

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

BROKER OR DEALER:

UBS FINANCIAL SERVICES INC.

as of: 01/31/2026

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

SEGREGATION REQUIREMENTS

1. Net ledger balance				
A. Cash			\$ 28,031,101	7010
B. Securities (at market)			61,837,073	7020
2. Net unrealized profit (loss) in open futures contracts traded on a contract market			4,372,215	7030
3. Exchange traded options				
A. Add: Market value of open option contracts purchased on a contract market			1,977,425	7032
B. Deduct Market value of open option contracts granted (sold) on a contract market			(493,590)	7033
4. Net equity (deficit) (total of Lines 1, 2 and 3)			95,724,224	7040
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	0	7045		
Less: amount offset by customer owned securities	0	7047	0	7050
6. Amount required to be segregated (add Lines 4 and 5)			\$ 95,724,224	7060

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts				
A. Cash			75,141,473	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. Margin 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			45,795,350	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)			61,837,073	7170
12. Segregated funds on hand (describe:)			0	7150
13. Total amount in segregation (add Lines 7 through 12)			182,773,896	7180
14. Excess (deficiency) funds in segregation (subtract Line 6 from Line 13)			\$ 87,049,672	7190
15. Management target amount for excess funds in segregation			35,000,000	7194
16. Excess (deficiency) funds in segregation over (under) management target amount excess			52,049,672	7198

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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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**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		\$ 694,015	7315
B. Securities (at market)		\$ 0	7317
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade		\$ 108,165	7325
3. Exchange traded options			
A. Market value of open option contracts purchased on a foreign board of trade		\$ 13,718	7335
B. Market value of open option contracts granted (sold) on a foreign board of trade		\$(25,898)	7337
4. Net equity (deficit) (add Lines 1, 2, and 3)		\$ 790,000	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
6. Amount required to be set aside as the secured amount - Net liquidating equity method (add Lines 4 and 5)		\$ 790,000	7355
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or Line 6.		\$ 790,000	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 17 CFR. 30.7 ACCOUNTS

1. Cash in banks					
A. Banks located in the United States		\$ 39,019,768	7500		
B. Other banks qualified under 17 CFR. 30.7					
Name(s): <u>See Attached</u>	7510	0	7520	\$ 39,019,768	7530
2. Securities					
A. In safekeeping with banks located in the United States		\$ 0	7540		
B. In safekeeping with other banks designated by 17 CFR. 30.7					
Name(s): _	7550	0	7560	0	7570
3. Equities with registered futures commission merchants					
A. Cash		\$ 422,661	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	422,661	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		\$ 31,676	7700		
B. Securities		0	7710		
C. Unrealized gain (loss) on open futures contracts		108,165	7720		
D. Value of long option contracts		13,718	7730		
E. Value of short option contracts		(25,898)	7735	127,661	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 17 CFR 30.7 accounts				\$ 39,570,090	7770
9. Excess (deficiency) set aside funds for secured amount (Line Item 7770 minus Line Item 7360)				38,780,090	7380
10. Management target amount for excess funds in separate 17 CFR 30.7 accounts				15,000,000	7780
11. Excess (deficiency) funds in separate 17 CFR 30.7 accounts over (under) management target excess				23,780,090	7785