## Part II: Financial and Operational Combined Uniform Single Report

**Supplement to**

**09/30/2022**

**UBS Financial Services Inc.**

### Statement of Segregation Requirements and Funds in Segregation

#### For Customers Trading on U.S. Commodity Exchanges

**Segregation Requirements**

1. **Net ledger balance**
   - **Cash**: $111,141,388
   - **Securities (at market)**: $15,441,908

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: 4,640,847

3. **Exchange traded options**
   - **Add: Market value of open option contracts purchased on a contract market**: 133,938
   - **Deduct Market value of open option contracts granted (sold) on a contract market**: (460,103)

4. **Net equity (deficit) (total of Lines 1, 2 and 3)**: 130,897,978

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

6. **Amount required to be segregated (add Lines 4 and 5)**: 130,897,978

**Funds in Segregated Accounts**

7. **Deposited in segregated funds bank accounts**
   - **Cash**: 150,032,279
   - **Securities representing investments of customers’ funds (at market)**: 0
   - **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**
   - **Cash**: 0
   - **Securities representing investments of customers’ funds (at market)**: 0
   - **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**
    - **Value of open long option contracts**: 0
    - **Value of open short option contracts**: 0

11. **Net equities with other FCMs**
    - **Net liquidating equity**: 19,345,233
    - **Securities representing investments of customers’ funds (at market)**: 0
    - **Securities held for particular customers or option customers in lieu of cash (at market)**: 15,441,908

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

13. **Total amount in segregation (add Lines 7 through 12)**: 184,819,420

14. **Excess (deficiency) funds in segregation (subtract Line 6 from Line 13)**: $53,921,442

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

16. **Excess (deficiency) funds in segregation over (under) management target amount excess**: 28,921,442

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**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

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**SUPPLEMENT TO**

**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 $3,248,900 7315
   B. Securities (at market)
      $ 0 7317

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade

   $4,259,636 7325

3. Exchange traded options
   A. Market value of open option contracts purchased on a foreign board of trade
      $133,260 7335
   B. Market value of open option contracts granted (sold) on a foreign board of trade
      $(406,650) 7337

4. Net equity (deficit) (add Lines 1, 2, and 3)

   $7,235,146 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)

   $7,235,146 7355

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or Line 6.

   $7,235,146 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
     - Amount: $32,332,104
   - **B.** Other banks qualified under 17 CFR. 30.7
     - Name(s):  
     - Amount: $32,332,104

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

3. **Equities with registered futures commission merchants**
   - **A.** Cash
     - Name(s):  
     - Amount: $351,810
   - **B.** Securities
     - Name(s):  
     - Amount: $0
   - **C.** Unrealized gain (loss) on open futures contracts
     - Name(s):  
     - Amount: $0
   - **D.** Value of long option contracts
     - Name(s):  
     - Amount: $0
   - **E.** Value of short option contracts
     - Name(s):  
     - Amount: $0

4. **Amounts held by clearing organizations of foreign boards of trade**
   - **A.** Cash
     - Name(s):  
     - Amount: $0
   - **B.** Securities
     - Name(s):  
     - Amount: $0
   - **C.** Amount due to (from) clearing organization - daily variation
     - Name(s):  
     - Amount: $0
   - **D.** Value of long option contracts
     - Name(s):  
     - Amount: $0
   - **E.** Value of short option contracts
     - Name(s):  
     - Amount: $0

5. **Amounts held by members of foreign boards of trade**
   - **A.** Cash
     - Name(s): See Attached
     - Amount: $617,169
   - **B.** Securities
     - Name(s):  
     - Amount: $0
   - **C.** Unrealized gain (loss) on open futures contracts
     - Name(s):  
     - Amount: 4,259,636
   - **D.** Value of long option contracts
     - Name(s):  
     - Amount: 133,260
   - **E.** Value of short option contracts
     - Name(s):  
     - Amount: (406,650)

6. **Amounts with other depositories designated by a foreign board of trade**
   - **A.** Cash
     - Name(s):  
     - Amount:  
   - **B.** Securities
     - Name(s):  
     - Amount:  
   - **C.** Unrealized gain (loss) on open futures contracts
     - Name(s):  
     - Amount:  
   - **D.** Value of long option contracts
     - Name(s):  
     - Amount:  
   - **E.** Value of short option contracts
     - Name(s):  
     - Amount:  

7. **Segregated funds on hand (describe):**
   - Name(s):  
   - Amount:  

8. **Total funds in separate 17 CFR 30.7 accounts**
   - Amount: $37,287,329

9. **Excess (deficiency) set aside funds for secured amount**
   - (Line Item 7770 minus Line Item 7360)
   - Amount: 30,052,183

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

11. **Excess (deficiency) funds in separate 17 CFR 30.7 accounts over (under) management target excess**
    - Amount: 15,052,183

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