

Cash/Currency 
**Securities**  **i i s/i**

 Asset Management 

 Private Banking 

 s: stand-alone  
 i: integrated

# Custody Services.

## Your access to superior settlement and custody services

UBS as one of the leading service providers can offer you a comprehensive package of post-execution services under the one roof. Global coverage to more than 70 markets are open to you. Provide your clients with quality service by using our infrastructure and efficiency at competitive prices. Obtain secure, direct access to every order through our innovative client interfaces. Our omnibus level accounting leaves the confidentiality of your clients untouched.

It is our personal service, product quality, reliability and commitment to quality that set our professional custody apart from our competitors. When you choose the custody services of UBS, you are opting for Switzerland's top-rated market leader in custody.

You will find us to be a partner with years of experience, a wide range of tailor-made products and a firm commitment to the market and the custody product. We are here to stay and our facilities are available to your clients, through your partnership with UBS – today as well as tomorrow.

## What you do

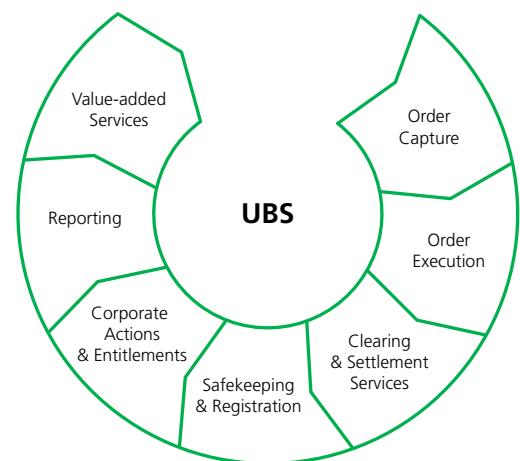
Our client's responsibilities are reduced to the following activities:

- Collect your clients orders
- Pass them to us through our electronic gateways
- Receive our trade and settlement confirmations, cash and securities statements, entitlement and corporate actions notifications for your clients

## What we do

By outsourcing to us, we assume the custodial management tasks involved:

- Receive your orders through our secure connections (FIX, SWIFT, KeyTrader)
- Send settlement instructions to the appropriate custodian and subsequently match them with those supplied by our trading counterparties
- Manage the exchange of cash and securities at the right time, on the right date, in the right location with the right currency
- Assume the task of safekeeping and registering your securities
- Process corporate actions and entitlements across your accounts
- Report key details of our activities back to you
- On request, we can offer you a wide range of value-added services such as securities lending and borrowing, cash management, investor reporting and monitoring, accounting and access to our online portfolio management system.



## Quality and efficiency

Our entire operational process is highly automated. With the implementation of "Total Quality Management" concepts, stringent service and control standards have been put in place. These measures have enabled UBS to certify its custody services as ISO 9001 compliant. We are proud to have consistently been given the "top rating" in the Global Custodian magazine for many years. UBS Warburg has also been ranked 1<sup>st</sup> for operational efficiency (Reuters, February 2001) by our clients.

## Clearing and settlement services

As your broker and custodian we guarantee to post your sales and purchases to your accounts on settlement date, irrespective of the real status on the settlement date. Transfers of holdings into or out of the account which are free of payment or where you use a third party are posted on actual settlement date.

## Corporate actions

UBS participates in many major corporate actions, either as lead manager, syndicate member or as a paying agent. You are pre-advised of forth-coming corporate actions and consequently receive confirmation of the completion of these transactions. You can rely on our user-friendly reports as well as our proactive rights reclaim service.

## Entitlements

As your custodian bank, we arrange for the collection of redemptions, as well as interest and dividend payments. Entitlements are pre-advised well ahead of time, thus greatly facilitating your active cash management. Income is usually credited on payable date.

## Securities lending

UBS is one of the world's leading players in this field. On completion of a lending agreement, accounts can earn additional income and offset costs. The underlying positions in your account are selected on an impartial allocation basis. There is full reporting back to you and proceeds will be credited directly to your cash account.

## Cash management

Why not take advantage of the benefits of cash management to compliment your core custody relationship? Through UBS Warburg, the Investment Banking Division of UBS, we offer an extensive range of time deposit, money market instruments and competitive rates – a service you would expect from the Swiss market leader in custody.

## Personal service

Service quality begins with quality staff. Therefore, UBS always appoints an implementation manager to coordinate the take-on of your account. Following the take-on activities, a dedicated client manager is in partnership with you in managing the overall custody relationship including the value-added services as per your needs.

Your assigned account manager takes a proactive approach to your needs and supports your day-to-day custody activities. Our account managers are experienced professionals with in-depth expertise in custody and impressive language skills. When it comes to service, they go the extra mile for you.

## Stability and commitment

You benefit from a strong partnership with continuity, first-class service quality, state-of-the-art systems for the processing of all products – as well as our commitment to total quality management. Proven contingency plans are in place and regularly verified to ensure that service remains uninterrupted. UBS is at the forefront of technology and customer service capabilities.

## You retain control

You will have full access to every trade you conclude through us, at every stage of its lifecycle. We offer you both SWIFT reporting and UBS KeyLink; our in-house developed multi-banking e-tool. Based on SWIFT standards (we are committed to supporting the latest release), this is available either as a Windows or web-based application and allows you to query and track your transactional activities 24 hours per day. The Windows version allows you to interface custody information into your own in-house systems.

## Contacts

To find out more information on UBS Custody Services, please contact:

UBS AG  
Custody Services Financial Institutions  
P.O. Box  
CH-8098 Zurich  
Switzerland

Phone: +41-1 236 61 36  
E-mail: [b4b-custody@ubs.com](mailto:b4b-custody@ubs.com)  
Internet: [www.ubs.com/b4b](http://www.ubs.com/b4b)