.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.

- We receive compensation from UBS Bank USA, UBS AG Stamford Branch and non-affiliated banks through our cash sweep programs. This compensation may be a monthly per account fee or may be a percentage of average daily deposit balances.

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

- 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
- IRMA, 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. 201810

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UBS Financial Services Inc.  
Private Wealth Management  
299 Park Avenue  
26th Floor  
New York NY 10171-0002

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Retirement Account  
**UBS Strategic Advisor**  
February 2019

GHISLAINE MAXWELL IRA



**Account name:** GHISLAINE MAXWELL IRA  
**Friendly account name:** Indiv. IRA  
**Account type:** Individual Retirement Account  
**Account number:** [REDACTED]

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

**Questions about your statement?**  
Call your Financial Advisor or the  
RMA ResourceLine at 800-RMA-1000,  
account [REDACTED]

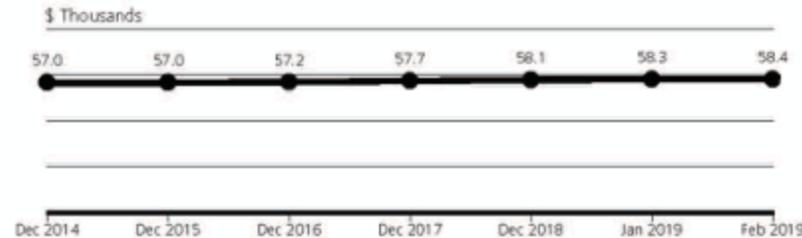
**Visit our website:**  
[www.ubs.com/financialservices](http://www.ubs.com/financialservices)

**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 January 31 (\$)	on February 28 (\$)
Your assets	58,260.54	58,378.57
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$58,260.54</b>	<b>\$58,378.57</b>

### Tracking the value of your account



### Sources of your account growth during 2019

Value of your account at year end 2018	\$58,125.23
Net deposits and withdrawals	-\$107.49
Your investment return:	
Dividend and interest income	\$269.07
Change in market value	\$91.76
<b>Value of your account on Feb 28, 2019</b>	<b>\$58,378.57</b>



## Your account balance sheet

### Summary of your assets

	Value on February 28 (\$)	Percentage of your account
<b>A</b> Cash and money balances	1,197.71	2.05%
<b>B</b> Cash alternatives	0.00	0.00%
<b>C</b> Equities	0.00	0.00%
<b>D</b> Fixed income	57,180.86	97.95%
<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>\$58,378.57</b>	<b>100.00%</b>

**Value of your account** **\$58,378.57**

### Your current asset allocation



► *Cash and money balances* may include available cash balances, UBS Bank USA deposit accounts, UBS FDIC Insured Deposit Program Bank accounts, 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 2019	Year to date
S&P 500	3.21%	11.48%
Russell 3000	3.52%	12.40%
MSCI - Europe, Australia & Far East	2.56%	9.32%
Barclays Capital U.S. Aggregate Bond Index	-0.06%	1.00%

### Interest rates on February 28, 2019

3-month Treasury bills: 2.40%  
One-month LIBOR: 2.49%



## Change in the value of your account

	February 2019 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$58,260.54</b>	<b>\$58,125.23</b>
Withdrawals and fees, including investments transferred out	0.00	-107.49
Dividend and interest income	135.52	269.07
Change in market value	-17.49	91.76
<b>Closing account value</b>	<b>\$58,378.57</b>	<b>\$58,378.57</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.

	February 2019 (\$)	Year to date (\$)
Dividends	135.22	171.42
Interest	0.30	0.37
<b>Total current year</b>	<b>\$135.52</b>	<b>\$171.79</b>
Prior year adjustment	0.00	97.28
<b>Total dividend &amp; interest</b>	<b>\$135.52</b>	<b>\$269.07</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 (\$)
	February 2019 (\$)	Year to date (\$)	
Short term	0.00	0.00	3.52
Long term	0.00	0.00	-839.70
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>-\$836.18</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 to deposits at UBS Bank USA and all banks participating in the UBS FDIC Insured Deposit Program. It does not apply to deposits at UBS AG, Stamford Branch. 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 2019 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$1,197.41</b>	<b>\$1,304.58</b>
<i>Additions</i>		
Dividend and interest income	135.52	269.07
<b>Total additions</b>	<b>\$135.52</b>	<b>\$269.07</b>
<i>Subtractions</i>		
Professional management fees and related services	0.00	-107.49
Funds withdrawn for investments bought	-135.22	-268.45
<b>Total subtractions</b>	<b>-\$135.22</b>	<b>-\$375.94</b>
<b>Net cash flow</b>	<b>\$0.30</b>	<b>-\$106.87</b>
<b>Closing balances</b>	<b>\$1,197.71</b>	<b>\$1,197.71</b>



Account name: GHISLAINE MAXWELL IRA  
Friendly account name: Indiv. IRA  
Account type: Individual Retirement Account  
Account number: [REDACTED]

Your Financial Advisor:  
SCOTT STACKMAN LYLE CASRIEL  
[REDACTED]

## UBS Bank USA Deposit Account APY

Interest period Jan 8 - Feb 6

Opening UBS Bank USA Deposit balance Jan 8	\$1,304.90
Closing UBS Bank USA Deposit balance Feb 6	\$1,197.71
Number of days in interest period	30
Average daily balance	\$1,254.74
Interest earned	\$0.30
Annual percentage yield earned	0.29%

### Your investment objectives:

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

**Your return objective:**

Current income & capital appreciation

**Your risk profile:**

Primary - Moderate

Investment eligibility consideration - None selected

### Your account instructions

- UBS Financial Services Inc. is your IRA custodian.
- Your account cost basis default closing method is FIFO, First In, First Out.



Account name: GHISLAINE MAXWELL IRA  
Friendly account name: Indiv. IRA  
Account type: Individual Retirement Account  
Account number: [REDACTED]

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

## 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 FDIC Insured Program Bank Balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

See the *important information about your statement* at the end of this document for details about those balances.

UBS Bank USA and all UBS FDIC Insured Program Bank 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.

Holding	Opening balance on Feb 1 (\$)	Closing balance on Feb 28 (\$)	Price per share on Feb 28 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	1,197.41	1,197.71					250,000.00

### Fixed income

#### Mutual funds

Total reinvested is the total of all reinvested dividends. It does not include any cash dividends. It is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot.

Cost basis is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

Unrealized (tax) gain or loss is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.

Investment return is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Purchase price/Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Feb 28 (\$)	Value on Feb 28 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
DOUBLE LINE TOTAL RETURN FUND INSTL Symbol: DBLTX Trade date: Mar 31, 17	1,693.321	10.629	18,000.00	18,000.00	10.420	17,644.40	-355.60		LT
Total reinvested	117.569	10.515		1,236.34	10.420	1,225.07	-11.27		
EAI: \$706 Current yield: 3.74%									
Security total	1,810.890	10.623	18,000.00	19,236.34		18,869.47	-366.87	869.47	
JP MORGAN SHORT DURATION BOND FUND CLASS I									

continued next page



UBS Strategic Advisor  
February 2019

Account name: GHISLAINE MAXWELL IRA  
Friendly account name: Indiv. IRA  
Account type: Individual Retirement Account  
Account number: [REDACTED]

Your Financial Advisor:  
SCOTT STACKMAN LYLE CASRIEL  
[REDACTED]

Your assets • Fixed income • Mutual funds (continued)

Holding	Number of shares	Purchase price Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Feb 28 (\$)	Value on Feb 28 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
Symbol: HLLVX									
Total reinvested	1,833.973	10.985		20,147.77	10.740	19,696.87	-450.90	19,696.87	
EAI: \$361 Current yield: 1.83%									
PUTNAM SHORT DURATION INCOME FUND Y									
Symbol: PSDYX									
Trade date: Mar 31, 17									
Total reinvested	1,789.264	10.060	18,000.00	18,000.00	10.050	17,982.09	-17.91		LT
	62.928	10.058		632.93	10.050	632.43	-0.50		
EAI: \$426 Current yield: 2.29%									
Security total	1,852.192	10.060	18,000.00	18,632.93		18,614.52	-18.41	614.52	
<b>Total</b>			<b>\$36,000.00</b>	<b>\$58,017.04</b>		<b>\$57,180.86</b>	<b>-\$836.18</b>	<b>\$21,180.86</b>	

Total estimated annual income: \$1,493

Your total assets

		Value on Feb 28 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	1,197.71	2.05%	1,197.71		
Fixed income	Mutual funds	57,180.86	97.95%	58,017.04	1,493.00	-836.18
<b>Total</b>		<b>\$58,378.57</b>	<b>100.00%</b>	<b>\$59,214.75</b>	<b>\$1,493.00</b>	<b>-\$836.18</b>

Account activity this month

Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>			
<i>Dividends</i>			
Feb 1	Dividend	DOUBLE LINE TOTAL RETURN FUND INSTL AS OF 01/31/19 SYMBOL: DBLTX	56.51
Feb 1	Dividend	PUTNAM SHORT DURATION INCOME FUND Y AS OF 01/31/19 SYMBOL: PSDYX	43.30
Feb 27	Dividend	JP MORGAN SHORT DURATION BOND FUND CLASS I SYMBOL: HLLVX	35.41
<b>Total dividends</b>			<b>\$135.22</b>



Account activity this month (continued)

Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b> (continued)			
<i>Interest</i>			
Feb 7	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 02/06/19	0.30
<b>Total interest</b>			<b>\$0.30</b>
<b>Total dividend and interest income</b>			<b>\$135.52</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 (\$)
Feb 1	Reinvestment	DOUBLE LINE TOTAL RETURN FUND INSTL DIVIDEND REINVESTED AT 10.45 NAV ON 01/31/19 AS OF 01/31/19 SYMBOL: DBLTX	5.408				-56.51	
Feb 1	Reinvestment	PUTNAM SHORT DURATION INCOME FUND Y DIVIDEND REINVESTED AT 10.04 NAV ON 01/31/19 AS OF 01/31/19 SYMBOL: PSDYX	4.313				-43.30	
Feb 27	Reinvestment	JP MORGAN SHORT DURATION BOND FUND CLASS 1 DIVIDEND REINVESTED AT 10.74 NAV ON 02/26/19 SYMBOL: HLLVX	3.297				-35.41	
<b>Total</b>							<b>-\$135.22</b>	

Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>			
<b>Jan 31</b>	<b>Balance forward</b>		<b>\$1,197.41</b>
Feb 7	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 02/06/19	0.30
<b>Feb 28</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$1,197.71</b>

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



Your notes

## 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.
- 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.
- All statements shall be deemed complete and accurate if not objected to in writing within 60 days.
- 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 to bank deposit accounts at non-affiliated banks and affiliated banks and money market mutual funds (Money Funds). Deposit accounts at UBS Bank USA and non-affiliated banks participating in the UBS FDIC-insured Deposit Program are FDIC-insured in accordance with FDIC rules. For more information, please visit [www.fdic.gov](http://www.fdic.gov). Deposit accounts at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Bank deposits 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 deposits 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 customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at [www.sipc.org](http://www.sipc.org). 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 insurance. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2016. 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.

Neither the SIPC protection nor the supplemental protection apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services. For example certain (i) insurance products, including variable annuities, and (ii) shares of mutual funds registered in the name of the account holder on the books of the issuer or transfer agent;
- Investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933;
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts; and
- Deposit accounts (except certificates of deposit) at UBS Bank USA, UBS AG U.S. branches and banks in the FDIC Insured Deposit Program.

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).

### 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, is not intended to reflect any strategy, product, recommendation, investment objective or risk profile associated with your accounts, and is not a promise or guarantee that wealth, or any financial results, can or will be achieved. All investments involve the risk of loss, including the risk of loss of the entire investment. 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 affiliated and non-affiliated banks, and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

### Lending information

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

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## Important information about your statement (continued)

### 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.
- **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 illiquid 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.
- In addition to commissions received from the purchase and sale of NextShares funds, we and/or our affiliate receive an asset-based revenue sharing payment from NextShares distributors, as well as funding for technology development, training and education.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.

– We receive compensation from UBS Bank USA, UBS AG Stamford Branch and non-affiliated banks through our cash sweep programs. This compensation may be a monthly per account fee or may be a percentage of average daily deposit balances.

### 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
- IRMA, 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. 201810

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UBS Financial Services Inc.  
Private Wealth Management  
299 Park Avenue  
26th Floor  
New York NY 10171-0002

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Retirement Account  
**UBS Strategic Advisor**  
March 2019

GHISLAINE MAXWELL IRA



**Account name:** GHISLAINE MAXWELL IRA  
**Friendly account name:** Indiv. IRA  
**Account type:** Individual Retirement Account  
**Account number:** [REDACTED]

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

**Questions about your statement?**  
Call your Financial Advisor or the  
RMA ResourceLine at 800-RMA-1000,  
account [REDACTED]

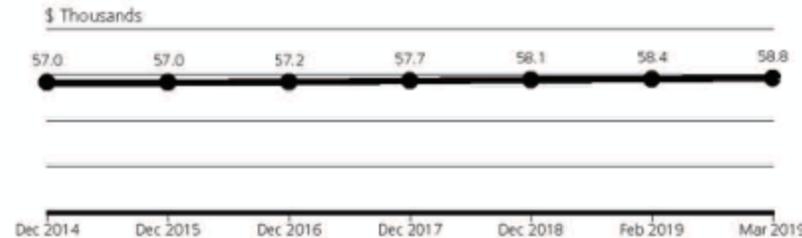
**Visit our website:**  
[www.ubs.com/financialservices](http://www.ubs.com/financialservices)

**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 February 28 (\$)	on March 29 (\$)
Your assets	58,378.57	58,824.95
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$58,378.57</b>	<b>\$58,824.95</b>

### Tracking the value of your account



### Sources of your account growth during 2019

Value of your account at year end 2018	\$58,125.23
Net deposits and withdrawals	-\$107.49
Your investment return:	
Dividend and interest income	\$405.60
Change in market value	\$401.61
<b>Value of your account on Mar 29, 2019</b>	<b>\$58,824.95</b>



## Your account balance sheet

### Summary of your assets

	Value on March 29 (\$)	Percentage of your account
<b>A</b> Cash and money balances	1,197.99	2.04%
<b>B</b> Cash alternatives	0.00	0.00%
<b>C</b> Equities	0.00	0.00%
<b>D</b> Fixed income	57,626.96	97.96%
<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>\$58,824.95</b>	<b>100.00%</b>

**Value of your account** **\$58,824.95**

### Your current asset allocation



► *Cash and money balances* may include available cash balances, UBS Bank USA deposit accounts, UBS FDIC Insured Deposit Program Bank accounts, 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 2019	Year to date
S&P 500	1.94%	13.65%
Russell 3000	1.46%	14.04%
MSCI - Europe, Australia & Far East	0.74%	10.13%
Barclays Capital U.S. Aggregate Bond Index	1.92%	2.94%

#### Interest rates on March 29, 2019

3-month Treasury bills: 2.31%  
One-month LIBOR: 2.49%



## Change in the value of your account

	March 2019 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$58,378.57</b>	<b>\$58,125.23</b>
Withdrawals and fees, including investments transferred out	0.00	-107.49
Dividend and interest income	136.53	405.60
Change in market value	309.85	401.61
<b>Closing account value</b>	<b>\$58,824.95</b>	<b>\$58,824.95</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 2019 (\$)	Year to date (\$)
Dividends	136.25	307.67
Interest	0.28	0.65
<b>Total current year</b>	<b>\$136.53</b>	<b>\$308.32</b>
Prior year adjustment	0.00	97.28
<b>Total dividend &amp; interest</b>	<b>\$136.53</b>	<b>\$405.60</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 2019 (\$)	Year to date (\$)	
Short term	0.00	0.00	12.38
Long term	0.00	0.00	-538.71
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>-\$526.33</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 to deposits at UBS Bank USA and all banks participating in the UBS FDIC Insured Deposit Program. It does not apply to deposits at UBS AG, Stamford Branch. 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 2019 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$1,197.71</b>	<b>\$1,304.58</b>
<i>Additions</i>		
Dividend and interest income	136.53	405.60
<b>Total additions</b>	<b>\$136.53</b>	<b>\$405.60</b>
<i>Subtractions</i>		
Professional management fees and related services	0.00	-107.49
Funds withdrawn for investments bought	-136.25	-404.70
<b>Total subtractions</b>	<b>-\$136.25</b>	<b>-\$512.19</b>
<b>Net cash flow</b>	<b>\$0.28</b>	<b>-\$106.59</b>
<b>Closing balances</b>	<b>\$1,197.99</b>	<b>\$1,197.99</b>



## UBS Bank USA Deposit Account APY

Interest period Feb 7 - Mar 6

Opening UBS Bank USA Deposit balance Feb 7	\$1,197.71
Closing UBS Bank USA Deposit balance Mar 6	\$1,197.99
Number of days in interest period	28
Average daily balance	\$1,197.71
Interest earned	\$0.28
Annual percentage yield earned	0.31%

## Your investment objectives:

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

**Your return objective:**

Current income & capital appreciation

**Your risk profile:**

Primary - Moderate

Investment eligibility consideration - None selected

## Your account instructions

- UBS Financial Services Inc. is your IRA custodian.
- Your account cost basis default closing method is RFO, First In, First Out.

## Retirement services information

### Beneficiaries you've named for this account

The beneficiaries listed below reflect the information in our records as of the end of this statement period. If this information is not correct, or you wish to change your beneficiaries, please contact your Financial Advisor. Beneficiary changes are not effective unless you give them to us in writing and we accept them. If you live in a community property state, your beneficiary designation may be subject to community property laws.

Percentage	Beneficiary	Contingent beneficiaries
100.00%	[REDACTED]	Katie Vaughan-Edwards (100.00%)



## 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 FDIC Insured Program Bank Balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

See the *important information about your statement* at the end of this document for details about those balances.

UBS Bank USA and all UBS FDIC Insured Program Bank 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.

Holding	Opening balance on Mar 1 (\$)	Closing balance on Mar 29 (\$)	Price per share on Mar 29 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	1,197.71	1,197.99					250,000.00

### Fixed income

#### Mutual funds

*Total reinvested* is the total of all reinvested dividends. It does not include any cash dividends. It is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot.

*Cost basis* is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

*Unrealized (tax) gain or loss* is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.

*Investment return* is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Purchase price Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Mar 29 (\$)	Value on Mar 29 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
DOUBLE LINE TOTAL RETURN FUND INSTL Symbol: DBLTX Trade date: Mar 31, 17	1,693.321	10.629	18,000.00	18,000.00	10.530	17,830.67	-169.33		LT
Total reinvested	123.104	10.511		1,294.01	10.530	1,296.28	2.27		
EAI: \$708 Current yield: 3.70%									
Security total	1,816.425	10.622	18,000.00	19,294.01		19,126.95	-167.06	1,126.95	
JP MORGAN SHORT DURATION BOND FUND CLASS I									

continued next page



UBS Strategic Advisor  
March 2019

Account name: GHISLAINE MAXWELL IRA  
Friendly account name: Indiv. IRA  
Account type: Individual Retirement Account  
Account number: [REDACTED]

Your Financial Advisor:  
SCOTT STACKMAN LYLE CASRIEL

Your assets • Fixed income • Mutual funds (continued)

Holding	Number of shares	Purchase price Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Mar 29 (\$)	Value on Mar 29 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
Symbol: HLLVX									
Total reinvested	1,837.579	10.985		20,186.71	10.800	19,845.85	-340.86	19,845.85	
EAI: \$377 Current yield: 1.90%									
PUTNAM SHORT DURATION INCOME FUND Y									
Symbol: PSDYX									
Trade date: Mar 31, 17									
Total reinvested	1,789.264	10.060	18,000.00	18,000.00	10.050	17,982.10	-17.90		LT
	66.872	10.057		672.57	10.050	672.06	-0.51		
EAI: \$442 Current yield: 2.37%									
Security total	1,856.136	10.060	18,000.00	18,672.57		18,654.16	-18.41	654.16	
<b>Total</b>			<b>\$36,000.00</b>	<b>\$58,153.29</b>		<b>\$57,626.96</b>	<b>-\$526.33</b>	<b>\$21,626.96</b>	

Total estimated annual income: \$1,527

Your total assets

		Value on Mar 29 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	1,197.99	2.04%	1,197.99		
Fixed income	Mutual funds	57,626.96	97.96%	58,153.29	1,527.00	-526.33
<b>Total</b>		<b>\$58,824.95</b>	<b>100.00%</b>	<b>\$59,351.28</b>	<b>\$1,527.00</b>	<b>-\$526.33</b>

Account activity this month

Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>			
<i>Dividends</i>			
Mar 1	Dividend	DOUBLE LINE TOTAL RETURN FUND INSTL AS OF 02/28/19 SYMBOL: DBLTX	57.67
Mar 1	Dividend	PUTNAM SHORT DURATION INCOME FUND Y AS OF 02/28/19 SYMBOL: PSDYX	39.64
Mar 28	Dividend	JP MORGAN SHORT DURATION BOND FUND CLASS I SYMBOL: HLLVX	38.94
<b>Total dividends</b>			<b>\$136.25</b>



Account activity this month (continued)

Date	Activity	Description	Amount (\$)
<b>Dividend and interest income (continued)</b>			
<i>Interest</i>			
Mar 7	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 03/06/19	0.28
<b>Total interest</b>			<b>\$0.28</b>
<b>Total dividend and interest income</b>			<b>\$136.53</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 1	Reinvestment	DOUBLE LINE TOTAL RETURN FUND INSTL DIVIDEND REINVESTED AT 10.42 NAV ON 02/28/19 AS OF 02/28/19 SYMBOL: DBLTX	5.535				-57.67	
Mar 1	Reinvestment	PUTNAM SHORT DURATION INCOME FUND Y DIVIDEND REINVESTED AT 10.05 NAV ON 02/28/19 AS OF 02/28/19 SYMBOL: PSDYX	3.944				-39.64	
Mar 28	Reinvestment	JP MORGAN SHORT DURATION BOND FUND CLASS 1 DIVIDEND REINVESTED AT 10.80 NAV ON 03/27/19 SYMBOL: HLLVX	3.606				-38.94	
<b>Total</b>							<b>-\$136.25</b>	

Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>			
<b>Feb 28</b>	<b>Balance forward</b>		<b>\$1,197.71</b>
Mar 7	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 03/06/19	0.28
<b>Mar 29</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$1,197.99</b>

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



Your notes

## 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.
- 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.
- All statements shall be deemed complete and accurate if not objected to in writing within 60 days.
- 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 to bank deposit accounts at non-affiliated banks and affiliated banks and money market mutual funds (Money Funds). Deposit accounts at UBS Bank USA and non-affiliated banks participating in the UBS FDIC-insured Deposit Program are FDIC-insured in accordance with FDIC rules. For more information, please visit [www.fdic.gov](http://www.fdic.gov). Deposit accounts at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Bank deposits 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 deposits 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 customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at [www.sipc.org](http://www.sipc.org). 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 insurance. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2016. 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.

Neither the SIPC protection nor the supplemental protection apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services. For example certain (i) insurance products, including variable annuities, and (ii) shares of mutual funds registered in the name of the account holder on the books of the issuer or transfer agent;
  - Investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933;
  - Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts; and
  - Deposit accounts (except certificates of deposit) at UBS Bank USA, UBS AG U.S. branches and banks in the FDIC Insured Deposit Program.
- 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).

### 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, is not intended to reflect any strategy, product, recommendation, investment objective or risk profile associated with your accounts, and is not a promise or guarantee that wealth, or any financial results, can or will be achieved. All investments involve the risk of loss, including the risk of loss of the entire investment. 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 affiliated and non-affiliated banks, and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

### Lending information

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

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## Important information about your statement (continued)

### 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.
- **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 illiquid 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.
- In addition to commissions received from the purchase and sale of NextShares funds, we and/or our affiliate receive an asset-based revenue sharing payment from NextShares distributors, as well as funding for technology development, training and education.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.

– We receive compensation from UBS Bank USA, UBS AG Stamford Branch and non-affiliated banks through our cash sweep programs. This compensation may be a monthly per account fee or may be a percentage of average daily deposit balances.

### 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
- IRMA, 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. 201810

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UBS Financial Services Inc.  
Private Wealth Management  
299 Park Avenue  
26th Floor  
New York NY 10171-0002

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Retirement Account

UBS Strategic Advisor

April 2019

GHISLAINE MAXWELL IRA



**Account name:** GHISLAINE MAXWELL IRA  
**Friendly account name:** Indiv. IRA  
**Account type:** Individual Retirement Account  
**Account number:** [REDACTED]

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

**Questions about your statement?**  
Call your Financial Advisor or the  
RMA ResourceLine at 800-RMA-1000,  
account [REDACTED]

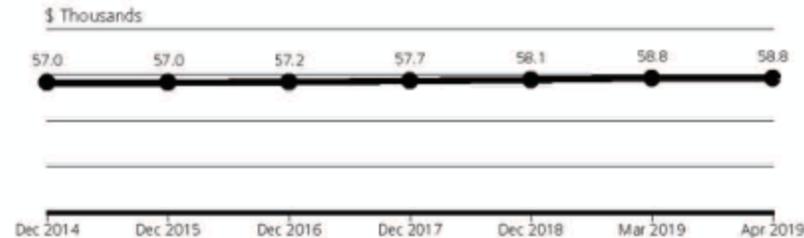
**Visit our website:**  
[www.ubs.com/financialservices](http://www.ubs.com/financialservices)

**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 March 29 (\$)	on April 30 (\$)
Your assets	58,824.95	58,826.73
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$58,824.95</b>	<b>\$58,826.73</b>

Tracking the value of your account



Sources of your account growth during 2019

Value of your account at year end 2018	\$58,125.23
Net deposits and withdrawals	-\$217.48
Your investment return:	
Dividend and interest income	\$553.39
Change in market value	\$365.59
<b>Value of your account on Apr 30, 2019</b>	<b>\$58,826.73</b>



## Your account balance sheet

### Summary of your assets

	Value on April 30 (\$)	Percentage of your account
<b>A</b> Cash and money balances	1,088.29	1.85 %
<b>B</b> Cash alternatives	0.00	0.00 %
<b>C</b> Equities	0.00	0.00 %
<b>D</b> Fixed income	57,738.44	98.15 %
<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>\$58,826.73</b>	<b>100.00 %</b>

**Value of your account** **\$58,826.73**

### Your current asset allocation



► *Cash and money balances* may include available cash balances, UBS Bank USA deposit accounts, UBS FDIC Insured Deposit Program Bank accounts, 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 2019	Year to date
S&P 500	4.05 %	18.25 %
Russell 3000	3.99 %	18.60 %
MSCI - Europe, Australia & Far East	2.91 %	13.33 %
Barclays Capital U.S. Aggregate Bond Index	0.03 %	2.97 %

### Interest rates on April 30, 2019

3-month Treasury bills: 2.38%  
One-month LIBOR: 2.48%



UBS Strategic Advisor  
April 2019

Account name: GHISLAINE MAXWELL IRA  
Friendly account name: Indiv. IRA  
Account type: Individual Retirement Account  
Account number: [REDACTED]

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

## Change in the value of your account

	April 2019 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$58,824.95</b>	<b>\$58,125.23</b>
Withdrawals and fees, including investments transferred out	-109.99	-217.48
Dividend and interest income	147.79	553.39
Change in market value	-36.02	365.59
<b>Closing account value</b>	<b>\$58,826.73</b>	<b>\$58,826.73</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 2019 (\$)	Year to date (\$)
Dividends	147.50	455.17
Interest	0.29	0.94
<b>Total current year</b>	<b>\$147.79</b>	<b>\$456.11</b>
Prior year adjustment	0.00	97.28
<b>Total dividend &amp; interest</b>	<b>\$147.79</b>	<b>\$553.39</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 2019 (\$)	Year to date (\$)	
Short term	0.00	0.00	9.99
Long term	0.00	0.00	-572.34
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>-\$562.35</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 to deposits at UBS Bank USA and all banks participating in the UBS FDIC Insured Deposit Program. It does not apply to deposits at UBS AG, Stamford Branch. 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 2019 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$1,197.99</b>	<b>\$1,304.58</b>
<i>Additions</i>		
Dividend and interest income	147.79	553.39
<b>Total additions</b>	<b>\$147.79</b>	<b>\$553.39</b>
<i>Subtractions</i>		
Professional management fees and related services	-109.99	-217.48
Funds withdrawn for investments bought	-147.50	-552.20
<b>Total subtractions</b>	<b>-\$257.49</b>	<b>-\$769.68</b>
<b>Net cash flow</b>	<b>-\$109.70</b>	<b>-\$216.29</b>
<b>Closing balances</b>	<b>\$1,088.29</b>	<b>\$1,088.29</b>



Account name: GHISLAINE MAXWELL IRA  
Friendly account name: Indiv. IRA  
Account type: Individual Retirement Account  
Account number: [REDACTED]

Your Financial Advisor:  
SCOTT STACKMAN LYLE CASRIEL  
[REDACTED]

## UBS Bank USA Deposit Account APY

Interest period Mar 7 - Apr 4

Opening UBS Bank USA Deposit balance Mar 7	\$1,197.99
Closing UBS Bank USA Deposit balance Apr 4	\$1,198.28
Number of days in interest period	29
Average daily balance	\$1,197.99
Interest earned	\$0.29
Annual percentage yield earned	0.31%

### Your investment objectives:

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

**Your return objective:**

Current income & capital appreciation

**Your risk profile:**

Primary - Moderate

Investment eligibility consideration - None selected

### Your account instructions

- UBS Financial Services Inc. is your IRA custodian.
- Your account cost basis default closing method is FIFO, First In, First Out.



## 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 FDIC Insured Program Bank Balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

See the *important information about your statement* at the end of this document for details about those balances.

UBS Bank USA and all UBS FDIC Insured Program Bank 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.

Holding	Opening balance on Apr 1 (\$)	Closing balance on Apr 30 (\$)	Price per share on Apr 30 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	1,197.99	1,088.29					250,000.00

### Fixed income

#### Mutual funds

*Total reinvested* is the total of all reinvested dividends. It does not include any cash dividends. It is not a tax lot for the purposes of determining holding periods or cost basis. The shares you receive each time you reinvest dividends become a separate tax lot.

*Cost basis* is the total purchase cost of the security, including reinvested dividends. The cost basis may need to be adjusted for return of capital payments in order to determine the adjusted cost basis for tax reporting purposes.

*Unrealized (tax) gain or loss* is the difference between the current value and the cost basis and would generally be your taxable gain or loss if the security was sold on this date. The unrealized (tax) gain or loss may need to be adjusted for return of capital payments in order to determine the realized gain or loss for tax reporting purposes.

*Investment return* is the current value minus the amount you invested. It does not include shares that are not reflected on your statement, including shares that have been realized as either a gain or a loss. It also does not include cash dividends that were not reinvested.

Holding	Number of shares	Purchase price Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Apr 30 (\$)	Value on Apr 30 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
DOUBLE LINE TOTAL RETURN FUND INSTL									
Symbol: DBLTX									
Trade date: Mar 31, 17	1,693.321	10.629	18,000.00	18,000.00	10.500	17,779.87	-220.13		LT
Total reinvested	128.770	10.512		1,353.67	10.500	1,352.08	-1.59		
EAI: \$714 Current yield: 3.73%									
Security total	1,822.091	10.622	18,000.00	19,353.67		19,131.95	-221.72	1,131.95	
JP MORGAN SHORT DURATION BOND FUND CLASS I									

continued next page



UBS Strategic Advisor  
April 2019

Account name: GHISLAINE MAXWELL IRA  
Friendly account name: Indiv. IRA  
Account type: Individual Retirement Account  
Account number: [REDACTED]

Your Financial Advisor:  
SCOTT STACKMAN LYLE CASRIEL  
[REDACTED]

Your assets • Fixed income • Mutual funds (continued)

Holding	Number of shares	Purchase price Average price per share (\$)	Client investment (\$)	Cost basis (\$)	Price per share on Apr 30 (\$)	Value on Apr 30 (\$)	Unrealized (tax) gain or loss (\$)	Investment return (\$)	Holding period
Symbol: HLLVX									
Total reinvested	1,841.668	10.985		20,230.83	10.800	19,890.01	-340.82	19,890.01	
EAI: \$392 Current yield: 1.97%									
PUTNAM SHORT DURATION INCOME FUND Y									
Symbol: PSDYX									
Trade date: Mar 31, 17									
Total reinvested	1,789.264	10.060	18,000.00	18,000.00	10.060	17,999.99	-0.01		LT
	71.222	10.057		716.29	10.060	716.49	0.20		
EAI: \$454 Current yield: 2.43%									
Security total	1,860.486	10.060	18,000.00	18,716.29		18,716.48	0.19	716.48	
<b>Total</b>			<b>\$36,000.00</b>	<b>\$58,300.79</b>		<b>\$57,738.44</b>	<b>-\$562.35</b>	<b>\$21,738.44</b>	

Total estimated annual income: \$1,560

Your total assets

		Value on Apr 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	1,088.29	1.85%	1,088.29		
Fixed income	Mutual funds	57,738.44	98.15%	58,300.79	1,560.00	-562.35
<b>Total</b>		<b>\$58,826.73</b>	<b>100.00%</b>	<b>\$59,389.08</b>	<b>\$1,560.00</b>	<b>-\$562.35</b>

Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Dividends</i>				
	Apr 1	Dividend	DOUBLE LINE TOTAL RETURN FUND INSTL AS OF 03/29/19 SYMBOL: DBLTX	59.66
	Apr 1	Dividend	PUTNAM SHORT DURATION INCOME FUND Y AS OF 03/29/19 SYMBOL: PSDYX	43.72
	Apr 29	Dividend	JP MORGAN SHORT DURATION BOND FUND CLASS I SYMBOL: HLLVX	44.12
		<b>Total dividends</b>		<b>\$147.50</b>



UBS Strategic Advisor  
April 2019

Account name: GHISLAINE MAXWELL IRA  
Friendly account name: Indiv. IRA  
Account type: Individual Retirement Account  
Account number: [REDACTED]

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

Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income (continued)</b>				
<i>Interest</i>	Apr 5	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 04/04/19	0.29
		<b>Total interest</b>		<b>\$0.29</b>
		<b>Total dividend and interest income</b>		<b>\$147.79</b>
<b>Fees</b>				
	Apr 23	Fee Charged	QUARTERLY FEE	-109.99
		<b>Total professional management fees</b>		<b>-\$109.99</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 (\$)
Apr 1	Reinvestment	DOUBLE LINE TOTAL RETURN FUND INSTL DIVIDEND REINVESTED AT 10.53 NAV ON 03/29/19 AS OF 03/29/19 SYMBOL: DBLTX	5.666				-59.66	
Apr 1	Reinvestment	PUTNAM SHORT DURATION INCOME FUND Y DIVIDEND REINVESTED AT 10.05 NAV ON 03/29/19 AS OF 03/29/19 SYMBOL: PSDYX	4.350				-43.72	
Apr 29	Reinvestment	JP MORGAN SHORT DURATION BOND FUND CLASS I DIVIDEND REINVESTED AT 10.79 NAV ON 04/26/19 SYMBOL: HLLVX	4.089				-44.12	
<b>Total</b>							<b>-\$147.50</b>	

	Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>				
	<b>Mar 29</b>	<b>Balance forward</b>		<b>\$1,197.99</b>
	Apr 5	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 04/04/19	0.29
	Apr 24	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 04/23/19	-109.99
	<b>Apr 30</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$1,088.29</b>

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



Your notes

## 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.
- 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.
- All statements shall be deemed complete and accurate if not objected to in writing within 60 days.
- 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 to bank deposit accounts at non-affiliated banks and affiliated banks and money market mutual funds (Money Funds). Deposit accounts at UBS Bank USA and non-affiliated banks participating in the UBS FDIC-insured Deposit Program are FDIC-insured in accordance with FDIC rules. For more information, please visit [www.fdic.gov](http://www.fdic.gov). Deposit accounts at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Bank deposits 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 deposits 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 customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at [www.sipc.org](http://www.sipc.org). 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 insurance. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2016. 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.

Neither the SIPC protection nor the supplemental protection apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services. For example certain (i) insurance products, including variable annuities, and (ii) shares of mutual funds registered in the name of the account holder on the books of the issuer or transfer agent;
  - Investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933;
  - Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts; and
  - Deposit accounts (except certificates of deposit) at UBS Bank USA, UBS AG U.S. branches and banks in the FDIC Insured Deposit Program.
- 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).

### 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, is not intended to reflect any strategy, product, recommendation, investment objective or risk profile associated with your accounts, and is not a promise or guarantee that wealth, or any financial results, can or will be achieved. All investments involve the risk of loss, including the risk of loss of the entire investment. 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 affiliated and non-affiliated banks, and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

### Lending information

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

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## Important information about your statement (continued)

### 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.
- **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 illiquid 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.
- In addition to commissions received from the purchase and sale of NextShares funds, we and/or our affiliate receive an asset-based revenue sharing payment from NextShares distributors, as well as funding for technology development, training and education.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.

– We receive compensation from UBS Bank USA, UBS AG Stamford Branch and non-affiliated banks through our cash sweep programs. This compensation may be a monthly per account fee or may be a percentage of average daily deposit balances.

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

- 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
- IRMA, 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.

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UBS Financial Services Inc.  
Private Wealth Management  
299 Park Avenue  
26th Floor  
New York NY 10171-0002

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Retirement Account

Resource Management Account

May 2019

GHISLAINE MAXWELL IRA



**Account name:** GHISLAINE MAXWELL IRA  
**Friendly account name:** Indiv: IRA  
**Account type:** Individual Retirement Account  
**Account number:** [REDACTED]

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

**Questions about your statement?**  
Call your Financial Advisor or the  
RMA ResourceLine at 800-RMA-1000,  
account [REDACTED]

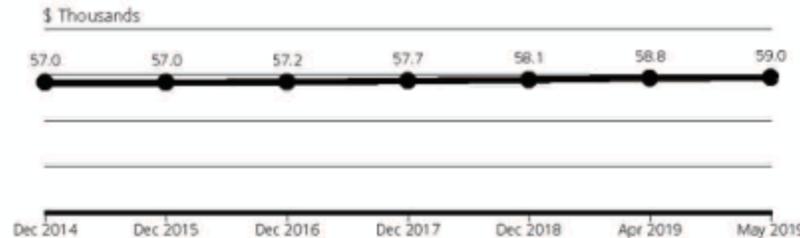
**Visit our website:**  
[www.ubs.com/financialservices](http://www.ubs.com/financialservices)

**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 April 30 (\$)	on May 31 (\$)
Your assets	58,826.73	58,967.22
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$58,826.73</b>	<b>\$58,967.22</b>

Tracking the value of your account



Sources of your account growth during 2019

Value of your account at year end 2018	\$58,125.23
Net deposits and withdrawals	-\$160.68
Your investment return:	
Dividend and interest income	\$655.47
Change in market value	\$347.20
<b>Value of your account on May 31, 2019</b>	<b>\$58,967.22</b>



## Your account balance sheet

### Summary of your assets

	Value on May 31 (\$)	Percentage of your account
<b>A</b> Cash and money balances	58,967.22	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>\$58,967.22</b>	<b>100.00%</b>

**Value of your account** **\$58,967.22**

### Your current asset allocation



► *Cash and money balances* may include available cash balances, UBS Bank USA deposit account, UBS FDIC Insured Deposit Program Bank accounts, 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 2019	Year to date
S&P 500	-6.35%	10.74%
Russell 3000	-6.47%	10.92%
MSCI - Europe, Australia & Far East	-4.66%	8.05%
Barclays Capital U.S. Aggregate Bond Index	1.78%	4.80%

#### Interest rates on May 31, 2019

3-month Treasury bills: 2.27%  
One-month LIBOR: 2.43%



Resource Management Account  
May 2019

Account name: GHISLAINE MAXWELL IRA  
Friendly account name: Indiv. IRA  
Account type: Individual Retirement Account  
Account number: [REDACTED]

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

## Change in the value of your account

	May 2019 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$58,826.73</b>	<b>\$58,125.23</b>
Withdrawals and fees, including investments transferred out	56.80	-160.68
Dividend and interest income	102.08	655.47
Change in market value	-18.39	347.20
<b>Closing account value</b>	<b>\$58,967.22</b>	<b>\$58,967.22</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.

	May 2019 (\$)	Year to date (\$)
Dividends	99.88	555.05
Interest	2.20	3.14
<b>Total current year</b>	<b>\$102.08</b>	<b>\$558.19</b>
Prior year adjustment	0.00	97.28
<b>Total dividend &amp; interest</b>	<b>\$102.08</b>	<b>\$655.47</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 (\$)
	May 2019 (\$)	Year to date (\$)	
Short term	9.63	9.63	0.00
Long term	-590.37	-590.37	0.00
<b>Total</b>	<b>-\$580.74</b>	<b>-\$580.74</b>	<b>\$0.00</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 to deposits at UBS Bank USA and all banks participating in the UBS FDIC Insured Deposit Program. It does not apply to deposits at UBS AG, Stamford Branch. 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 2019 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$1,088.29</b>	<b>\$1,304.58</b>
<i>Additions</i>		
Dividend and interest income	102.08	655.47
Proceeds from investment transactions	57,819.93	57,819.93
<b>Total additions</b>	<b>\$57,922.01</b>	<b>\$58,475.40</b>
<i>Subtractions</i>		
Professional management fees and related services	56.80	-160.68
Funds withdrawn for investments bought	-99.88	-652.08
<b>Total subtractions</b>	<b>-\$43.08</b>	<b>-\$812.76</b>
<b>Net cash flow</b>	<b>\$57,878.93</b>	<b>\$57,662.64</b>
<b>Closing balances</b>	<b>\$58,967.22</b>	<b>\$58,967.22</b>



## UBS Bank USA Deposit Account APY

Interest period Apr 5 - May 6

Opening UBS Bank USA Deposit balance Apr 5	\$1,198.28
Closing UBS Bank USA Deposit balance May 6	\$58,910.42
Number of days in interest period	32
Average daily balance	\$8,377.65
Interest earned	\$2.20
Annual percentage yield earned	0.30%

### Your investment objectives:

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

**Your return objective:**

Current income & capital appreciation

**Your risk profile:**

Primary - Moderate

Investment eligibility consideration - None selected

### Your account instructions

- UBS Financial Services Inc. is your IRA custodian.
- Your account cost basis default closing method is FIFO, First In, First Out.



## 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 FDIC Insured Program Bank Balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA and all UBS FDIC Insured Program Bank 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	1,088.29	58,967.22					250,000.00

### 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>58,967.22</b>	<b>100.00%</b>	<b>58,967.22</b>		
<b>Total</b>		<b>\$58,967.22</b>	<b>100.00%</b>	<b>\$58,967.22</b>		

## Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Dividends</i>				
	May 1	Dividend	DOUBLE LINE TOTAL RETURN FUND INSTL AS OF 04/30/19 SYMBOL: DBLTX	58.01
	May 1	Dividend	PUTNAM SHORT DURATION INCOME FUND Y AS OF 04/30/19 SYMBOL: PSDYX	41.87
		<b>Total dividends</b>		<b>\$99.88</b>
<i>Interest</i>				
	May 7	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 05/06/19	2.20
		<b>Total interest</b>		<b>\$2.20</b>
		<b>Total dividend and interest income</b>		<b>\$102.08</b>



Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
<b>Fees</b>	May 15	Refund	PRORATED ADVISORY FEE	56.80
		<b>Total professional management fees</b>		<b>\$56.80</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 (\$)
May 1	Reinvestment	DOUBLE LINE TOTAL RETURN FUND INSTL DIVIDEND REINVESTED AT 10.50 NAV ON 04/30/19 AS OF 04/30/19 SYMBOL: DBLTX	5.525				-58.01	
May 1	Reinvestment	PUTNAM SHORT DURATION INCOME FUND Y DIVIDEND REINVESTED AT 10.06 NAV ON 04/30/19 AS OF 04/30/19 SYMBOL: PSDYX	4.162				-41.87	
May 2	Sold	DOUBLE LINE TOTAL RETURN FUND INSTL FBOID 91210674074 SYMBOL: DBLTX	-1,827.616		10.500	19,189.97		
May 2	Sold	PUTNAM SHORT DURATION INCOME FUND Y FBOID 91210674090 SYMBOL: PSDYX	-1,864.648		10.060	18,758.36		
May 2	Sold	JP MORGAN SHORT DURATION BOND FUND CLASS I FBOID 91210674082 SYMBOL: HLLVX	-1,841.668		10.790	19,871.60		
<b>Total</b>						<b>\$57,819.93</b>	<b>-\$99.88</b>	

	Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>	<b>Apr 30</b>	<b>Balance forward</b>		<b>\$1,088.29</b>
	May 3	Deposit	UBS BANK USA DEPOSIT ACCOUNT	57,819.93
	May 7	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 05/06/19	2.20
	May 16	Deposit	UBS BANK USA DEPOSIT ACCOUNT	56.80
	<b>May 31</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$58,967.22</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.

### Short-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount (\$)	Cost basis (\$)	Wash sale cost basis adjustment(\$)	Loss (\$)	Gain (\$)
DOUBLE LINE TOTAL RETURN FUND INSTL	RIFO	5.473	May 31, 18	May 01, 19	57.47	57.14			0.33
	RIFO	5.758	Jun 29, 18	May 01, 19	60.45	60.00			0.45
	RIFO	5.571	Jul 31, 18	May 01, 19	58.50	57.83			0.67
	RIFO	5.696	Aug 31, 18	May 01, 19	59.81	59.30			0.51
	RIFO	5.544	Sep 28, 18	May 01, 19	58.21	57.32			0.89
	RIFO	5.793	Oct 31, 18	May 01, 19	60.83	59.55			1.28
	RIFO	5.841	Nov 30, 18	May 01, 19	61.33	60.22			1.11
	RIFO	5.631	Dec 31, 18	May 01, 19	59.12	58.68			0.44
	RIFO	5.408	Jan 31, 19	May 01, 19	56.79	56.51			0.28
	RIFO	5.535	Feb 28, 19	May 01, 19	58.11	57.67			0.44
	RIFO	5.666	Mar 29, 19	May 01, 19	59.50	59.66		-0.16	
	RIFO	5.525	Apr 30, 19	May 01, 19	58.01	58.01			
JP MORGAN SHORT DURATION BOND FUND CLASS I	RIFO	2.393	May 29, 18	May 01, 19	25.82	25.61			0.21
	RIFO	2.522	Jun 27, 18	May 01, 19	27.21	26.93			0.28
	RIFO	2.549	Jul 27, 18	May 01, 19	27.50	27.17			0.33
	RIFO	2.725	Aug 29, 18	May 01, 19	29.41	29.08			0.33
	RIFO	2.822	Sep 26, 18	May 01, 19	30.45	30.05			0.40
	RIFO	2.898	Oct 29, 18	May 01, 19	31.27	30.89			0.38
	RIFO	2.994	Nov 28, 18	May 01, 19	32.30	31.89			0.41
	RIFO	3.006	Dec 27, 18	May 01, 19	32.44	32.13			0.31
	RIFO	3.380	Jan 29, 19	May 01, 19	36.47	36.20			0.27
	RIFO	3.297	Feb 26, 19	May 01, 19	35.57	35.41			0.16
	RIFO	3.606	Mar 27, 19	May 01, 19	38.91	38.94		-0.03	

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Realized gains and losses (continued)

Short-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount (\$)	Cost basis (\$)	Wash sale cost basis adjustment(\$)	Loss (\$)	Gain (\$)
	FIFO	4.089	Apr 26, 19	May 01, 19	44.12	44.12			
PUTNAM SHORT DURATION INCOME FUND Y	FIFO	3.393	May 31, 18	May 01, 19	34.13	34.13			
	FIFO	3.545	Jun 29, 18	May 01, 19	35.66	35.66			
	FIFO	3.471	Jul 31, 18	May 01, 19	34.92	34.92			
	FIFO	3.955	Aug 31, 18	May 01, 19	39.79	39.79			
	FIFO	3.159	Sep 28, 18	May 01, 19	31.78	31.78			
	FIFO	3.675	Oct 31, 18	May 01, 19	36.97	36.97			
	FIFO	3.945	Nov 30, 18	May 01, 19	39.69	39.65			0.04
	FIFO	0.148	Dec 27, 18	May 01, 19	1.49	1.48			0.01
	FIFO	0.148	Dec 27, 18	May 01, 19	1.48	1.48			
	FIFO	3.824	Dec 31, 18	May 01, 19	38.47	38.35			0.12
	FIFO	4.313	Jan 31, 19	May 01, 19	43.39	43.30			0.09
	FIFO	3.944	Feb 28, 19	May 01, 19	39.68	39.64			0.04
	FIFO	4.350	Mar 29, 19	May 01, 19	43.76	43.72			0.04
	FIFO	4.162	Apr 30, 19	May 01, 19	41.87	41.87			
<b>Total</b>					<b>\$1,562.68</b>	<b>\$1,553.05</b>		<b>-\$0.19</b>	<b>\$9.82</b>
<b>Net short-term capital gains and losses</b>									<b>\$9.63</b>

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 (\$)
DOUBLE LINE TOTAL RETURN FUND INSTL	FIFO	1,693.321	Mar 31, 17	May 01, 19	17,779.87	18,000.00		-220.13	
	FIFO	5.037	Apr 28, 17	May 01, 19	52.89	53.80		-0.91	
	FIFO	5.363	May 31, 17	May 01, 19	56.31	57.54		-1.23	
	FIFO	5.212	Jun 30, 17	May 01, 19	54.73	55.66		-0.93	
	FIFO	5.051	Jul 31, 17	May 01, 19	53.03	54.05		-1.02	
	FIFO	5.026	Aug 31, 17	May 01, 19	52.78	54.13		-1.35	
	FIFO	5.072	Sep 29, 17	May 01, 19	53.25	54.27		-1.02	

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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	5.183	Oct 31, 17	May 01, 19	54.42	55.30		-0.88	
	FIFO	5.150	Nov 30, 17	May 01, 19	54.08	54.74		-0.66	
	FIFO	4.938	Dec 29, 17	May 01, 19	51.85	52.49		-0.64	
	FIFO	5.147	Jan 31, 18	May 01, 19	54.04	54.09		-0.05	
	FIFO	5.152	Feb 28, 18	May 01, 19	54.10	53.84			0.26
	FIFO	5.482	Mar 29, 18	May 01, 19	57.56	57.45			0.11
	FIFO	5.041	Apr 30, 18	May 01, 19	52.93	52.43			0.50
JP MORGAN SHORT DURATION BOND FUND CLASS I	FIFO	1,462.782	Sep 23, 11	May 01, 19	15,783.42	16,105.23		-321.81	
	FIFO	6.824	Oct 03, 11	May 01, 19	73.63	74.93		-1.30	
	FIFO	6.827	Nov 01, 11	May 01, 19	73.66	75.03		-1.37	
	FIFO	6.392	Dec 01, 11	May 01, 19	68.97	70.13		-1.16	
	FIFO	6.470	Dec 16, 11	May 01, 19	69.81	70.92		-1.11	
	FIFO	3.601	Dec 16, 11	May 01, 19	38.86	39.47		-0.61	
	FIFO	6.884	Jan 03, 12	May 01, 19	74.28	75.38		-1.10	
	FIFO	5.952	Feb 01, 12	May 01, 19	64.22	65.42		-1.20	
	FIFO	5.501	Mar 01, 12	May 01, 19	59.36	60.46		-1.10	
	FIFO	5.977	Apr 02, 12	May 01, 19	64.49	65.57		-1.08	
	FIFO	5.514	May 01, 12	May 01, 19	59.49	60.60		-1.11	
	FIFO	5.524	Jun 01, 12	May 01, 19	59.61	60.66		-1.05	
	FIFO	5.070	Jul 02, 12	May 01, 19	54.70	55.67		-0.97	
	FIFO	5.526	Aug 01, 12	May 01, 19	59.63	60.79		-1.16	
	FIFO	5.062	Sep 04, 12	May 01, 19	54.62	55.79		-1.17	
	FIFO	4.146	Oct 01, 12	May 01, 19	44.73	45.69		-0.96	
	FIFO	5.076	Nov 01, 12	May 01, 19	54.77	55.89		-1.12	
	FIFO	4.157	Dec 03, 12	May 01, 19	44.86	45.77		-0.91	
	FIFO	0.934	Dec 14, 12	May 01, 19	10.07	10.28		-0.21	
	FIFO	0.314	Dec 14, 12	May 01, 19	3.39	3.46		-0.07	
	FIFO	6.022	Jan 02, 13	May 01, 19	64.98	66.19		-1.21	

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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 (\$)
	RIFO	4.178	Feb 01, 13	May 01, 19	45.08	45.88		-0.80	
	RIFO	4.181	Mar 01, 13	May 01, 19	45.11	45.91		-0.80	
	RIFO	4.650	Apr 01, 13	May 01, 19	50.18	51.06		-0.88	
	RIFO	3.723	May 01, 13	May 01, 19	40.17	40.88		-0.71	
	RIFO	3.739	Jun 03, 13	May 01, 19	40.34	40.91		-0.57	
	RIFO	3.755	Jul 01, 13	May 01, 19	40.52	40.94		-0.42	
	RIFO	3.755	Aug 01, 13	May 01, 19	40.52	40.97		-0.45	
	RIFO	3.294	Sep 03, 13	May 01, 19	35.54	35.88		-0.34	
	RIFO	3.290	Oct 01, 13	May 01, 19	35.50	35.90		-0.40	
	RIFO	4.229	Nov 01, 13	May 01, 19	45.63	46.19		-0.56	
	RIFO	3.759	Dec 02, 13	May 01, 19	40.56	41.09		-0.53	
	RIFO	3.646	Dec 13, 13	May 01, 19	39.34	39.78		-0.44	
	RIFO	0.376	Dec 13, 13	May 01, 19	4.05	4.11		-0.06	
	RIFO	6.612	Jan 02, 14	May 01, 19	71.35	72.01		-0.66	
	RIFO	3.304	Feb 03, 14	May 01, 19	35.65	36.05		-0.40	
	RIFO	3.307	Feb 28, 14	May 01, 19	35.68	36.08		-0.40	
	RIFO	2.841	Mar 31, 14	May 01, 19	30.66	30.94		-0.28	
	RIFO	2.367	Apr 30, 14	May 01, 19	25.54	25.80		-0.26	
	RIFO	1.889	May 30, 14	May 01, 19	20.38	20.65		-0.27	
	RIFO	3.786	Jun 30, 14	May 01, 19	40.85	41.31		-0.46	
	RIFO	4.746	Jul 31, 14	May 01, 19	51.21	51.68		-0.47	
	RIFO	3.796	Aug 29, 14	May 01, 19	40.96	41.38		-0.42	
	RIFO	3.803	Sep 30, 14	May 01, 19	41.03	41.41		-0.38	
	RIFO	4.277	Oct 31, 14	May 01, 19	46.15	46.62		-0.47	
	RIFO	3.326	Nov 28, 14	May 01, 19	35.89	36.29		-0.40	
	RIFO	0.091	Dec 12, 14	May 01, 19	0.98	0.99		-0.01	
	RIFO	2.974	Dec 12, 14	May 01, 19	32.09	32.42		-0.33	
	RIFO	5.736	Dec 30, 14	May 01, 19	61.89	62.29		-0.40	
	RIFO	3.814	Jan 29, 15	May 01, 19	41.15	41.57		-0.42	
	RIFO	3.343	Feb 25, 15	May 01, 19	36.07	36.41		-0.34	

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Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount (\$)	Cost basis (\$)	Wash sale cost basis adjustment(\$)	Loss (\$)	Gain (\$)
	FIFO	2.864	Mar 27, 15	May 01, 19	30.91	31.22		-0.31	
	FIFO	4.295	Apr 28, 15	May 01, 19	46.34	46.86		-0.52	
	FIFO	3.347	May 27, 15	May 01, 19	36.11	36.48		-0.37	
	FIFO	4.313	Jun 26, 15	May 01, 19	46.54	46.93		-0.39	
	FIFO	4.797	Jul 29, 15	May 01, 19	51.76	52.19		-0.43	
	FIFO	4.321	Aug 27, 15	May 01, 19	46.62	47.01		-0.39	
	FIFO	4.324	Sep 28, 15	May 01, 19	46.66	47.05		-0.39	
	FIFO	4.328	Oct 28, 15	May 01, 19	46.70	47.09		-0.39	
	FIFO	3.381	Nov 25, 15	May 01, 19	36.48	36.65		-0.17	
	FIFO	0.097	Dec 11, 15	May 01, 19	1.05	1.05			
	FIFO	4.089	Dec 11, 15	May 01, 19	44.12	44.33		-0.21	
	FIFO	3.884	Dec 29, 15	May 01, 19	41.91	41.95		-0.04	
	FIFO	2.908	Jan 27, 16	May 01, 19	31.37	31.49		-0.12	
	FIFO	3.388	Feb 25, 16	May 01, 19	36.56	36.76		-0.20	
	FIFO	3.867	Mar 29, 16	May 01, 19	41.72	42.03		-0.31	
	FIFO	4.353	Apr 27, 16	May 01, 19	46.97	47.32		-0.35	
	FIFO	3.873	May 26, 16	May 01, 19	41.79	42.10		-0.31	
	FIFO	3.375	Jun 28, 16	May 01, 19	36.42	36.86		-0.44	
	FIFO	3.864	Jul 27, 16	May 01, 19	41.69	42.16		-0.47	
	FIFO	3.386	Aug 29, 16	May 01, 19	36.54	36.91		-0.37	
	FIFO	2.418	Sep 28, 16	May 01, 19	26.09	26.38		-0.29	
	FIFO	4.352	Oct 27, 16	May 01, 19	46.96	47.35		-0.39	
	FIFO	3.889	Nov 28, 16	May 01, 19	41.96	42.12		-0.16	
	FIFO	1.939	Dec 14, 16	May 01, 19	20.92	20.92			
	FIFO	3.667	Dec 14, 16	May 01, 19	39.57	39.57			
	FIFO	4.395	Dec 28, 16	May 01, 19	47.42	47.47		-0.05	
	FIFO	4.102	Jan 27, 17	May 01, 19	44.26	44.38		-0.12	
	FIFO	4.536	Feb 24, 17	May 01, 19	48.94	49.17		-0.23	
	FIFO	5.852	Mar 29, 17	May 01, 19	63.15	63.32		-0.17	

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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 (\$)
	RIFO	1.887	Apr 26, 17	May 01, 19	20.36	20.44		-0.08	
	RIFO	1.630	May 26, 17	May 01, 19	17.58	17.67		-0.09	
	RIFO	1.808	Jun 28, 17	May 01, 19	19.51	19.58		-0.07	
	RIFO	1.624	Jul 27, 17	May 01, 19	17.53	17.60		-0.07	
	RIFO	1.864	Aug 29, 17	May 01, 19	20.11	20.22		-0.11	
	RIFO	1.887	Sep 27, 17	May 01, 19	20.36	20.42		-0.06	
	RIFO	2.115	Oct 27, 17	May 01, 19	22.82	22.86		-0.04	
	RIFO	1.962	Nov 28, 17	May 01, 19	21.17	21.17			
	RIFO	2.162	Dec 27, 17	May 01, 19	23.33	23.28			0.05
	RIFO	1.959	Jan 29, 18	May 01, 19	21.13	21.02			0.11
	RIFO	2.200	Feb 26, 18	May 01, 19	23.74	23.54			0.20
	RIFO	2.350	Mar 27, 18	May 01, 19	25.36	25.12			0.24
	RIFO	2.593	Apr 26, 18	May 01, 19	27.98	27.64			0.34
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PUTNAM SHORT DURATION INCOME FUND Y	RIFO	1,789.264	Mar 31, 17	May 01, 19	18,000.00	18,000.00			
	RIFO	1.591	Apr 28, 17	May 01, 19	16.00	16.01		-0.01	
	RIFO	1.830	May 31, 17	May 01, 19	18.41	18.41			
	RIFO	1.978	Jun 30, 17	May 01, 19	19.90	19.90			
	RIFO	1.878	Jul 31, 17	May 01, 19	18.89	18.91		-0.02	
	RIFO	2.038	Aug 31, 17	May 01, 19	20.51	20.52		-0.01	
	RIFO	2.115	Sep 29, 17	May 01, 19	21.27	21.30		-0.03	
	RIFO	2.073	Oct 31, 17	May 01, 19	20.86	20.88		-0.02	
	RIFO	2.101	Nov 30, 17	May 01, 19	21.13	21.16		-0.03	
	RIFO	0.198	Dec 27, 17	May 01, 19	2.00	1.99			0.01
	RIFO	0.198	Dec 27, 17	May 01, 19	1.99	1.99			
	RIFO	2.294	Dec 29, 17	May 01, 19	23.07	23.08		-0.01	
	RIFO	2.527	Jan 31, 18	May 01, 19	25.43	25.45		-0.02	

continued next page



Realized gains and losses (continued)

Long-term capital gains and losses (continued)

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount (\$)	Cost basis (\$)	Wash sale cost basis adjustment(\$)	Loss (\$)	Gain (\$)
	FIFO	2.441	Feb 28, 18	May 01, 19	24.55	24.56		-0.01	
	FIFO	3.063	Mar 29, 18	May 01, 19	30.82	30.81			0.01
	FIFO	3.027	Apr 30, 18	May 01, 19	30.45	30.45			
<b>Total</b>					<b>\$56,257.25</b>	<b>\$56,847.62</b>		<b>-\$592.20</b>	<b>\$1.83</b>
<b>Net long-term capital gains or losses</b>								<b>-\$590.37</b>	
<b>Net capital gains/losses:</b>								<b>-\$580.74</b>	



Your notes

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Page 14 of 14

End of statement for account number [REDACTED]

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## 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.
- 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.
- All statements shall be deemed complete and accurate if not objected to in writing within 60 days.
- 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 to bank deposit accounts at non-affiliated banks and affiliated banks and money market mutual funds (Money Funds). Deposit accounts at UBS Bank USA and non-affiliated banks participating in the UBS FDIC-insured Deposit Program are FDIC-insured in accordance with FDIC rules. For more information, please visit [www.fdic.gov](http://www.fdic.gov). Deposit accounts at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Bank deposits 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 deposits 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 customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at [www.sipc.org](http://www.sipc.org). 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 insurance. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2016. 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.

Neither the SIPC protection nor the supplemental protection apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services. For example certain (i) insurance products, including variable annuities, and (ii) shares of mutual funds registered in the name of the account holder on the books of the issuer or transfer agent;
  - Investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933;
  - Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts; and
  - Deposit accounts (except certificates of deposit) at UBS Bank USA, UBS AG U.S. branches and banks in the FDIC Insured Deposit Program.
- 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).

### 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, is not intended to reflect any strategy, product, recommendation, investment objective or risk profile associated with your accounts, and is not a promise or guarantee that wealth, or any financial results, can or will be achieved. All investments involve the risk of loss, including the risk of loss of the entire investment. 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 untraded 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 affiliated and non-affiliated banks, and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

### Lending information

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

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## Important information about your statement (continued)

### 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.
- **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 illiquid 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.
- In addition to commissions received from the purchase and sale of NextShares funds, we and/or our affiliate receive an asset-based revenue sharing payment from NextShares distributors, as well as funding for technology development, training and education.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.

- We receive compensation from UBS Bank USA, UBS AG Stamford Branch and non-affiliated banks through our cash sweep programs. This compensation may be a monthly per account fee or may be a percentage of average daily deposit balances.

### 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
- IRMA, 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. 201810

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UBS Financial Services Inc.  
Private Wealth Management  
299 Park Avenue  
26th Floor  
New York NY 10171-0002

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Retirement Account

Resource Management Account

June 2019

GHISLAINE MAXWELL IRA



**Account name:** GHISLAINE MAXWELL IRA

**Friendly account name:** Indiv. IRA

**Account type:** Individual Retirement Account

**Account number:** [REDACTED]

**Your Financial Advisor:**

SCOTT STACKMAN/LYLE CASRIEL

Phone: [REDACTED]

**Questions about your statement?**

Call your Financial Advisor or the RMA ResourceLine at 800-RMA-1000, account [REDACTED]

**Visit our website:**

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

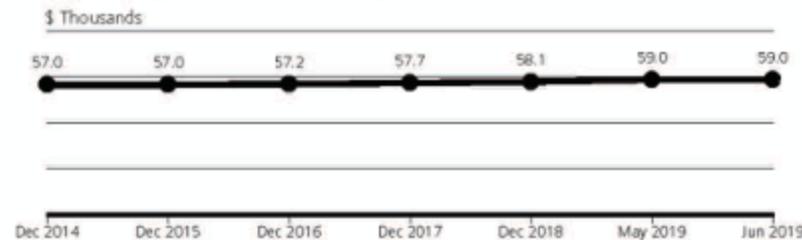
**Items for your attention**

► 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 May 31 (\$)	on June 28 (\$)
Your assets	58,967.22	58,981.66
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$58,967.22</b>	<b>\$58,981.66</b>

Tracking the value of your account



**Sources of your account growth during 2019**

Value of your account at year end 2018	\$58,125.23
Net deposits and withdrawals	-\$160.68
Your investment return:	
Dividend and interest income	\$669.91
Change in market value	\$347.20
<b>Value of your account on Jun 28, 2019</b>	<b>\$58,981.66</b>



## Your account balance sheet

### Summary of your assets

	Value on June 28 (\$)	Percentage of your account
<b>A</b> Cash and money balances	58,981.66	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>\$58,981.66</b>	<b>100.00%</b>

**Value of your account** **\$58,981.66**

### Your current asset allocation



► *Cash and money balances* may include available cash balances, UBS Bank USA deposit account, UBS FDIC Insured Deposit Program Bank accounts, 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 2019	Year to date
S&P 500	7.05%	18.54%
Russell 3000	7.02%	18.71%
MSCI - Europe, Australia & Far East	5.97%	14.49%
Barclays Capital U.S. Aggregate Bond Index	1.26%	6.11%

#### Interest rates on June 28, 2019

3-month Treasury bills: 2.06%  
One-month LIBOR: 2.40%



## Change in the value of your account

	June 2019 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$58,967.22</b>	<b>\$58,125.23</b>
Withdrawals and fees, including investments transferred out	0.00	-160.68
Dividend and interest income	14.44	669.91
Change in market value	0.00	347.20
<b>Closing account value</b>	<b>\$58,981.66</b>	<b>\$58,981.66</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 2019 (\$)	Year to date (\$)
Dividends	1.38	556.43
Interest	13.06	16.20
<b>Total current year</b>	<b>\$14.44</b>	<b>\$572.63</b>
Prior year adjustment	0.00	97.28
<b>Total dividend &amp; interest</b>	<b>\$14.44</b>	<b>\$669.91</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 2019 (\$)	Year to date (\$)	
Short term	0.00	9.63	0.00
Long term	0.00	-590.37	0.00
<b>Total</b>	<b>\$0.00</b>	<b>-\$580.74</b>	<b>\$0.00</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 to deposits at UBS Bank USA and all banks participating in the UBS FDIC Insured Deposit Program. It does not apply to deposits at UBS AG, Stamford Branch. 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 2019 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$58,967.22</b>	<b>\$1,304.58</b>
<i>Additions</i>		
Dividend and interest income	14.44	669.91
Proceeds from investment transactions	0.00	57,819.93
<b>Total additions</b>	<b>\$14.44</b>	<b>\$58,489.84</b>
<i>Subtractions</i>		
Professional management fees and related services	0.00	-160.68
Funds withdrawn for investments bought	0.00	-652.08
<b>Total subtractions</b>	<b>\$0.00</b>	<b>-\$812.76</b>
<b>Net cash flow</b>	<b>\$14.44</b>	<b>\$57,677.08</b>
<b>Closing balances</b>	<b>\$58,981.66</b>	<b>\$58,981.66</b>



## UBS Bank USA Deposit Account APY

Interest period May 7 - Jun 6

Opening UBS Bank USA Deposit balance May 7	\$58,910.42
Closing UBS Bank USA Deposit balance Jun 6	\$58,981.66
Number of days in interest period	31
Average daily balance	\$58,950.86
Interest earned	\$13.06
Annual percentage yield earned	0.26%

## Your investment objectives:

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

**Your return objective:**

Current income & capital appreciation

**Your risk profile:**

Primary - Moderate

Investment eligibility consideration - None selected

## Your account instructions

- UBS Financial Services Inc. is your IRA custodian.
- Your account cost basis default closing method is FIFO, First In, First Out.

## Retirement services information

### Beneficiaries you've named for this account

The beneficiaries listed below reflect the information in our records as of the end of this statement period. If this information is not correct, or you wish to change your beneficiaries, please contact your Financial Advisor. Beneficiary changes are not effective unless you give them to us in writing and we accept them. If you live in a community property state, your beneficiary designation may be subject to community property laws.

Percentage	Beneficiary	Contingent beneficiaries
100.00%	[REDACTED]	Katie Vaughan-Edwards (100.00%)



## 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 FDIC Insured Program Bank Balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

See the *important information about your statement* at the end of this document for details about those balances.

UBS Bank USA and all UBS FDIC Insured Program Bank 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.

Holding	Opening balance on Jun 1 (\$)	Closing balance on Jun 28 (\$)	Price per share on Jun 28 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	58,967.22	58,981.66					250,000.00

### Your total assets

		Value on Jun 28 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	58,981.66	100.00%	58,981.66		
<b>Total</b>		<b>\$58,981.66</b>	<b>100.00%</b>	<b>\$58,981.66</b>		

## Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Dividends</i>				
	Jun 3	Dividend	PUTNAM ULTRA SHORT DURATION INCOME FUND CLASS Y AS OF 05/31/19	1.38
			SYMBOL: PSDYX	
		<b>Total dividends</b>		<b>\$1.38</b>
<i>Interest</i>				
	Jun 7	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 06/06/19	13.06
		<b>Total interest</b>		<b>\$13.06</b>
		<b>Total dividend and interest income</b>		<b>\$14.44</b>



Account name: GHISLAINE MAXWELL IRA  
 Friendly account name: Indiv: IRA  
 Account type: Individual Retirement Account  
 Account number: [REDACTED]

Your Financial Advisor:  
SCOTT STACKMAN LYLE CASRIEL

Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>	<b>May 31</b>	<b>Balance forward</b>		<b>\$58,967.22</b>
	Jun 4	Deposit	UBS BANK USA DEPOSIT ACCOUNT	1.38
	Jun 7	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 06/06/19	13.06
	<b>Jun 28</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$58,981.66</b>

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

## 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.
- 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.
- All statements shall be deemed complete and accurate if not objected to in writing within 60 days.
- 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 to bank deposit accounts at non-affiliated banks and affiliated banks and money market mutual funds (Money Funds). Deposit accounts at UBS Bank USA and non-affiliated banks participating in the UBS FDIC-insured Deposit Program are FDIC-insured in accordance with FDIC rules. For more information, please visit [www.fdic.gov](http://www.fdic.gov). Deposit accounts at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Bank deposits 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 deposits 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 customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at [www.sipc.org](http://www.sipc.org). 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 insurance. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2016. 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.

Neither the SIPC protection nor the supplemental protection apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services. For example certain (i) insurance products, including variable annuities, and (ii) shares of mutual funds registered in the name of the account holder on the books of the issuer or transfer agent;
  - Investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933;
  - Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts; and
  - Deposit accounts (except certificates of deposit) at UBS Bank USA, UBS AG U.S. branches and banks in the FDIC Insured Deposit Program.
- 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).

### 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, is not intended to reflect any strategy, product, recommendation, investment objective or risk profile associated with your accounts, and is not a promise or guarantee that wealth, or any financial results, can or will be achieved. All investments involve the risk of loss, including the risk of loss of the entire investment. 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 affiliated and non-affiliated banks, and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

### Lending information

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

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## Important information about your statement (continued)

### 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.
- **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 illiquid 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.
- In addition to commissions received from the purchase and sale of NextShares funds, we and/or our affiliate receive an asset-based revenue sharing payment from NextShares distributors, as well as funding for technology development, training and education.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.

– We receive compensation from UBS Bank USA, UBS AG Stamford Branch and non-affiliated banks through our cash sweep programs. This compensation may be a monthly per account fee or may be a percentage of average daily deposit balances.

### 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
- IRMA, 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. 201810

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UBS Financial Services Inc.  
Private Wealth Management  
299 Park Avenue  
26th Floor  
New York NY 10171-0002

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Retirement Account

Resource Management Account

July 2019

GHISLAINE MAXWELL IRA



**Account name:** GHISLAINE MAXWELL IRA  
**Friendly account name:** Indiv. IRA  
**Account type:** Individual Retirement Account  
**Account number:** [REDACTED]

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

**Questions about your statement?**  
Call your Financial Advisor or the  
RMA ResourceLine at 800-RMA-1000,  
account [REDACTED]

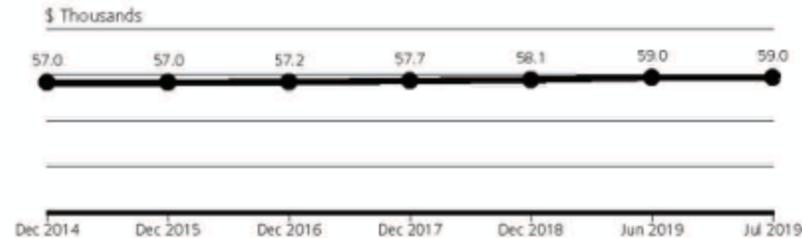
**Visit our website:**  
[www.ubs.com/financialservices](http://www.ubs.com/financialservices)

**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 June 28 (\$)	on July 31 (\$)
Your assets	58,981.66	58,994.06
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$58,981.66</b>	<b>\$58,994.06</b>

Tracking the value of your account



Sources of your account growth during 2019

Value of your account at year end 2018	\$58,125.23
Net deposits and withdrawals	-\$160.68
Your investment return:	
Dividend and interest income	\$682.31
Change in market value	\$347.20
<b>Value of your account on Jul 31, 2019</b>	<b>\$58,994.06</b>



## Your account balance sheet

### Summary of your assets

	Value on July 31 (\$)	Percentage of your account
<b>A</b> Cash and money balances	58,994.06	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>\$58,994.06</b>	<b>100.00%</b>

**Value of your account** **\$58,994.06**

### Your current asset allocation



► *Cash and money balances* may include available cash balances, UBS Bank USA deposit account, UBS FDIC Insured Deposit Program Bank accounts, 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 2019	Year to date
S&P 500	1.44%	20.24%
Russell 3000	1.49%	20.48%
MSCI - Europe, Australia & Far East	-1.26%	13.05%
Barclays Capital U.S. Aggregate Bond Index	0.22%	6.35%

#### Interest rates on July 31, 2019

3-month Treasury bills: 2.07%  
One-month LIBOR: 2.22%



Resource Management Account  
July 2019

Account name: GHISLAINE MAXWELL IRA  
Friendly account name: Indiv. IRA  
Account type: Individual Retirement Account  
Account number: [REDACTED]

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

## Change in the value of your account

	July 2019 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$58,981.66</b>	<b>\$58,125.23</b>
Withdrawals and fees, including investments transferred out	0.00	-160.68
Dividend and interest income	12.40	682.31
Change in market value	0.00	347.20
<b>Closing account value</b>	<b>\$58,994.06</b>	<b>\$58,994.06</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 2019 (\$)	Year to date (\$)
Dividends	0.00	556.43
Interest	12.40	28.60
<b>Total current year</b>	<b>\$12.40</b>	<b>\$585.03</b>
Prior year adjustment	0.00	97.28
<b>Total dividend &amp; interest</b>	<b>\$12.40</b>	<b>\$682.31</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 (\$)
	July 2019 (\$)	Year to date (\$)	
Short term	0.00	9.63	0.00
Long term	0.00	-590.37	0.00
<b>Total</b>	<b>\$0.00</b>	<b>-\$580.74</b>	<b>\$0.00</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 to deposits at UBS Bank USA and all banks participating in the UBS FDIC Insured Deposit Program. It does not apply to deposits at UBS AG, Stamford Branch. 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 2019 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$58,981.66</b>	<b>\$1,304.58</b>
<i>Additions</i>		
Dividend and interest income	12.40	682.31
Proceeds from investment transactions	0.00	57,819.93
<b>Total additions</b>	<b>\$12.40</b>	<b>\$58,502.24</b>
<i>Subtractions</i>		
Professional management fees and related services	0.00	-160.68
Funds withdrawn for investments bought	0.00	-652.08
<b>Total subtractions</b>	<b>\$0.00</b>	<b>-\$812.76</b>
<b>Net cash flow</b>	<b>\$12.40</b>	<b>\$57,689.48</b>
<b>Closing balances</b>	<b>\$58,994.06</b>	<b>\$58,994.06</b>



## UBS Bank USA Deposit Account APY

Interest period Jun 7 - Jul 7

Opening UBS Bank USA Deposit balance Jun 7	\$58,981.66
Closing UBS Bank USA Deposit balance Jul 7	\$58,994.06
Number of days in interest period	31
Average daily balance	\$58,981.66
Interest earned	\$12.40
Annual percentage yield earned	0.25%

### Your investment objectives:

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

**Your return objective:**

Current income & capital appreciation

**Your risk profile:**

Primary - Moderate

Investment eligibility consideration - None selected

### Your account instructions

- UBS Financial Services Inc. is your IRA custodian.
- Your account cost basis default closing method is FIFO, First In, First Out.



## 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 FDIC Insured Program Bank Balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA and all UBS FDIC Insured Program Bank deposit account balances are insured by the FDIC within applicable limits, but are not protected by SIPC. UBS AG Stamford Branch deposit account balances are not insured by FDIC and are not protected by SIPC. Money market sweep balances are protected by SIPC but are not insured by the FDIC.

See the *important information about your statement* at the end of this document for details about those balances.

Holding	Opening balance on Jul 1 (\$)	Closing balance on Jul 31 (\$)	Price per share on Jul 31 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	58,981.66	58,994.06					250,000.00

### Your total assets

		Value on Jul 31 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
<b>Cash</b>	<b>Cash and money balances</b>	<b>58,994.06</b>	<b>100.00%</b>	<b>58,994.06</b>		
<b>Total</b>		<b>\$58,994.06</b>	<b>100.00%</b>	<b>\$58,994.06</b>		

## Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Interest</i>	Jul 8	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 07/05/19	12.40
	<b>Total interest</b>			<b>\$12.40</b>
	<b>Total dividend and interest income</b>			<b>\$12.40</b>



Resource Management Account  
July 2019

Account name: GHISLAINE MAXWELL IRA  
 Friendly account name: Indiv. IRA  
 Account type: Individual Retirement Account  
 Account number: [REDACTED]

Your Financial Advisor:  
SCOTT STACKMAN LYLE CASRIEL

Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>	<b>Jun 28</b>	<b>Balance forward</b>		<b>\$58,981.66</b>
	Jul 8	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 07/05/19	12.40
	<b>Jul 31</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$58,994.06</b>

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

## 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.
- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1599 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.
- All statements shall be deemed complete and accurate if not objected to in writing within 60 days.
- 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 to bank deposit accounts at non-affiliated banks and affiliated banks and money market mutual funds (Money Funds). Deposit accounts at UBS Bank USA and non-affiliated banks participating in the UBS FDIC-insured Deposit Program are FDIC-insured in accordance with FDIC rules. For more information, please visit [www.fdic.gov](http://www.fdic.gov). Deposit accounts at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Bank deposits 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 deposits 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 customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at [www.sipc.org](http://www.sipc.org). 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 insurance. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2016. 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.

Neither the SIPC protection nor the supplemental protection apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services. For example certain (i) insurance products, including variable annuities, and (ii) shares of mutual funds registered in the name of the account holder on the books of the issuer or transfer agent;
  - Investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933;
  - Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts; and
  - Deposit accounts (except certificates of deposit) at UBS Bank USA, UBS AG U.S. branches and banks in the FDIC Insured Deposit Program.
- 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).

### 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, is not intended to reflect any strategy, product, recommendation, investment objective or risk profile associated with your accounts, and is not a promise or guarantee that wealth, or any financial results, can or will be achieved. All investments involve the risk of loss, including the risk of loss of the entire investment. 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 affiliated and non-affiliated banks, and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

### Lending information

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

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## Important information about your statement (continued)

### 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.
- **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 illiquid 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.
- In addition to commissions received from the purchase and sale of NextShares funds, we and/or our affiliate receive an asset-based revenue sharing payment from NextShares distributors, as well as funding for technology development, training and education.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.

– We receive compensation from UBS Bank USA, UBS AG Stamford Branch and non-affiliated banks through our cash sweep programs. This compensation may be a monthly per account fee or may be a percentage of average daily deposit balances.

### 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
- IRMA, 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. 201810

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UBS Financial Services Inc.  
Private Wealth Management  
299 Park Avenue  
26th Floor  
New York NY 10171-0002

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Retirement Account

# Resource Management Account

August 2019

GHISLAINE MAXWELL IRA



**Account name:** GHISLAINE MAXWELL IRA  
**Friendly account name:** Indiv. IRA  
**Account type:** Individual Retirement Account  
**Account number:** [REDACTED]

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

**Questions about your statement?**  
Call your Financial Advisor or the  
RMA ResourceLine at 800-RMA-1000,  
account [REDACTED]

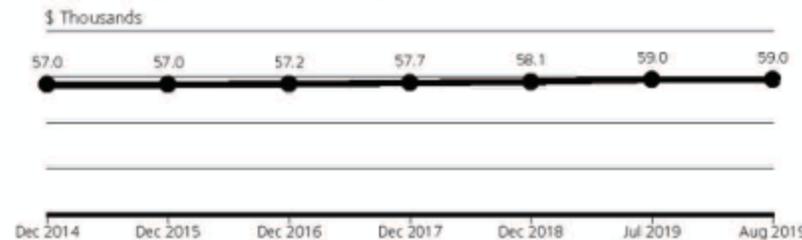
**Visit our website:**  
[www.ubs.com/financialservices](http://www.ubs.com/financialservices)

**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 July 31 (\$)	on August 30 (\$)
Your assets	58,994.06	59,004.99
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$58,994.06</b>	<b>\$59,004.99</b>

## Tracking the value of your account



### Sources of your account growth during 2019

Value of your account at year end 2018	\$58,125.23
Net deposits and withdrawals	-\$160.68
Your investment return:	
Dividend and interest income	\$693.24
Change in market value	\$347.20
<b>Value of your account on Aug 30, 2019</b>	<b>\$59,004.99</b>



## Your account balance sheet

### Summary of your assets

	Value on August 30 (\$)	Percentage of your account
<b>A</b> Cash and money balances	59,004.99	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>\$59,004.99</b>	<b>100.00%</b>

**Value of your account** **\$59,004.99**

### Your current asset allocation



► *Cash and money balances* may include available cash balances, UBS Bank USA deposit accounts, UBS FDIC Insured Deposit Program Bank accounts, 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 2019	Year to date
S&P 500	-1.61%	18.31%
Russell 3000	-2.04%	18.02%
MSCI - Europe, Australia & Far East	-2.58%	10.14%
Barclays Capital U.S. Aggregate Bond Index	2.59%	9.10%

#### Interest rates on August 30, 2019

3-month Treasury bills: 1.91%  
One-month LIBOR: 2.09%



## Change in the value of your account

	August 2019 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$58,994.06</b>	<b>\$58,125.23</b>
Withdrawals and fees, including investments transferred out	0.00	-160.68
Dividend and interest income	10.93	693.24
Change in market value	0.00	347.20
<b>Closing account value</b>	<b>\$59,004.99</b>	<b>\$59,004.99</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 2019 (\$)	Year to date (\$)
Dividends	0.00	556.43
Interest	10.93	39.53
<b>Total current year</b>	<b>\$10.93</b>	<b>\$595.96</b>
Prior year adjustment	0.00	97.28
<b>Total dividend &amp; interest</b>	<b>\$10.93</b>	<b>\$693.24</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 2019 (\$)	Year to date (\$)	
Short term	0.00	9.63	0.00
Long term	0.00	-590.37	0.00
<b>Total</b>	<b>\$0.00</b>	<b>-\$580.74</b>	<b>\$0.00</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 to deposits at UBS Bank USA and all banks participating in the UBS FDIC Insured Deposit Program. It does not apply to deposits at UBS AG, Stamford Branch. 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 2019 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$58,994.06</b>	<b>\$1,304.58</b>
<i>Additions</i>		
Dividend and interest income	10.93	693.24
Proceeds from investment transactions	0.00	57,819.93
<b>Total additions</b>	<b>\$10.93</b>	<b>\$58,513.17</b>
<i>Subtractions</i>		
Professional management fees and related services	0.00	-160.68
Funds withdrawn for investments bought	0.00	-652.08
<b>Total subtractions</b>	<b>\$0.00</b>	<b>-\$812.76</b>
<b>Net cash flow</b>	<b>\$10.93</b>	<b>\$57,700.41</b>
<b>Closing balances</b>	<b>\$59,004.99</b>	<b>\$59,004.99</b>



## UBS Bank USA Deposit Account APY

Interest period Jul 8 - Aug 6

Opening UBS Bank USA Deposit balance Jul 8	\$58,994.06
Closing UBS Bank USA Deposit balance Aug 6	\$59,004.99
Number of days in interest period	30
Average daily balance	\$58,994.06
Interest earned	\$10.93
Annual percentage yield earned	0.23%

### Your investment objectives:

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

**Your return objective:**

Current income & capital appreciation

**Your risk profile:**

Primary - Moderate

Investment eligibility consideration - None selected

### Your account instructions

- UBS Financial Services Inc. is your IRA custodian.
- Your account cost basis default closing method is FIFO, First In, First Out.



## 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 FDIC Insured Program Bank Balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA and all UBS FDIC Insured Program Bank 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 30 (\$)	Price per share on Aug 30 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	58,994.06	59,004.99					250,000.00

### Your total assets

		Value on Aug 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
<b>Cash</b>	<b>Cash and money balances</b>	<b>59,004.99</b>	<b>100.00%</b>	<b>59,004.99</b>		
<b>Total</b>		<b>\$59,004.99</b>	<b>100.00%</b>	<b>\$59,004.99</b>		

## Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Interest</i>	Aug 7	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 08/06/19	10.93
	<b>Total interest</b>			<b>\$10.93</b>
	<b>Total dividend and interest income</b>			<b>\$10.93</b>



Resource Management Account  
August 2019

Account name: GHISLAINE MAXWELL IRA  
Friendly account name: Indiv. IRA  
Account type: Individual Retirement Account  
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 31</b>	<b>Balance forward</b>		<b>\$58,994.06</b>
	Aug 7	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 08/06/19	10.93
	<b>Aug 30</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$59,004.99</b>

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

## 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.
- 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.
- All statements shall be deemed complete and accurate if not objected to in writing within 60 days.
- 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 to bank deposit accounts at non-affiliated banks and affiliated banks and money market mutual funds (Money Funds). Deposit accounts at UBS Bank USA and non-affiliated banks participating in the UBS FDIC-insured Deposit Program are FDIC-insured in accordance with FDIC rules. For more information, please visit [www.fdic.gov](http://www.fdic.gov). Deposit accounts at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Bank deposits 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 deposits 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 customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at [www.sipc.org](http://www.sipc.org). 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 insurance. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2016. 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.

Neither the SIPC protection nor the supplemental protection apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services. For example certain (i) insurance products, including variable annuities, and (ii) shares of mutual funds registered in the name of the account holder on the books of the issuer or transfer agent;
  - Investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933;
  - Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts; and
  - Deposit accounts (except certificates of deposit) at UBS Bank USA, UBS AG U.S. branches and banks in the FDIC Insured Deposit Program.
- 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).

### 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, is not intended to reflect any strategy, product, recommendation, investment objective or risk profile associated with your accounts, and is not a promise or guarantee that wealth, or any financial results, can or will be achieved. All investments involve the risk of loss, including the risk of loss of the entire investment. 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 affiliated and non-affiliated banks, and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

### Lending information

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

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## Important information about your statement (continued)

### 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.
- **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 illiquid 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.
- In addition to commissions received from the purchase and sale of NextShares funds, we and/or our affiliate receive an asset-based revenue sharing payment from NextShares distributors, as well as funding for technology development, training and education.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.

- We receive compensation from UBS Bank USA, UBS AG Stamford Branch and non-affiliated banks through our cash sweep programs. This compensation may be a monthly per account fee or may be a percentage of average daily deposit balances.

### 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
- IRMA, 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. 201810

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UBS Financial Services Inc.  
Private Wealth Management  
299 Park Avenue  
26th Floor  
New York NY 10171-0002

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Retirement Account

Resource Management Account

September 2019

GHISLAINE MAXWELL IRA



**Account name:** GHISLAINE MAXWELL IRA  
**Friendly account name:** Indiv. IRA  
**Account type:** Individual Retirement Account  
**Account number:** [REDACTED]

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

**Questions about your statement?**  
Call your Financial Advisor or the  
RMA ResourceLine at 800-RMA-1000,  
account [REDACTED]

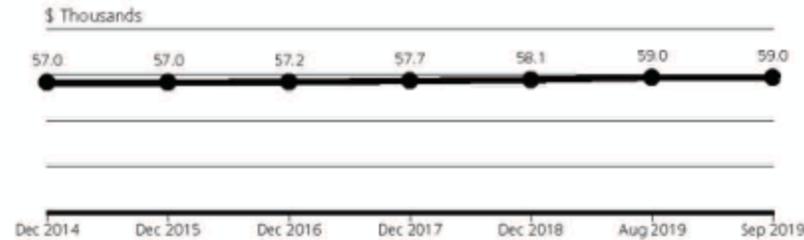
**Visit our website:**  
[www.ubs.com/financialservices](http://www.ubs.com/financialservices)

**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 August 30 (\$)	on September 30 (\$)
Your assets	59,004.99	59,015.55
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$59,004.99</b>	<b>\$59,015.55</b>

Tracking the value of your account



Sources of your account growth during 2019

Value of your account at year end 2018	\$58,125.23
Net deposits and withdrawals	-\$160.68
Your investment return:	
Dividend and interest income	\$703.80
Change in market value	\$347.20
<b>Value of your account on Sep 30, 2019</b>	<b>\$59,015.55</b>



## Your account balance sheet

### Summary of your assets

	Value on September 30 (\$)	Percentage of your account
<b>A</b> Cash and money balances	59,015.55	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>\$59,015.55</b>	<b>100.00%</b>

**Value of your account** **\$59,015.55**

### Your current asset allocation



► *Cash and money balances* may include available cash balances, UBS Bank USA deposit account, UBS FDIC Insured Deposit Program Bank accounts, UBS A/G 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 2019	Year to date
S&P 500	1.87%	20.55%
Russell 3000	1.76%	20.09%
MSCI - Europe, Australia & Far East	2.92%	13.35%
Barclays Capital U.S. Aggregate Bond Index	-0.53%	8.52%

#### Interest rates on September 30, 2019

3-month Treasury bills: 1.84%  
One-month LIBOR: 2.02%



Resource Management Account  
September 2019

Account name: GHISLAINE MAXWELL IRA  
Friendly account name: Indiv. IRA  
Account type: Individual Retirement Account  
Account number: [REDACTED]

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

## Change in the value of your account

	September 2019 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$59,004.99</b>	<b>\$58,125.23</b>
Withdrawals and fees, including investments transferred out	0.00	-160.68
Dividend and interest income	10.56	703.80
Change in market value	0.00	347.20
<b>Closing account value</b>	<b>\$59,015.55</b>	<b>\$59,015.55</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 2019 (\$)	Year to date (\$)
Dividends	0.00	556.43
Interest	10.56	50.09
<b>Total current year</b>	<b>\$10.56</b>	<b>\$606.52</b>
Prior year adjustment	0.00	97.28
<b>Total dividend &amp; interest</b>	<b>\$10.56</b>	<b>\$703.80</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 2019 (\$)	Year to date (\$)	
Short term	0.00	9.63	0.00
Long term	0.00	-590.37	0.00
<b>Total</b>	<b>\$0.00</b>	<b>-\$580.74</b>	<b>\$0.00</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 to deposits at UBS Bank USA and all banks participating in the UBS FDIC Insured Deposit Program. It does not apply to deposits at UBS AG, Stamford Branch. 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 2019 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$59,004.99</b>	<b>\$1,304.58</b>
<i>Additions</i>		
Dividend and interest income	10.56	703.80
Proceeds from investment transactions	0.00	57,819.93
<b>Total additions</b>	<b>\$10.56</b>	<b>\$58,523.73</b>
<i>Subtractions</i>		
Professional management fees and related services	0.00	-160.68
Funds withdrawn for investments bought	0.00	-652.08
<b>Total subtractions</b>	<b>\$0.00</b>	<b>-\$812.76</b>
<b>Net cash flow</b>	<b>\$10.56</b>	<b>\$57,710.97</b>
<b>Closing balances</b>	<b>\$59,015.55</b>	<b>\$59,015.55</b>



## UBS Bank USA Deposit Account APY

Interest period Aug 7 - Sep 8

Opening UBS Bank USA Deposit balance Aug 7	\$59,004.99
Closing UBS Bank USA Deposit balance Sep 8	\$59,015.55
Number of days in interest period	33
Average daily balance	\$59,004.99
Interest earned	\$10.56
Annual percentage yield earned	0.20%

## Your investment objectives:

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

**Your return objective:**

Current income & capital appreciation

**Your risk profile:**

Primary - Moderate

Investment eligibility consideration - None selected

## Your account instructions

- UBS Financial Services Inc. is your IRA custodian.
- Your account cost basis default closing method is FIFO, First In, First Out.

## Retirement services information

### Beneficiaries you've named for this account

The beneficiaries listed below reflect the information in our records as of the end of this statement period. If this information is not correct, or you wish to change your beneficiaries, please contact your Financial Advisor. Beneficiary changes are not effective unless you give them to us in writing and we accept them. If you live in a community property state, your beneficiary designation may be subject to community property laws.

Percentage	Beneficiary	Contingent beneficiaries
100.00%	[REDACTED]	Katie Vaughan-Edwards (100.00%)



## 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 FDIC Insured Program Bank Balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA and all UBS FDIC Insured Program Bank 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	59,004.99	59,015.55					250,000.00

### Your total assets

		Value on Sep 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	59,015.55	100.00%	59,015.55		
Total		\$59,015.55	100.00%	\$59,015.55		

## Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
Interest	Sep 9	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 09/06/19	10.56
		<b>Total interest</b>		<b>\$10.56</b>
		<b>Total dividend and interest income</b>		<b>\$10.56</b>



Resource Management Account  
September 2019

Account name: GHISLAINE MAXWELL IRA  
Friendly account name: Indiv. IRA  
Account type: Individual Retirement Account  
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>Aug 30</b>	<b>Balance forward</b>		<b>\$59,004.99</b>
	Sep 9	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 09/06/19	10.56
	<b>Sep 30</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$59,015.55</b>

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

## 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.
- 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.
- All statements shall be deemed complete and accurate if not objected to in writing within 60 days.
- 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 to bank deposit accounts at non-affiliated banks and affiliated banks and money market mutual funds (Money Funds). Deposit accounts at UBS Bank USA and non-affiliated banks participating in the UBS FDIC-insured Deposit Program are FDIC-insured in accordance with FDIC rules. For more information, please visit [www.fdic.gov](http://www.fdic.gov). Deposit accounts at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Bank deposits 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 deposits 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 customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at [www.sipc.org](http://www.sipc.org). 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 insurance. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2016. 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.

Neither the SIPC protection nor the supplemental protection apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services. For example certain (i) insurance products, including variable annuities, and (ii) shares of mutual funds registered in the name of the account holder on the books of the issuer or transfer agent;
  - Investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933;
  - Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts; and
  - Deposit accounts (except certificates of deposit) at UBS Bank USA, UBS AG U.S. branches and banks in the FDIC Insured Deposit Program.
- 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).

### 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, is not intended to reflect any strategy, product, recommendation, investment objective or risk profile associated with your accounts, and is not a promise or guarantee that wealth, or any financial results, can or will be achieved. All investments involve the risk of loss, including the risk of loss of the entire investment. 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 affiliated and non-affiliated banks, and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

### Lending information

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

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## Important information about your statement (continued)

### 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.
- **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 illiquid 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.
- In addition to commissions received from the purchase and sale of NextShares funds, we and/or our affiliate receive an asset-based revenue sharing payment from NextShares distributors, as well as funding for technology development, training and education.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.

– We receive compensation from UBS Bank USA, UBS AG Stamford Branch and non-affiliated banks through our cash sweep programs. This compensation may be a monthly per account fee or may be a percentage of average daily deposit balances.

### 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
- IRMA, 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. 201810

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UBS Financial Services Inc.  
Private Wealth Management  
299 Park Avenue  
26th Floor  
New York NY 10171-0002

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Retirement Account  
**Resource Management Account**  
October 2019

GHISLAINE MAXWELL IRA



**Account name:** GHISLAINE MAXWELL IRA  
**Friendly account name:** Indiv. IRA  
**Account type:** Individual Retirement Account  
**Account number:** [REDACTED]

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

**Questions about your statement?**  
Call your Financial Advisor or the  
RMA ResourceLine at 800-RMA-1000,  
account [REDACTED]

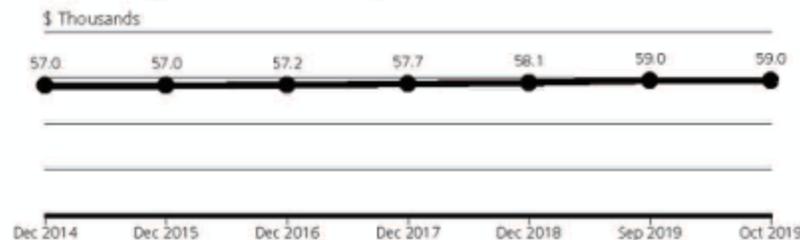
**Visit our website:**  
[www.ubs.com/financialservices](http://www.ubs.com/financialservices)

**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 September 30 (\$)	on October 31 (\$)
Your assets	59,015.55	59,022.27
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$59,015.55</b>	<b>\$59,022.27</b>

### Tracking the value of your account



### Sources of your account growth during 2019

Value of your account at year end 2018	\$58,125.23
Net deposits and withdrawals	-\$160.68
Your investment return:	
Dividend and interest income	\$710.52
Change in market value	\$347.20
<b>Value of your account on Oct 31, 2019</b>	<b>\$59,022.27</b>



## Your account balance sheet

### Summary of your assets

	Value on October 31 (\$)	Percentage of your account
<b>A</b> Cash and money balances	59,022.27	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>\$59,022.27</b>	<b>100.00%</b>

**Value of your account** **\$59,022.27**

### Your current asset allocation



► *Cash and money balances* may include available cash balances, UBS Bank USA deposit account, UBS FDIC Insured Deposit Program Bank accounts, 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 2019	Year to date
S&P 500	2.17%	23.16%
Russell 3000	2.15%	22.68%
MSCI - Europe, Australia & Far East	3.60%	17.43%
Barclays Capital U.S. Aggregate Bond Index	0.30%	8.85%

### Interest rates on October 31, 2019

3-month Treasury bills: 1.55%  
One-month LIBOR: 1.78%



## Change in the value of your account

	October 2019 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$59,015.55</b>	<b>\$58,125.23</b>
Withdrawals and fees, including investments transferred out	0.00	-160.68
Dividend and interest income	6.72	710.52
Change in market value	0.00	347.20
<b>Closing account value</b>	<b>\$59,022.27</b>	<b>\$59,022.27</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 2019 (\$)	Year to date (\$)
Dividends	0.00	556.43
Interest	6.72	56.81
<b>Total current year</b>	<b>\$6.72</b>	<b>\$613.24</b>
Prior year adjustment	0.00	97.28
<b>Total dividend &amp; interest</b>	<b>\$6.72</b>	<b>\$710.52</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 2019 (\$)	Year to date (\$)	
Short term	0.00	9.63	0.00
Long term	0.00	-590.37	0.00
<b>Total</b>	<b>\$0.00</b>	<b>-\$580.74</b>	<b>\$0.00</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 to deposits at UBS Bank USA and all banks participating in the UBS FDIC Insured Deposit Program. It does not apply to deposits at UBS AG, Stamford Branch. 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 2019 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$59,015.55</b>	<b>\$1,304.58</b>
<i>Additions</i>		
Dividend and interest income	6.72	710.52
Proceeds from investment transactions	0.00	57,819.93
<b>Total additions</b>	<b>\$6.72</b>	<b>\$58,530.45</b>
<i>Subtractions</i>		
Professional management fees and related services	0.00	-160.68
Funds withdrawn for investments bought	0.00	-652.08
<b>Total subtractions</b>	<b>\$0.00</b>	<b>-\$812.76</b>
<b>Net cash flow</b>	<b>\$6.72</b>	<b>\$57,717.69</b>
<b>Closing balances</b>	<b>\$59,022.27</b>	<b>\$59,022.27</b>



## UBS Bank USA Deposit Account APY

Interest period Sep 9 - Oct 6

Opening UBS Bank USA Deposit balance Sep 9	\$59,015.55
Closing UBS Bank USA Deposit balance Oct 6	\$59,022.27
Number of days in interest period	28
Average daily balance	\$59,015.55
Interest earned	\$6.72
Annual percentage yield earned	0.15%

### Your investment objectives:

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

**Your return objective:**

Current income & capital appreciation

**Your risk profile:**

Primary - Moderate

Investment eligibility consideration - None selected

### Your account instructions

- UBS Financial Services Inc. is your IRA custodian.
- Your account cost basis default closing method is FIFO, First In, First Out.



## 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 FDIC Insured Program Bank Balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA and all UBS FDIC Insured Program Bank 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	59,015.55	59,022.27					250,000.00

### Your total assets

		Value on Oct 31 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
Cash	Cash and money balances	59,022.27	100.00%	59,022.27		
Total		\$59,022.27	100.00%	\$59,022.27		

## Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
Interest	Oct 7	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 10/04/19	6.72
		<b>Total interest</b>		<b>\$6.72</b>
		<b>Total dividend and interest income</b>		<b>\$6.72</b>



Account name: GHISLAINE MAXWELL IRA  
 Friendly account name: Indiv: IRA  
 Account type: Individual Retirement Account  
 Account number: [REDACTED]

Your Financial Advisor:  
SCOTT STACKMAN LYLE CASRIEL

Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>	<b>Sep 30</b>	<b>Balance forward</b>		<b>\$59,015.55</b>
	Oct 7	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 10/04/19	6.72
	<b>Oct 31</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$59,022.27</b>

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

## 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.
- 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.
- All statements shall be deemed complete and accurate if not objected to in writing within 60 days.
- 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 to bank deposit accounts at non-affiliated banks and affiliated banks and money market mutual funds (Money Funds). Deposit accounts at UBS Bank USA and non-affiliated banks participating in the UBS FDIC-insured Deposit Program are FDIC-insured in accordance with FDIC rules. For more information, please visit [www.fdic.gov](http://www.fdic.gov). Deposit accounts at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Bank deposits 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 deposits 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 customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at [www.sipc.org](http://www.sipc.org). 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 insurance. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2016. 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.

Neither the SIPC protection nor the supplemental protection apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services. For example certain (i) insurance products, including variable annuities, and (ii) shares of mutual funds registered in the name of the account holder on the books of the issuer or transfer agent;
  - Investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933;
  - Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts; and
  - Deposit accounts (except certificates of deposit) at UBS Bank USA, UBS AG U.S. branches and banks in the FDIC Insured Deposit Program.
- 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).

### 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, is not intended to reflect any strategy, product, recommendation, investment objective or risk profile associated with your accounts, and is not a promise or guarantee that wealth, or any financial results, can or will be achieved. All investments involve the risk of loss, including the risk of loss of the entire investment. 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 untraded 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 affiliated and non-affiliated banks, and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

### Lending information

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

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## Important information about your statement (continued)

### 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.
- **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 illiquid 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.
- In addition to commissions received from the purchase and sale of NextShares funds, we and/or our affiliate receive an asset-based revenue sharing payment from NextShares distributors, as well as funding for technology development, training and education.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.

– We receive compensation from UBS Bank USA, UBS AG Stamford Branch and non-affiliated banks through our cash sweep programs. This compensation may be a monthly per account fee or may be a percentage of average daily deposit balances.

### 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
- IRMA, 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. 201810

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UBS Financial Services Inc.  
Private Wealth Management  
299 Park Avenue  
26th Floor  
New York NY 10171-0002

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Retirement Account

Resource Management Account

November 2019

GHISLAINE MAXWELL IRA



**Account name:** GHISLAINE MAXWELL IRA  
**Friendly account name:** Indiv. IRA  
**Account type:** Individual Retirement Account  
**Account number:** [REDACTED]

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

**Questions about your statement?**  
Call your Financial Advisor or the  
RMA ResourceLine at 800-RMA-1000,  
account [REDACTED]

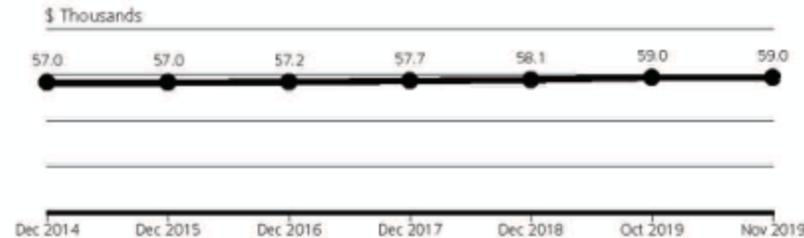
**Visit our website:**  
[www.ubs.com/financialservices](http://www.ubs.com/financialservices)

**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 October 31 (\$)	on November 29 (\$)
Your assets	59,022.27	59,027.76
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$59,022.27</b>	<b>\$59,027.76</b>

Tracking the value of your account



Sources of your account growth during 2019

Value of your account at year end 2018	\$58,125.23
Net deposits and withdrawals	-\$160.68
Your investment return:	
Dividend and interest income	\$716.01
Change in market value	\$347.20
<b>Value of your account on Nov 29, 2019</b>	<b>\$59,027.76</b>



## Your account balance sheet

### Summary of your assets

	Value on November 29 (\$)	Percentage of your account
<b>A</b> Cash and money balances	59,027.76	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>\$59,027.76</b>	<b>100.00%</b>

**Value of your account** **\$59,027.76**

### Your current asset allocation



► *Cash and money balances* may include available cash balances, UBS Bank USA deposit account, UBS FDIC Insured Deposit Program Bank accounts, 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 2019	Year to date
S&P 500	3.63%	27.63%
Russell 3000	3.80%	27.34%
MSCI - Europe, Australia & Far East	1.14%	18.78%
Barclays Capital U.S. Aggregate Bond Index	-0.05%	8.79%

### Interest rates on November 29, 2019

3-month Treasury bills: 1.54%  
One-month LIBOR: 1.70%



Resource Management Account  
November 2019

Account name: GHISLAINE MAXWELL IRA  
Friendly account name: Indiv. IRA  
Account type: Individual Retirement Account  
Account number: [REDACTED]

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

## Change in the value of your account

	November 2019 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$59,022.27</b>	<b>\$58,125.23</b>
Withdrawals and fees, including investments transferred out	0.00	-160.68
Dividend and interest income	5.49	716.01
Change in market value	0.00	347.20
<b>Closing account value</b>	<b>\$59,027.76</b>	<b>\$59,027.76</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 2019 (\$)	Year to date (\$)
Dividends	0.00	556.43
Interest	5.49	62.30
<b>Total current year</b>	<b>\$5.49</b>	<b>\$618.73</b>
Prior year adjustment	0.00	97.28
<b>Total dividend &amp; interest</b>	<b>\$5.49</b>	<b>\$716.01</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 2019 (\$)	Year to date (\$)	
Short term	0.00	9.63	0.00
Long term	0.00	-590.37	0.00
<b>Total</b>	<b>\$0.00</b>	<b>-\$580.74</b>	<b>\$0.00</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 to deposits at UBS Bank USA and all banks participating in the UBS FDIC Insured Deposit Program. It does not apply to deposits at UBS AG, Stamford Branch. 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 2019 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$59,022.27</b>	<b>\$1,304.58</b>
<i>Additions</i>		
Dividend and interest income	5.49	716.01
Proceeds from investment transactions	0.00	57,819.93
<b>Total additions</b>	<b>\$5.49</b>	<b>\$58,535.94</b>
<i>Subtractions</i>		
Professional management fees and related services	0.00	-160.68
Funds withdrawn for investments bought	0.00	-652.08
<b>Total subtractions</b>	<b>\$0.00</b>	<b>-\$812.76</b>
<b>Net cash flow</b>	<b>\$5.49</b>	<b>\$57,723.18</b>
<b>Closing balances</b>	<b>\$59,027.76</b>	<b>\$59,027.76</b>



## UBS Bank USA Deposit Account APY

Interest period Oct 7 - Nov 6

Opening UBS Bank USA Deposit balance Oct 7	\$59,022.27
Closing UBS Bank USA Deposit balance Nov 6	\$59,027.76
Number of days in interest period	31
Average daily balance	\$59,022.27
Interest earned	\$5.49
Annual percentage yield earned	0.11%

### Your investment objectives:

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

**Your return objective:**

Current income & capital appreciation

**Your risk profile:**

Primary - Moderate

Investment eligibility consideration - None selected

### Your account instructions

- UBS Financial Services Inc. is your IRA custodian.
- Your account cost basis default closing method is FIFO, First In, First Out.



## 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 FDIC Insured Program Bank Balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA and all UBS FDIC Insured Program Bank 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 29 (\$)	Price per share on Nov 29 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
UBS BANK USA DEP ACCT	59,022.27	59,027.76					250,000.00

### Your total assets

		Value on Nov 29 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
<b>Cash</b>	<b>Cash and money balances</b>	<b>59,027.76</b>	<b>100.00%</b>	<b>59,027.76</b>		
<b>Total</b>		<b>\$59,027.76</b>	<b>100.00%</b>	<b>\$59,027.76</b>		

## Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Interest</i>	Nov 7	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 11/06/19	5.49
	<b>Total interest</b>			<b>\$5.49</b>
	<b>Total dividend and interest income</b>			<b>\$5.49</b>



Resource Management Account  
November 2019

Account name: GHISLAINE MAXWELL IRA  
 Friendly account name: Indiv. IRA  
 Account type: Individual Retirement Account  
 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>Oct 31</b>	<b>Balance forward</b>		<b>\$59,022.27</b>
	Nov 7	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 11/06/19	5.49
	<b>Nov 29</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$59,027.76</b>

## 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.
- Please direct customer complaints or inquiries to the Firm's Client Relations Department at 201-352-1599 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.
- All statements shall be deemed complete and accurate if not objected to in writing within 60 days.
- 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 to bank deposit accounts at non-affiliated banks and affiliated banks and money market mutual funds (Money Funds). Deposit accounts at UBS Bank USA and non-affiliated banks participating in the UBS FDIC-insured Deposit Program are FDIC-insured in accordance with FDIC rules. For more information, please visit [www.fdic.gov](http://www.fdic.gov). Deposit accounts at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Bank deposits 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 deposits 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 customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at [www.sipc.org](http://www.sipc.org). 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 insurance. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2016. 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.

Neither the SIPC protection nor the supplemental protection apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services. For example certain (i) insurance products, including variable annuities, and (ii) shares of mutual funds registered in the name of the account holder on the books of the issuer or transfer agent;
  - Investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933;
  - Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts; and
  - Deposit accounts (except certificates of deposit) at UBS Bank USA, UBS AG U.S. branches and banks in the FDIC Insured Deposit Program.
- 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).

### 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, is not intended to reflect any strategy, product, recommendation, investment objective or risk profile associated with your accounts, and is not a promise or guarantee that wealth, or any financial results, can or will be achieved. All investments involve the risk of loss, including the risk of loss of the entire investment. 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 affiliated and non-affiliated banks, and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

### Lending information

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

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## Important information about your statement (continued)

### 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.
- **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 illiquid 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.
- In addition to commissions received from the purchase and sale of NextShares funds, we and/or our affiliate receive an asset-based revenue sharing payment from NextShares distributors, as well as funding for technology development, training and education.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.

- We receive compensation from UBS Bank USA, UBS AG Stamford Branch and non-affiliated banks through our cash sweep programs. This compensation may be a monthly per account fee or may be a percentage of average daily deposit balances.

### 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
- IRMA, 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.

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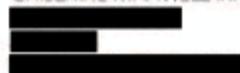


UBS Financial Services Inc.  
Private Wealth Management  
299 Park Avenue  
26th Floor  
New York NY 10171-0002

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Retirement Account  
**Resource Management Account**  
December 2019

GHISLAINE MAXWELL IRA



**Account name:** GHISLAINE MAXWELL IRA  
**Friendly account name:** Indiv. IRA  
**Account type:** Individual Retirement Account  
**Account number:** [REDACTED]

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

**Questions about your statement?**  
Call your Financial Advisor or the  
RMA ResourceLine at 800-RMA-1000,  
account [REDACTED]

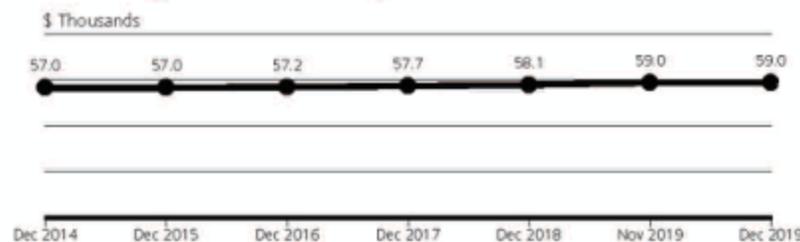
**Visit our website:**  
[www.ubs.com/financialservices](http://www.ubs.com/financialservices)

**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 29 (\$)	on December 31 (\$)
Your assets	59,027.76	59,030.64
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$59,027.76</b>	<b>\$59,030.64</b>

### Tracking the value of your account



### Sources of your account growth during 2019

Value of your account at year end 2018	\$58,125.23
Net deposits and withdrawals	-\$160.68
Your investment return:	
Dividend and interest income	\$718.89
Change in market value	\$347.20
<b>Value of your account on Dec 31, 2019</b>	<b>\$59,030.64</b>



## Your account balance sheet

### Summary of your assets

	Value on December 31 (\$)	Percentage of your account
<b>A</b> Cash and money balances	59,030.64	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>\$59,030.64</b>	<b>100.00%</b>

**Value of your account** **\$59,030.64**

### Your current asset allocation



► *Cash and money balances* may include available cash balances, UBS Bank USA deposit accounts, UBS FDIC Insured Deposit Program Bank accounts, UBS A/G 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 2019	Year to date
S&P 500	3.02%	31.49%
Russell 3000	2.89%	31.02%
MSCI - Europe, Australia & Far East	3.27%	22.66%
Barclays Capital U.S. Aggregate Bond Index	-0.07%	8.72%

#### Interest rates on December 31, 2019

3-month Treasury bills: 1.52%  
One-month LIBOR: 1.76%



Resource Management Account  
December 2019

Account name: GHISLAINE MAXWELL IRA  
Friendly account name: Indiv. IRA  
Account type: Individual Retirement Account  
Account number: [REDACTED]

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

## Change in the value of your account

	December 2019 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$59,027.76</b>	<b>\$58,125.23</b>
Withdrawals and fees, including investments transferred out	0.00	-160.68
Dividend and interest income	2.88	718.89
Change in market value	0.00	347.20
<b>Closing account value</b>	<b>\$59,030.64</b>	<b>\$59,030.64</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 2019 (\$)	Year to date (\$)
Dividends	0.00	556.43
Interest	2.88	65.18
<b>Total current year</b>	<b>\$2.88</b>	<b>\$621.61</b>
Prior year adjustment	0.00	97.28
<b>Total dividend &amp; interest</b>	<b>\$2.88</b>	<b>\$718.89</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 2019 (\$)	Year to date (\$)	
Short term	0.00	9.63	0.00
Long term	0.00	-590.37	0.00
<b>Total</b>	<b>\$0.00</b>	<b>-\$580.74</b>	<b>\$0.00</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 to deposits at UBS Bank USA and all banks participating in the UBS FDIC Insured Deposit Program. It does not apply to deposits at UBS AG, Stamford Branch. 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 2019 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$59,027.76</b>	<b>\$1,304.58</b>
<i>Additions</i>		
Dividend and interest income	2.88	718.89
Proceeds from investment transactions	0.00	57,819.93
<b>Total additions</b>	<b>\$2.88</b>	<b>\$58,538.82</b>
<i>Subtractions</i>		
Professional management fees and related services	0.00	-160.68
Funds withdrawn for investments bought	0.00	-652.08
<b>Total subtractions</b>	<b>\$0.00</b>	<b>-\$812.76</b>
<b>Net cash flow</b>	<b>\$2.88</b>	<b>\$57,726.06</b>
<b>Closing balances</b>	<b>\$59,030.64</b>	<b>\$59,030.64</b>



Resource Management Account  
December 2019

Account name: GHISLAINE MAXWELL IRA  
Friendly account name: Indiv: IRA  
Account type: Individual Retirement Account  
Account number: [REDACTED]

Your Financial Advisor:  
SCOTT STACKMAN/LYLE CASRIEL

## UBS Bank USA Deposit Account APY

Interest period Nov 7 - Dec 5

Opening UBS Bank USA Deposit balance Nov 7	\$59,027.76
Closing UBS Bank USA Deposit balance Dec 5	\$59,030.64
Number of days in interest period	29
Average daily balance	\$59,027.76
Interest earned	\$2.88
Annual percentage yield earned	0.06%

## Your investment objectives:

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

### Your return objective:

Current income & capital appreciation

### Your risk profile:

Primary - Moderate

Investment eligibility consideration - None selected

## Your account instructions

- UBS Financial Services Inc. is your IRA custodian.
- Your account cost basis default closing method is FIFO, First In, First Out.

## Retirement services information

### 2019 Year-End valuation statement - Form 5498

Retain this statement as your year-end valuation. If your Asset portfolio includes insurance products, unpriced Private investments or if you own Outside assets that do not appear on this statement, we will automatically provide you with an updated year-end valuation in January 2020. This 2019 year-end value of your IRA (or the updated value, if applicable) will be furnished to the Internal Revenue Service.

December 31 value \$59,030.64

### Beneficiaries you've named for this account

The beneficiaries listed below reflect the information in our records as of the end of this statement period. If this information is not correct, or you wish to change your beneficiaries, please contact your Financial Advisor. Beneficiary changes are not effective unless you give them to us in writing and we accept them. If you live in a community property state, your beneficiary designation may be subject to community property laws.

Percentage	Beneficiary	Contingent beneficiaries
100.00%	[REDACTED]	Katie Vaughan-Edwards (100.00%)



## 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 FDIC Insured Program Bank Balances, UBS AG Stamford Branch deposit account balances and money market mutual fund sweep balances.

UBS Bank USA and all UBS FDIC Insured Program Bank 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	59,027.76	59,030.64					250,000.00

### 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>59,030.64</b>	<b>100.00%</b>	<b>59,030.64</b>		
<b>Total</b>		<b>\$59,030.64</b>	<b>100.00%</b>	<b>\$59,030.64</b>		

## Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Interest</i>	Dec 6	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 12/05/19	2.88
	<b>Total interest</b>			<b>\$2.88</b>
	<b>Total dividend and interest income</b>			<b>\$2.88</b>



Resource Management Account  
December 2019

Account name: GHISLAINE MAXWELL IRA  
 Friendly account name: Indiv. IRA  
 Account type: Individual Retirement Account  
 Account number: [REDACTED]

Your Financial Advisor:  
SCOTT STACKMAN LYLE CASRIEL

Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
<b>Money balance activities</b>	<b>Nov 29</b>	<b>Balance forward</b>		<b>\$59,027.76</b>
	Dec 6	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 12/05/19	2.88
	<b>Dec 31</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$59,030.64</b>

## 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.
- 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.
- All statements shall be deemed complete and accurate if not objected to in writing within 60 days.
- 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 to bank deposit accounts at non-affiliated banks and affiliated banks and money market mutual funds (Money Funds). Deposit accounts at UBS Bank USA and non-affiliated banks participating in the UBS FDIC-insured Deposit Program are FDIC-insured in accordance with FDIC rules. For more information, please visit [www.fdic.gov](http://www.fdic.gov). Deposit accounts at UBS AG Stamford Branch and shares of Money Funds are not insured by the FDIC.

Bank deposits 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 deposits 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 customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at [www.sipc.org](http://www.sipc.org). 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 insurance. The maximum amount payable to all eligible clients, collectively under this protection is \$500 million as of December 10, 2016. 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.

Neither the SIPC protection nor the supplemental protection apply to:

- Certain financial assets controlled by (and included in your account value) but held away from UBS Financial Services. For example certain (i) insurance products, including variable annuities, and (ii) shares of mutual funds registered in the name of the account holder on the books of the issuer or transfer agent;
- Investment contracts or investment interests (e.g., limited partnerships and private placements) that are not registered under the Securities Act of 1933;
- Commodities contracts (e.g., foreign exchange and precious metal contracts), including futures contracts and commodity option contracts; and
- Deposit accounts (except certificates of deposit) at UBS Bank USA, UBS AG U.S. branches and banks in the FDIC Insured Deposit Program.

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).

### 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, is not intended to reflect any strategy, product, recommendation, investment objective or risk profile associated with your accounts, and is not a promise or guarantee that wealth, or any financial results, can or will be achieved. All investments involve the risk of loss, including the risk of loss of the entire investment. 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 affiliated and non-affiliated banks, and money market mutual fund sweep balances, at the close of the statement period. Non-commodity free credit balances in your account are not segregated from other balances and the Firm may use any of these funds in the ordinary course of its business. These funds are payable upon your demand. This total is included in the current period closing value.

### Lending information

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

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## Important information about your statement (continued)

### 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.
- **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 illiquid 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.
- In addition to commissions received from the purchase and sale of NextShares funds, we and/or our affiliate receive an asset-based revenue sharing payment from NextShares distributors, as well as funding for technology development, training and education.
- Our affiliates also receive trading commissions and other compensation from mutual funds and insurance companies whose products we distribute.

– We receive compensation from UBS Bank USA, UBS AG Stamford Branch and non-affiliated banks through our cash sweep programs. This compensation may be a monthly per account fee or may be a percentage of average daily deposit balances.

### 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
- IRMA, 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.

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