

**SUPPLEMENT TO
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
PART II**

BROKER OR DEALER:

UBS FINANCIAL SERVICES INC.

as of: 11/30/2018

**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		\$ 43,357,096	7010
B. Securities (at market)		18,554,501	7020
2. Net unrealized profit (loss) in open futures contracts traded on a contract market		(865,611)	7030
3. Exchange traded options			
A. Add market value of open option contracts purchased on a contract market		115,053	7032
B. Deduct market value of open option contracts granted (sold) on a contract market		(371,399)	7033
4. Net equity (deficit) (add lines 1, 2 and 3)		60,789,640	7040
5. Accounts liquidating to a deficit and accounts with debit balances			
- gross amount	140,008		7045
Less: amount offset by customer securities	(140,008)		7047
		0	7050
6. Amount required to be segregated (add lines 4 and 5)		\$ 60,789,640	7060

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts			
A. Cash		73,702,849	7070
B. Securities representing investments of customers' funds (at market)		0	7080
C. Securities held for particular customers or option customers in lieu of cash (at market)		0	7090
8. Margins on deposit with derivatives clearing organizations of contract markets			
A. Cash		0	7100
B. Securities representing investments of customers' funds (at market)		0	7110
C. Securities held for particular customers or option customers in lieu of cash (at market)		0	7120
9. Net settlement from (to) derivatives clearing organizations of contract markets		0	7130
10. Exchange traded options			
A. Value of open long option contracts		0	7132
B. Value of open short option contracts		0	7133
11. Net equities with other FCMs			
A. Net liquidating equity		1,708,553	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)		18,554,501	7170
12. Segregated funds on hand (describe:)		0	7150
13. Total amount in segregation (add lines 7 through 12)		93,965,903	7180
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)		\$ 33,176,263	7190
15. Management Target Amount for Excess funds in segregation		22,000,000	7194
16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess		11,176,263	7198

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**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	7305	
1. Net ledger balance - Foreign Futures and Foreign Options Trading - All Customers			
A. Cash	\$ 4,936,252	7315	
B. Securities (at market)	\$ 1,360,586	7317	
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	\$(1,760,639)	7325	
3. Exchange traded options			
A. Market value of open option contracts purchased on a foreign board of trade	\$ 0	7335	
B. Market value of open option contracts granted (sold) on a foreign board of trade	\$ 0	7337	
4. Net equity (deficit) (add lines 1, 2, and 3)	\$ 4,536,199	7345	
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$ 0	7351	
Less: amount offset by customer owned securities	\$ 0	7352	
6. Amount to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	\$ 4,536,199	7355	
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	\$ 4,536,199	7360	

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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		\$ 26,868,747	7500		
B. Other banks qualified under Regulation 30.7					
Name(s): <u>See Attached</u>	7510	0	7520	\$ 26,868,747	7530
2. Securities					
A. In safekeeping with banks located in the United States		\$ 0	7540		
B. In safekeeping with other banks qualified under Regulation 30.7					
Name(s): _	7550	0	7560	0	7570
3. Equities with registered futures commission merchants					
A. Cash		\$ 4,803,615	7580		
B. Securities		0	7590		
C. Unrealized gain (loss) on open futures contracts		0	7600		
D. Value of long option contracts		0	7610		
E. Value of short option contracts		0	7615	4,803,615	7620
4. Amounts held by clearing organizations of foreign boards of trade					
Name(s): _	7630				
A. Cash		\$ 0	7640		
B. Securities		0	7650		
C. Amount due to (from) clearing organization - daily variation		0	7660		
D. Value of long option contracts		0	7670		
E. Value of short option contracts		0	7675	0	7680
5. Amounts held by members of foreign boards of trade					
Name(s): <u>See Attached</u>	7690				
A. Cash		\$ 3,011,606	7700		
B. Securities		1,360,586	7710		
C. Unrealized gain (loss) on open futures contracts		(1,760,639)	7720		
D. Value of long option contracts		0	7730		
E. Value of short option contracts		0	7735	2,611,553	7740
6. Amounts with other depositories designated by a foreign board of trade					
Name(s): _	7750			0	7760
7. Segregated funds on hand (describe): _				0	7765
8. Total funds in separate section 30.7 accounts				\$ 34,283,915	7770
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)				29,747,716	7380
10. Management Target Amount for Excess funds in separate section 30.7 accounts				15,000,000	7780
11. Excess (deficiency) funds in separate section 30.7 accounts over (under) Management Target Amount				14,747,716	7785