

Initial Disclosure Document Qatar

UBS QATAR LLC, 14th Floor, Office No. 5 and 6, Building No. 157, Burj Alfardan, Al Maidami, Lusail, Doha, Qatar ("**UBS Qatar**"). This initial disclosure document is effective from _____¹.
UBS Qatar is authorised by the Qatar Financial Centre Regulatory Authority (the "**QFCRA**").

Regulated Activities

UBS Qatar is authorised to undertake the following regulated activities:

- a) advising on Investments;
- b) arranging deals in Investments;
- c) arranging credit facilities; and
- d) arranging the provision of custody services (together the "**Regulated Activities**").

"**Investments**" means any "Specified Product" as defined under Part 3 of Schedule 3 to the Qatar Financial Centre Financial Services Regulations, including without limitation shares, debt instruments, credit facilities, derivative contracts, units in a collective investment fund or other similar property.

None of the Regulated Activities are conducted by UBS Qatar in accordance with the principles of Shari'a.

Description of services offered by UBS Qatar

UBS Qatar offers the following services in connection with the Regulated Activities:

- a) advising and recommending on Investments or credit facilities;
- b) arranging deals in Investments or credit facilities;
- c) providing general analysis, research or other information prepared by UBS Qatar or third parties (including any entity that is a member of UBS Group AG and its subsidiaries and branches ("**UBS Group Entity**") which may include information on investment opportunities and financial market conditions;
- d) transmitting instructions for execution by a UBS Group Entity in relation to a client's Transaction in respect of which UBS Qatar does not provide Investment advice to the client;
- e) transmitting an instruction for execution by a UBS Group Entity in relation to a client's Transaction, after providing Investment advice to the client in relation to such Transaction;
- f) assisting the client to subscribe to a service or open an account offered by a UBS Group Entity (such assistance includes UBS Qatar relaying the necessary information, documentation and communications between the client and the relevant UBS Group Entity);
- g) relaying correspondence between the client and a UBS Group Entity in relation to any services the client receives from such UBS Group Entity;
- h) arranging corporate finance services; and/or
- i) arranging for the client to obtain custody services and valuation services for their assets.

"**Transaction**" means a transaction that UBS Qatar arranges to be executed on behalf of a client.

The QFCRA has not imposed any conditions or restrictions on UBS Qatar in connection with the scope of the Regulated Activities except that UBS Qatar may not carry out any of the Regulated Activities for Retail Customers.

Complaints

Any complaint in respect of the services provided by UBS Qatar should be addressed in writing to UBS Qatar at UBS Qatar LLC, 14th Floor, Office No 5 and 6, Building No 157, Burj Alfardan, Al Majdami, Lusail, Doha, Qatar or via email to sh-qatar-brm@ubs.com. This is without prejudice to your right to complain to any competent regulatory or relevant body.

UBS Qatar will make every reasonable effort to resolve your complaint within a reasonable period of time and in accordance with the applicable policies and regulations of UBS Qatar.

In the event that you are unable to resolve your complaint with UBS Qatar, you may be entitled to refer your complaint to an independent adjudicator under the Customer Dispute Resolution Scheme Rules 2019, as applicable.

Conflicts of interest

UBS Qatar has put in place and will maintain effective organisational and administrative arrangements with a view to identifying and managing conflicts of interest between UBS Qatar and its clients and relevant third parties, so as to prevent conflicts of interest from adversely affecting the interests of clients.

In cases where such organisational and administrative arrangements are not sufficient to ensure, with reasonable confidence, that the risks of damage to your interests will be prevented, UBS Qatar will inform you of the nature and/or sources of the relevant conflicts of interest and the steps taken to mitigate those risks in order to allow you to make an informed decision as to whether to continue to transact with UBS Qatar or another UBS Group Entity².



Additional Information – Investment intermediaries³

- a) In relation to the services to be offered:
 - (i) UBS Qatar cannot act as principal in a transaction with you;
 - (ii) pursuant to any limited powers of attorney (an "**LPoA**") executed by you appointing UBS Qatar as your attorney, UBS Qatar will only act as attorney in accordance with the powers granted to it in such LPoA;
 - (iii) UBS Qatar will not charge you any fees for the services to be offered, unless explicitly agreed in writing.
- b) All Investments are, by nature, speculative and involve substantial risk of loss as the market value of Investments are exposed to multiple factors including the operating and financial environment of a company, its growth prospects, changes in market sentiment, fluctuations in relevant rates of interest and the prevailing economic and political environment. Where an Investment is denominated in a different currency to your currency of reference, changes in foreign exchange rates may result in loss.

UBS Qatar encourages you to invest carefully and to make independent investigations before acting on information that UBS Qatar publishes or otherwise makes available to you. You should note that much of this information is derived directly from information published by companies or submitted to governmental agencies which are without our independent verification. Accordingly, UBS Qatar cannot assure you that the information is accurate or complete. UBS Qatar does not in any way warrant or guarantee the success of any action you take in reliance on any statements or recommendations made to you by UBS Qatar.

Past performance is not a reliable guide to future performance. Figures on performance are estimates only and simulated performance is not a reliable guide to future outcomes and UBS Qatar makes no representations or warranties that any such future outcomes are achievable. All Investments carry risk and your investment decisions remain your responsibility.

- c) Where a member of the UBS Group is a product provider, UBS Qatar is not acting independently from such entity (as applicable) in respect of the Regulated Activities.

Signature(s)

Place	Date (dd.mm.yyyy)	Signature of client advisor
		Name of client advisor

Acknowledged by

Place	Date (dd.mm.yyyy)	Signature of client
		Name of client ⁴



0101690240401000210202402027

¹ CIPR Rule 4.4.1 requires this initial disclosure document to be delivered to the client before any services are provided to the client. This initial disclosure document may be sent at the same time as other client on-boarding documents

² Where conflicts of interest have been identified, CIPR Rulebook requires these conflicts to be disclosed to the client and for details of how conflicts will be managed to be made available to the client.

³ Only applicable in relation to investment intermediation services.

⁴ The copy given to the client must be signed and dated by a UBS Qatar employee. UBS Qatar may ask a client to sign as well (in the 'acknowledged by' section) but the CIPR rules provide that this is evidence of the client having received a copy.