

UNITED STATES DISTRICT COURT
DISTRICT OF CONNECTICUT

FILED

UNITED STATES

JUDGMENT

V.

CASE NO. 3:12-CR-268 (RNC) 8 P 3:43

UBS SECURITIES JAPAN CO., LTD.

US DISTRICT COURT
HARTFORD CT

Government's Counsel:
Daniel A. Braun
Thomas B.W. Hall
Luke Marsh
Sandra L. Moser
Fraud Section, Criminal Division
U.S. Department of Justice
1400 New York Avenue, N.W. Suite 4100
Washington, DC 20005

Defendant's Counsel:
Gary R. Spratling
David P. Burns
Gibson, Dunn & Crutcher, LLP
1050 Connecticut Avenue, N.W.
Washington, DC 20036-5303

UBS Securities Japan Co., LTD, acting by its duly authorized representative, pleaded guilty to Count One of the Information. Accordingly, the defendant is adjudicated guilty of the following offense:

<u>Title & Section</u>	<u>Nature of Offense</u>	<u>Offense Concluded</u>	<u>Count</u>
18 U.S.C. §§ 1343 and 2	Wire Fraud	2009	One

The following sentence is imposed pursuant to the Sentencing Reform Act of 1984.

The defendant will pay a fine of \$100 million and a special assessment of \$400. Payment will be within 10 days to the Clerk of Court, United States District Court, District of Connecticut.

DATE: September 18, 2013
Date of Imposition of Sentence

/s/ Robert N. Chatigny, USDJ

Robert N. Chatigny, United States District Judge
Date: September 18, 2013

RETURN

I have executed this judgment as follows:

Defendant delivered on _____ to _____

at _____, with a certified copy of this judgment.

Joseph P. Faughnan
United States Marshal

By _____
Deputy Marshal

**CERTIFIED AS A TRUE COPY
ON THIS DATE _____
Roberta D. Tabora, Clerk
BY: _____
Deputy Clerk**