

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

BROKER OR DEALER:

UBS FINANCIAL SERVICES INC.

as of: 09/30/2016

**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		\$ 63,089,386	7010	
B. Securities (at market)		17,547,719	7020	
2. Net unrealized profit (loss) in open futures contracts traded on a contract market		1,809,965	7030	
3. Exchange traded options				
A. Add market value of open option contracts purchased on a contract market		452,415	7032	
B. Deduct market value of open option contracts granted (sold) on a contract market		(919,357)	7033	
4. Net equity (deficit) (add lines 1, 2 and 3)		81,980,128	7040	
5. Accounts liquidating to a deficit and accounts with debit balances				
- gross amount	0		7045	
Less: amount offset by customer securities	0	0	7047	7050
6. Amount required to be segregated (add lines 4 and 5)		\$ 81,980,128	7060	

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts				
A. Cash		88,986,327	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		9,565,303	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)		17,547,719	7170	
12. Segregated funds on hand (describe:)		0	7150	
13. Total amount in segregation (add lines 7 through 12)		116,099,349	7180	
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)		\$ 34,119,221	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		12,119,221	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	\$ 5,008,690	7315
B. Securities (at market)	\$ 1,154,899	7317
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	\$(1,162,925)	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)	\$ 5,000,664	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)	\$ 5,000,664	7355
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	\$ 5,000,664	7360

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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		\$ 25,375,519	7500	
B. Other banks qualified under Regulation 30.7				
Name(s): <u>See Attached</u>	7510			
		0	7520	\$ 25,375,519
				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		\$ 1,737,236	7580	
B. Securities		0	7590	
C. Unrealized gain (loss) on open futures contracts		(387,363)	7600	
D. Value of long option contracts		0	7610	
E. Value of short option contracts		0	7615	
				1,349,873
				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		\$ 1,289,784	7700	
B. Securities		1,154,899	7710	
C. Unrealized gain (loss) on open futures contracts		(791,519)	7720	
D. Value of long option contracts		0	7730	
E. Value of short option contracts		0	7735	
				1,653,164
				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				\$ 28,378,556
				7770
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)				23,377,892
				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				8,377,892
				7785