

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

BROKER OR DEALER:

UBS FINANCIAL SERVICES INC.

s of: 12/31/2019

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

EGREGATION REQUIREMENTS(Section 4d(2) of the CEAct)

1. Net ledger balance				
A. Cash		\$ 61,800,714	7010	
B. Securities (at market)		24,511,447	7020	
2. Net unrealized p ofit (loss) in open futures contracts traded on a contract market		(7,272,415)	7030	
3. Exchange traded op ions				
A. Add market value of open op ion contracts p hased on a contract market		87,050	7032	
B. Deduct market value of open op ion contracts g anted (old) on a contract market		(96,213)	7033	
4. Net e ity (deficit) (add lines 1, 2 and 3)		79,030,583	7040	
5. Accounts li idatin g to a deficit and accounts with debit balances				
- g oss amount	0		7045	
Less: amount offset by customer securities	0		7047	
		0	7050	
6. Amount re ired to be se g egated (add lines 4 and 5)		\$ 79,030,583	7060	

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts				
A. Cash		80,623,438	7070	
B. Securities rep esenting investments of customers' funds (at market)		0	7080	
C. Securities held for particular customers or op ion 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 rep esenting investments of customers' funds (at market)		0	7110	
C. Securities held for particular customers or op ion customers in lieu of cash (at market)		0	7120	
9. Net settlement from (o) derivatives clearing organizations of contract markets		0	7130	
10. Exchange traded op ions				
A. Value of open long op ion contracts		0	7132	
B. Value of open short op ion contracts		0	7133	
11. Net e ities with other FCMs				
A. Net li idatin g e ity		5,423,669	7140	
B. Securities rep esenting investments of customers' funds (at market)		0	7160	
C. Securities held for particular customers or op ion customers in lieu of cash (at market)		24,511,447	7170	
12. Segregated funds on hand (describe:)		0	7150	
13. Total amount in seg egation (add lines 7 through 12)		110,558,554	7180	
14. Excess (deficiency) funds in seg egation (btract line 6 from line 13)		\$ 31,527,971	7190	
15. Management Target Amount for Excess funds in seg egation		22,000,000	7194	
16. Excess (deficiency) funds in seg egation over (nder) Management Target Amount Excess		9,527,971	7198	

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**TATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNT
 PURSUANT TO COMMIS ION REGULATION 30.7**

FOREIGN FUTURES AND FOREIGN OPTIONS SECURED AMOUNTS

Amount re ired to be set aside p ant to law , rule or reg lation of a foreign government or a rule of a self-reg lator y organization authorized thereunder		\$ 0	7305
1.	Net ledger balance - Foreign Futures and Foreign Op ions Trading - All Customers		
	A. Cash	\$ 6,411,009	7315
	B. Securities (at market)	\$ 84,665	7317
2.	Net unrealized p ofit (loss) in open futures contracts traded on a foreign board of trade	\$ 1,472,636	7325
3.	Exchange traded op ions		
	A. Market value of open op ion contracts p hased on a forei gn board of trade	\$ 0	7335
	B. Market value of open op ion contracts g anted (old) on a foreign board of trade	\$ 0	7337
4.	Net e it y (deficit) (add lines 1, 2, and 3)	\$ 7,968,310	7345
5.	Accounts li idatin g to a deficit and accounts with debit balances - g oss amount	\$ 0	7351
	Less: amount offset by customer owned securities	\$ 0	7352
6.	Amount to be set aside as the secured amount - Net Li idatin g E it y Method (add lines 4 and 5)	\$ 7,968,310	7355
7.	Greater of amount re ired to be set aside p ant to forei gn j isdiction (above) or line 6.	\$ 7,968,310	7360

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**TATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNT
PURSUANT TO COMMIS ION REGULATION 30.7**

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks					
A. Banks located in the United States		\$ 11,900,126	7500		
B. Other banks alified under Re g lation 30.7					
Name(s): <u>See Attached</u>	7510	0	7520	\$ 11,900,126	7530
2. Securities					
A. In safekeeping with banks located in the United States		\$ 0	7540		
B. In safekeeping with other banks alified under Re g lation 30.7					
Name(s): _	7550	0	7560	0	7570
3. E ities with re g istered futures commission merchants					
A. Cash		\$ 366,574	7580		
B. Securities		0	7590		
C. Unrealized gain (loss) on open futures contracts		0	7600		
D. Value of long op ion contracts		0	7610		
E. Value of short op ion contracts		0	7615	366,574	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 op ion contracts		0	7670		
E. Value of short op ion contracts		0	7675	0	7680
5. Amounts held by members of foreign boards of trade					
Name(s): <u>See Attached</u>	7690				
A. Cash		\$ 21,099,815	7700		
B. Securities		84,665	7710		
C. Unrealized gain (loss) on open futures contracts		1,472,636	7720		
D. Value of long op ion contracts		0	7730		
E. Value of short op ion contracts		0	7735	22,657,116	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				\$ 34,923,816	7770
9. Excess (deficiency) Set Aside for Secured Amount (btract line 7 Secured Statement Page 1 from Line 8)				26,955,506	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 (nder) Management Target Amount				11,955,506	7785