

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

**BROKER OR DEALER:**

UBS FINANCIAL SERVICES INC.

as of: 08/31/2016

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

**SEGREGATION REQUIREMENTS(Section 4d(2) of the CEAct)**

1. Net ledger balance				
A. Cash			\$ 64,959,525	7010
B. Securities (at market)			16,761,139	7020
2. Net unrealized profit (loss) in open futures contracts traded on a contract market			(841,942)	7030
3. Exchange traded options				
A. Add market value of open option contracts purchased on a contract market			459,584	7032
B. Deduct market value of open option contracts granted (sold) on a contract market			(831,194)	7033
4. Net equity (deficit) (add lines 1, 2 and 3)			80,507,112	7040
5. Accounts liquidating to a deficit and accounts with debit balances				
- gross amount	5,630	7045		
Less: amount offset by customer securities	0	7047	5,630	7050
6. Amount required to be segregated (add lines 4 and 5)			\$ 80,512,742	7060

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts				
A. Cash			87,262,591	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. Margins 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			10,926,828	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)			16,761,139	7170
12. Segregated funds on hand (describe: )			0	7150
13. Total amount in segregation (add lines 7 through 12)			114,950,558	7180
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)			\$ 34,437,816	7190
15. Management Target Amount for Excess funds in segregation			22,000,000	7194
16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess			12,437,816	7198

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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	\$ 5,382,739	7315
B. Securities (at market)	\$ 1,154,048	7317
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	\$(2,116,932)	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	\$ 0	7337
4. Net equity (deficit) (add lines 1, 2, and 3)	\$ 4,419,855	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 to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	\$ 4,419,855	7355
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	\$ 4,419,855	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 REGULATION 30.7 ACCOUNTS**

1. Cash in banks				
A. Banks located in the United States	\$ 24,996,428	7500		
B. Other banks qualified under Regulation 30.7				
Name(s): <u>See Attached</u>		7510		
		0	7520	\$ 24,996,428
				7530
2. Securities				
A. In safekeeping with banks located in the United States	\$ 0	7540		
B. In safekeeping with other banks qualified under Regulation 30.7				
Name(s): _		7550		
		0	7560	0
				7570
3. Equities with registered futures commission merchants				
A. Cash	\$ 1,558,874	7580		
B. Securities	0	7590		
C. Unrealized gain (loss) on open futures contracts	(435,881)	7600		
D. Value of long option contracts	0	7610		
E. Value of short option contracts	0	7615		
				1,122,993
				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	\$ 2,449,318	7700		
B. Securities	1,154,048	7710		
C. Unrealized gain (loss) on open futures contracts	(1,681,051)	7720		
D. Value of long option contracts	0	7730		
E. Value of short option contracts	0	7735		
				1,922,315
				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 section 30.7 accounts				\$ 28,041,736
				7770
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)				23,621,881
				7380
10. Management Target Amount for Excess funds in separate section 30.7 accounts				15,000,000
				7780
11. Excess (deficiency) funds in separate section 30.7 accounts over (under) Management Target Amount				8,621,881
				7785