

AO 455 (Rev. 01/09) Waiver of an Indictment

UNITED STATES DISTRICT COURT
for the
District of Connecticut

2012 DEC 19 P 2:11

United States of America)
v.)
UBS SECURITIES JAPAN CO., LTD)
Defendant)

Case No. 3:12CR 268 (RNC)T

WAIVER OF AN INDICTMENT

I understand that I have been accused of one or more offenses punishable by imprisonment for more than one year. I was advised in open court of my rights and the nature of the proposed charges against me. *the defendant has*
the defendant's
the defendant (15)

After receiving this advice, I waive my right to prosecution by indictment and consent to prosecution by information.

Date: 12/19/2012

Ally M...
Corporate representative
Defendant's signature
Gary R. Spratling
Signature of defendant's attorney

Gary R. Spratling/David P. Burns
Printed name of defendant's attorney

/s/ Robert N. Chatigny, USDJ
Judge's signature

Hon. Robert N. Chatigny, U.S. District Judge
Judge's printed name and title