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

### SEGREGATION REQUIREMENTS

1. **Net ledger balance**
   - A. Cash
   - B. Securities (at market) $57,690,245
   - C. Securities held for particular customers or option customers in lieu of cash (at market) 135,705,657

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - (2,125,795)

3. **Exchange traded options**
   - A. Add: Market value of open option contracts purchased on a contract market 347,224
   - B. Deduct: Market value of open option contracts granted (sold) on a contract market (401,503)

4. **Net equity (deficit) (total of Lines 1, 2 and 3)**
   - 191,215,828

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - Less: amount offset by customer owned securities 0

6. **Amount required to be segregated (add Lines 4 and 5)**
   - $191,215,828

### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - A. Cash 55,781,992
   - B. Securities representing investments of customers' funds (at market) 0
   - C. Securities held for particular customers or option customers in lieu of cash (at market) 0

8. **Margin on deposit with derivatives clearing organizations of contract markets**
   - A. Cash 0
   - B. Securities representing investments of customers' funds (at market) 0
   - C. Securities held for particular customers or option customers in lieu of cash (at market) 0

9. **Net settlement from (to) derivatives clearing organizations of contract markets**
   - 0

10. **Exchange traded options**
    - A. Value of open long option contracts 0
    - B. Value of open short option contracts 0

11. **Net equities with other FCMs**
    - A. Net liquidating equity 49,692,374
    - B. Securities representing investments of customers' funds (at market) 0
    - C. Securities held for particular customers or option customers in lieu of cash (at market) 135,705,657

12. **Segregated funds on hand (describe: )**
    - 0

13. **Total amount in segregation (add Lines 7 through 12)**
    - 241,180,023

14. **Excess (deficiency) funds in segregation (subtract Line 6 from Line 13)**
    - $49,964,195

15. **Management target amount for excess funds in segregation**
    - 25,000,000

16. **Excess (deficiency) funds in segregation over (under) management target amount excess**
    - 24,964,195

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**Note:** The above table contains the financial statements for UBS Financial Services Inc. as of 08/31/2023, detailing the segregation requirements and funds in segregation for customers trading on U.S. commodity exchanges.
## 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  
   $0  \[7200\]

2. Funds/property in segregated accounts
   A. Cash  
   $0  \[7210\]
   B. Securities (at market value)  
   $0  \[7220\]
   C. Total funds/property in segregated accounts  
   $0  \[7230\]

3. Excess (deficiency) funds in segregation (subtract Line 2C from Line 1)  
   $0  \[7240\]

## 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  
   $3,971,697  \[7315\]
   B. Securities (at market)  
   $0  \[7317\]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade  
   $1,518,030  \[7325\]

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  
   $(179,444)  \[7337\]

4. Net equity (deficit) (add Lines 1, 2, and 3)  
   $5,310,283  \[7345\]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount  
   $0  \[7351\]
   Less: Amount offset by customer owned securities  
   $0  \[7352\]
   $0  \[7354\]

6.Amount required to be set aside as the secured amount - Net liquidating equity method (add Lines 4 and 5)  
   $5,310,283  \[7355\]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or Line 6.  
   $5,310,283  \[7360\]
## Statement of Secured Amounts and Funds Held in Separate Accounts

**Pursuant to Commission Regulation 30.7**

### Funds Deposited in Separate 17 CFR 30.7 Accounts

1. **Cash in banks**
   - A. Banks located in the United States
      - Name(s): **See Attached**
      - $34,839,311
   - B. Other banks qualified under 17 CFR 30.7
      - Name(s): **See Attached**
      - 0

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
      - Name(s): **See Attached**

3. **Equities with registered futures commission merchants**
   - A. Cash
      - $361,638
   - B. Securities
      - 0
   - C. Unrealized gain (loss) on open futures contracts
      - 7,290
   - D. Value of long option contracts
      - 7,290
   - E. Value of short option contracts
      - 0

4. **Amounts held by clearing organizations of foreign boards of trade**
   - Name(s): **See Attached**
   - 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
      - $1,345,801
   - B. Securities
      - 0
   - C. Unrealized gain (loss) on open futures contracts
      - 1,510,740
   - D. Value of long option contracts
      - 0
   - E. Value of short option contracts
      - (179,444)

6. **Amounts with other depositories designated by a foreign board of trade**
   - Name(s): **See Attached**
   - 0

7. **Segregated funds on hand (describe):**
   - 0

8. **Total funds in separate 17 CFR 30.7 accounts**
   - $37,885,336

9. **Excess (deficiency) set aside funds for secured amount**
   - (Line Item 7770 minus Line Item 7360)
   - 32,575,053

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**
    - 17,575,053