

UBS-AM Client Portal – External User Guide

Contents

1.	Introduction	2
2.	First time logging in	2
2.1.	Click on the link in your welcome email	2
2.2.	Login self-activation	3
2.2.1.	If you have registered a mobile phone number with UBS-AM	3
2.2.2.	If you have not registered a mobile phone number with UBS-AM	6
3.	Logging in	12
4.	Navigation	13
4.1.	Home tab	13
4.2.	Strategies & Products tab	14
4.3.	Documents tab	15
4.3.1.	News Archive	15
4.3.2.	Client Documents	15
4.3.3.	Legal Documents	15
4.4.	Alerts tab	16
5.	Frequently Asked Questions	19
5.1.	First time logging in	19
5.1.1.	I do not want to provide my mobile phone number. Can I still log in?	19
5.1.2.	I do not want to set up secure personal questions. Can I still log in?	19
5.2.	Logging in	19
5.2.1.	My password has expired. What should I do?	19

1. Introduction

Built on the UBS Investment Bank's award-winning platform Neo, the UBS Asset Management Client Portal (the "UBS-AM Client Portal") is UBS Asset Management's new digital offering for clients. The aim of the UBS-AM Client Portal is to offer you an engaging experience and ease of use when consulting and downloading documents relevant to your portfolio as well as checking out our latest news and announcements.

2. First time logging in

2.1. Click on the link in your welcome email

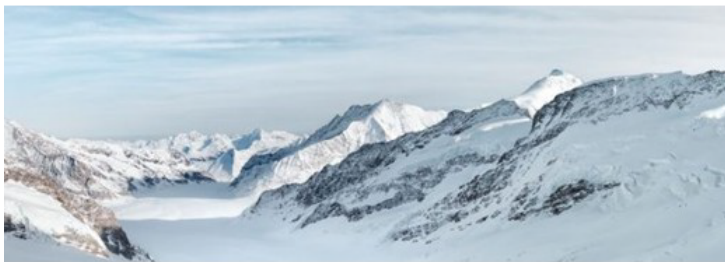
You will have received an email from your dedicated Client Relationship Manager or from ubs-am-client-portal@ubs.com with the subject "Welcome to your UBS Asset Management Client Portal" that includes a link to the UBS-AM Client Portal. Click on the [link](#) (next to the red arrow in the below screenshot).

View this email in a [web browser](#)



Welcome

Your UBS Asset Management **Client Portal**



Dear NAME,

Please see your attached July monthly report(s).

We've made it easier to access your UBS Asset Management account documents. Through our new Client Portal, you can view your portfolio reports and invoices in one place, anytime and anywhere. Plus you'll find a tailored selection of our latest investment research and insights.

How can I access the UBS-AM Client Portal?

Your account has been activated. To start using the portal, follow the simple set up process here:

[UBS-AM Client Portal](#)



[User Guide](#)

We hope you find this new tool useful and it enhances your client experience. Please contact me if you have any questions or would like me to schedule time with you to help you gain access.

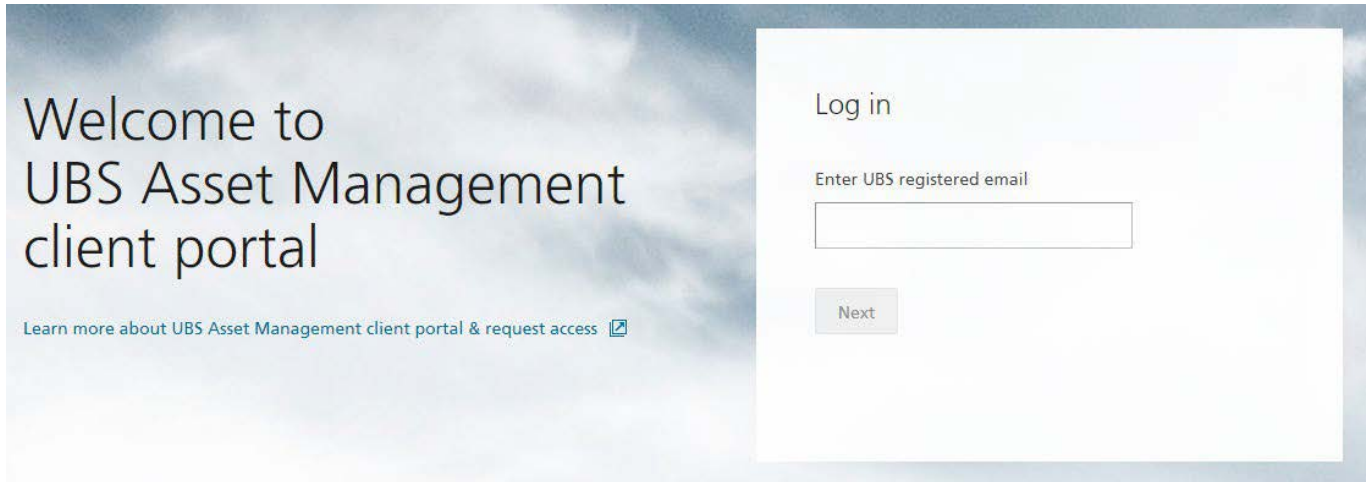
Best regards,

CRM NAME
UBS Asset Management
EMAIL
TELEPHONE

2.2. Login self-activation

2.2.1. If you have registered a mobile phone number with UBS-AM

Once you click on the [link](#) from the welcome email, you will land on the below page. Enter your registered **email address** and click on "**Next**".



Welcome to
UBS Asset Management
client portal

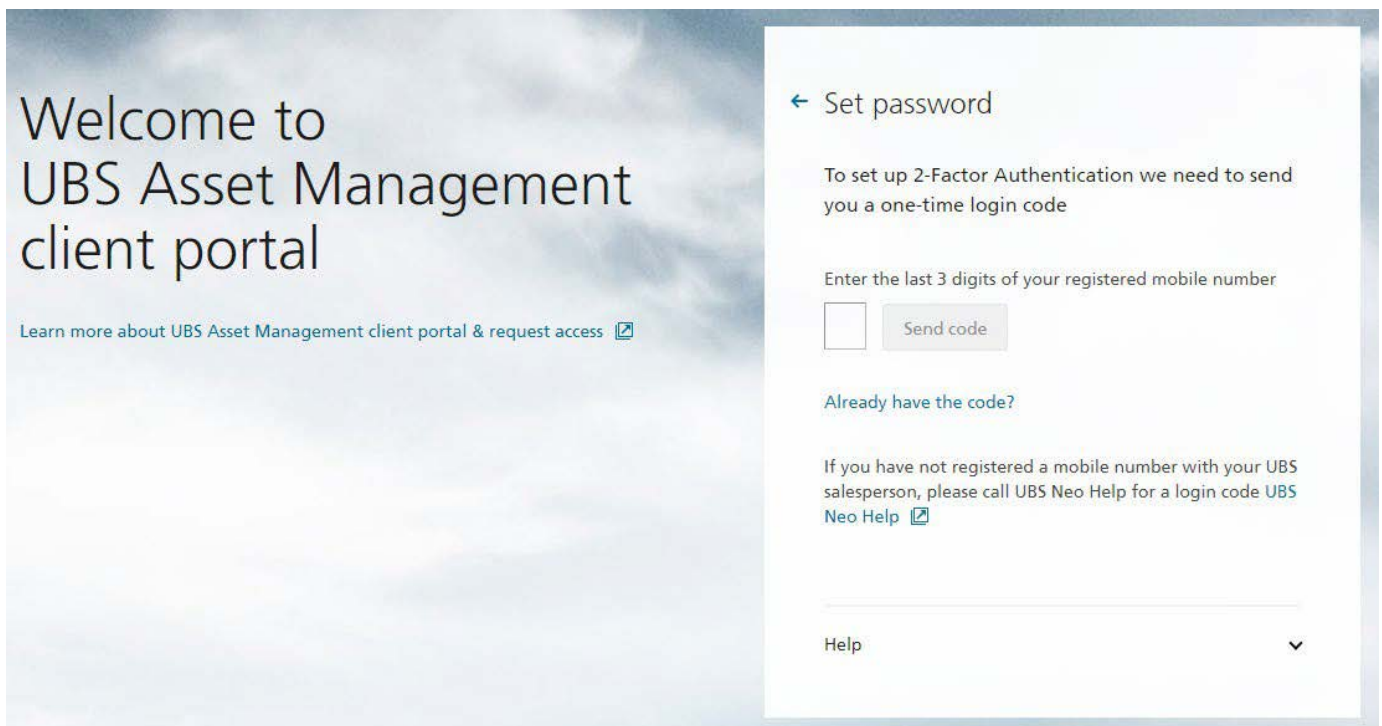
[Learn more about UBS Asset Management client portal & request access](#)

Log in

Enter UBS registered email

Next

On the next screen, enter the **last three digits of your mobile phone number** (as registered with UBS) and click on "**Send code**".



Welcome to
UBS Asset Management
client portal

[Learn more about UBS Asset Management client portal & request access](#)

← Set password

To set up 2-Factor Authentication we need to send you a one-time login code

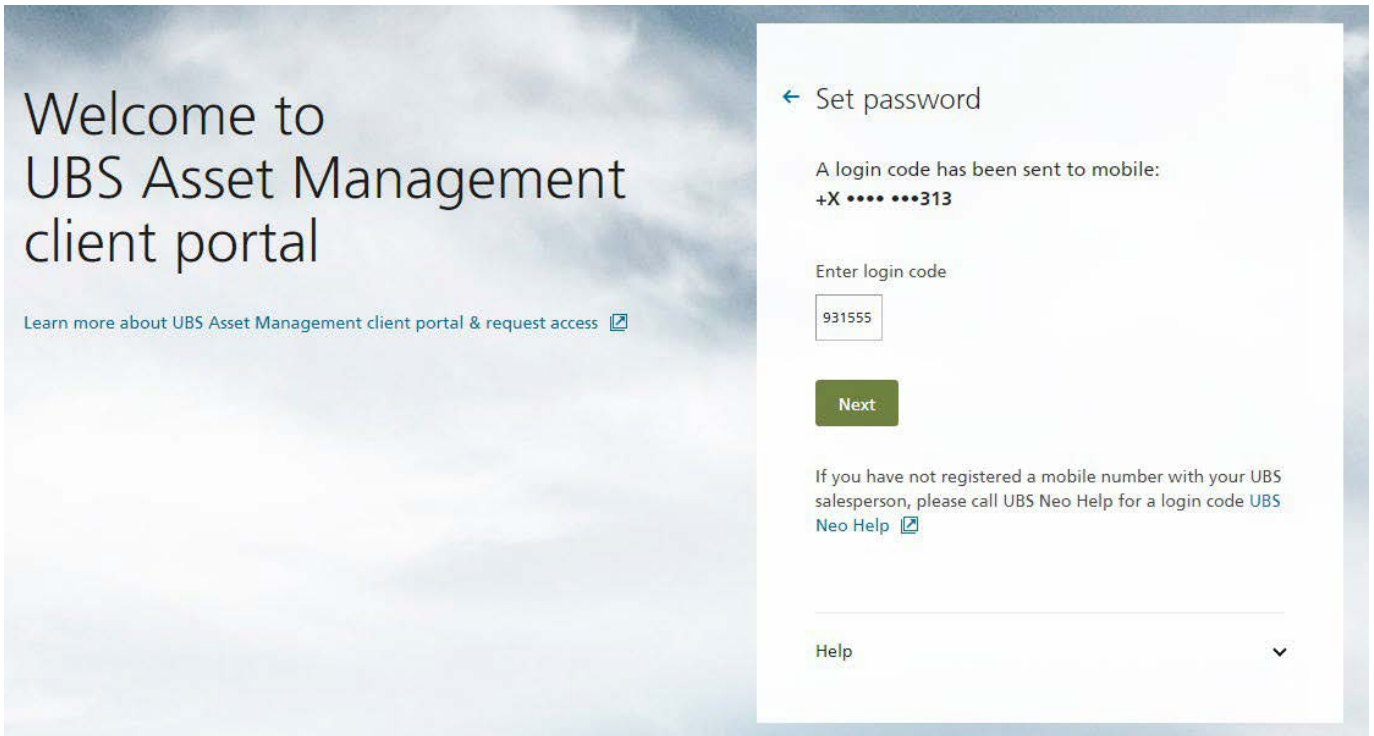
Enter the last 3 digits of your registered mobile number

[Already have the code?](#)

If you have not registered a mobile number with your UBS salesperson, please call UBS Neo Help for a login code [UBS Neo Help](#)

Help ▾

When you receive the six digits code via text message, enter it under "**Enter login code**" and click on "**Next**".



Welcome to
UBS Asset Management
client portal

[Learn more about UBS Asset Management client portal & request access](#)

← Set password

A login code has been sent to mobile:
+X •••• •••313

Enter login code

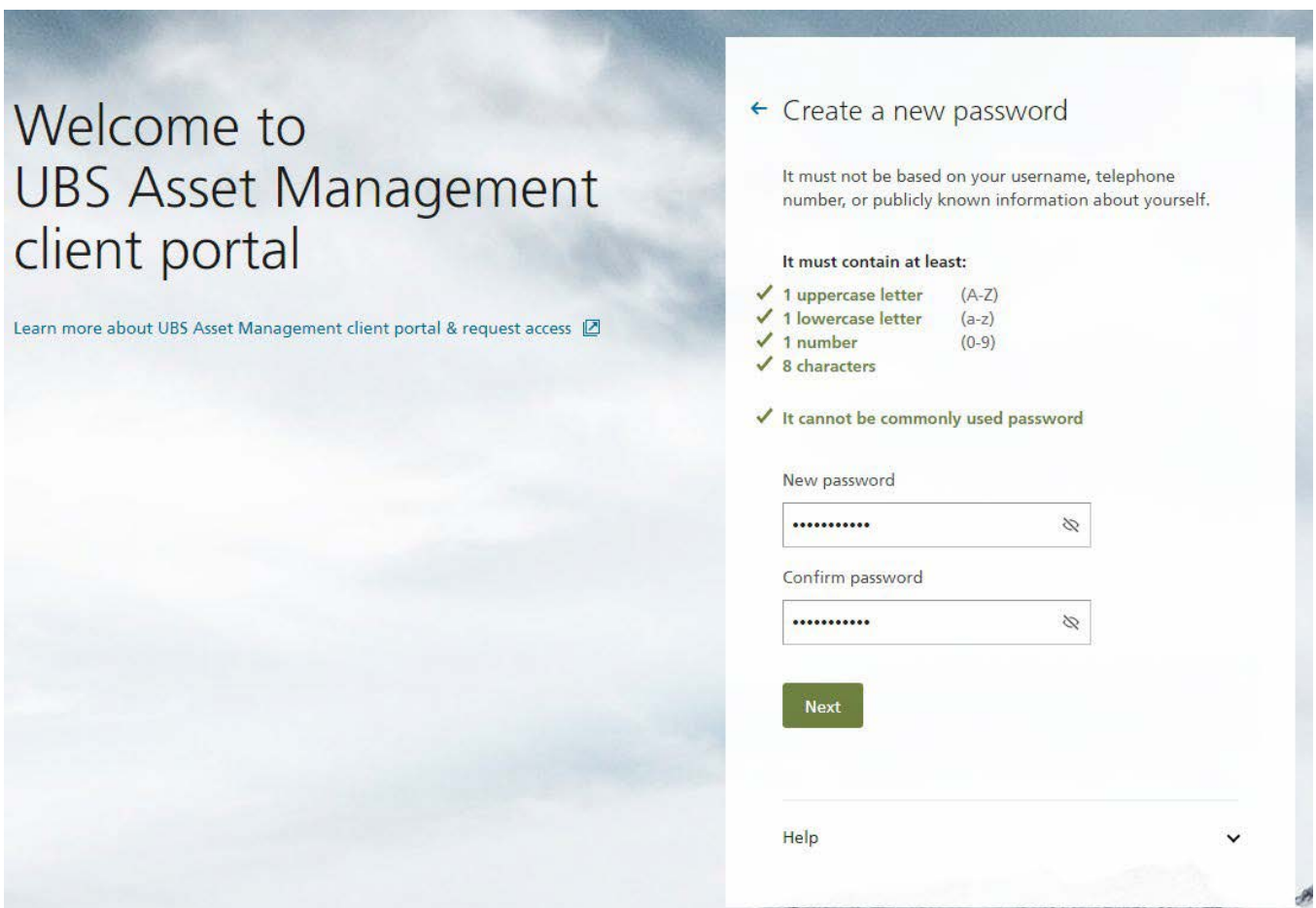
931555

Next

If you have not registered a mobile number with your UBS salesperson, please call UBS Neo Help for a login code [UBS Neo Help](#)

Help

You will then be prompted to create your password. Please follow the **minimum requirements** and enter the same password in “**New password**” and “**Confirm password**” and then click on “**Next**”.



Welcome to
UBS Asset Management
client portal

[Learn more about UBS Asset Management client portal & request access](#)

← Create a new password

It must not be based on your username, telephone number, or publicly known information about yourself.

It must contain at least:

- ✓ 1 uppercase letter (A-Z)
- ✓ 1 lowercase letter (a-z)
- ✓ 1 number (0-9)
- ✓ 8 characters

✓ It cannot be commonly used password

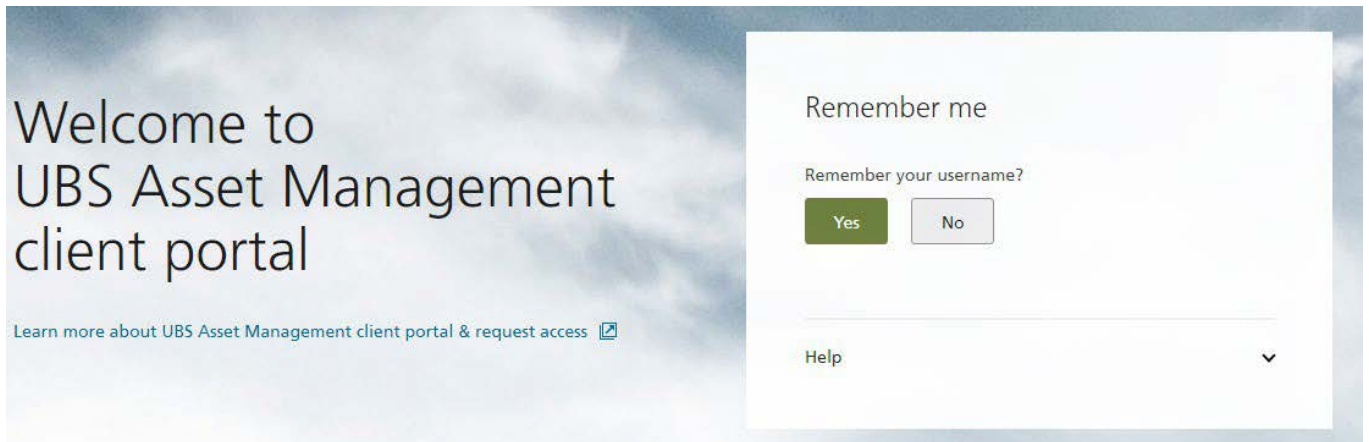
New password

Confirm password

Next

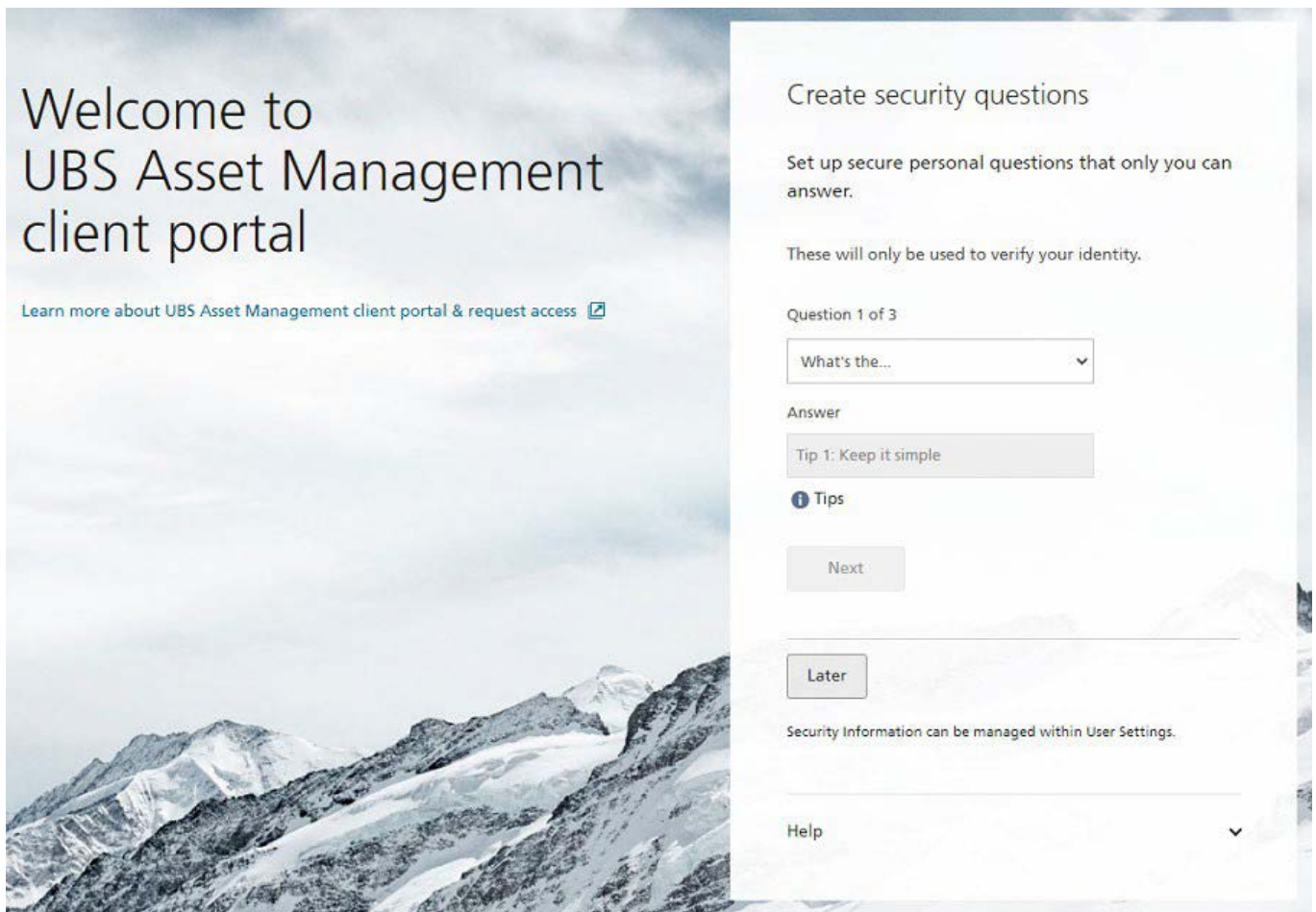
Help

You will then be asked if you want your **username** to be remembered for your next visit. Please note, this is based on the device you use to log in, therefore if you use a different device in future, you will need to go through the above process as if it were your first time logging in.



You are now required to set up **three secure personal questions** in case you cannot remember your password or to authenticate yourself when calling the UBS Neo Help. Try to keep the answers simple so you can remember them. Once done, please click on "**Next**".

Note: You can skip setting up secure personal questions by clicking the "**Later**" button. You will be prompted to set up security questions every time you log in and can only skip set up a number of times.



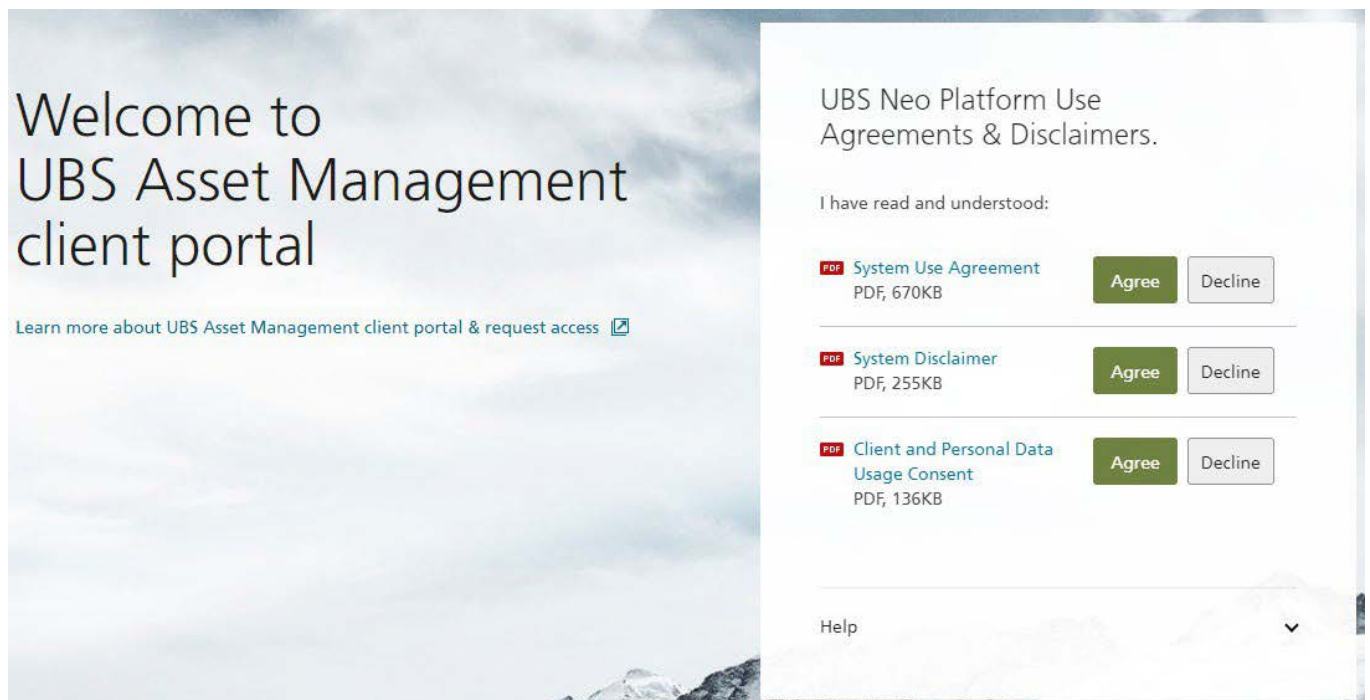
Here is the list of secure personal questions you can choose, for reference.

Question 1 of 3

What's the... ▾

- What's the...
- What was the last name of your childhood sporting hero?
- What was the name of the company where you had your first job?
- What was the first name of your favorite childhood friend?
- What was the name of your first pet?
- What was the make and model of your first car?
- What is your oldest cousin's first name?
- What is the middle name of your oldest child?
- What was your favorite vacation place as a child?
- What is the first name of your oldest nephew?
- What was the last name of your favorite teacher at school?
- Where was the destination the first time you flew on an airplane?**
- What was the first name of your best friend at school?
- In what city or town was your first job?
- What was the street name where your best friend at school lived?
- What is the first name of your oldest niece?

The final step is agreement to the UBS-AM Client Portal's Use Agreements & Disclaimers. Please read all three documents and click "**Agree**" for each.



Welcome to
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client portal

[Learn more about UBS Asset Management client portal & request access](#)

UBS Neo Platform Use Agreements & Disclaimers.

I have read and understood:

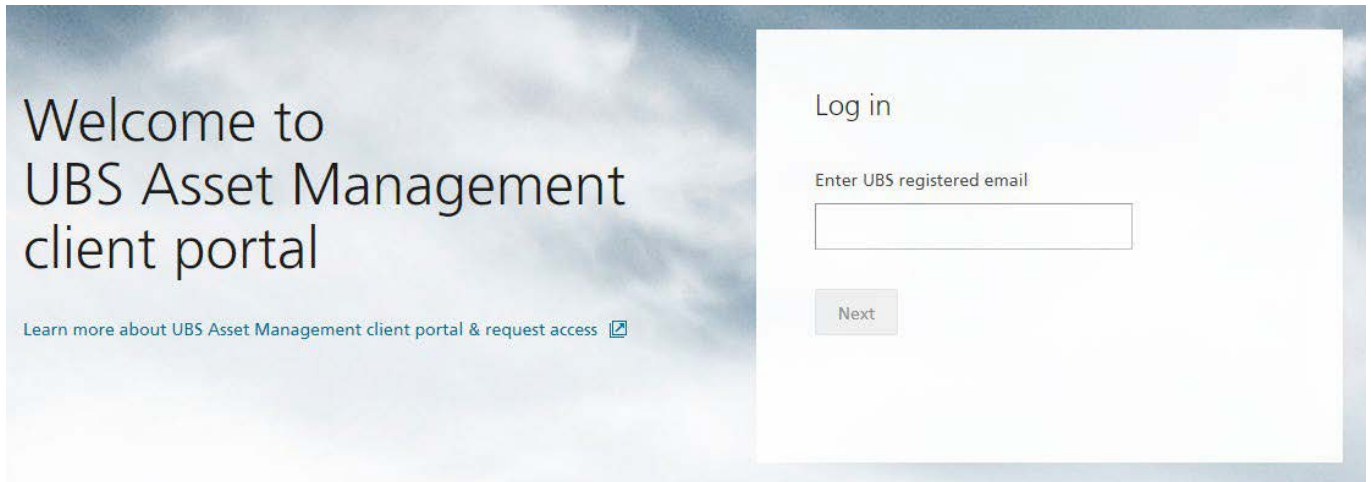
- PDF** System Use Agreement PDF, 670KB
- PDF** System Disclaimer PDF, 255KB
- PDF** Client and Personal Data Usage Consent PDF, 136KB

Help ▾

Congratulations! You now have access to UBS-AM Client Portal where you can consult and download your client reports and invoices and read our latest news and announcements.

2.2.2. If you have not registered a mobile phone number with UBS-AM

Once you click on the [link](#) from the welcome email, you will land on the below page. Enter your registered **email address** and click on "**Next**".



Welcome to
UBS Asset Management
client portal

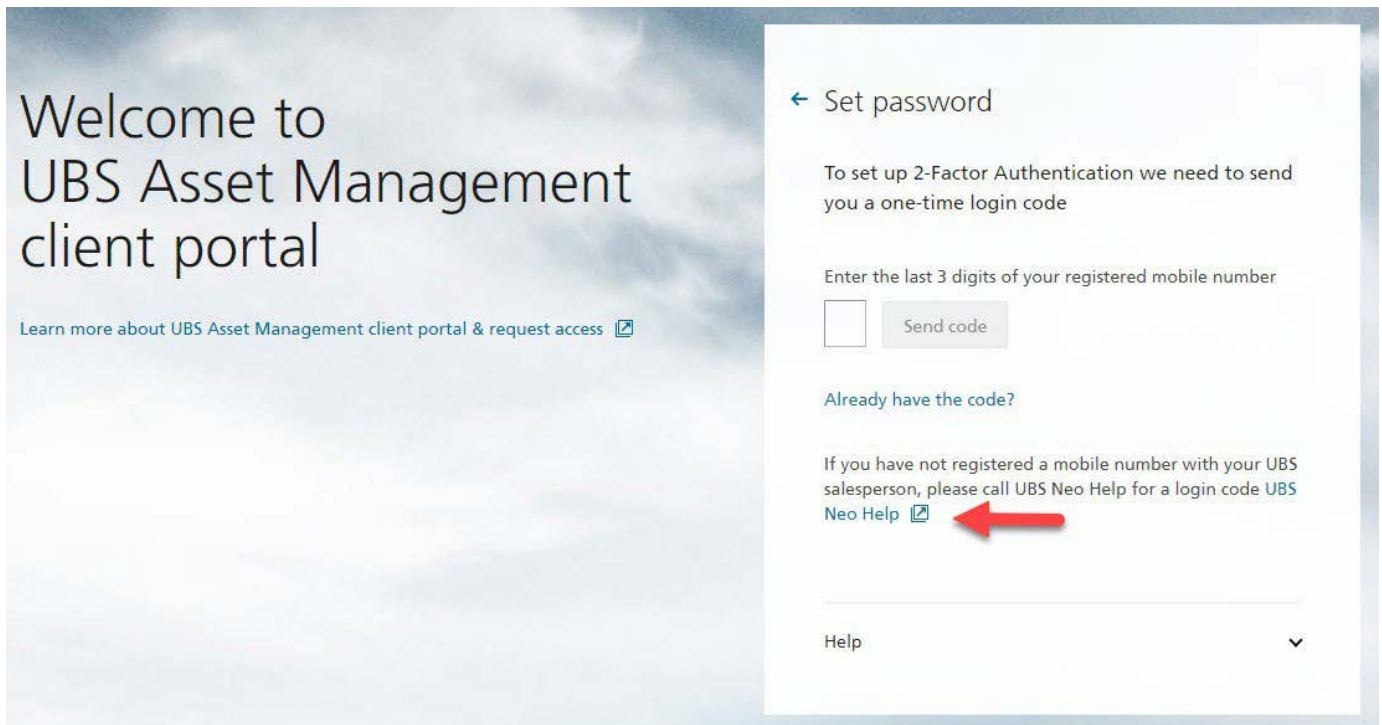
[Learn more about UBS Asset Management client portal & request access](#)

Log in

Enter UBS registered email

Next

Since you have not registered a mobile phone number with UBS, you need to **contact UBS Neo Help** via email ubsneohelp@ubs.com or via phone +12013521278 to receive your login code.



Welcome to
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← Set password

To set up 2-Factor Authentication we need to send you a one-time login code

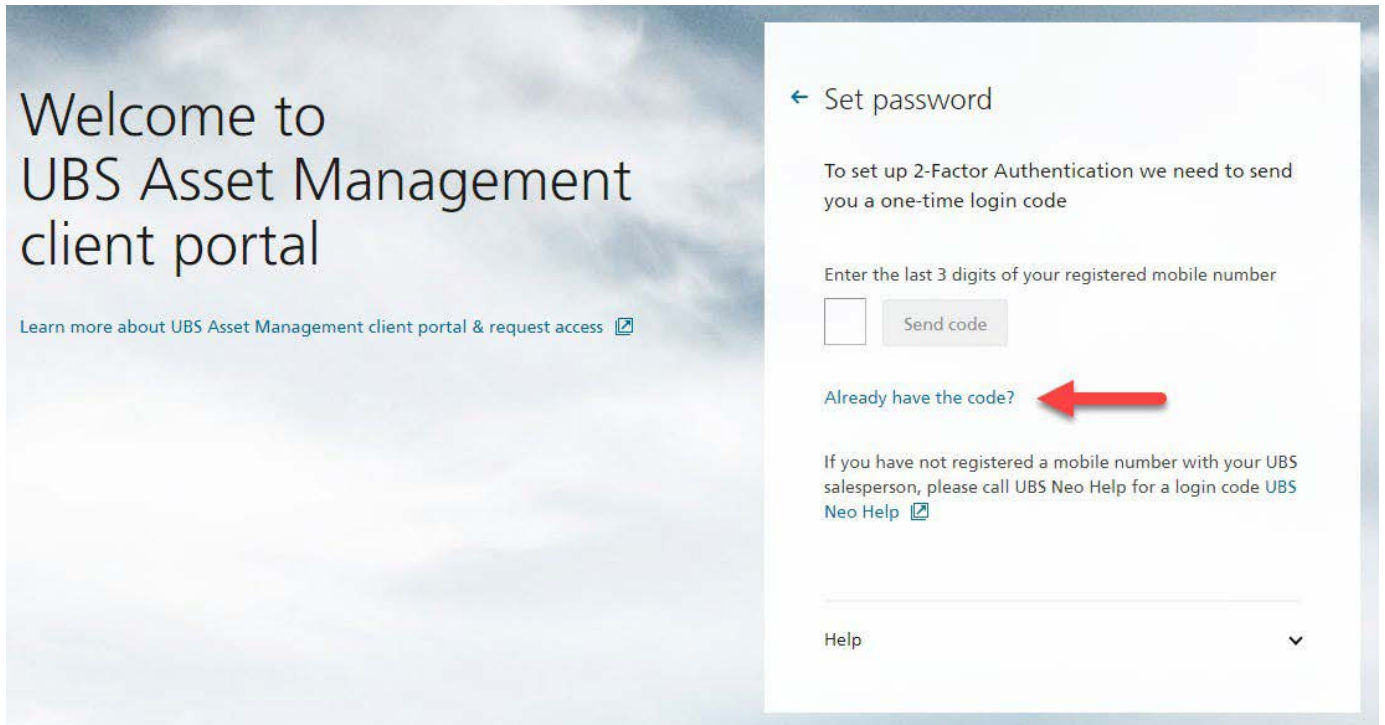
Enter the last 3 digits of your registered mobile number

Already have the code?

If you have not registered a mobile number with your UBS salesperson, please call UBS Neo Help for a login code [UBS Neo Help](#)

Help ▾

Once you have received the login code, please click on "**Already have the code?**".



Welcome to
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[Learn more about UBS Asset Management client portal & request access](#)

← Set password

To set up 2-Factor Authentication we need to send you a one-time login code

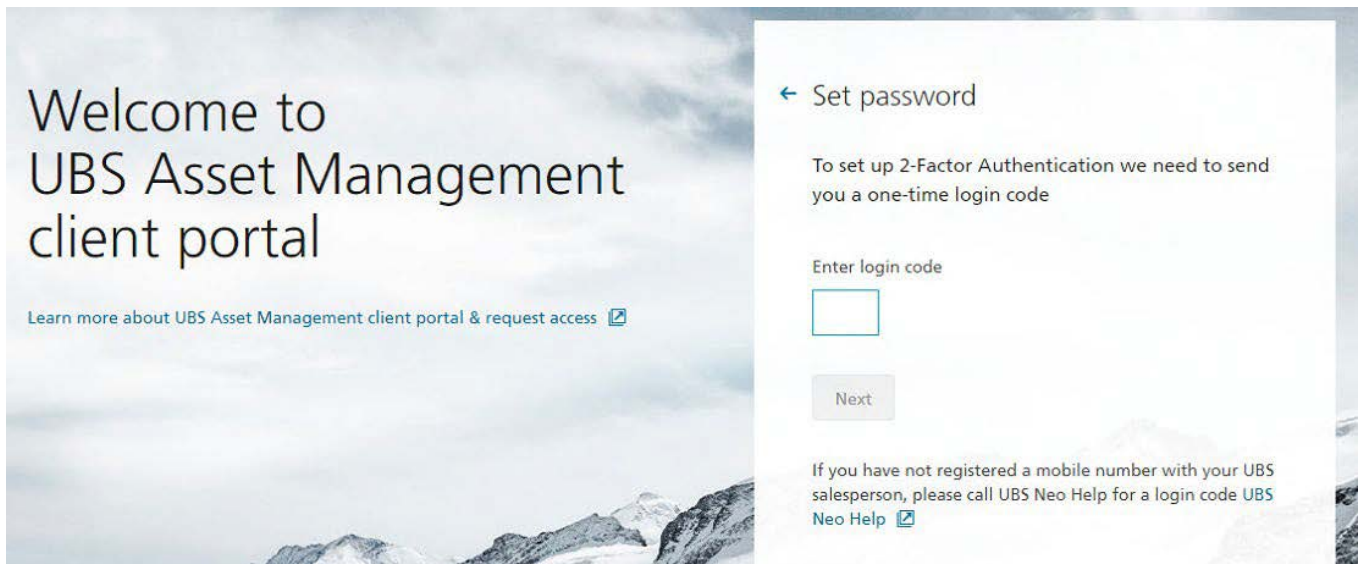
Enter the last 3 digits of your registered mobile number

[Already have the code?](#)

If you have not registered a mobile number with your UBS salesperson, please call UBS Neo Help for a login code [UBS Neo Help](#)

Help

Enter the login code under “**Enter login code**” and click on “**Next**”.



Welcome to
UBS Asset Management
client portal

[Learn more about UBS Asset Management client portal & request access](#)

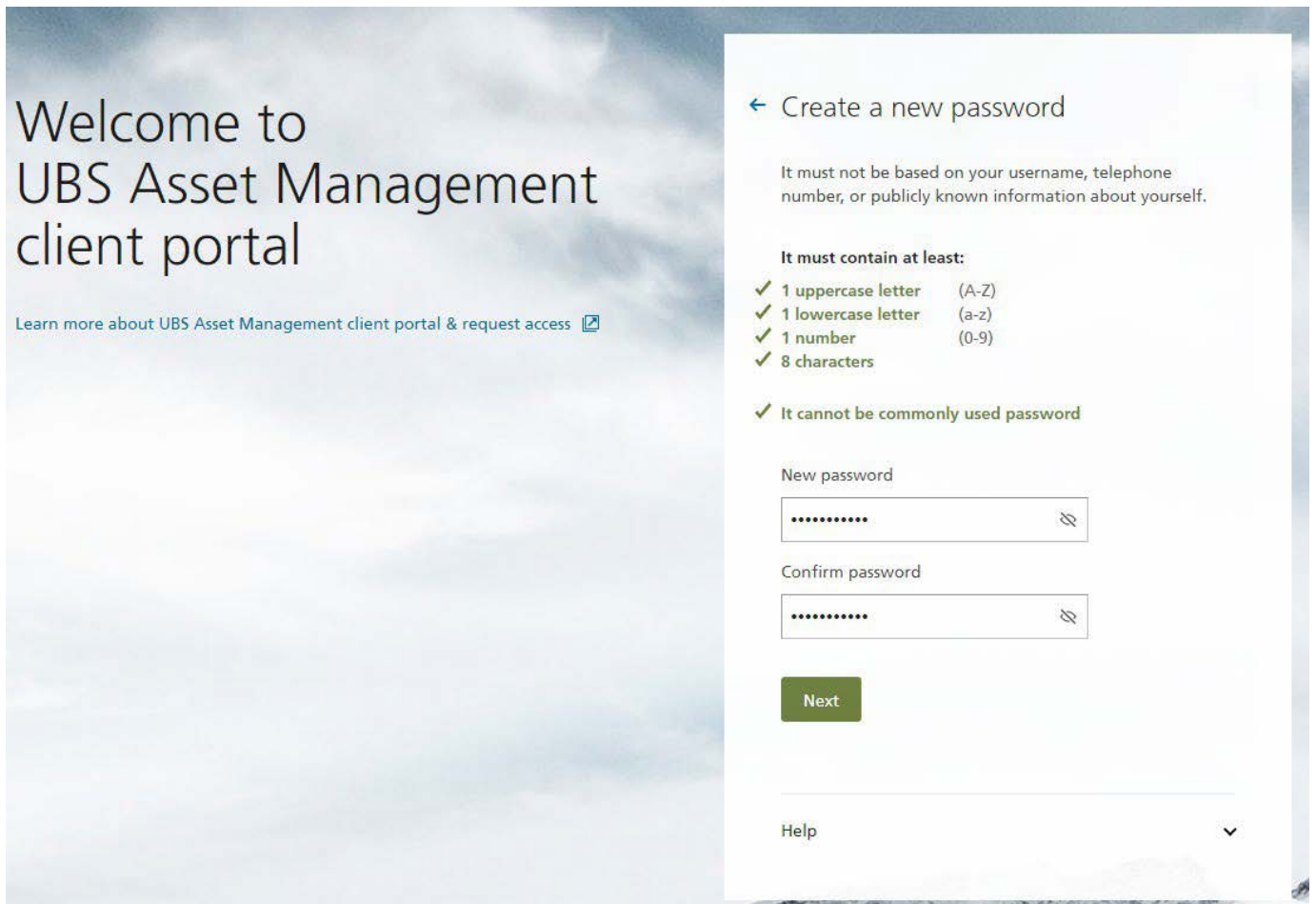
← Set password

To set up 2-Factor Authentication we need to send you a one-time login code

Enter login code

If you have not registered a mobile number with your UBS salesperson, please call UBS Neo Help for a login code [UBS Neo Help](#)

You will then be prompted to create your password. Please follow the **minimum requirements** and enter the same password in “**New password**” and “**Confirm password**” and then click on “**Next**”.



Welcome to
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← Create a new password

It must not be based on your username, telephone number, or publicly known information about yourself.

It must contain at least:

- ✓ 1 uppercase letter (A-Z)
- ✓ 1 lowercase letter (a-z)
- ✓ 1 number (0-9)
- ✓ 8 characters

✓ It cannot be commonly used password

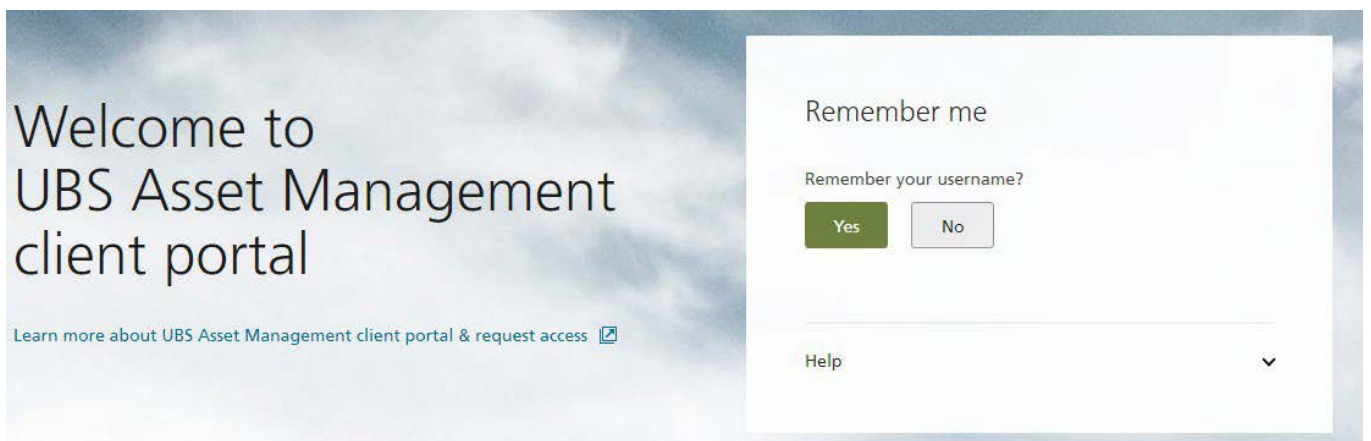
New password

Confirm password

Next

Help

You will then be asked if you want your **username** to be remembered for your next visit. Please note, this is based on the device you use to log in, therefore if you use a different device in future, you will need to go through the above process as if it were your first time logging in.



Welcome to
UBS Asset Management
client portal

[Learn more about UBS Asset Management client portal & request access](#)

Remember me

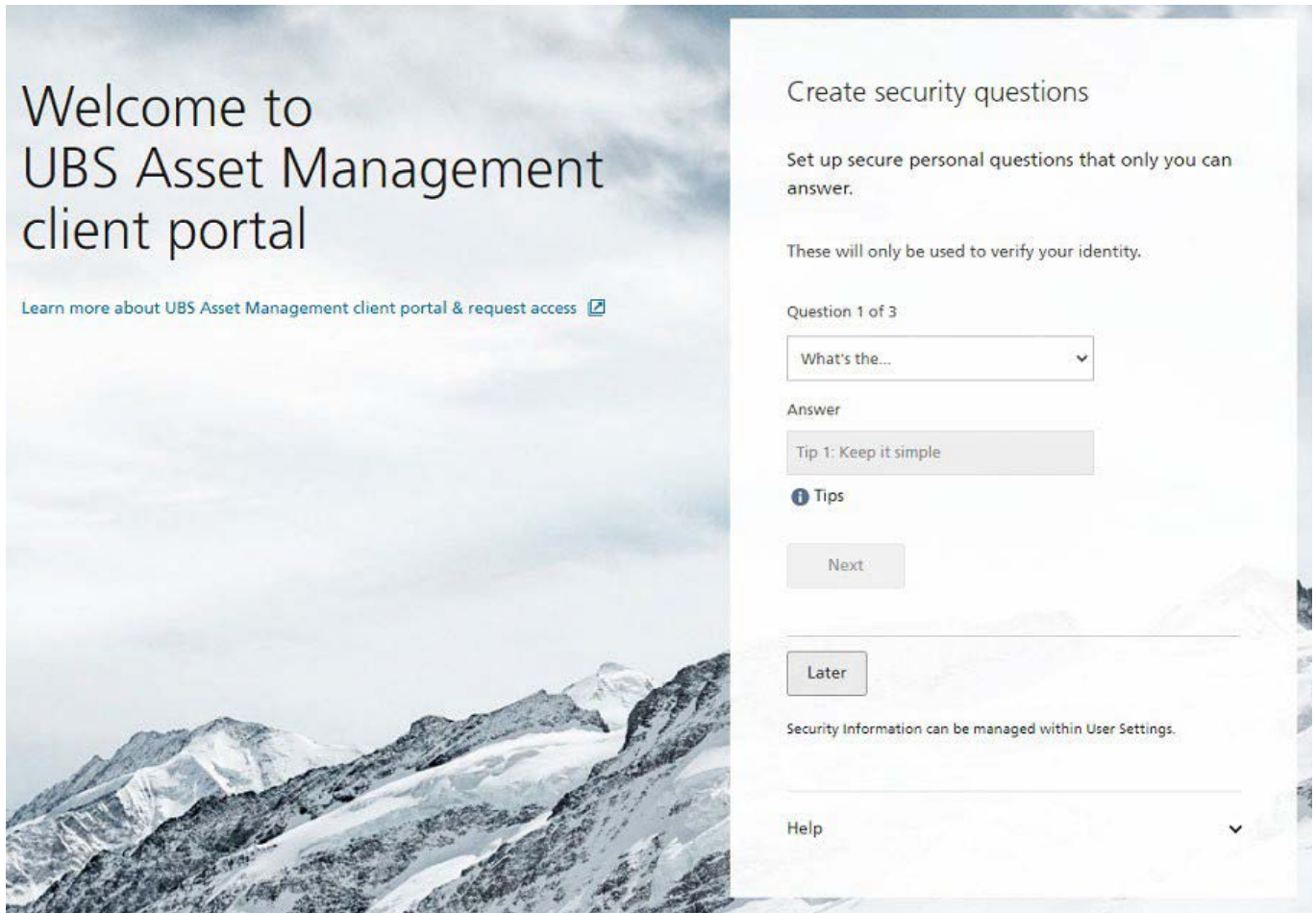
Remember your username?

Yes No

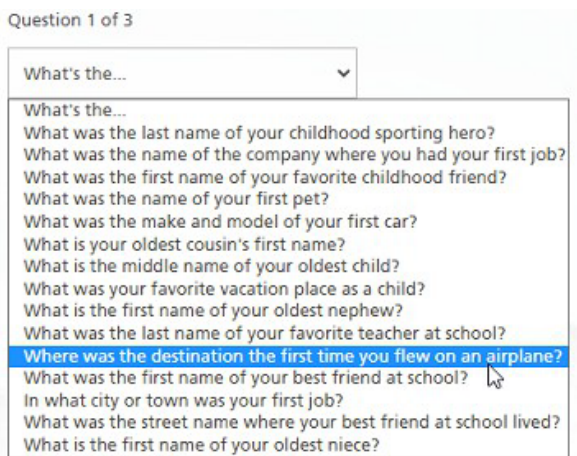
Help

You are now required to set up **three secure personal questions** in case you cannot remember your password or to authenticate yourself when calling the UBS Neo Help. Try to keep the answers simple so you can remember them. Once done, please click on **“Next”**.

Note: You can skip setting up secure personal questions by clicking the **“Later”** button. You will be prompted to set up security questions every time you log in and can only skip set up a number of times.



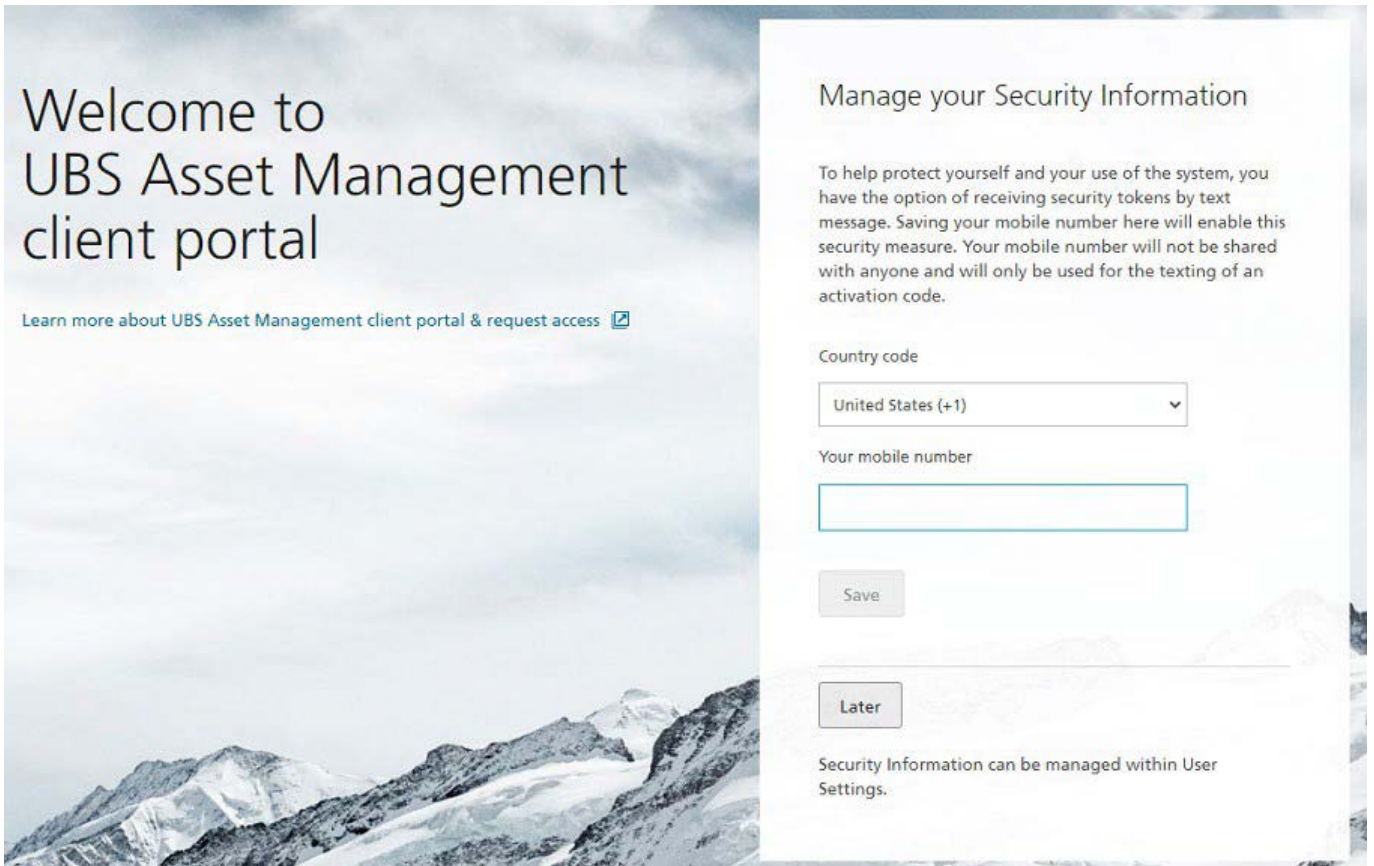
Here is the list of secure personal questions you can choose, for reference.



You will then be prompted to enter your **mobile phone number**.

This is to help protect yourself and your use of the UBS-AM Client Portal (e.g. to receive security tokens by text message) and we strongly recommend you provide your mobile number.

Once done, please click on "**Save**".



Welcome to UBS Asset Management client portal

[Learn more about UBS Asset Management client portal & request access](#)

Manage your Security Information

To help protect yourself and your use of the system, you have the option of receiving security tokens by text message. Saving your mobile number here will enable this security measure. Your mobile number will not be shared with anyone and will only be used for the texting of an activation code.

Country code

United States (+1)

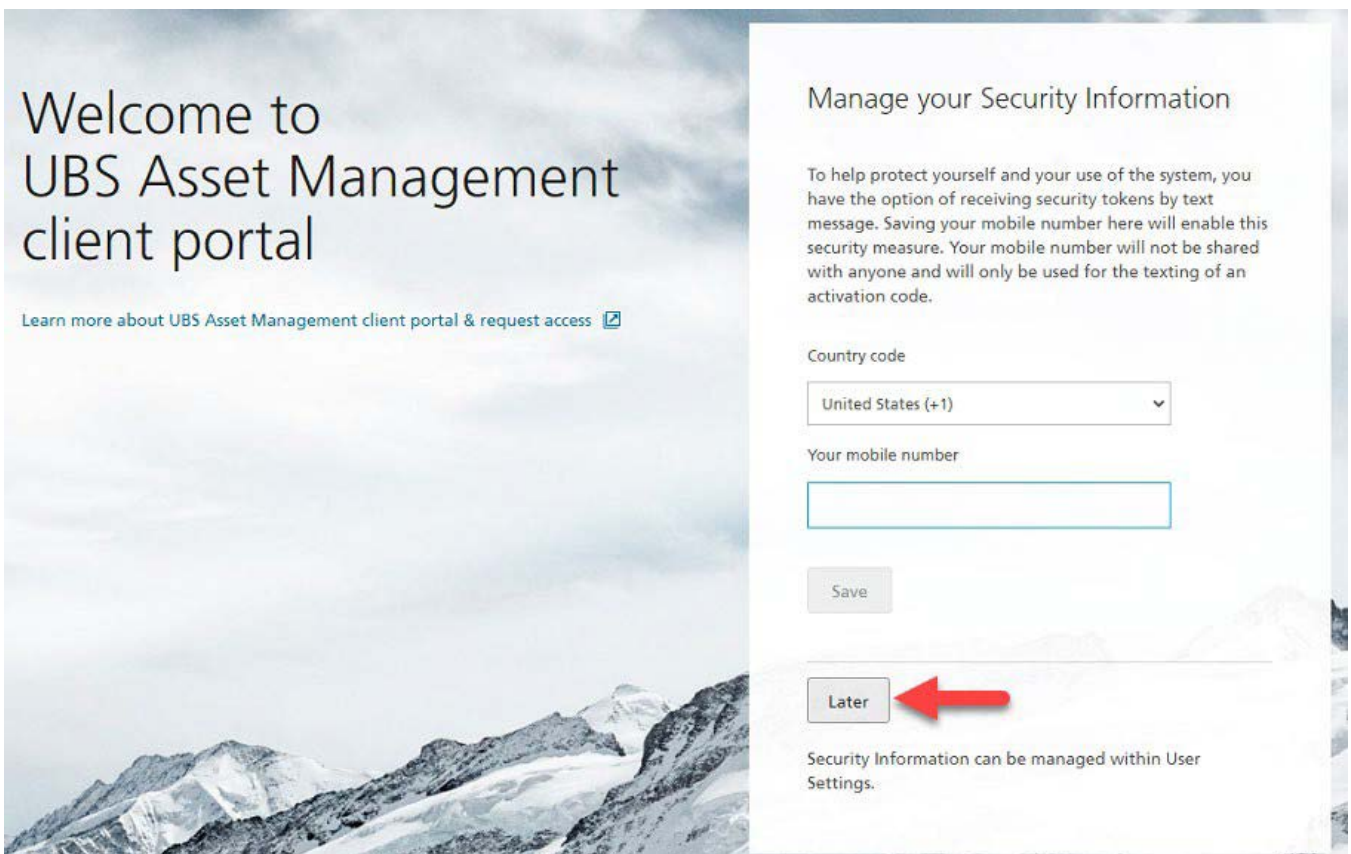
Your mobile number

Save

Later

Security Information can be managed within User Settings.

Note: You can skip entering your mobile phone number by clicking the **“Later”** button. You will be prompted to enter your mobile phone number the second time you log back in and you can again click the **“Later”** button.



Welcome to UBS Asset Management client portal

[Learn more about UBS Asset Management client portal & request access](#)

Manage your Security Information

To help protect yourself and your use of the system, you have the option of receiving security tokens by text message. Saving your mobile number here will enable this security measure. Your mobile number will not be shared with anyone and will only be used for the texting of an activation code.

Country code

United States (+1)

Your mobile number

Save

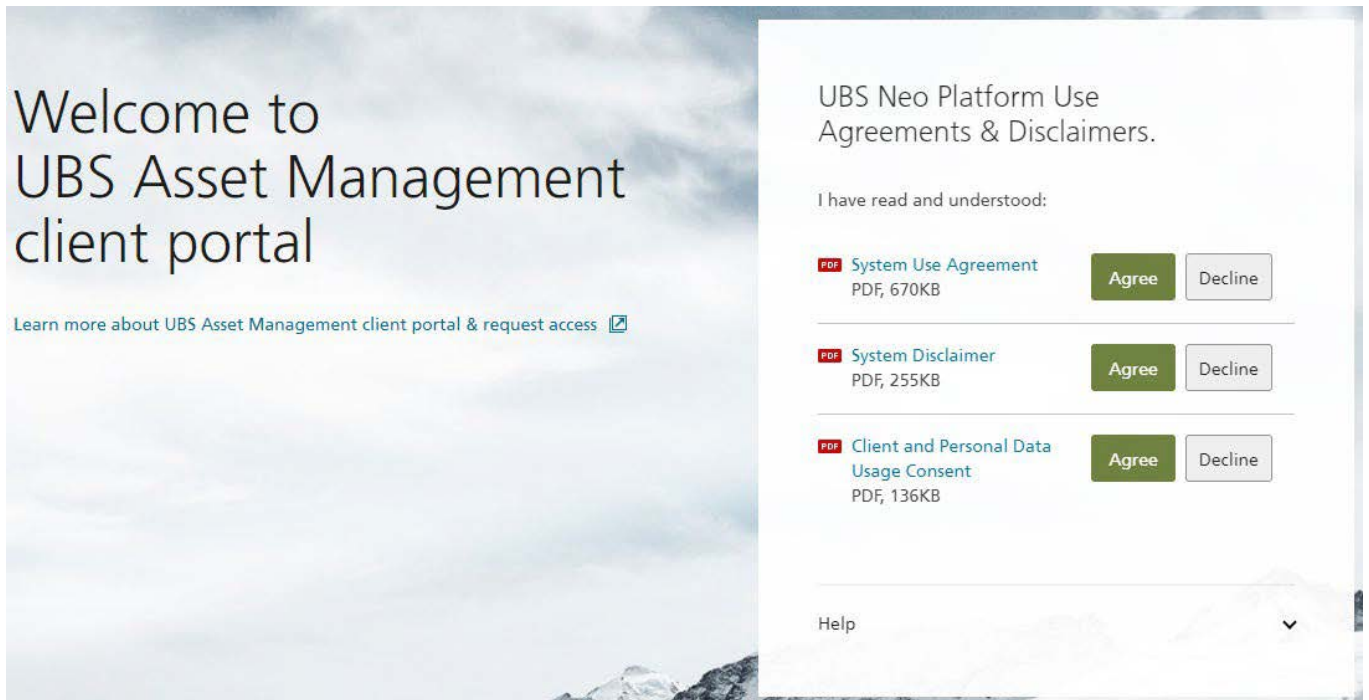
Later

Security Information can be managed within User Settings.

On the third attempt to log in, you can skip this prompt permanently by clicking on **“No Thanks – Don’t show again”**.

No Thanks - Don't show again

The final step is agreement to the UBS-AM Client Portal’s Use Agreements & Disclaimers. Please read all three documents and click **“Agree”** for each.

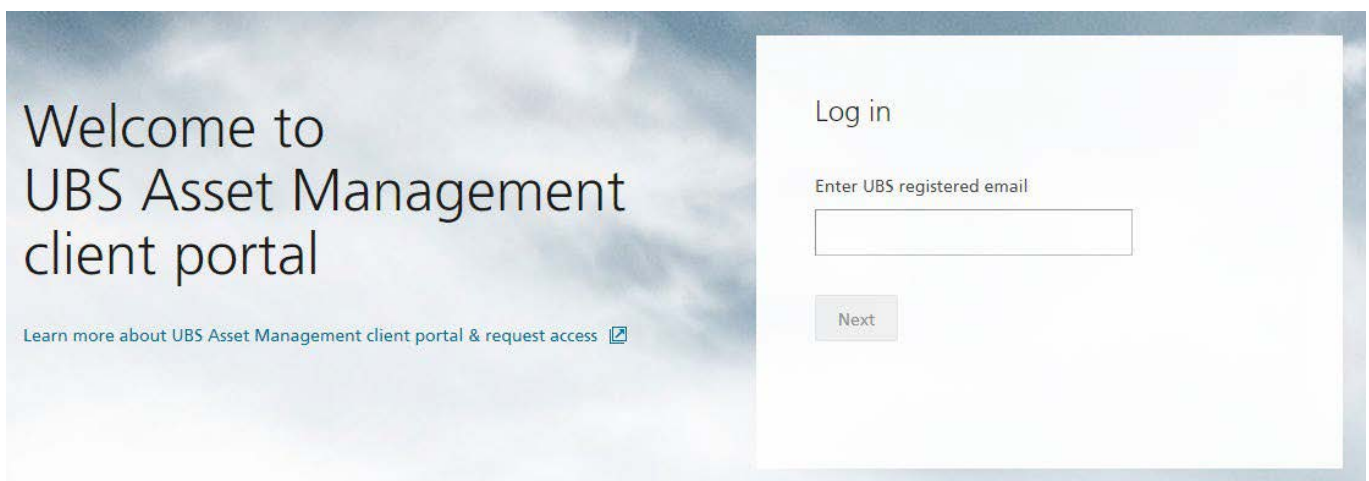


Congratulations! You now have access to UBS-AM Client Portal where you can consult and download your client reports and invoices and read our latest news and announcements.

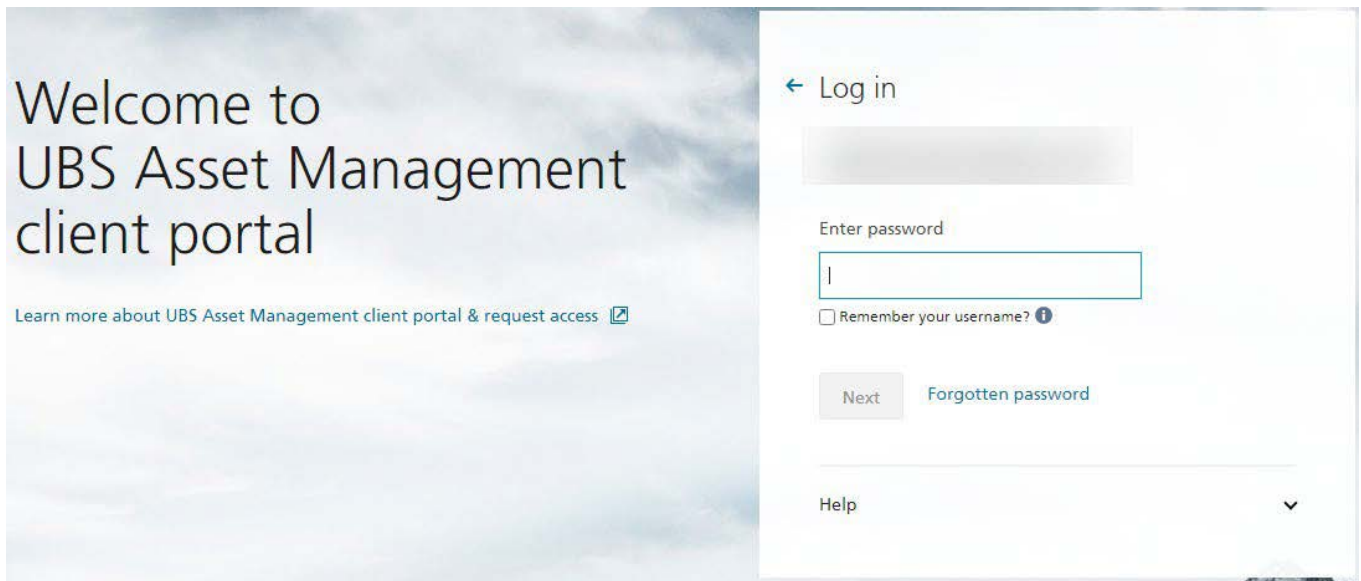
3. Logging in

Visit UBS Asset Management Client Portal : <https://neo.ubs.com/am/home>

Enter your **email address** and click on **“Next”**.



Enter your **password** and click on “**Next**”.



Welcome to
UBS Asset Management
client portal

[Learn more about UBS Asset Management client portal & request access](#)

← Log in

Enter password

Remember your username? ⓘ

Next [Forgotten password](#)

Help

4. Navigation

4.1. Home tab

The Home tab consists of **five sections**.

The **first section** is where we publish our **news and announcements**, including link to research reports. When clicking on “**Read more**”, a pop-up will appear where you will find more information and sometimes a link to a more detailed report.


The **second section** is where you can find your ten latest **published documents**. You can click on the PDF (or Excel) icon to open the document.

The **third section** provides you with our main contacts in “**General inquiries**” as well as our technical support in “**Technical support and help**”.

The **fourth section** is similar to the first section and you can find **all published news and announcements**.

The **fifth section** consists of the **world main indices’ valuation** (as at prior working day close) and **performance** (vs prior working day).

1



Macro Monthly: From peak inflation to higher trend inflation

Over the coming weeks, we expect the market will be whipsawed by inflation cross-currents and competing narratives.

[Read more >](#)

3

Contact Us

General inquiries

Technical support and help

Latest Account Documents 2

Your Client Account's most recently published documents

Client	Account	Document Type	As of Date	Published	Type
		Invoice	11-Jul-2022	12-Jul-2022	
		Invoice	02-May-2022	12-Jul-2022	
		Preliminary Client Holdings	07-Jul-2022	08-Jul-2022	
		Invoice	07-Jul-2022	08-Jul-2022	
		Client Holdings	07-Jul-2022	08-Jul-2022	
		Preliminary Client Holdings	30-Jun-2022	08-Jul-2022	
		Client Holdings	30-Jun-2022	08-Jul-2022	
		Invoice	08-Jun-2022	08-Jul-2022	
		Invoice	07-Jun-2022	08-Jul-2022	
		Invoice	31-Mar-2022	08-Jul-2022	

[All Documents >](#)

4

News & Announcements

Macro Monthly: From peak inflation to higher trend inflation
23-May-2022

O'Connor CIO letter: Navigating a challenging macro risk environment
23-May-2022

A new world order
31-Mar-2021

Emerging Markets: Beyond GDP Growth
31-Mar-2021

Macro Monthly
31-Mar-2021

[All News & Announcements >](#)

5

Daily Indices


S&P 500	4,460.83	0.85%	↑
DJIA	35,515.38	0.04%	↑
Nasdaq Comp	14,822.90	0.04%	↑

4.2. Strategies & Products tab

The **Strategies & Products** tab redirects you to UBS Asset Management [website's capabilities section](#) when clicking on **Product Offering**.

You will find details of our offering, from actively managed to indexed strategies across the asset class spectrum.

Our product features and offering



Product Offering

Discover our wide range of multi-manager strategies with various risk and return profiles, delivering the best of our capabilities to you.

4.3. Documents tab

The Documents tab consists of 3 sub-tabs: **News Archive**, **Client Documents** and **Legal Documents**.

4.3.1. News Archive

This is where you can search for specific **news and announcements** and **filter on the date range** you want. News and announcements will be displayed starting from the most recent publication on top.

Home Strategies & Products Documents Alerts

News Archive Client Documents Legal Documents

Search the News & Announcements archive

Date: 30-Aug-12 to 30-Aug-22

- 1M
- 3M
- 6M
- YTD
- 1Y
- 3Y
- 5Y
- 10Y

From: 30 Aug 12

To: 30 Aug 22

August 2012

Mo	Tu	We	Th	Fr	Sa	Su
30	31	1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31	1	2

OK

Title	Published
Macro Monthly: From peak inflation to higher trend inflation	23-May-2022
O'Connor CIO letter: Navigating a challenging macro risk environment	23-May-2022
A new world order	31-Mar-2021
Emerging Markets: Beyond GDP Growth	31-Mar-2021
Macro Monthly	31-Mar-2021
Panorama: Investing in 2021	31-Mar-2021
Sustainable Finance	31-Mar-2021

4.3.2. Client Documents

Here, you can find **all your documents** (e.g. Invoice, Client Holdings, etc.) by filtering on a **specific date range**. In addition, you can filter on the **type of document** you want to see and if you have multiple accounts, you can also filter the **account** you want to display.

All these filters can be saved and you have the option to edit or restore the default filters.

Finally, same as the Home tab, you can click on the PDF (or Excel) icon to open the document. In the last column, you can also select one or multiple documents and download them in a Zip file.

Home Strategies & Products Documents Alerts

News Archive Client Documents Legal Documents

As of Date: 30 May 22 to ... Download

Select saved Filter Client: Account: Document Type: All GO [Restore Default](#) [Save Filters](#) [Edit Filters](#)

Client	Account	Document Type	As of Date	Published	Type	Select
		Invoice	11-Jul-2022	12-Jul-2022		<input type="checkbox"/>
		Client Holdings	07-Jul-2022	08-Jul-2022		<input type="checkbox"/>
		Invoice	07-Jul-2022	08-Jul-2022		<input type="checkbox"/>

4.3.3. Legal Documents

The last sub-tab consist of **legal documents** where you can find documents such as subscription agreement, investment management agreement, side letter, etc.

Similarly to the Client Documents sub-tab, you can filter on a **specific date range**.

In addition, you can filter on the **type of document** you want to see and if you have multiple accounts, you can also filter the **account** you want to display.

All these filters can be saved and you have the option to edit or restore the default filters.

Finally, same as the Home tab, you can click on the PDF (or Excel) icon to open the document. In the last column, you can also select one or multiple documents and download them in a Zip file.

Home Strategies & Products Documents Alerts

News Archive Client Documents **Legal Documents**

As of Date: 12 Mar 20 to 30 Aug 22 Download

Select saved Filter Client: Account: Document Type: All **GO** Restore Default Save Filters Edit Filters

Client	Account	Product	Document Type	As of Date	Published	Type	Select
			Fee Payment Authorization and Instructions Document	04-Dec-2020	17-Feb-2021		<input type="checkbox"/>
			Side Letter	13-Mar-2020	16-Feb-2021		<input type="checkbox"/>
			Subscription Agreement	12-Mar-2020	16-Feb-2021		<input type="checkbox"/>

4.4. Alerts tab

You can set up **Alerts** under Alerts tab and change the **Frequency** (Daily, Weekly, or Monthly) as required.

Home Strategies & Products Documents **Alerts**

Set up automatic alerts

All alerts will be sent to your pre-registered email address

Notify me about...		Current day snapshot	Frequency	Registered emails	Enable
Account Information	Latest Documents		Daily: end of occurring... ▼	1 <input type="text"/>	<input type="radio"/> OFF
Account Information	Latest Documents		Daily: end of occurring... ▼ Daily: end of occurring business day Weekly: every ▶ Monthly: every ▶	1 <input type="text"/> Monday Tuesday Wednesday Thursday Friday	<input type="radio"/> OFF

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To **enable** the alerts, move the slider from left to right or click on **"OFF"** under the **Enable** column.

Set up automatic alerts

 All alerts will be sent to your pre-registered email address

Notify me about...		Current day snapshot	Frequency	Registered emails	Enable
Account Information	Latest Documents		Daily: end of occurring... ▼	1 <input type="text"/>	<input type="radio"/> OFF

The colour will change to green and will now show **"ON"**. It will also create a button above showing the alerts are currently **ACTIVE**.

Set up automatic alerts

 All alerts will be sent to your pre-registered email address

 Your alerts are currently **ACTIVE**

Notify me about...		Current day snapshot	Frequency	Registered emails	Enable
Account Information	Latest Documents		Daily: end of occurring... ▼	1 <input type="text"/>	<input checked="" type="radio"/> ON

You can **disable** your alerts at any time by clicking on **"ON"**.

Set up automatic alerts

 All alerts will be sent to your pre-registered email address

 Your alerts are currently **ACTIVE**

Notify me about...		Current day snapshot	Frequency	Registered emails	Enable
Account Information	Latest Documents		Daily: end of occurring... ▼	1 <input type="text"/>	<input type="radio"/> OFF

Finally, you can **suspend** your alerts by clicking on the **"ACTIVE"** button. To **re-activate** them, simply click again on the same button.

Set up automatic alerts

 All alerts will be sent to your pre-registered email address

 Your alerts are currently **SUSPENDED**

Notify me about...		Current day snapshot	Frequency	Registered emails	Enable
Account Information	Latest Documents		Daily: end of occurring... ▼	1 <input type="text"/>	<input checked="" type="radio"/> ON

Set up automatic alerts

All alerts will be sent to your pre-registered email address

Your alerts are currently SUSPENDED

Notify me about...		Current day snapshot	Frequency	Registered emails	Enable
Account Information	Latest Documents		Daily: end of occurring... ▼	1 <input type="text"/>	<input type="radio"/> OFF

Here is an example of an email notification you will receive.

UBS Asset Management - Accounts Latest Documents - your daily update


 ubs-am-client-portal (UBS Asset Management client portal)
 To

ⓘ If there are problems with how this message is displayed, click here to view it in a web browser.




Asset Management client portal

12-Aug-2022 | 06:56

Latest Document update



Document Type	As of Date	Published On	Type
Client Account Fee Details	30-Jun-2022	11-Aug-2022 06:08:13 PM	

[View the most recently available documents](#) relating to your Accounts.

You can configure how you are notified by the client portal. Simply [change your Alerts preferences](#).

For more information on the portal, please contact your UBS Client Relationship Manager or visit our [Internet page](#).

You have received this email because either:

- i. As a registered user of the UBS Asset Management client portal, based on your chosen settings in the UBS Asset Management client portal, and agreement by you that the use of this email address is both appropriate and correct; or
- ii. A registered user of the UBS Asset Management client portal has submitted your email address in their chosen settings in the UBS Asset Management client portal and has confirmed that the use of this email address is both appropriate and correct.

Should you believe that you have received this email in error:

- i. If you are a registered user of the UBS Asset Management client portal, please login to the UBS Asset Management client portal and amend your Alert settings; or
- ii. If you are not a registered user of the UBS Asset Management client portal, but have therefore received it because of the settings entered by a registered user on your behalf, please contact us at UBSNeoHelp@ubs.com and we will deactivate future emails.

Emails can involve SUBSTANTIAL RISKS, e.g. lack of confidentiality, potential manipulation of contents and/or sender's address, incorrect recipient (misdirection), viruses etc.

UBS assumes no responsibility for any loss or damage resulting from the use of emails.

UBS reserves the right to retain and monitor all messages. Messages are protected and accessed only in legally justified cases.

Privacy statements: <http://www.ubs.com/global/en/legalinfo2/privacy.html>

5. Frequently Asked Questions

5.1. First time logging in

5.1.1. I do not want to provide my mobile phone number. Can I still log in?

To help protect yourself and your use of the UBS-AM Client Portal, we strongly recommend that you provide your mobile number in order to receive security tokens by text message.

You can still log in without a mobile phone number by contacting UBS Neo Help via email ubsneohelp@ubs.com or via phone +12013521278 in order to receive your login code.

5.1.2. I do not want to set up secure personal questions. Can I still log in?

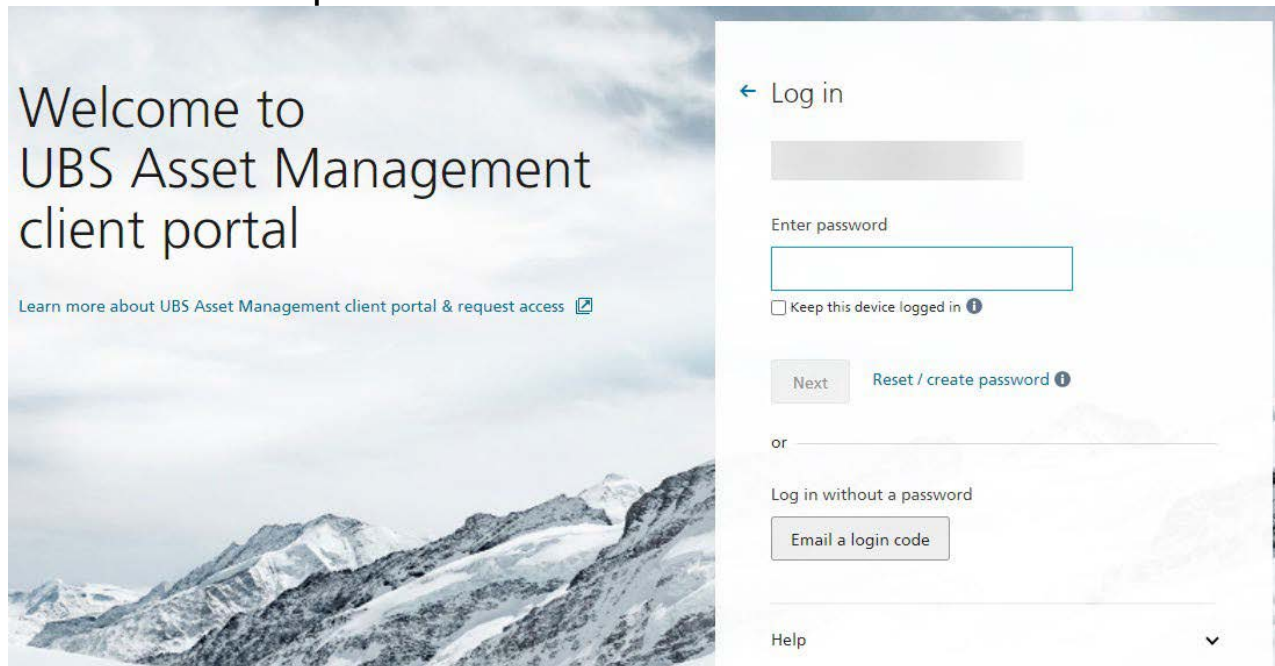
You can skip setting up secure personal questions by clicking the "Later" button. Please note you will be prompted to set these up every time you log back in and you can only skip the set up for a number of times, afterwards you will need to set them up in order to log in.

5.2. Logging in

5.2.1. My password has expired. What should I do?

For security reasons, your password expires every 180 days or after 90 days of absence. You need to **reset your password** by either receiving a security token by text message or contacting the UBS Neo Help via email ubsneohelp@ubs.com or via phone +12013521278 in order to receive your login code.

Click on "**Reset / create password**".



Welcome to
UBS Asset Management
client portal

[Learn more about UBS Asset Management client portal & request access](#)

← Log in

Enter password

Keep this device logged in

Next [Reset / create password](#)

or

Log in without a password

[Email a login code](#)

Help