



FDO 5553 . MR  
Account Number

# Resource Management Account Application

Account Type Brokerage (except when executed in connection with opening an advisory account)

Please read the important disclosures entitled You & Us Conducting Business with UBS contained in the New Account booklet for a summary of the main distinctions between investment advisory and brokerage services and our respective duties and obligations

## Product and Account Ownership

Any changes or corrections to the information on this application must be initialed by you

### RESOURCE MANAGEMENT ACCOUNT® (RMA®) (select one)

Sole Owner  Custodian (UGMA/UTMA)  Guardian/Committeeman/Conservator

Joint Owners (Please read the joint account section of the New Account booklet carefully)

Community Property  Tenants by Entirety  Joint Tenants with Rights of Survivorship

Tenants in Common (Specify percentage of ownership if no percentage is indicated ownership will be divided equally (50/50))

Primary Account Holder Percent  Joint Account Holder Percent  Must equal 100%

Joint Community Funds

### COLLEGE FUND 529

Sole Owner  Custodian (UGMA/UTMA)

Herbert K Mallard

Account Title

Herbert K Mallard 027-30-3497

Primary Account Holder/Minor Name SSN

Joint Account Holder/Custodian Name SSN

### Account Address

160 HAMMOND

Account Address Line 1

Location of Address

Home  Legal Residence  Secondary  
Business  Primary  Secondary

Account Address Line 2

Palm Beach FL 33480

City

State

Zip

Other (specify)

## Account Investment Objectives

### Aggressive/Speculative

Seeks the potential for significant appreciation willing to accept a high degree of loss of principal

Moderate Seeks potential returns with a lower risk of loss of principal

Conservative Seeks securities that are most likely to preserve principal with low risk

### Return Objective (select one)

Capital Appreciation Investments seeking growth of principal rather than the generation of income  
 Current Income and Capital Appreciation Investments seeking both the generation of income and the growth of principal  
 Current Income Investments seeking the generation of income

### Primary Risk Profile (select one)

Aggressive/Speculative  Moderate  Conservative

### Secondary Risk Profile (Optional this may be applicable if you intend to engage in options trading)

Aggressive/Speculative  Moderate  Conservative

## Senior Political Affiliation

Are you any authorized signatories beneficial owners trustees power of attorneys or other individuals with authority to effect transactions or any of their immediate family members or close associates a

I) Current U.S. political official (as defined in section B on page 5)?  Yes  No If yes complete additional information on page 5

II) Current or former Senior non U.S. political official non U.S. Religious Group/Organization or Senior/Influential representative of a non U.S. Religious Group/Organization?  Yes  No If yes complete additional information on page 5





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Source of Funds

If funds are from investments transferred from another firm please indicate the source of funds to purchase the initial investments

Please indicate the source of funds in the account (Check all that apply)

Income from current/previous employment or business
If you are not currently employed provide the following information from your last employment

Occupation, Employer Name, City, State, Inheritance from whom, Gifts from whom, Sale of Real Estate location, Legal Settlement, Sale of Business name, Other specify ACAT

UBS Bank USA Deposit Account Sweep Program For Individual Joint and PACE Accounts

Uninvested cash balances in Resource Management Accounts (RMA) with some exceptions will be automatically deposited into the UBS Bank USA Deposit Accounts Please see the Client Relationship Agreement and New Account booklet for important information related to the Deposit Account Program

CAP ELECTION

The cap is \$100,000 for individual accounts or \$200,000 for joint accounts in each case on a per account basis

Check here to cap the amount of uninvested cash that will sweep into the Deposit Account and select a secondary sweep option below

RMA Money Market Portfolio, New York Municipal Fund, New Jersey Municipal Fund, California Municipal Fund, Tax Free Fund, U.S. Government Portfolio, Puerto Rico Short Term Investment Fund Inc. (For Puerto Rico residents only)

ALTERNATIVES TO THE DEPOSIT ACCOUNT

If you do not want to sweep into the Deposit Account you can select one of the sweep options below

New York Municipal Fund, New Jersey Municipal Fund, California Municipal Fund, Tax Free Fund, Puerto Rico Short Term Investment Fund Inc. (For Puerto Rico residents only)

Non Deposit Account Sweep of Uninvested Cash Balances For Managed Programs Only except PACE

RMA Money Market Portfolio, New York Municipal Fund, New Jersey Municipal Fund, California Municipal Fund, Tax Free Fund, U.S. Government Portfolio, Puerto Rico Short Term Investment Fund Inc. (For Puerto Rico residents only)

If you have multiple accounts at UBS Financial Services held in the same recognized legal capacity that will sweep into the UBS Bank USA Deposit Account Sweep Option once cash in your accounts exceeds in the aggregate the applicable \$100,000 or \$200,000 threshold then your aggregate funds on deposit with UBS Bank USA will exceed FDIC insurance coverage limits UBS Financial Services will not be responsible for any insured or uninsured portion of the Deposit Accounts (Refer to the UBS Financial Services Deposit Account Sweep Program Disclosure Statement for more details) Money market funds are sold by prospectus only are NOT FDIC INSURED NOT BANK GUARANTEED AND MAY LOSE VALUE State municipal funds are designed for residents of those states respectively Puerto Rico Short Term Investment Fund Inc is offered exclusively to Puerto Rico residents as defined in the Fund's prospectus The Fund is not a money market fund registered under the U.S. Investment Company Act of 1940 does not comply with rules applicable to U.S. registered funds and presents a higher degree of risk than those funds The Fund is sold by prospectus only is NOT FDIC INSURED NOT BANK GUARANTEED AND MAY LOSE VALUE

General Account Features

MARGIN

Accounts automatically come with margin unless they are Retirement UGMA/UTMA Estate 529 Plan or certain other accounts Most managed programs cannot have margin

Check here if you do not want margin If your account will have margin answer the following questions

- 1 Do you intend to engage in pattern day trading as defined by NYSE Rule 431? Yes No
2 Do you have any other margin accounts with UBS Financial Services Inc? Yes No If yes complete

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DIRECT DEPOSIT

If you would like to have your payroll or other recurring payments automatically deposited into your account complete the Direct Deposit Application on page 12

DUPLICATE PARTIES

If you would like duplicate trade confirmations and statements sent to additional individuals complete the duplicate party form on page 5

Margin is not suitable for all clients Please review UBS Financial Services Loan Disclosure Statement carefully for information on the risks involved with using margin Day trading means purchasing and selling or selling and purchasing the same security in the same day in a margin account Pattern day trading means executing four or more day trades within five business days if the number of day trades exceeds six percent of the total trades during that period



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Resource Management Account Features

The following features are automatically included in each Resource Management Account® (RMA®) UBS Resource Card Program Check Writing and Electronic Funds Transfer and Bill Payment services Please fill in the information below to complete enrollment in these features This account may be subject to an annual fee as described in the New Account booklet

Note Custodial and Guardian accounts are not eligible to apply for the UBS Visa Signature credit card

UBS RESOURCE CARD PROGRAM

Includes the UBS American Express Card® and UBS Visa Signature® credit card\* including UBS Rewards®

Indicate how your name(s) should appear on your UBS American Express Card(s) and your UBS Visa Signature credit card(s)

Applicant Name (not exceeding 26 characters)

Co Applicant Name\* (if applicable) (not exceeding 26 characters)

Requested Revolving Credit Line (optional) For UBS Visa Signature credit card only

Do you own or rent your home?  Own  Rent

Mother's Maiden Name

\* Joint Owners are not required to apply jointly for the UBS Visa Signature credit card If you want to apply individually leave the Co Applicant Name field blank

Delivery  Standard (default)  Overnight (Fees may apply)

Choose the RMA Program Level for the account

Select Level (default) Includes UBS American Express Card and UBS Visa Signature credit card No additional annual fee

Premier Level Includes UBS American Express Card and UBS Visa Signature credit card and provides additional rewards and benefits \$350 additional annual upgrade fee applies See New Account booklet for further details

CHECK WRITING

Select a check style (select one)  Wallet\* (free) (default)  3 page desk  3 page business  Other To request dual signature checks complete the Authorized Agent/Dual Signor Addendum on page 11

Delivery  Standard (default)  Overnight (Fees may apply)

Name/Address to appear on checks

Check here if the same as Name and Mailing address on the account

Herb Mallard  
PO Box 2438  
Palm Beach, FL 33480

Alternate Mailing Address for Cards and Checks

HERB MALLARD  
Client Name  
PO Box 2438  
Address Line 1 PO Box not permitted for cards  
Address Line 2  
Palm Beach FL 33480  
City State Zip

Wallet checks are free all other check styles involve a fee

Please indicate your access preference for each (select one for each service)

BILL PAYMENT SERVICE  Online (web)  ResourceLine™ (phone) If ResourceLine complete pages 7 8

ELECTRONIC FUNDS TRANSFER (EFT) SERVICE  Online (web)  ResourceLine™ (phone) Complete pages 9 10

ONLINE SERVICES  Check here for online access to account information

Only account owners can be issued cards in this section Other individuals must be designated on the Authorized Agent/Dual Signor Addendum on page 11 Transactions with your UBS American Express Card are deducted automatically from your RMA account See New Account booklet for details Transactions with your UBS Visa Signature credit card are billed separately from your RMA account Note that you may request that your balances be paid each month automatically from your RMA account Issuance of the UBS Visa Signature credit card is subject to review and approval by Barclays Bank Delaware Please see the UBS Visa Signature credit card Terms and Conditions for rate fee and other cost information You will be automatically enrolled in the UBS Rewards program at no additional cost The program allows you to earn points toward merchandise travel and gift certificates

AC RMA (Rev 2/08)



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Account Agreement

U.S. Federal law requires us to obtain verify and record information that identifies each person or entity that opens an Account with us. When you open an Account we will ask for your name a street address date of birth and a tax identification number such as a social security number. We may also ask to see a driver's license or other identifying documents that will allow us to identify you.

BY SIGNING BELOW YOU ACKNOWLEDGE THAT YOU HAVE READ UNDERSTAND AND AGREE TO THE FOLLOWING

- A Upon receipt you will review the New Account booklet section entitled You & Us Conducting Business with UBS. You understand the material distinctions between advisory and broker dealer services and acknowledge that this Account Application and the Client Relationship Agreement establish a brokerage account and UBS obligations as it pertains to that account will be that of a broker dealer as described in the disclosure section and in the brokerage agreement.
B You have received a copy of read and understand this Resource Management Account Application and the Client Relationship Agreement.
C You agree to be bound by the Client Relationship Agreement and the documents incorporated there by reference the terms conditions and disclosures included in the New Account booklet and UBS Visa Signature Credit Card Terms and Conditions Loan Disclosure Statement UBS RMA Money Funds Prospectus and information About Your Relationship With Us to the same extent as if these terms and conditions were contained in this document.

- D If your Account is established with margin you acknowledge that when you use your margin privileges we will hold the securities in your Account as collateral against the amounts you borrow and you agree to keep sufficient positions and margin in your Account to meet any margin calls we might issue.
E Unless you instructed your Financial Advisor otherwise you are applying for both the UBS American Express Card and the UBS Visa Signature credit card and you agree to be bound by the terms and conditions stated in the Client Relationship Agreement.

The Client Relationship Agreement contains a predispute arbitration in paragraph U on page 21

Sign Here -> [Signature] HERBERT K MALLARD 046-08
Signature Print Name Date
Additional Party Signature Print Name Date

UBS Financial Services Inc Branch Use Only

Financial Advisor Temporary Approval Date [Signature] Financial Advisor Final Approval Date 7-16-08

- Check here to certify that the client has been informed of all possible sweep options
I attest that the client has been issued all required disclosure documents

Is the FA registered in both the client's state of residence and mailing address? Yes No
What was the initial transaction for this account? Buy Sell Deposit Transfer of Accounts
Initial Trade Information Security Name Security Symbol Value \$ 9000 Shares
How was the account obtained? Walk In/Call In/Email In Seminar CEFS/Adv Svcs Existing Client Referral
Interest/Dividends Monthly Weekly Hold in Account
Account Settles Assets in Account Equity DVP Government DVP Transfer/Ship
Sweep Fund Bank Code Plan Code Assoc Code Managed Account Code Family of Account Code