

Contract notes

Ira Staro <irastaro@gmail.com>

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Ira Staro <irastaro@gmail.com> 30 января 2014 г., 9:50

Кому: fabian.jenny@ubs.com, "george.maillis@ubs.com" <george.maillis@ubs.com>

Good morning Fabian,
Hope you are fine!

While we are waiting for the positive and fast resolution of our trading situation or mortgage conditions changing,

we also have not received the contract notes of our trades from June to September 2013. The documents George submitted to us, after you forward him my request are simple trade records by accounting.

What we are asking you can find in Swiss Bankers Association's Code of Conduct for Securities Dealers

governing securities transactions of 1st August 1997. here below there is just a citation:

"The contract note for the client must disclose at least the number of securities traded, date and place of execution, the price or rate..."

Annotation

"16 Art. 7, Para. 1 stipulates that the information the securities dealer must automatically include in the contract note, unless otherwise agreed with the client. Within the duty of accountability, the securities dealer must also comply with the client's request for all such additional information regarding the execution of the transaction provided that such information is available from the dealer's mandatory journal.

This journal must include is the time of execution, market (stock exchange or OTC) and whether trading is for the dealer's own account or acting as agent on behalf of the client.

17 Unless otherwise agreed with the client, a detailed contract note must contain all third party commissions, fees, taxes and charges borne by the client. The agreement on flat charges must specify the elements of the total transaction cost covered by the flat charge. However, details of the cost calculation involved need not to be disclosed."

The contract notes' recording "derives from the obligations of the Bank as the securities dealer to ensure

"transparency of settlement" according to "a duty diligence;... in particular ensure the best possible execution of

his clients' orders and that they are able to retrace the steps taken in the execution of their orders".

Thank you in advance,

Irina Tsareva

fabian.jenny@ubs.com <fabian.jenny@ubs.com> 30 января 2014 г., 10:30

Кому: irastaro@gmail.com, George.Maillis@ubs.com

Good Morning Irina,

thank you for the reminder. We will be in touch with you shortly.

best regards

Fabian

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