

Appendix B to the FORM TCR with facts pertinent to the violation

In October 2012, a 5 years investment agreement (IA) was entered with UBS (Bahamas) Ltd. ("UBS Bahamas"), involving the loan of money secured by residential property where we granted mortgage on our residential home in exchange of a 50 % loan of the appraisal value, where 50% of this sum (25% of the appraisal value) would stay in out account at UBS Bahamas, and would execute our trades through its renomated trading facility.

The product name was - Real Estate Collateralized Loan.

June 2013 we were able to place first trade.

June-September 2013 we placed 252 trades.

Our requests to produce regular trade confirmations were ignored.

All our other claims regarding trading activity have also been ignored by the UBS Bahamas and are the subject of our litigation in the Bahamas.

In October 2014 as response to our persistent requests to produce regular trade records, to establish service to our trading activity according to the industry standards, so we can generate profits, which was the reason for the IA, UBS Bahamas initiated a Summary Judgment proceedings against us.

In September 2015 we filed a cross-action against UBS Bahamas in the Supreme Court of the Bahamas - 2015/CLE/gen/No.01451.

In August 2018, after seven requests to produce regular trade records, filed in the court, during the discovery stage UBS Bahamas disclosed a list of 252 Trade advises.

On 6 November 2018, during the hearing we were able to explain to the Hon J. Ian Winder, who is now a Chief Justice of the Supreme Court of the Bahamas, that those documents were internal accounting of the UBS Bahamas, the same we were handled since 2013 (see Dkt 112-11, Appendix B Exhibit IT, pages 97-249, due to the fax's page limit, we have only pages 98,99, as an example) and could not be deemed as regular Trading Records with all relative numbers of registration in the National Clearing System of the United States.

On November 7, 2018, by the indication of the Hon. Judge, UBS Bahamas disclosed to Complainants 102 internal records of transactions on New York's securities exchanges for 51 trades, including:

- 51 "Contract Notes" and
- 51 "UBS (Bahamas) Ltd. Security Trial Contracts - OES" ("Internal Records") (see Appendix B, Exhibit IR, TAB 1, TAB 21, as an example due the fax limits) which contain the untrue statements made in connection with the purchases and sales of securities on the U.S. national securities exchanges by the individuals and entities indicated in it - please see below" the list of these "Contract Notes" - Internal Records.

On 7 March 2019 by the Order of the Hon. Judge Ian Winder, as he was then, UBS sworn Fifth Affidavit of Renate Raeber, the former Head of Business Management with UBS Bahamas, on paragraph 8 it reads :

"As it relates to Schedule 1 of Exhibit RR-5, to the best of my knowledge, information and belief, UBS has produced all of the contract notes, trade advices and trade receipts in its possession, UBS does not have any other contract notes in its possession, other than what has already been produced".

On the face of this obvious unthinkable fraud we thought to alarm UBS head persons and seek their assistance.

In April - May 2019 we wrote to eight keypersons of UBS, asking explanations - no answer.

Please, find all those letters :

1. [on April 16, 2019, Jonathan Boume \(Auditor in Charge\) via email delivery: jboume@nexant.com;](mailto:jboume@nexant.com)