

## UBS Financial Services Inc.

Statement of Segregation Requirements and Funds in Segregation  
for Customers Trading on US Commodity ExchangesAs of December 31, 2019  
(Amounts in Thousands of Dollars)**Segregation requirements**

Net ledger balance:	
Cash	\$ 61,801
Securities (at market )	24,511
Net unrealized loss in open futures contracts traded on a contract market	(7,272)
Exchange traded options:	
Add market value of open option contracts purchased on a contract market	86
Deduct market value of open option contracts granted (sold) on a contract market	(96)
Net equity	<u>79,030</u>
Accounts liquidating to a deficit and accounts with debit balances	
Gross amount	-
Less: amount offset by customer owned securities	<u>-</u>
Amount required to be segregated	<u><u>79,030</u></u>

**Funds in segregated accounts**

Deposited in segregated funds bank accounts:	
Cash	80,623
Net equities with other FCMs:	
Net liquidating equity	5,423
Securities held for particular customers or option customers in lieu of cash (at market)	24,511
Total amount in segregation	<u>110,557</u>
Excess funds in segregation	<u><u>\$ 31,527</u></u>
Management target amount for excess funds in segregation	22,000
Excess funds in segregation over management target amount excess	<u><u>\$ 9,527</u></u>

*There are no differences between the amounts presented above and the amounts presented in the Company's amended December 31, 2019 unaudited FOCUS Part II Report filed on February 26, 2020.*

## Schedule VI

## UBS Financial Services Inc.

Statement of Secured Amounts and Funds Held in Separate  
Accounts for Foreign Futures and Foreign Options Customers  
Pursuant to CFTC Regulation 30.7

As of December 31, 2019  
(Amounts in Thousands of Dollars)

**Foreign futures and foreign options secured amounts**

Net ledger balance:

Cash	\$ 6,411
Securities (at market)	85
Net unrealized profit(loss) in open futures contracts	1,473
Exchange traded options:	
Market value of open option contracts	-
Market value of open contracts granted(sold)	-
Net equity	<u>7,969</u>
Accounts liquidating to a deficit and accounts with debit balances(gross amount)	-
Less: amount offset by customer owned securities	<u>( - )</u>
Amount required to be set aside as the secured amount	<u>7,969</u>

**Funds deposited in separate regulation 30.7 accounts**

Cash in banks	11,900
Securities	85
Equities with registered futures commission merchants	367
Amounts held by members of foreign boards of trade	<u>22,571</u>
Total funds in separate section 30.7 accounts	<u>34,923</u>
Excess funds in separate section 30.7 accounts	<u>\$ 26,954</u>

Management target amount for excess funds in separate section 30.7 accounts	15,000
Excess funds in separate 30.7 accounts over management target	<u>\$ 11,954</u>

*There are no differences between the amounts presented above and the amounts presented in the Company's amended December 31, 2019 unaudited FOCUS Part II Report filed on February 26, 2020.*

## UBS Financial Services Inc.

Statement of Cleared Swaps Customer Segregation Requirements and  
Funds in Cleared Swaps Customer Accounts Under 4D(f) of the CEA

December 31, 2019

*(Amounts in Thousands of Dollars)***Cleared Swaps Customer Requirements**

Net ledger balance:

Cash	\$	-
Securities (at market)		-
Net unrealized profit (loss) in open cleared swaps		-
Cleared swaps options:		
Market value of open swaps option contracts purchased		-
Market value of open cleared swaps option contracts granted		-
Net equity (deficit)		-
<hr/>		
Accounts liquidating to a deficit and accounts with debit balances		
Gross amount	\$	_____ -
Less: amount offset by customer owned securities		_____ -
		- <hr/>

**Funds in Cleared Swaps Customer Segregated Accounts**

Deposited in cleared swaps customer segregated accounts at banks:

Cash	\$	-
Securities representing investments of cleared swaps customers funds (at market)		-
Securities held for cleared swaps customers in lieu of cash		-
Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts		-
Cash		-
Securities representing investments of cleared swaps customers' funds (at market)		-
Securities held for particular cleared swaps customers in lieu of cash (at market)		-
Net settlement from (to) derivatives clearing organizations		-
Cleared swaps options		-
Value of open cleared swaps long option contracts		-
Value of open cleared swaps short option contracts		-
Net equities with other FCMs		
Net liquidating equity		-
Securities representing investments of cleared swaps customer funds		-
Securities for particular cleared swaps in lieu of cash (market)		-
Cleared swaps customer funds on hand (describe) _____		-
Total amount in cleared swaps customer segregation		- <hr/>
Excess (deficiency) funds in cleared swaps customer segregation		- <hr/>
Management Target Amount for Excess funds in cleared swaps		-
Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management Target Excess	\$	- <hr/> <hr/>

*There are no differences between the amounts presented above and the amounts presented in the Company's amended December 31, 2019 unaudited FOCUS Part II Report filed on February 26, 2020.*

## UBS Financial Services Inc.

Statement of Segregation Requirements and Funds in Segregation  
For Customers' Dealer Options AccountsDecember 31, 2019  
(Amounts in Thousands of Dollars)

Amount required to be segregated in accordance with with Commission regulation 32.6	\$ -
Funds in segregated accounts	
Cash	-
Securities (at market)	-
Total	<u>-</u>
Excess (deficiency) funds in segregation (subtract line 2.C. from line 1)	<u>\$ -</u>

*There are no differences between the amounts presented above and the amounts presented in the Company's amended December 31, 2019 unaudited FOCUS Part II Report filed on February 26, 2020.*

## UBS Financial Services Inc.

Computation of CFTC Minimum  
Net Capital RequirementDecember 31, 2019  
(Amounts in Thousands of Dollars)**Net Capital Required**

## Risk based requirement:

Amount of customer risk maintenance margin requirement	42,020		
Enter 8% of above		\$	<u>3,362</u>
Amount of non-customer risk maintenance margin requirement	1,060		
Enter 8% of above			<u>85</u>
Total risk based requirement			<u>3,446</u>
Minimum requirement			<u>1,000</u>
Minimum CFTC net capital requirement		\$	<u><u>3,446</u></u>

*There are no differences between the amounts presented above and the amounts presented in the Company's amended December 31, 2019 unaudited FOCUS Part II Report filed on February 26, 2020.*