

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

BROKER OR DEALER: UBS FINANCIAL SERVICES INC.

as of: 01/31/2017

**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		\$ 59,957,605	7010
B. Securities (at market)		18,319,558	7020
2. Net unrealized profit (loss) in open futures contracts traded on a contract market		8,488,455	7030
3. Exchange traded options			
A. Add market value of open option contracts purchased on a contract market		399,090	7032
B. Deduct market value of open option contracts granted (sold) on a contract market		(526,221)	7033
4. Net equity (deficit) (add lines 1, 2 and 3)		86,638,487	7040
5. Accounts liquidating to a deficit and accounts with debit balances			
- gross amount	2,371	7045	
Less: amount offset by customer securities	(2,371)	7047	0
6. Amount required to be segregated (add lines 4 and 5)		\$ 86,638,487	7060

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts			
A. Cash		86,665,868	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		12,474,715	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)		18,319,558	7170
12. Segregated funds on hand (describe:)		0	7150
13. Total amount in segregation (add lines 7 through 12)		117,460,141	7180
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)		\$ 30,821,654	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		8,821,654	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	\$ 1,633,804	7315	
B. Securities (at market)	\$ 1,300,403	7317	
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	\$ 4,077,193	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)	\$ 7,011,400	7345	
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$ 1,095	7351	
Less: amount offset by customer owned securities	\$ 0	7352	
6. Amount to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	\$ 7,012,495	7355	
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	\$ 7,012,495	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	\$ 27,820,183	7500	
B. Other banks qualified under Regulation 30.7			
Name(s): <u>See Attached</u>	0	7520	\$ 27,820,183
			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): _	0	7560	0
			7570
3. Equities with registered futures commission merchants			
A. Cash	\$ 600,230	7580	
B. Securities	0	7590	
C. Unrealized gain (loss) on open futures contracts	302,927	7600	
D. Value of long option contracts	0	7610	
E. Value of short option contracts	0	7615	903,157
			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	\$ 196,274	7700	
B. Securities	1,300,403	7710	
C. Unrealized gain (loss) on open futures contracts	3,774,266	7720	
D. Value of long option contracts	0	7730	
E. Value of short option contracts	0	7735	5,270,943
			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			
			\$ 33,994,283
			7770
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)			
			26,981,788
			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			
			11,981,788
			7785