SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II  

BROKER OR DEALER                                           as of 07/31/19                                           
UBS SECURITIES LLC                                          

STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION  
FOR CUSTOMERS TRADING ON U.S. COMMODITY EXCHANGES  

SEGREGATION REQUIREMENTS (Section 4d(2) of the CEAct)  
1. Net ledger balance  
   A. Cash $1,429,452,348 7010  
   B. Securities (at market) 2,865,986,930 7020  
2. Net unrealized profit (loss) in open futures contract traded on a contract market 590,283,612 7030  
3. Exchange traded options  
   A. Add market value of open option contracts purchased on a contract market 205,583,250 7032  
   B. Deduct market value of open option contracts granted (sold) on a contract market (211,364,494) 7033  
4. Net equity (deficit) (add lines 1, 2, and 3) 4,879,941,646 7040  
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 37,871,681 7045  
   Less: amount offset by customer owned securities (37,606,324) 7047  
   6. Amount required to be segregated (add lines 4 and 5) $4,880,207,003 7060  

FUNDS IN SEGREGATED ACCOUNTS  
7. Deposited in segregated funds bank accounts  
   A. Cash 378,287,584 7070  
   B. Securities representing investments of customers’ funds (at market) 199,987,755 7080  
   C. Securities held for particular customers or option customers in lieu of cash (at market) 477,972,095 7090  
8. Margins on deposit with derivatives clearing organizations of contract markets  
   A. Cash $1,851,575,474 7100  
   B. Securities representing investments of customers’ funds (at market) 235,556,844 7110  
   C. Securities held for particular customers or option customers in lieu of cash (at market) 2,388,014,835 7120  
10. Exchange traded options  
    A. Value of open long option contracts 205,583,250 7132  
    B. Value of open short option contracts (211,364,494) 7133  
11. Net equities with other FCMs  
    A. Net liquidating equity 0 7140  
    B. Securities representing investments of customers’ funds (at market) 0 7160  
    C. Securities held for particular customers or option customers in lieu of cash (at market) 0 7170  
12. Segregated funds on hand (describe:) 0 7150  
13. Total amount in segregation (add lines 7 through 12) 5,386,773,742 7180  
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) $506,566,739 7190  
15. Management Target Amount for Excess funds in segregation $425,000,000 7194  
16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess $81,566,739 7198
### STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION
FOR CUSTOMERS’ DEALER OPTIONS ACCOUNTS

1. Amount required to be segregated in accordance
   with Commission regulation 32.6  
   $ \underline{7200} 

2. Funds in segregated accounts

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Cash</td>
<td>$ \underline{7210}</td>
</tr>
<tr>
<td>B. Securities (at market)</td>
<td>$ \underline{7220}</td>
</tr>
<tr>
<td>C. Total</td>
<td>$ \underline{7230}</td>
</tr>
</tbody>
</table>

3. Excess (deficiency) funds in segregation
   (subtract line 2.C from line 1)  
   $ \underline{7240}
**STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS**

**Pursuant to Commission Regulation 30.7**

**FOREIGN FUTURES AND FOREIGN OPTIONS SECURED AMOUNTS**

Amount required to be set aside pursuant to law, rule or regulation of a foreign government or a rule of a self-regulatory organization authorized thereunder: $0

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers</td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>$755,089,366</td>
</tr>
<tr>
<td>B. Securities (at market)</td>
<td>$536,292,369</td>
</tr>
<tr>
<td>2. Net unrealized profit/loss in open futures contracts traded on a foreign board of trade</td>
<td>$72,444,937</td>
</tr>
<tr>
<td>3. Exchange traded options</td>
<td></td>
</tr>
<tr>
<td>A. Market value of open option contracts purchased on a foreign board of trade</td>
<td>$67,742,010</td>
</tr>
<tr>
<td>B. Market value of open contracts granted (sold) on a foreign board of trade</td>
<td>$(8,175,917)</td>
</tr>
<tr>
<td>4. Net equity (deficit) (add lines 1, 2, and 3.)</td>
<td>$1,423,398,765</td>
</tr>
<tr>
<td>5. Accounts liquidating to a deficit and accounts with debit balances - gross amount</td>
<td></td>
</tr>
<tr>
<td>Less: amount offset by customer owned securities</td>
<td>$(24,313,798)</td>
</tr>
<tr>
<td>6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)</td>
<td>$1,423,438,474</td>
</tr>
<tr>
<td>7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.</td>
<td>$1,423,438,474</td>
</tr>
</tbody>
</table>
## Statement of Secured Amounts and Funds Held in Separate Accounts Pursuant to Commission Regulation 30.7

### Funds Deposited in Separate Regulation 30.7 Accounts

1. **Cash in banks**
   - A. Banks located in the United States: $498,040,738
   - B. Other banks qualified under Regulation 30.7
     - Name(s): 0

2. **Securities**
   - A. In safekeeping with banks located in the United States: $340,572,808
   - B. In safekeeping with other banks qualified under Regulation 30.7
     - Name(s): 0

3. **Equities with registered futures commission merchants**
   - A. Cash: $7580
   - B. Securities: 0
   - C. Unrealized gain (loss) on open futures contracts: 0
   - D. Value of long option contracts: 0
   - E. Value of short option contracts: 0

4. **Amounts held by clearing organizations of foreign boards of trade**
   - Name(s): ICE CLEAR EUROPE
     - A. Cash: 0
     - B. Securities: 0
     - C. Amount due to (from) clearing organizations - daily variation: 0
     - D. Value of long option contracts: 0
     - E. Value of short option contracts: 0

5. **Amounts held by members of foreign boards of trade**
   - Name(s): UBS London, Australia, BMO
     - A. Cash: $314,735,709
     - B. Securities: 427,455,299
     - C. Unrealized gain (loss) on open futures contracts: 72,444,937
     - D. Value of long option contracts: 67,742,010
     - E. Value of short option contracts: (8,175,917)

6. **Amounts with other depositories designated by a foreign board of trade**
   - Name(s): 0

7. **Segregated funds on hand (describe: )**
   - Name(s): 0

8. **Total funds in separate section 30.7 accounts**
   - $1,712,815,584

9. **Excess (deficiency) set aside funds for Secured Amount (subtract Line 7 Secured Statement page T10-3 from Line 8)**
   - $289,377,110

10. **Management Target Amount for Excess funds in separate section 30.7 accounts**
    - $200,000,000

11. **Excess (deficiency)/funds in separate 30.7 accounts over (under) Management Target**
    - $89,377,110
Cleared Swaps Customer Requirements

1. Net ledger balance
   A. Cash $ 426,628,063
   B. Securities (at market) 323,451,117

2. Net unrealized profit (loss) in open cleared swaps 73,863,413

3. Cleared swaps options
   A. Market value of open cleared swaps option contracts purchased 0
   B. Market value of open cleared swaps option contracts granted (sold) ( 0)

4. Net equity (deficit) (add lines 1, 2, and 3) $ 823,942,593

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount $ 39,151
   Less: amount offset by customer owned securities ( 0)

6. Amount required to be segregated for cleared swaps customers (add lines 4 and 5) $ 823,981,744

Funds in Cleared Swaps Customer Segregated Accounts

7. Deposited in cleared swaps customer segregated accounts at banks
   A. Cash $ 144,004,470
   B. Securities representing investments of cleared swaps customers' funds (at market) 100,000,000
   C. Securities held for particular cleared swaps customers in lieu of cash (at market) 70,247,541

8. Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts
   A. Cash 456,389,799
   B. Securities representing investments of cleared swaps customers' funds (at market) 0
   C. Securities held for particular cleared swaps customers in lieu of cash (at market) 253,203,577

9. Net settlement from (to) derivatives clearing organizations 23,723,725

10. Cleared swaps options
    A. Value of open cleared swaps long option contracts 0
    B. Value of open cleared swaps short option contracts ( 0)

11. Net equities with other FCMs
    A. Net liquidating equity 8890
    B. Securities representing investments of cleared swaps customers' funds (at market) 8700
    C. Securities held for particular cleared swaps customers in lieu of cash (at market) 8710

12. Cleared swaps customer funds on hand (describe: ________________)

13. Total amount inclears swaps customer segregation (add lines 7 through 12) $ 1,047,569,112
14. Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13) $ 223,587,368
15. Management Target Amount for Excess funds in cleared swaps segregated accounts $ 125,000,000
16. Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management Target Excess $ 98,587,368