

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

**BROKER OR DEALER:**

UBS FINANCIAL SERVICES INC.

as of: 07/31/2018

**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   |           |      | \$ 75,220,237 | 7010 |
| B. Securities (at market)   |           |      | 14,736,212    | 7020 |
| 2. Net unrealized profit (loss) in open futures contracts traded on a contract market |           |      | (1,306,427)   | 7030 |
| 3. Exchange traded options  |           |      |               |      |
| A. Add market value of open option contracts purchased on a contract market           |           |      | 244,425       | 7032 |
| B. Deduct market value of open option contracts granted (sold) on a contract market   |           |      | (154,440)     | 7033 |
| 4. Net equity (deficit) (add lines 1, 2 and 3)  |           |      | 88,740,007    | 7040 |
| 5. Accounts liquidating to a deficit and accounts with debit balances                 |           |      |               |      |
| - gross amount  | 157,359   | 7045 |               |      |
| Less: amount offset by customer securities  | (157,359) | 7047 | 0             | 7050 |
| 6. Amount required to be segregated (add lines 4 and 5)                               |           |      | \$ 88,740,007 | 7060 |

**FUNDS IN SEGREGATED ACCOUNTS**

|   |  |  |               |      |
|---|--|--|---------------|------|
| 7. Deposited in segregated funds bank accounts  |  |  |               |      |
| A. Cash   |  |  | 86,889,743    | 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   |  |  | 18,193,943    | 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) |  |  | 14,736,212    | 7170 |
| 12. Segregated funds on hand (describe: )   |  |  | 0             | 7150 |
| 13. Total amount in segregation (add lines 7 through 12)                                    |  |  | 119,819,898   | 7180 |
| 14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)                 |  |  | \$ 31,079,891 | 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   |  |  | 9,079,891     | 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**

|  |         |               |      |
|--|---------|---------------|------|
| <p>Amount required to be set aside pursuant to law, rule or regulation<br/> of a foreign government or a rule of a self-regulatory organization<br/> authorized thereunder</p> |         | \$ 0          | 7305 |
| 1. Net ledger balance - Foreign Futures and Foreign Options Trading - All Customers  |         |               |      |
| A. Cash  |         | \$ 6,125,169  | 7315 |
| B. Securities (at market)  |         | \$ 2,214,683  | 7317 |
| 2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade   |         | \$(2,982,130) | 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  |         | \$(2,213)     | 7337 |
| 4. Net equity (deficit) (add lines 1, 2, and 3)  |         | \$ 5,355,509  | 7345 |
| 5. Accounts liquidating to a deficit and accounts with<br>debit balances - gross amount  | \$ 188  |               | 7351 |
| Less: amount offset by customer owned securities   | \$(188) |               | 7352 |
|  |         | \$ 0          | 7354 |
| 6. Amount to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)  |         | \$ 5,355,509  | 7355 |
| 7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.  |         | \$ 5,355,509  | 7360 |

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**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  | \$ 21,853,166 | 7500 |               |      |
| B. Other banks qualified under Regulation 30.7   |               |      |               |      |
| Name(s): <u>See Attached</u>   |               | 7510 |               |      |
|  | 0             | 7520 | \$ 21,853,166 | 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  | \$ 4,952,631  | 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 | 4,952,631     | 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  | \$ 3,854,680  | 7700 |               |      |
| B. Securities  | 2,214,683     | 7710 |               |      |
| C. Unrealized gain (loss) on open futures contracts  | (2,982,130)   | 7720 |               |      |
| D. Value of long option contracts  | 0             | 7730 |               |      |
| E. Value of short option contracts   | (2,213)       | 7735 | 3,085,020     | 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   |               |      | \$ 29,890,817 | 7770 |
| 9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) |               |      | 24,535,308    | 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      |               |      | 9,535,308     | 7785 |