



Client ID \_\_\_\_\_

Tax ID \_\_\_\_\_

## Advisory Relationship Application

Please read the important disclosures entitled "Conducting Business with UBS: Investment Advisory and Broker Dealer Services" in the Form ADV Disclosure Brochure provided with this Agreement for a summary of the main distinctions between investment advisory and brokerage services and our respective duties and obligations.

### Important Information about this form

The UBS Financial Services Advisory Relationship Application and Agreement and the Form ADV Disclosure Brochure are being provided to you in anticipation of the transition of your accounts to UBS. By signing and returning the Application, you will be able to open Advisory Accounts in certain programs in the future by providing verbal instructions. The Advisory Relationship Agreement and Form ADV Disclosure Brochure include information that is relevant to our Advisory Programs and such accounts you may open in the future. The Investment Services outlined in the Section B of this form may be applied (where such preferences are offered) in the future to all new and applicable Advisory Accounts unless you provide different instructions. Preferences and services may be changed at any time by notifying your Financial Advisor in writing. When you open Advisory Accounts under this Agreement in the future, we will confirm your instructions in writing and provide any Agreements and/or disclosures you have not already received.

A copy of the current UBS Form ADV can also be obtained by typing [www.ubs.com/formadv](http://www.ubs.com/formadv) into your web browser.

Please note:

- Joint owners of an account may not sign this form together. An individual form is required for each joint owner.
- This form only applies to the client/tax ID entered above. If you are a client of UBS in multiple capacities (Ex. Individual, Grantor of a Trust, Estate or Principal Officer of an organization), an additional copy of this form is required for you to verbally open accounts if that client type or ID differs from the client ID entered above.
- For Guardian / Conservator and Custodian (UGMA / UTMA) accounts, the client/tax ID should be of the person acting in that capacity.

Please select from the client types below the capacity in which you are completing this application.

### A. Client Information

#### Client Type

- ☐ Individual
- ☐ Trust - All principals must sign
- ☐ Estate - Executor/Administrator must sign
- ☐ Organizations and Businesses - Principal Officer must sign

First Name	Middle Name	Last Name
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### Financial Advisor

FA Name	FA ID#
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Financial Advisor Telephone \_\_\_\_\_

### B. Investment Preferences and Client Services

Please ensure any items selected below are consistent with your elections and discussions with your Financial Advisor

#### ☐ Trade Confirmations

I elect to have all trade confirmations delivered to me on a monthly basis. I understand that this election applies to all applicable Advisory Accounts I establish now or in the future. I understand that I may provide different instructions for separate Accounts and that I may also revoke this instruction at any time by notifying UBS Financial Services Inc. in writing. For information and availability of this service at the program level, please refer to Section O, Trade Confirmations; Statements and Performance Reporting of the Advisory Relationship Agreement

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### C. Client Acknowledgment and Signatures

#### BY SIGNING BELOW, I ACKNOWLEDGE AND AGREE TO THE FOLLOWING:

1. I understand that I have received, reviewed and agree to be bound by this Application and UBS Advisory Relationship Agreement. I understand the UBS Advisory Relationship Agreement will provide me with the ability to open new Advisory Accounts in the future with verbal consent. The Agreement includes information that is relevant to accounts I establish in advisory programs in the future. 2. I understand that UBS Financial Services Inc. does not provide legal or tax advice. 3. I have supplied all of the information contained in this Application and declare it is true and accurate and agree to notify UBS Financial Services Inc. of any material changes. 4. I agree and consent to all Investment Services outlined in the preceding Section B of this Application. I understand that they will be applied (where such preferences are offered) in the future to all new and applicable Advisory Accounts unless I provide different instructions. I understand that I may change my preferences and services at any time by notifying my Financial Advisor in writing. 5. I acknowledge receipt of the Form ADV Disclosure Brochure along with this Application and Agreement. I understand that I may terminate the Agreement at any time prior to opening my first Advisory Account. Each time I establish a new Advisory Account, I may terminate that account and receive a full refund of program fees within five (5) business days from the day UBS Financial Services Inc. sends me confirmation of my new account. I may change my Advisory program or terminate my Advisory relationship at any time. 6. **THE ADVISORY RELATIONSHIP AGREEMENT AND ALL ACCOUNTS I ESTABLISH UNDER ITS TERMS ARE SUBJECT TO THE PRE-DISPUTE ARBITRATION AGREEMENT IN THE CLIENT RELATIONSHIP AGREEMENT (OR OTHER BROKERAGE ACCOUNT AGREEMENT) I SIGN WITH UBS FINANCIAL SERVICES INC. BY SIGNING THIS APPLICATION AND AGREEMENT I CONFIRM MY UNDERSTANDING AND AGREE TO ARBITRATE ALL DISPUTES THAT MAY ARISE WITH UBS FINANCIAL SERVICES INC. IN CONNECTION WITH MY INVESTMENT ADVISORY ACCOUNTS IN ACCORDANCE WITH THE TERMS OF THE CLIENT RELATIONSHIP AGREEMENT.** 7. I acknowledge and agree that, except with respect to any qualified plan or IRA ("Retirement Plan") assets in a Discretionary Program,

PACE Select or covered under an Investment Consulting or DC Advisory contract where UBS acknowledges that it is acting as a fiduciary under ERISA, none of UBS, its registered representatives, or its employees or agents has provided, or will provide, "investment advice" as that term is defined in applicable ERISA regulations and that none of such persons has acted, or will act otherwise as a "fiduciary" under ERISA, the Internal Revenue Code, or similar state or local laws, in performing its duties under this Agreement, the investment management of my account, or my initial or subsequent selection of strategies and investment managers under the Program(s). 8. **FOR PACE AND UBS STRATEGIC ADVISOR ACCOUNTS:** If I am a fiduciary to a qualified plan or IRA "Retirement Plan" and I selected PACE Multi or UBS Strategic Advisor, I acknowledge that I have received the "Special Disclosure for Retirement Plans Applicable to PACE Multi and UBS Strategic Advisor" which is included in the Advisory Relationship Agreement. I also acknowledge that (a) I am signing on behalf of a Retirement Plan; (b) I authorize the transactions and compensation described in the "Special Disclosure for Retirement Plans Applicable to PACE Multi and UBS Strategic Advisor"; (c) that such disclosure provides sufficient information for me to determine whether the authorization should be made; and (d) that I have received a copy of the Prohibited Transaction Class Exemption 86-128 and a form for termination of this authorization. 9. **If I have elected to receive trade confirmations on a monthly basis in Section B, then by signing below I confirm:** (a) that I have waived immediate receipt of trade confirmations; (b) that I have authorized monthly delivery of trade confirmations for my account; (c) that I am not required to select this option in order to participate or continue to participate in the Programs; (d) that I will not pay any additional fee for this monthly delivery option; (e) that I may rescind my election at any time by informing UBS Financial Services Inc. in writing; and (f) that these elections will apply to all future applicable Advisory accounts I establish with UBS Financial Services Inc. unless I provide different instructions.

Client Signature

Client Title

Date

Financial Advisor Signature and Acknowledgement\*

FA ID#

Phone

Date

\* If using paper forms, I have provided the Form ADV Disclosure Brochure to the Client. I have discussed the preferences and services in section B with the client.

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