

# Enrollment Guide

Floor & Decor Holdings, Inc. Employee Stock Purchase Plan

## UBS One Source website

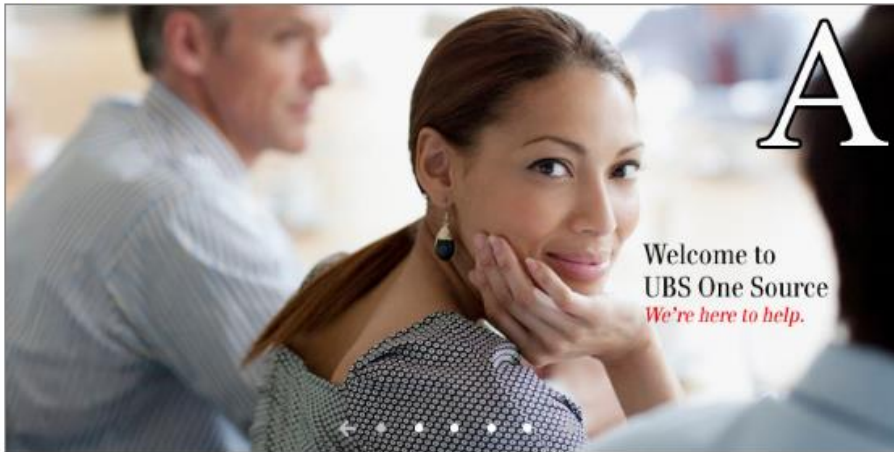
- This website, available virtually 24 hours a day, 7 days a week<sup>1</sup>, is your online resource for comprehensive plan information and account management capabilities
- To access your account, you'll need Internet Access and your **6-digit Associate ID**
  - **IMPORTANT:** be sure to include the **leading zero(s)**. *Examples: 054321, 000555*
- Web address: [www.ubs.com/onesource/fnd](http://www.ubs.com/onesource/fnd)
- If you have any questions while setting up your account, you can receive assistance over the phone by calling a UBS Service Center Representatives at 1-844-382-0722 or 1-201-272-7737 between the hours of 3:00 AM and 11:00 PM **Eastern Time**.

<sup>1</sup> Excluding down time for maintenance.

# UBS Account Set Up

Welcome to UBS One Source

Monday, July 30, 2018



Login

Optionee ID

Password

Login

[Forgot Username or Password?](#)

[First time at UBS One Source?](#)

**Have a Question?**

[Visit our FAQ page](#)

**If this is your first time logging in,  
you will need to set up your account**

Go to [www.ubs.com/onesource/fnd](http://www.ubs.com/onesource/fnd)

Click *First Time at UBS One Source?*

# UBS Account Set Up

## Account Registration

[Back To Login Page](#)

Please enter the requested information and click on Submit to continue.

ID :

### Welcome Page

Enter your ID (*Associate ID with the leading zero(s)*)

Click "Submit"

Click "Yes"

UBS Financial Services Inc.

## Account Registration

[Back To Login Page](#)

The ID entered 888888822

If this is correct, click Yes. Otherwise, click No to re-enter your ID.

# UBS Account Set Up

## Birthdate and Password

Enter your birthdate (MMDDYYYY) and click "Submit"

Create a password

Enrollment

For authentication purposes, please respond to the following questions.  
Click the Submit button to process this information.

Enrollment Authentication

EMPLOYEE ID

054321

DATE OF BIRTH (MMDDYYYY)

02261967

RESET

SUBMIT

[Notice for Non-U.S. Investors](#) | [Client Privacy Notice](#) | [Statement of Financial Condition](#) | [FAQs / Contact Us](#)

## Create Password

[Back To Login Page](#)

### Validation of Security Information Successful

To create your Password, please enter your new Password in the field below, and then re-enter it for confirmation. You may not copy and paste your new Password in the confirm field. Requirements for Password creation are:

- Minimum of 8 characters and maximum of 15 characters in length
- Alpha & numeric characters with at least one of each
- Cannot have more than two (2) identical consecutive characters
- Cannot be same as company identification number
- Cannot be the same as previous 3 Passwords
- Can include any of the following special characters:

@ \* - # ( = \$ ) !

| % \_ ~ . & + ?

Password expiration after 352 days

You will not see Passwords on the screen

Password Selection	
New Password:	<input type="password"/>
Confirm New Password:	<input type="password"/>
<p>SUBMIT      RESET</p>	

[Notice for Non-U.S. Investors](#) | [Client Privacy Notice](#) | [Statement of Financial Condition](#) | [FAQs / Contact Us](#)

If you have any questions or comments, you may contact us at 844-382-0722 or, if outside the U.S. at 201-272-7737.

# UBS Account Set Up

## Security Verification Information

[Back to login page](#)

To ensure your account security, please select and answer two questions from the drop-down lists below. Your answers will be stored and used as identification in the event that you forget your password or for other verification purposes. Please note that you will not be required to answer these questions every time you view your account or execute a trade online. These questions are simply required as an additional level of password security.

Please select a first question from the following drop-down list:

What is your childhood address? ▼

Enter the answer to the first question you selected:

Please re-enter the answer for verification:

Please select a second question from the following drop-down list:

What is your childhood address? ▼

Enter the answer to the second question you selected:

Please re-enter the answer for verification:

Click **Submit** to activate this information.

CLEAR

**Submit**

**Select and answer two security questions**  
Click **Submit**

Your responses will be stored for identification in the event you need assistance from the UBS Service Center or Financial Advisor Team

# UBS Account Set Up

## Review and respond to the sequence of notifications

E-SIGN Act Consent—Allows you to agree to complete tax documents online.

Check appropriate boxes and click "I Agree"

### Online Agreements

Acceptance of this page will only affect your ability to submit your tax forms (W-9 or W8-BEN) electronically. It will not enroll you in electronic delivery of statements, confirms, etc. You will have an opportunity to manage your electronic delivery subscriptions later.

### Federal Electronic Signature in Global and National Commerce (E-SIGN) Act Consent

**Federal Electronic Signatures in Global and National Commerce Act (E-SIGN)** Under the Federal Electronic Signatures in Global and National Commerce Act, before we may accept your tax certification forms and related documents electronically, or deliver certain disclosures to you electronically, we must provide you with the following information and you must affirmatively consent and not withdraw such consent.

By electronically signing these tax forms and related documents, you agree to be bound by their terms and conditions, and you are consenting to our maintaining and your receiving electronic records of your forms. You agree that you will not contest the legally binding nature, validity or enforceability of any agreements or disclosures based on the fact that the terms were accepted electronically. You may withdraw your consent to such electronic records by notifying us in writing or by e-mail, using your registered, secure user name and password at any time, after which you only will be required to complete the paper version of these forms and related documents.

There are no special hardware or software requirements for access to or retention of your electronic records at this time other than having access to the Internet, and registering for your unique and secure user name and password (to print copies of the records, you may need a program to read documents in "PDF" format). Should any technological change or upgrade be made that will affect your ability to access your tax forms, we will notify you and remind you of your right to withdraw your consent to receive electronic records. Electronic communications are deemed sent when displayed to you on a UBS-controlled web site and/or sent by email to the email address provided to UBS. You should print a paper copy or save all account opening disclosures to retain for your records. By agreeing to receive this information electronically, UBS will not provide you with paper copies of any electronic communications unless you request a copy by calling us.

- I have read, understood, and consent to the foregoing disclosures relating to the E-SIGN Act.
- I acknowledge that it is my obligation to immediately notify UBS if there is a change in my electronic mail address, or other location to which the electronic records may be provided.
- In the event I withdraw my consent, I acknowledge that it is my obligation to notify UBS of the address or other locations to which paper records may be provided.

Decide Later

I Agree

**Note:** If you wish to "Decide Later", a pop up window will appear.

In order to complete a tax form online you will need to review and agree to the E-SIGN Act Consent. You may also print and complete a paper version of the tax form. By clicking "Ok" you will be directed to the login page where the printable version of the tax form is available under the "Forms/Info" link. Once UBS has processed your paper form, you will be able to log into the UBS One Source website. Contact numbers are listed in the Forms/Info link if you wish to place transactions verbally.


OK

CANCEL

# UBS Account Set Up

## Online Agreements

Please read and/or print the Agreements and other important disclosures below. Full text is available by clicking the arrow. After you have completed a portion of the page as required by the stock exchange, please click "Confirm Signature and Agree" to continue the account activation process. Additional documents may be found in the library section of this web site.

IF YOU DO NOT AGREE TO THE TERMS OF THESE AGREEMENTS, CLICK ON THE BOX AT THE BOTTOM OF THIS PAGE LABELED "CANCEL". UNLESS YOU DO, YOU WILL NOT HAVE THE ABILITY TO VIEW OR TRANSACT ONLINE. PLEASE CONTACT A UBS FINANCIAL SERVICES INC. CUSTOMER SERVICE REPRESENTATIVE TO INQUIRE ABOUT YOUR STOCK BENEFIT[S] AND/OR TO PLACE AN ORDER. 

- Privacy Notice 
- UBS Financial Services Inc. Internet Service Agreement 
- Market Data Display Services (NYSE Agreement) 
- Transaction And Payment Authorization 
- NASDAQ Agreement Version 4 

## Signature Section

This section incorporates all terms of The Nasdaq Subscriber Agreement by this reference.

Do you qualify as a non-professional as defined in paragraph thirteen of the agreements? Since you are using this site in your capacity as a subscriber, your status will not change your experience with this web site, but UBS is required by NASDAQ to query and report on professional v. non-professional status.

- Yes
- No

## Mandatory For All Subscribers

Subscriber

(Enter Name of Subscriber)

Signature

(Enter Name or Other Symbol of your Signature)

Date

(Enter Date)

By clicking "Confirm Signature & Agree", you accept the provisions of all of the Agreements and confirm receipt of the disclosures above.

## Review Consolidated Online Agreements

Complete the signature section:

- Privacy Notice
- UBS Financial Services Inc. Internet Service Agreement
- Market Data Display Services (NYSE Agreement)
- Transaction And Payment Authorization
- **NASDAQ Agreement Version 4**



# UBS Account Set Up

---

## W-9 / W-8BEN Substitute



You must complete a Substitute W-9 or W-8BEN. Click "proceed" and follow instructions.

Proceed

### Interview Questions

Are you \_\_\_\_\_ ?

- Yes
- No

Back

Logout

Continue

### Interview Questions

Please provide your date of birth:

\_\_\_\_ ▾    \_\_\_\_ ▾    \_\_\_\_ ▾

Back

Logout

Continue

**Answer questions in order to determine which form is applicable to you**

Confirm your identity for each item and click "Continue"

# UBS Account Set Up (U.S.)

## Online Tax Document Personal Information Page

The information below is required to complete an online tax document. It will only be used on the online tax document. If you would like to change your mailing address with UBS Financial Services Inc. please contact your employer directly. Your permanent residence address is the address of the country for which you claim to be a resident for purposes of that country's income tax.

### Please provide your Permanent Residence Address

Please confirm your Address is not a P.O.Box or in-care-of address

Address Line 1:

Address Line 2:

Address Line 3:

City:

State/Province:

Zip/Postal Code:

Country:

Please Select a Country ▼

### Provide the mailing address that will be used on your tax document

Same as Permanent Resident Address

Address Line 1:

Address Line 2:

Address Line 3:

City:

State/Province:

Zip/Postal Code:

Country:

Please Select a Country ▼

**Online Tax Document  
Personal Information Page**

Complete the requested  
personal information and click  
"Confirm and Continue"

Back

Confirm and Continue

# UBS Account Set Up – W-9

## Interview Questions

Please select your status below to determine the appropriate tax form. (Hint: Use the links below)

For additional information click on the highlighted links below before making your selection. If none of the below selections apply to you, please contact your tax advisor for guidance.

- I am a U.S. Citizen
- I am a U.S. Resident Alien

If you work or live in the U.S. for a certain period of time and are not a U.S. Citizen, you may select U.S. Resident Alien.

- I am a Non-Resident Alien

## Interview Questions

Please provide your U.S. Social Security or Tax Payer Identification Number:

i.e. 123456789

## Interview Questions

Type of beneficial owner:

- Individual
- Other

**Interview Questions**

Select your status to determine the appropriate tax form, your social security number, and select "Individual" as the type of beneficial owner.

Click "Continue"

# UBS Account Set Up W-9

## W-9 Certification

Quick Links:

Fields with (\*) next to them are required.

### PART I - PARTICIPANT INFORMATION (REQUIRED)

Name	Type of beneficial owner:
_____	Individual
Account Number	Employee ID
_____	_____
Country of Citizenship:	
UNITED STATES	
Mailing Address	Permanent Residence Address
123 ubs	123 ubs
ubs	ubs
us	us
Newyork NY 768509123	Newyork NY 768509123
UNITED STATES	UNITED STATES

### UBS Financial Services Inc. Substitute Form W-9

Account Type: Brokerage (Stock Benefit Plan)

Interview Answers

I am a U.S. Citizen: Yes

[W-9 Instructions](#)

By selecting Confirm and Agree, you confirm the information in Part I of this tax document is accurate.

**W-9 Certification**  
Review then Click "Confirm and Agree"

# W-9 – Certification - Confirmation

## PART II - Substitute W-9 REQUEST FOR TAXPAYER IDENTIFICATION NUMBER

U.S.Social Security Number/Taxpayer Identification Number: \_\_\_\_\_

## PART III - CERTIFICATIONS\*

Under penalties of perjury, I certify by signing below that:

- ✓ The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
- ✓ I am not subject to backup withholding because (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
- ✓ I am a U.S. citizen or other U.S. person (defined below), and  
Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:
  - An individual who is a U.S. citizen or U.S. resident alien,
  - A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
  - An estate (other than a foreign estate), or
  - A domestic trust (as defined in Regulations section 301.7701-7).
- ✓ The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

**Certification Instructions:** If you have been notified by the IRS that you are currently subject to back up withholding because you have failed to report all interest and dividends on your tax return, you should not check the second box of the Certifications. Because you are submitting this form for an account you hold with UBS Financial Services Inc. in the United States, FATCA code(s) are not applicable.

You must make the declaration contained in the above penalty of perjury statement. The Declaration is made by signing Part III of this form.

**The Internal Revenue Service does not require your consent to any provision of this document other than the certification required to avoid backup withholding.**

- ✓ I have read and agree to this Request for Taxpayer Identification.\*

In order to submit your tax form to UBS Financial Services Inc., please click submit and answer the password question when prompted.

**W-9 Certification (cont'd)**  
Check all the boxes and submit



# W-9 – Certification - Disclosure

---

## UBS Financial Services Inc. Deposit Account Sweep Program Disclosure Statement for Stock Benefit Plan Accounts

By clicking "Continue" below, you elect to have available cash balances in your Stock Benefit Plan Account automatically deposited into deposit accounts at our affiliate, UBS Bank USA (Member FDIC), through the UBS Deposit Account Sweep Program for Employee Stock Benefit Plan Accounts (the "Program"). The Program is described in the UBS Deposit Account Sweep Program Disclosure Statement, which you may view by clicking the link below. Please review the Disclosure Statement carefully. We may change or discontinue the automatic sweep feature or sweep options, and offer different sweep options based on minimum asset thresholds or other criteria, at any time. Please note that you may elect to have your cash balances remain uninvested in your account where they will not earn interest by calling Equity Plan Advisory Services at the phone number listed below.

"Sweep to UBS Bank USA Deposit Account-Enrolled" will appear in parentheses next to "Other Assets" on the homepage once you have been enrolled. Please allow up to 2 business days for enrollment upon completion of a W9 form.

[Click here to view the Disclosure Statement](#)

[Continue](#)

### Sweep Disclosure Acceptance

After you complete the substitute W-9, you will be prompted to review the sweep program disclosure.

Click "**Continue**", and you will be forwarded to the UBS One Source Homepage.

# W8BEN Certification - Provide Permanent Address

## Online Tax Document Personal Information Page

The information below is required to complete an online tax document. It will only be used on the online tax document. If you would like to change your mailing address with UBS Financial Services Inc. please contact your employer directly. Your permanent residence address is the address of the country for which you claim to be a resident for purposes of that country's income tax.

### Please provide your Permanent Residence Address

Please confirm your Address is not a P.O.Box or in-care-of address

Address Line 1:

Address Line 2:

Address Line 3:

City:

State/Province:

Zip/Postal Code:

Country:

Please Select a Country ▼

Back

Confirm and Continue

### Provide the mailing address that will be used on your tax document

Same as Permanent Resident Address

Address Line 1:

Address Line 2:

Address Line 3:

City:

State/Province:

Zip/Postal Code:

Country:

Please Select a Country ▼

Online Tax Document Personal Information Page

Complete the requested personal information.

Click "Confirm and Continue"

# W8BEN Certification: Select your status

## 1 Interview Questions

If you are a dual citizen of both the United States and a foreign country, Lorem ipsum dolor sit amet, consectetur adipiscing elit.

SWEDEN

Back Logout **Continue**

## 2 Interview Questions

Do you have a U.S. Taxpayer ID or Foreign Tax ID number?

Yes  
 No

Back Logout **Continue**

## 3 W-8BEN Certification

### Part 1: Participant Information (Identification of Beneficial Owner)

Name	Type of Beneficial Owner <b>Individual</b>
Account Number	Employee ID
Date of Birth May 05 1978	Country of Citizenship GREECE
Mailing Address 123 Pantheon Plaza Athens K25 Y52 GREECE	Permanent Residence Address 123 Pantheon Plaza Athens K25 Y52 GREECE

By selecting Confirm and Agree, you confirm the information in Part 1 of this tax document is accurate.

Back **Confirm and Agree**

### W8BEN Certification

Confirm Accuracy of Data Provided

*Click "Confirm and Agree"*

UBS Financial Services Inc.  
Substitute Form W-8BEN  
Account Type: Brokerage (Stock Benefit Plan)  
Interview Answers  
I am a Non-Resident Alien: Yes  
Were you born in the U.S.: No  
W-8BEN Instructions



# W8BEN Certifications - Parts II & III

## Part 2: Claim of Tax Treaty Benefits

Would you like to claim a tax treaty?

- Yes  
 No

Are you resident in a country that has a tax treaty with the United States?

- I certify that the beneficial owner is a resident of  within the meaning of the income tax treaty between the United States and that country.  
 No

Are you taxed as a resident of the selected treaty country?

- Yes  
 No

Only countries that have a Tax Treaty with the United States appear in the dropdown list above. In order to receive the Tax Treaty benefits, you must answer all three questions for us to be able to determine if your account is eligible to receive treaty benefits.

## Part 3: Certifications\*

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,
- The person named on this form is not a U.S. person,
- The income to which this form relates is: (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an applicable income tax treaty, or (c) the partner's share of a partnership's effectively connected income,
- The person named on this form is a resident of the treaty country selected on the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

You must make the declaration contained in the above penalty of perjury statement. The declaration is made by signing Part III of this form.

Continue completing Part II and III of the W8BEN form.

Check the appropriate boxes.

# W8BEN Certifications - Parts IV & V

## Part 4: Other Items

I hereby authenticate and verify this certificate of foreign status (form W-8BEN).\*


The Internal Revenue Service does not require your consent to any provisions of this document other than the certifications required to establish your status as a non-U. S. person and, if applicable, obtain a reduced rate of withholding.

## Part 5: W-8BEN Statement of Unchanged Status

The section is not mandatory. If IRS backup withholding has been or will be applied it cannot be refunded without this affidavit. If NRA tax has been or will be withheld and you are submitting a new tax form with a tax treaty country for retroactive reimbursement it cannot be refunded without this affidavit.

In order to have any potential IRS backup withholding or NRA tax reversed through the use of this affidavit, it must be submitted and applied within the same calendar year the applicable tax was charged and no change in circumstance has occurred.

Beneficial Owner Name:

\*Under penalties of perjury, I declare that I have examined the Form W-8BEN that I signed on   

(mm/dd/yyyy) and hereby confirm and certify that the information and representations contained on the form were accurate from the beginning of this year through the current date. I further understand that this certification will be used to determine the amount of U.S. tax to be withheld from payments made to me during the above period.\*

The person named on this form is a resident of the treaty country selected on the form (if any) within the meaning of the income tax treaty between the United States and that country, and

For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Name

Date

  (mm/dd/yyyy)

Print Name

In order to submit your tax form to UBS Financial Services Inc., please click submit and answer the password question when prompted.

### Step 11 (continued)

Continue completing Part IV and V of the W8BEN form.


Check the appropriate boxes and enter your personal details and then click "Submit"

# UBS Account Set Up

The screenshot displays the UBS One Source account dashboard. At the top left is the UBS logo and 'One Source' text. The top right features a language dropdown set to 'English', 'My Profile' and 'Logout' buttons, and a menu icon. A navigation bar includes links for Home, Holdings, Activity, Transactions, Statements & Resources, and Awards Education. The main content area shows 'Today's Value (USD)' and 'Available (USD)' both at 9.84. Below this is a 'My Holdings Summary' section with a donut chart for 'Value (USD)' at 9.84 and a legend for 'UBS Bank Fund'. A large modal window is overlaid on the dashboard with the following content:

**Welcome to UBS One Source**

## Protecting you online is our priority.



**Action Required: Please verify your contact information.**

We continuously take steps to help protect your accounts from unauthorized access. Beginning in 2017, security questions will no longer be used at login when we need to verify your identity. Instead, we will send a temporary PIN to the email or phone number we have on file.

To ensure you can receive a PIN promptly when we make these changes, please click [Continue](#) to review and update your email address and phone numbers. To update your phone numbers, you may also contact a UBS Financial Services representative.

[Continue To My Profile](#)

## My Profile Set Up

- Verify contact information in My Profile

Click "**Continue To My Profile**"

# UBS Account Set Up

## Personal Information

Periodically, UBS Financial Services Inc. would like to confirm your contact information. Please review the information below and make any updates to the right side of this page. Employer Provided Details such as Name, Mailing Address and E-Mail address, if incorrect, must be changed directly with your Employer.

### Employer Provided Details

#### Name and mailing address

#### Additional contact information

Contact Numbers	Phone Number <sup>1</sup>	Extension <sup>1</sup>	Description
Alternate Phone Number	<input type="text"/> Please Select a Country <input type="text"/>	<input type="text"/>	<input type="text"/>
Home Phone Number	<input type="text"/> Please Select a Country <input type="text"/>	<input type="text"/>	<input type="text"/>
Cell/Mobile Phone Number	<input type="text"/> Please Select a Country <input type="text"/>	<input type="text"/>	<input type="text"/>
Work Phone Number	<input type="text"/> Please Select a Country <input type="text"/>	<input type="text"/>	<input type="text"/>

#### Emails

Email Addresses	Actions
You do not have a work e-mail on file or it is invalid. Please contact your employer to confirm if we should have this information on record. (Employer Provided E-Mail Address)	
<input type="radio"/> <input type="text"/>	Modify <input type="checkbox"/> Delete
<input type="radio"/> New E-mail Address <input type="text"/> Enter e-mail address <input type="text"/> Re-enter e-mail address	Add New Email

**CONFIRM and CONTINUE**

## Keep your contact information current

### Personal Information

Upon login, you will be prompted to provide current email and contact information via the Personal Information screen only if:

- One or more personal details are missing
- Personal details have not been updated in six months

### Add additional contact details

Either an alternate phone number or a secondary email address is required as well as the Permanent Residence Address. If your Permanent Residence Address is the same as provided by your employer you only need to click **“Confirm and Continue.”**

# One Source Website – Home Page

Once you arrive at the Home Page, you can view your stock plan account in a consolidated account summary...

## Navigation

Simple menus steer you quickly to the information you want.

## Today's Value

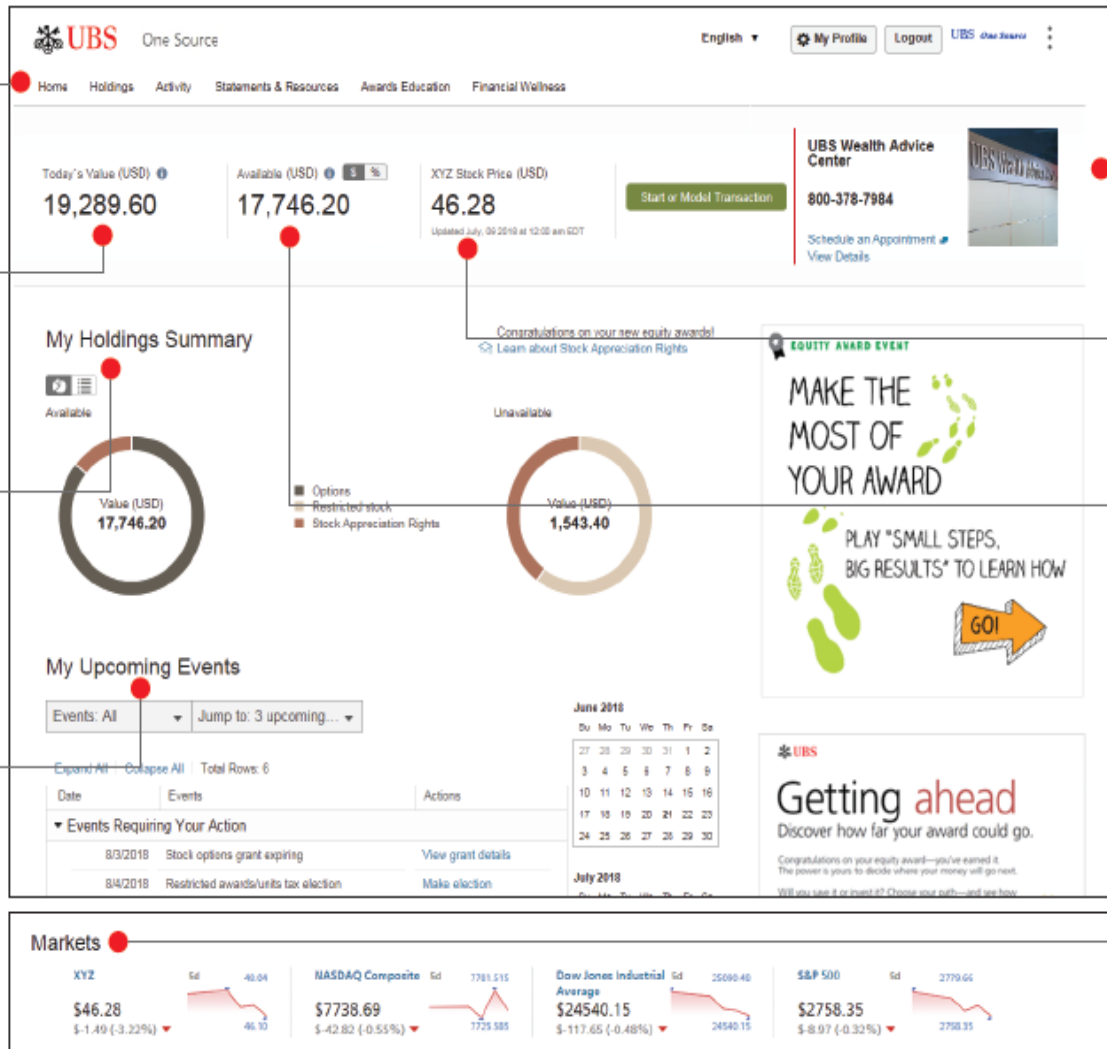
View your total value—vested and unvested awards plus long shares and cash.

## My Holdings Summary

See account balances in a table or graphical view. You can even sort by award type, vested and unvested assets.

## My Upcoming Events

Find a list and calendar of upcoming events—such as award vesting, expiration and blackout periods—plus simple one-click access to take action.



**Have questions?**  
Here's your UBS contact information.

**Company Stock Price**  
Check your company's stock price.

**Available Amount**  
Quickly view your vested award value as well as any long shares and cash.

**Markets**  
Get an overview of your company's stock, and indexes such as DJIA, NASDAQ and S&P 500.



# Contact Information

---

## How to access and manage your account.



UBS One Source Website  
[www.ubs.com/onesource/fnd](http://www.ubs.com/onesource/fnd)

24 hours a day\*



UBS Service Center  
844-382-0722  
201-272-7737

3:00am - 11:00pm ET  
Monday - Friday



Financial Advisor's office:  
Anthony Rundella  
1285 Avenue of the Americas  
15<sup>th</sup> floor  
New York, NY

Phone: 212-713-4466

\*Excluding downtime for maintenance.

# Legal Disclosures

---

Wealth Management services in the United States are provided by UBS Financial Services, Inc., a registered broker/dealer offering securities, trading, brokerage and related products and services.

Neither UBS Financial Services nor its executives (including its Financial Advisors) provide tax or legal advice. You should consult with your legal counsel and/or your accountant or tax professional regarding the legal or tax implications of a particular suggestion, strategy or investment, including any estate planning strategies, before you invest or implement. Attorneys in the Attorney Network are independent of, and unaffiliated with UBS Financial Services Inc. The Attorney Network is a nationwide network of independent trust and estate attorneys that may help you in meeting your estate planning needs. These attorneys may refer executives to UBS Financial Services Inc., but receive no compensation from us for these referrals.

Certain UBS Financial Services Inc. products and services require the establishment of a full service account, which would require additional documentation and may not be available in all jurisdictions. Additional fees may apply, depending on the products and services selected.

As a firm providing wealth management services to clients, we offer both investment advisory and brokerage services. These services are separate and distinct, differ in material ways and are governed by different laws and separate contracts. For more information on the distinctions between our brokerage and investment advisory services, please speak with your Financial Advisor or visit our website at [ubs.com/workingwithus](https://ubs.com/workingwithus). UBS Financial Services Inc., its affiliates, and its employees are not in the business of providing tax or legal advice. Clients should seek advice based on their particular circumstances from an independent tax advisor.

Equity Plan Advisory Services is a registered service mark of UBS Financial Services Inc. EPAS is service mark of UBS Financial Services Inc.

©2018 UBS Financial Services Inc. All rights reserved. Member SIPC.

110419-2927-001

[ubs.com](https://ubs.com)

UBS Financial Services Inc. is a subsidiary of UBS Group AG

