

INITIAL

End Date:5/2/2024

Firm Name:UBS FINANCIAL SERVICES INC

Form:Daily Seg - FOCUS II

Submit Date:5/3/2024

Daily Segregation - Secured Amounts

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 Option Trading - All Customers   |                                   |
|     | A. Cash   | <b>4,706,506</b> [7315]           |
|     | B. Securities (at market)   | 0 [7317]                          |
| 2.  | Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade   | <b>-207,561</b> [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 contracts granted (sold) on a foreign board of trade  | 0 [7337]                          |
| 4.  | Net equity (deficit) (add lines 1. 2. and 3.)   | <b>4,498,945</b> [7345]           |
| 5.  | Account liquidating to a deficit and account with a debit balances - gross amount   | 0 [7351]                          |
|     | Less: amount offset by customer owned securities  | 0 [7352]0 [7354]                  |
| 6.  | Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)   | <b>4,498,945</b> [7355]           |
| 7.  | Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.  | <b>4,498,945</b> [7360]           |
|     | <b>FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS</b>   |                                   |
| 1.  | Cash in banks   |                                   |
|     | A. Banks located in the United States   | <b>34,839,311</b> [7500]          |
|     | B. Other banks qualified under Regulation 30.7  | 0 [7520] <b>34,839,311</b> [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  | 0 [7560]0 [7570]                  |
| 3.  | Equities with registered futures commission merchants   |                                   |
|     | A. Cash   | <b>393,490</b> [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] <b>393,490</b> [7620]    |
| 4.  | Amounts held by clearing organizations of foreign boards of trade   |                                   |
|     | 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  |                                   |
|     | A. Cash   | <b>2,872,196</b> [7700]           |
|     | B. Securities   | 0 [7710]                          |
|     | C. Unrealized gain (loss) on open futures contracts   | <b>-207,561</b> [7720]            |
|     | D. Value of long option contracts   | 0 [7730]                          |
|     | E. Value of short option contracts  | 0 [7735] <b>2,664,635</b> [7740]  |
| 6.  | Amounts with other depositories designated by a foreign board of trade  | 0 [7760]                          |
| 7.  | Segregated funds on hand  | 0 [7765]                          |
| 8.  | Total funds in separate section 30.7 accounts   | <b>37,897,436</b> [7770]          |
| 9.  | Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)   | <b>33,398,491</b> [7380]          |
| 10. | Management Target Amount for Excess funds in separate section 30.7 accounts   | <b>15,000,000</b> [7780]          |
| 11. | Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target  | <b>18,398,491</b> [7785]          |

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

|     |   |  |
|-----|---|--|
| 1.  | Net ledger balance  |  |
|     | A. Cash   | <b><u>44,343,308</u></b> [7010]                  |
|     | B. Securities (at market)   | <b><u>82,772,676</u></b> [7020]                  |
| 2.  | Net unrealized profit (loss) in open futures contracts traded on a contract market          | <b><u>283,042</u></b> [7030]                     |
| 3.  | Exchange traded options   |  |
|     | A. Add market value of open option contracts purchased on a contract market                 | <b><u>239,131</u></b> [7032]                     |
|     | B. Deduct market value of open option contracts granted (sold) on a contract market         | <b><u>-346,066</u></b> [7033]                    |
| 4.  | Net equity (deficit) (add lines 1, 2 and 3)   | <b><u>127,292,091</u></b> [7040]                 |
| 5.  | Accounts liquidating to a deficit and accounts with debit balances - gross amount           | <b><u>361</u></b> [7045]                         |
|     | Less: amount offset by customer securities  | <b><u>-361</u></b> [7047] <b><u>0</u></b> [7050] |
| 6.  | Amount required to be segregated (add lines 4 and 5)  | <b><u>127,292,091</u></b> [7060]                 |
|     | FUNDS IN SEGREGATED ACCOUNTS  |  |
| 7.  | Deposited in segregated funds bank accounts   |  |
|     | A. Cash   | <b><u>54,482,879</u></b> [7070]                  |
|     | B. Securities representing investments of customers' funds (at market)                      | <b><u>0</u></b> [7080]                           |
|     | C. Securities held for particular customers or option customers in lieu of cash (at market) | <b><u>0</u></b> [7090]                           |
| 8.  | Margins on deposit with derivatives clearing organizations of contract markets              |  |
|     | A. Cash   | <b><u>0</u></b> [7100]                           |
|     | B. Securities representing investments of customers' funds (at market)                      | <b><u>0</u></b> [7110]                           |
|     | C. Securities held for particular customers or option customers in lieu of cash (at market) | <b><u>0</u></b> [7120]                           |
| 9.  | Net settlement from (to) derivatives clearing organizations of contract markets             | <b><u>0</u></b> [7130]                           |
| 10. | Exchange traded options   |  |
|     | A. Value of open long option contracts  | <b><u>0</u></b> [7132]                           |
|     | B. Value of open short option contracts   | <b><u>0</u></b> [7133]                           |
| 11. | Net equities with other FCMs  |  |
|     | A. Net liquidating equity   | <b><u>67,368,697</u></b> [7140]                  |
|     | B. Securities representing investments of customers' funds (at market)                      | <b><u>0</u></b> [7160]                           |
|     | C. Securities held for particular customers or option customers in lieu of cash (at market) | <b><u>82,772,676</u></b> [7170]                  |
| 12. | Segregated funds on hand  | <b><u>0</u></b> [7150]                           |
| 13. | Total amount in segregation (add lines 7 through 12)  | <b><u>204,624,252</u></b> [7180]                 |
| 14. | Excess (deficiency) funds in segregation (subtract line 6 from line 13)                     | <b><u>77,332,161</u></b> [7190]                  |
| 15. | Management Target Amount for Excess funds in segregation                                    | <b><u>35,000,000</u></b> [7194]                  |
| 16. | Excess (deficiency) funds in segregation over (under) Management Target Amount              | <b><u>42,332,161</u></b> [7198]                  |
|     | Excess  |  |