



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

CNP7005535545 1116 X135 Y1 0

# Resource Management Account

November 2016

**Account name:** GHISLAINE MAXWELL

**Friendly account name:** Indiv.Q52167006

**Account number:** [REDACTED]

#### Your Financial Advisor:

SCOTT STACKMAN/LYLE CASRIEL  
Phone: 212-821-7000/800-308-3140

#### Questions about your statement?

Call your Financial Advisor or the  
RMA ResourceLine at 800-RMA-1000,  
account 029023574.

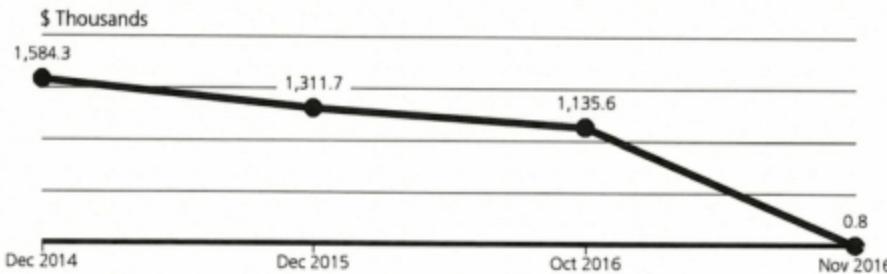
#### Visit our website:

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

## Value of your account

	on October 31 (\$)	on November 30 (\$)
Your assets	1,135,630.52	772.39
Your liabilities	0.00	0.00
<b>Value of your account</b>	<b>\$1,135,630.52</b>	<b>\$772.39</b>
Accrued interest in value above	\$3,566.38	\$0.00

## Tracking the value of your account



#### Sources of your account growth during 2016

Value of your account at year end 2015	\$1,311,717.81
Net deposits and withdrawals	-\$1,366,602.20
Your investment return:	
Dividend and interest income	\$59,045.75
Change in value of accrued interest	-\$5,178.88
Change in market value	\$1,789.91
<b>Value of your account on Nov 30, 2016</b>	<b>\$772.39</b>



## Your account balance sheet

### Summary of your assets

	Value on November 30 (\$)	Percentage of your account
<b>A</b> Cash and money balances	772.39	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>\$772.39</b>	<b>100.00%</b>

**Value of your account** **\$772.39**

### Your current asset allocation



A

### Eye on the markets

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

#### Interest rates on November 30, 2016

3-month Treasury bills: 0.48%

One-month LIBOR: 0.62%



## Change in the value of your account

	November 2016 (\$)	Year to date (\$)
<b>Opening account value</b>	<b>\$1,135,630.52</b>	<b>\$1,311,717.81</b>
Deposits, including investments transferred in	0.00	8,340.00
Withdrawals and fees, including investments transferred out	-1,149,960.69	-1,374,942.20
Dividend and interest income	4,993.84	59,045.75
Change in value of accrued interest	-3,566.38	-5,178.88
Change in market value	13,675.10	1,789.91
<b>Closing account value</b>	<b>\$772.39</b>	<b>\$772.39</b>

## Dividend and interest income earned

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

	November 2016 (\$)	Year to date (\$)
Taxable dividends	0.00	7,202.28
Long-term capital gains	160.27	160.27
Taxable interest	4,537.51	42,495.89
Tax-exempt interest	0.00	7,500.00
Miscellaneous	296.06	1,687.31
<b>Total current year</b>	<b>\$4,993.84</b>	<b>\$59,045.75</b>
<b>Total dividend &amp; interest</b>	<b>\$4,993.84</b>	<b>\$59,045.75</b>

## Summary of gains and losses

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

	Realized gains and losses		Unrealized
	November 2016 (\$)	Year to date (\$)	gains and losses (\$)
Short term	0.00	586.02	0.00
Long term	0.00	6,027.80	0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$6,613.82</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 only to deposits at UBS Bank USA, not to deposits at UBS AG, Stamford Branch or bank deposits placed through the UBS International Deposit Account program. SIPC protection applies to money market sweep fund holdings but not bank deposits. See *Important information about your statement* on the last two pages of this document for details.

	November 2016 (\$)	Year to date (\$)
<b>Opening balances</b>	<b>\$10,680.70</b>	<b>\$541.48</b>
<i>Additions</i>		
Deposits and other funds credited	0.00	8,340.00
Dividend and interest income	4,993.84	59,045.75
Proceeds from investment transactions	150,000.00	325,303.76
<i>Total additions</i>	<b>\$154,993.84</b>	<b>\$392,689.51</b>
<i>Subtractions</i>		
Professional management fees and related services	772.39	-7,528.38
Other funds debited	-165,674.54	-382,355.28
Funds withdrawn for investments bought	0.00	-2,574.94
<i>Total subtractions</i>	<b>-\$164,902.15</b>	<b>-\$392,458.60</b>
<b>Net cash flow</b>	<b>-\$9,908.31</b>	<b>\$230.91</b>
<b>Closing balances</b>	<b>\$772.39</b>	<b>\$772.39</b>

## UBS Bank USA Deposit Account APY

Interest period Oct 7 - Nov 6

Opening UBS Bank USA Deposit balance Oct 7	\$0.00
Closing UBS Bank USA Deposit balance Nov 6	\$1,837.51
Number of days in interest period	31
Average daily balance	\$989.83
Interest earned	\$0.01
Annual percentage yield earned	0.01%

## Your investment objectives:

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

### Your return objective:

Current income & capital appreciation

### Your risk profile:

Primary - Moderate

Investment eligibility consideration - None selected

## Your account instructions

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



## Your assets

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

### Cash

#### Cash and money balances

Holding	Opening balance on Nov 1 (\$)	Closing balance on Nov 30 (\$)	Price per share on Nov 30 (\$)	Average rate	Dividend/Interest period	Days in period	Cap amount (\$)
Cash	4,726.37	772.39					
UBS BANK USA DEP ACCT	5,954.33	0.00					250,000.00
<b>Total</b>	<b>\$10,680.70</b>	<b>\$772.39</b>					

#### Your total assets

		Value on Nov 30 (\$)	Percentage of your account	Cost basis (\$)	Estimated annual income (\$)	Unrealized gain or loss (\$)
<b>Cash</b>	<b>Cash and money balances</b>	<b>772.39</b>	<b>100.00%</b>	<b>772.39</b>		
<b>Total</b>		<b>\$772.39</b>	<b>100.00%</b>	<b>\$772.39</b>		

## Account activity this month

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income</b>				
<i>Long-term capital gains</i>	Nov 14	Lt Cap Gain	BLACKSTONE GROUP LP/THE UNIT REPSTG LTD PARTNERSHIP INT	160.27
				<b>160.27</b>
<b>Total long-term capital gains</b>				
<i>Taxable interest</i>	Nov 1	Interest	COUNTRYWIDE CAP V 7.000% DUE 11/01/36 CALLABLE PAID ON 4200	1,837.50
			CUSIP: 222388209	
	Nov 7	Interest	UBS BANK USA DEPOSIT ACCOUNT AS OF 11/04/16	0.01
	Nov 15	Interest	BANK OF AMER INTERNOTES 03.600% 111516 DTD110410FC051511 NTS B/E	2,700.00
			CUSIP: 06050WDW2	
<b>Total taxable interest</b>				<b>\$4,537.51</b>



Resource Management Account  
November 2016

Account name: GHISLAINE MAXWELL  
Friendly account name: Indiv.052167006  
Account number: [REDACTED]

Your Financial Advisor:  
SCOTT STACKMAN/LYLE CASRIEL  
212-821-7000/800-308-3140

Account activity this month (continued)

	Date	Activity	Description	Amount (\$)
<b>Dividend and interest income (continued)</b>				
<i>Miscellaneous</i>	Nov 14	Dividend	BLACKSTONE GROUP LP/THE UNIT REPSTG LTD PARTNERSHIP INT PAID ON 1113	7.79
	Nov 14	Return Of Capital	BLACKSTONE GROUP LP/THE UNIT REPSTG LTD PARTNERSHIP INT PAID ON 1113	14.47
	Nov 14	Dividend	BLACKSTONE GROUP LP/THE UNIT REPSTG LTD PARTNERSHIP INT	273.80
		<b>Total miscellaneous</b>		<b>\$296.06</b>
		<b>Total dividend and interest income</b>		<b>\$4,993.84</b>
 <b>Fees</b>				
	Date	Activity	Description	Amount (\$)
	Nov 30	Refund	PRORATED ADVISORY FEE	772.39
		<b>Total professional management fees</b>		<b>\$772.39</b>
 <b>Other funds debited</b>				
	Date	Activity	Description	Amount (\$)
	Nov 1	Transfer	JOURNAL TO Y1 23575 GHISLAINE MAXWELL	-10,680.70
	Nov 28	Transfer	TO Y1 36509 2200	-154,993.84
		<b>Total other funds debited</b>		<b>-\$165,674.54</b>

**Investment transactions**

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

Date	Activity	Description	Quantity	Value (\$)	Price (\$)	Proceeds from investment transactions (\$)	Funds withdrawn for investments bought (\$)	Accrued interest (\$)
Nov 15	Call Redemption	BANK OF AMER INTERNOTES 03.600% 111516 DTD110410 FC051511 NTS B/E CUSIP: 06050WDW2	-150,000.000			150,000.00		
Nov 28	Transfer	BIRDVILLE TX INDPT SCH D PREF DUE 021529 DTD 011507 CALLABLE PRE-REFUNDED TO Y1 36509 2200 CUSIP: 090874LJ5	BE/R 5	-90,000.000	-90,777.60			
Nov 28	Transfer	BIRDVILLE TX INDPT SCH D DUE 021529 DTD 011507 CALLABLE TO Y1 36509 2200 CUSIP: 090874LM8	BE/R 5	-10,000.000	-10,082.50			

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Resource Management Account  
November 2016

Account name: GHISLAINE MAXWELL  
Friendly account name: Indiv 052167006  
Account number: [REDACTED]

Your Financial Advisor:  
SCOTT STACKMAN/LYLE CASRIEL  
212-821-7000/800-308-3140

Account activity this month (continued)

Investment transactions (continued)

Date	Activity	Description	Quantity	Value (\$)	Price (\$)	Proceeds from investment transactions (\$)	Funds withdrawn for investments bought (\$)	Accrued interest (\$)
Nov 28	Transfer	MICHIGAN MUN BD AUTH RV BE/R/ 5 DUE 100126 DTD 110206 CALLABLE TO Y1 36509 2200 CUSIP: 59455T4B5	-5,000.000	-5,016.80				
Nov 28	Transfer	COUNTRYWIDE CAP V 7.000% DUE 11/01/36 CALLABLE TO Y1 36509 2200 CUSIP: 222388209	-4,200.000	-106,940.40				
Nov 28	Transfer	CITIGROUP CAPITAL XIII FXD/FLT TRUST PFD 7.121% DUE 10/30/2040 TO Y1 36509 2200 CUSIP: 173080201	-10,000.000	-259,000.00				
Nov 28	Transfer	BANK OF AMER CORP TO Y1 36509 2200	-944.000	-19,163.20				
Nov 28	Transfer	BLACKSTONE GROUP LP/THE UNIT REPSTG LTD PARTNERSHIP INT TO Y1 36509 2200	-1,113.000	-28,726.53				
Nov 28	Transfer	GENERAL MOTORS CO TO Y1 36509 2200	-1,023.000	-34,833.15				
Nov 28	Transfer	SPDR S&P 500 ETF TR TO Y1 36509 2200	-1,257.000	-277,143.36				
Nov 28	Transfer	J P MORGAN CHASE & CO 07.900% 042949 DTD042308 FC103008 NTS B/E TO Y1 36509 2200 CUSIP: 46625HHA1	-150,000.000	-153,375.00				
<b>Total</b>						<b>\$150,000.00</b>		
<b>Securities transferred out</b>						<b>-\$985,058.54</b>		

Date	Activity	Description	Amount (\$)
<b>Oct 31</b>	<b>Balance forward</b>		<b>\$5,954.33</b>
Nov 1	Deposit	UBS BANK USA DEPOSIT ACCOUNT	4,726.37
Nov 2	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 11/01/16	-8,843.20
Nov 7	Deposit	UBS BANK USA DEPOSIT ACCOUNT AS OF 11/04/16	0.01
Nov 15	Deposit	UBS BANK USA DEPOSIT ACCOUNT	456.33
Nov 16	Deposit	UBS BANK USA DEPOSIT ACCOUNT	152,700.00
Nov 29	Withdrawal	UBS BANK USA DEPOSIT ACCOUNT AS OF 11/28/16	-154,993.84
<b>Nov 30</b>	<b>Closing UBS Bank USA Deposit Account</b>		<b>\$0.00</b>

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



## 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 accredited OID for securities issued at a discount. If you requested that UBS adjust cost basis for the bond premium amortization on taxable debt securities then cost basis reflected for these securities has been adjusted. Estimates in the *Unclassified* section can not be classified as short term or long term because information is missing, or the product is one in which the gain/loss calculation is not provided.

### Long-term capital gains and losses

Security description	Method	Quantity or face value	Purchase date	Sale date	Sale amount (\$)	Cost basis (\$)	Wash sale cost basis adjustment(\$)	Loss (\$)	Gain (\$)
BANK OF AMER INTERNOTES 03.600% 111516 DTD110410 FC051511 NTS B/E	FIFO	150,000.000	Nov 01, 10	Nov 15, 16	150,000.00	150,000.00			