### Segregation Requirements

1. **Net ledger balance**
   - **A. Cash**
     - $53,280,532
   - **B. Securities (at market)**
     - 109,024,400
2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - (2,872,983)
3. **Exchange traded options**
   - **A. Add: Market value of open option contracts purchased on a contract market**
     - 316,738
   - **B. Deduct Market value of open option contracts granted (sold) on a contract market**
     - (505,085)
4. **Net equity (deficit) (total of Lines 1, 2 and 3)**
   - 159,243,602
5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - 0
5. **Less: amount offset by customer owned securities**
   - 0
6. **Amount required to be segregated (add Lines 4 and 5)**
   - 159,243,602

### Funds in Segregated Accounts

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**
     - 53,135,863
   - **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**
      - 72,737,749
    - **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)**
      - 109,024,400
12. **Segregated funds on hand (describe: )**
    - 0
13. **Total amount in segregation (add Lines 7 through 12)**
    - 234,898,012
14. **Excess (deficiency) funds in segregation (subtract Line 6 from Line 13)**
    - $75,654,410
15. **Management target amount for excess funds in segregation**
    - 35,000,000
16. **Excess (deficiency) funds in segregation over (under) management target amount excess**
    - 40,654,410

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**Supplement to**

**Financial and Operational Combined Uniform Single Report**

**Part II**

**Broker or Dealer:** UBS Financial Services Inc.  
**As of:** 11/30/2023
### 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 $4,692,122 7315
   - B. Securities (at market) $0 7317

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade $1,005,585 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 $(235,020) 7337

4. Net equity (deficit) (add Lines 1, 2, and 3) $5,462,687 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) $5,462,687 7355

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or Line 6. $5,462,687 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): 
     - 750

2. **Securities**
   - A. In safekeeping with banks located in the United States
     - Name(s): 
     - $0
   - B. In safekeeping with other banks designated by 17 CFR. 30.7
     - Name(s): 
     - 7550

3. **Equities with registered futures commission merchants**
   - A. Cash
     - Name(s): 
     - $383,904
   - B. Securities
     - Name(s): 
     - 7560
   - C. Unrealized gain (loss) on open futures contracts
     - Name(s): 
     - 7570
   - D. Value of long option contracts
     - Name(s): 
     - 7580
   - E. Value of short option contracts
     - Name(s): 
     - 7590

4. **Amounts held by clearing organizations of foreign boards of trade**
   - Name(s): 
   - A. Cash
     - Name(s): 
     - $0
   - B. Securities
     - Name(s): 
     - 7600
   - C. Amount due to (from) clearing organization - daily variation
     - Name(s): 
     - 7610
   - D. Value of long option contracts
     - Name(s): 
     - 7620
   - E. Value of short option contracts
     - Name(s): 
     - 7630

5. **Amounts held by members of foreign boards of trade**
   - Name(s): See Attached
   - A. Cash
     - Name(s): 
     - $1,801,214
   - B. Securities
     - Name(s): 
     - 7640
   - C. Unrealized gain (loss) on open futures contracts
     - Name(s): 
     - 7650
   - D. Value of long option contracts
     - Name(s): 
     - 7660
   - E. Value of short option contracts
     - Name(s): 
     - 7670

6. **Amounts with other depositories designated by a foreign board of trade**
   - Name(s): 
   - A. Cash
     - Name(s): 
     - 7700
   - B. Securities
     - Name(s): 
     - 7710
   - C. Unrealized gain (loss) on open futures contracts
     - Name(s): 
     - 7720
   - D. Value of long option contracts
     - Name(s): 
     - 7730
   - E. Value of short option contracts
     - Name(s): 
     - 7740

7. **Segregated funds on hand (describe):** 
   - Name(s): 
   - 7750

8. **Total funds in separate 17 CFR 30.7 accounts**
   - Name(s): 
   - $37,794,994

9. **Excess (deficiency) set aside funds for secured amount**
   - (Line Item 7770 minus Line Item 7360)
   - 32,332,307

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**
    - 17,332,307