### PART II
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
SUPPLEMENT TO
03/31/2023
UBS FINANCIAL SERVICES INC.
as of: 03/31/2023

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

#### SEGREGATION REQUIREMENTS

1. **Net ledger balance**
   - **Cash**
   - **Securities (at market)**

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**

3. **Exchange traded options**
   - **Add: Market value of open option contracts purchased on a contract market**
   - **Deduct Market value of open option contracts granted (sold) on a contract market**

4. **Net equity (deficit) (total of Lines 1, 2 and 3)**

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - **Less: amount offset by customer owned securities**

6. **Amount required to be segregated (add Lines 4 and 5)**

#### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - **Cash**
   - **Securities representing investments of customers' funds (at market)**
   - **Securities held for particular customers or option customers in lieu of cash (at market)**

8. **Margin on deposit with derivatives clearing organizations of contract markets**
   - **Cash**
   - **Securities representing investments of customers' funds (at market)**
   - **Securities held for particular customers or option customers in lieu of cash (at market)**

9. **Net settlement from (to) derivatives clearing organizations of contract markets**

10. **Exchange traded options**
    - **Value of open long option contracts**
    - **Value of open short option contracts**

11. **Net equities with other FCMs**
    - **Net liquidating equity**
    - **Securities representing investments of customers' funds (at market)**
    - **Securities held for particular customers or option customers in lieu of cash (at market)**

12. **Segregated funds on hand (describe: )**

13. **Total amount in segregation (add Lines 7 through 12)**

14. **Excess (deficiency) funds in segregation (subtract Line 6 from Line 13)**

15. **Management target amount for excess funds in segregation**

16. **Excess (deficiency) funds in segregation over (under) management target amount excess**
## STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION
FOR CUSTOMERS’ DEALER OPTIONS ACCOUNTS

1. Amount required to be segregated in accordance with 17 CFR 32.6
   
2. Funds/property in segregated accounts
   - **A. Cash**
     - $0
   - **B. Securities (at market value)**
     - 0
   - **C. Total funds/property in segregated accounts**
     - 0
   
3. Excess (deficiency) funds in segregation (subtract Line 2C from Line 1)
   - **$0**

## 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

1. **Net ledger balance - Foreign futures and foreign options trading - All customers**
   - **A. Cash**
     - $2,851,518
   - **B. Securities (at market)**
     - $0
   
2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**
   - $5,029,387
   
3. **Exchange traded options**
   - **A. Market value of open option contracts purchased on a foreign board of trade**
     - $0
   - **B. Market value of open option contracts granted (sold) on a foreign board of trade**
     - $(6,818)
   
4. **Net equity (deficit) (add Lines 1, 2, and 3)**
   - $7,874,087
   
5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - $0
   
6. **Amount required to be set aside as the secured amount - Net liquidating equity method (add Lines 4 and 5)**
   - $7,874,087
   
7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or Line 6.**
   - $7,874,087
**Funds Deposited in Separate 17 CFR 30.7 Accounts**

1. **Cash in banks**
   - A. Banks located in the United States
     - Name(s): See Attached
     - $32,842,872
   - B. Other banks qualified under 17 CFR. 30.7
     - $32,842,872

2. **Securities**
   - A. In safekeeping with banks located in the United States
     - $0
   - B. In safekeeping with other banks designated by 17 CFR. 30.7
     - $0

3. **Equities with registered futures commission merchants**
   - A. Cash
   - $347,770
   - B. Securities
     - $0
   - C. Unrealized gain (loss) on open futures contracts
     - $8,517
   - D. Value of long option contracts
     - $8,517
   - E. Value of short option contracts
     - $8,517

4. **Amounts held by clearing organizations of foreign boards of trade**
   - Name(s): __
   - A. Cash
   - $0
   - B. Securities
     - $0
   - C. Amount due to (from) clearing organization - 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): See Attached
   - A. Cash
     - $575,511
   - B. Securities
     - $0
   - C. Unrealized gain (loss) on open futures contracts
     - $5,020,871
   - D. Value of long option contracts
     - $5,020,871
   - E. Value of short option contracts
     - $5,020,871

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

7. **Segregated funds on hand (describe): __

8. **Total funds in separate 17 CFR 30.7 accounts**
   - $38,788,723

9. **Excess (deficiency) set aside funds for secured amount**
   - (Line Item 7770 minus Line Item 7360)
   - $30,914,636

10. **Management target amount for excess funds in separate 17 CFR 30.7 accounts**
    - $15,000,000

11. **Excess (deficiency) funds in separate 17 CFR 30.7 accounts over (under) management target excess**
    - $15,914,636