

**INITIAL**

**End Date:2/5/2024**

**Firm Name:UBS FINANCIAL SERVICES INC**

**Form:Daily Seg - FOCUS II**

**Submit Date:2/6/2024**

**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

|     |   |  |
|-----|---|--|
| 1.  | Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers                           | 0 [7305]                                       |
|     | A. Cash   | <b>4,829,474</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>168,549</b> [7325]                          |
| 3.  | Exchange traded options   |  |
|     | a. Market value of open option contracts purchased on a foreign board of trade                            | <b>96,700</b> [7335]                           |
|     | b. Market value of open contracts granted (sold) on a foreign board of trade                              | <b>-204,058</b> [7337]                         |
| 4.  | Net equity (deficit) (add lines 1. 2. and 3.)   | <b>4,890,665</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>4,890,665</b> [7355]                        |
| 7.  | Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.            | <b>4,890,665</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>388,677</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>388,677</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>2,647,006</b> [7700]                        |
|     | B. Securities   | 0 [7710]                                       |
|     | C. Unrealized gain (loss) on open futures contracts   | <b>168,549</b> [7720]                          |
|     | D. Value of long option contracts   | <b>96,700</b> [7730]                           |
|     | E. Value of short option contracts  | <b>-204,058</b> [7735] <b>2,708,197</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>37,936,185</b> [7770]                       |
| 9.  | Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)   | <b>33,045,520</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>18,045,520</b> [7785]                       |

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**Daily Segregation - Segregation Statement**

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

|     |   |   |
|-----|---|---|
| 1.  | Net ledger balance  |   |
|     | A. Cash   | <b><u>50,227,595</u></b> [7010]                         |
|     | B. Securities (at market)   | <b><u>91,559,652</u></b> [7020]                         |
| 2.  | Net unrealized profit (loss) in open futures contracts traded on a contract market          | <b><u>-9,548,645</u></b> [7030]                         |
| 3.  | Exchange traded options   |   |
|     | A. Add market value of open option contracts purchased on a contract market                 | <b><u>185,528</u></b> [7032]                            |
|     | B. Deduct market value of open option contracts granted (sold) on a contract market         | <b><u>-335,007</u></b> [7033]                           |
| 4.  | Net equity (deficit) (add lines 1, 2 and 3)   | <b><u>132,089,123</u></b> [7040]                        |
| 5.  | Accounts liquidating to a deficit and accounts with debit balances - gross amount           | <b><u>18,986</u></b> [7045]                             |
|     | Less: amount offset by customer securities  | <b><u>-4,736</u></b> [7047] <b><u>14,250</u></b> [7050] |
| 6.  | Amount required to be segregated (add lines 4 and 5)  | <b><u>132,103,373</u></b> [7060]                        |
|     | FUNDS IN SEGREGATED ACCOUNTS  |   |
| 7.  | Deposited in segregated funds bank accounts   |   |
|     | A. Cash   | <b><u>45,292,637</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>77,415,001</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>91,559,652</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>214,267,290</u></b> [7180]                        |
| 14. | Excess (deficiency) funds in segregation (subtract line 6 from line 13)                     | <b><u>82,163,917</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>47,163,917</u></b> [7198]                         |
|     | Excess  |   |