

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

BROKER OR DEALER:

UBS FINANCIAL SERVICES INC.

as of: 11/30/2016

**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			\$ 52,709,633	7010
B. Securities (at market)			17,784,610	7020
2. Net unrealized profit (loss) in open futures contracts traded on a contract market			14,991,117	7030
3. Exchange traded options				
A. Add market value of open option contracts purchased on a contract market			827,220	7032
B. Deduct market value of open option contracts granted (sold) on a contract market			(805,148)	7033
4. Net equity (deficit) (add lines 1, 2 and 3)			85,507,432	7040
5. Accounts liquidating to a deficit and accounts with debit balances				
- gross amount	46,067	7045		
Less: amount offset by customer securities	(46,067)	7047	0	7050
6. Amount required to be segregated (add lines 4 and 5)			\$ 85,507,432	7060

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts				
A. Cash			90,251,709	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			10,074,174	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)			17,784,610	7170
12. Segregated funds on hand (describe:)			0	7150
13. Total amount in segregation (add lines 7 through 12)			118,110,493	7180
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)			\$ 32,603,061	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			10,603,061	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	\$ 1,432,010	7315
B. Securities (at market)	\$ 1,300,000	7317
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	\$ 2,491,053	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)	\$ 5,223,063	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)	\$ 5,223,063	7355
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	\$ 5,223,063	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		\$ 28,364,191	7500		
B. Other banks qualified under Regulation 30.7					
Name(s): <u>See Attached</u>	7510	0	7520	\$ 28,364,191	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		\$ 458,667	7580		
B. Securities		0	7590		
C. Unrealized gain (loss) on open futures contracts		292,842	7600		
D. Value of long option contracts		0	7610		
E. Value of short option contracts		0	7615	751,509	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		\$(211)	7700		
B. Securities		1,300,000	7710		
C. Unrealized gain (loss) on open futures contracts		2,198,212	7720		
D. Value of long option contracts		0	7730		
E. Value of short option contracts		0	7735	3,498,001	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				\$ 32,613,701	7770
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)				27,390,638	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				12,390,638	7785