

UBS Yield Enhancement Strategy (YES) Investigation & Lawsuit "FINRA"

Haselkorn & Thibaut continues to investigate investor losses from UBS Yield Enhancement Strategy and similar investments at other broker-dealers.

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Investors who experienced losses in the UBS Yield Enhancement Strategy ("YES Strategy") offered by UBS Financial Services, Inc. and similar programs recommended by other firms including the Merrill Lynch Collateral Yield Enhancement Strategy ("CYES") managed by Harvest Volatility

Management, LLC, continue to inquire about their legal rights and the possibility recovering their investment losses.

Haselkorn & Thibaut, P.A., continues to investigate the UBS YES Strategy and Merrill Lynch CYES investment recommendations. Investors are encouraged to contact Haselkorn & Thibaut P.A. at 1-888-628-5590 or visit www.InvestmentFraudLawyers.com to schedule a free consultation and case review.

Haselkorn & Thibaut, P.A. is a law firm with experience handling investment loss recovery cases nationwide. In some cases they have identified what appears to be potential questionable sales practices by both UBS and Merrill Lynch. For example, the notion that these investment strategies were conservative income strategies as they were often presented to investors appears questionable. Under certain market conditions it appears the investment strategy, notwithstanding how it was presented, actually turned out to be high risk and it has resulted in losses and damages for many unsuspecting investors.

Matthew Thibaut, a partner with Haselkorn & Thibaut, P.A. has many years of experience as both a former financial advisor and as an attorney who has previously defended broker-dealer firms, and his observation is that: "... it's clear that UBS clients in many instances were told one thing at



the time they invested, and now they are being told something quite different.” Attorney Thibaut explains further that the YES Strategy was presented as a conservative investment strategy designed simply to ‘enhance yield’ on the cash and fixed-income segments (often considered the safer and less volatile segment of an investment portfolio), but that it turned out that the YES strategy could in fact be quite risky and could cause unexpected losses and damages. UBS will no doubt now try to point to some of the “fine print” where it purportedly included risk disclosure language, but Mr. Thibaut goes on to say that “UBS cannot fairly have it both ways,” and if they wanted to present it as a risky strategy they could have and should have done so. Attorney Thibaut notes that what seems to draw the ire of most of the investors he has spoken to is the fact that they were directly told (and only interested in the YES strategy because) it was supposed to be safe and conservative.

The attorneys at Haselkorn & Thibaut, P.A. have over 50 years of combined experience handling these types of claims, along with the benefit of experience of having worked in the securities industry as financial advisors, and as defense lawyers, representing broker-dealer and investment advisory firms. Most of these claims are handled as confidential customer claims through the Financial Regulatory Authority (FINRA) Office of Dispute Resolution, where they are private arbitration filings that involve only paper discovery and no depositions or court appearances.

Haselkorn & Thibaut, P.A. is a boutique law firm catering to high net worth investor clients across the country, from Hawaii to Puerto Rico. The law firm handles a wide range of investment-related claims, including:

- Securities Fraud
- Stockbroker and Financial Advisor negligence or malpractice
- FINRA Arbitration and Mediation
- Financial Exploitation of Elderly
- Churning and Excessive Trading
- Misrepresentation or Omissions of Material Facts
- Overconcentration
- Unsuitable Investments

The sole purpose of this release is to investigate the manner in which UBS YES Strategy and

Merrill Lynch CYES investment products and strategies were approved for sale by broker-dealers to investor clients, presented to individual investors, including new product reviews, due diligence, as well as the sales practice and supervision related to these purported conservative strategies. If you have any knowledge or experience with these matters, please contact Haselkorn & Thibaut, P.A. at 1-888-628-5590, or visit the law firm's [website](#).

About Haselkorn & Thibaut, P.A.

Haselkorn & Thibaut, P.A. is a law firm that specializes in investment fraud matters and FINRA arbitrations nationwide. The law firm has offices in Palm Beach, Florida, on Park Avenue in New York and in Phoenix, Arizona, Houston, Texas, and Cary, North Carolina. The attorneys have over 50 years of legal experience. They represent both individual and institutional investors seeking to aggressively pursue their claims and maximize their recovery of investment losses for victims of negligence or investment fraud. As former securities industry defense attorneys, they are an experienced group of lawyers that have moved from the defense side, to YOUR side and they are available to assist you today. Call for your free consultation today at 1-888-628-5590 or visit our website.

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