

## UBS Financial Services Inc.

Statement of Segregation Requirements and Funds in Segregation  
for Customers Trading on US Commodity ExchangesAs of December 31, 2022  
(Amounts in Thousands of Dollars)**Segregation requirements**

Net ledger balance:

Cash	\$	82,407
Securities (at market)		27,961

Net unrealized profit in open futures contracts traded on a contract market	6,131
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Exchange traded options:

Add market value of open option contracts purchased on a contract market	253
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Deduct market value of open option contracts granted (sold) on a contract market	(311)
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Net equity	116,441
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Accounts liquidating to a deficit and accounts with debit balances

Gross amount	513
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Less: amount offset by customer owned securities	(512)
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Amount required to be segregated	116,442
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**Funds in segregated accounts**

Deposited in segregated funds bank accounts:

Cash	134,805
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Net equities with other FCMs:

Net liquidating equity	6,392
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Securities held for particular customers or option customers in lieu of cash (at market)	27,961
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Total amount in segregation	169,158
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Excess funds in segregation	\$ 52,716
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Management target amount for excess funds in segregation	25,000
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Excess funds in segregation over management target amount excess	\$ 27,716
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*There are no differences between the amounts presented above and the amounts presented in the Company's December 31, 2022 unaudited FOCUS Part II Report filed on February 27, 2023.*

Schedule VI

UBS Financial Services Inc.

Statement of Secured Amounts and Funds Held in Separate  
Accounts for Foreign Futures and Foreign Options Customers  
Pursuant to CFTC Regulation 30.7

As of December 31, 2022  
(Amounts in Thousands of Dollars)

**Foreign futures and foreign options secured amounts**

Net ledger balance:

Cash	\$	3,921
Securities (at market)		-
Net unrealized profit (loss) in open futures contracts		4,365
Exchange traded options:		
Market value of open option contracts		58
Market value of open contracts granted(sold)		(81)
Net equity		8,263
Accounts liquidating to a deficit and accounts with debit balances (gross amount)	-	
Less: amount offset by customer owned securities	( - )	-
Amount required to be set aside as the secured amount		8,263

**Funds deposited in separate regulation 30.7 accounts**

Cash in banks	33,187
Securities	-
Equities with registered futures commission merchants	327
Amounts held by members of foreign boards of trade	4,811
Total funds in separate section 30.7 accounts	38,325
Excess funds in separate section 30.7 accounts	\$ 30,062

Management target amount for excess funds in separate section 30.7 accounts	15,000
Excess funds in separate 30.7 accounts over management target	\$ 15,062

*There are no differences between the amounts presented above and the amounts presented in the Company's December 31, 2022 unaudited FOCUS Part II Report filed on February 27, 2023.*

Schedule VII

UBS Financial Services Inc.

# Statement of Cleared Swaps Customer Segregation Requirements and Funds in Cleared Swaps Customer Accounts Under 4D(f) of the CEA

December 31, 2022

(Amounts in Thousands of Dollars)

## Cleared Swaps Customer Requirements

Net ledger balance:

Cash	\$	-
Securities (at market)		-
Net unrealized profit (loss) in open cleared swaps		-
Cleared swaps options:		
Market value of open swaps option contracts purchased		-
Market value of open cleared swaps option contracts granted		-
Net equity (deficit)		-
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Accounts liquidating to a deficit and accounts with debit balances		
Gross amount	\$	-
Less: amount offset by customer owned securities		-
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## Funds in Cleared Swaps Customer Segregated Accounts

Deposited in cleared swaps customer segregated accounts at banks:

Cash	\$	-
Securities representing investments of cleared swaps customers funds (at market)		-
Securities held for cleared swaps customers in lieu of cash		-
Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts		-
Cash		-
Securities representing investments of cleared swaps customers' funds (at market)		-
Securities held for particular cleared swaps customers in lieu of cash (at market)		-
Net settlement from (to) derivatives clearing organizations		-
Cleared swaps options		-
Value of open cleared swaps long option contracts		-
Value of open cleared swaps short option contracts		-
Net equities with other FCMs		-
Net liquidating equity		-
Securities representing investments of cleared swaps customer funds		-
Securities for particular cleared swaps in lieu of cash (market)		-
Cleared swaps customer funds on hand (describe)		-
Total amount in cleared swaps customer segregation		-
Excess (deficiency) funds in cleared swaps customer segregation		-
Management Target Amount for Excess funds in cleared swaps		-
Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management Target Excess	\$	-

There are no differences between the amounts presented above and the amounts presented in the Company's December 31, 2022 unaudited FOCUS Part II Report filed on February 28, 2023.

Schedule VIII

# Statement of Segregation Requirements and Funds in Segregation For Customers' Dealer Options Accounts

December 31, 2022  
(Amounts in Thousands of Dollars)

Amount required to be segregated in accordance with with Commission regulation 32.6	\$	-
Funds in segregated accounts		
Cash	-	
Securities (at market)	-	
Total		<u>-</u>
Excess (deficiency) funds in segregation (subtract line 2.C. from line 1)	\$	<u>-</u>

*There are no differences between the amounts presented above and the amounts presented in the Company's December 31, 2022 unaudited FOCUS Part II Report filed on February 27, 2023.*

Schedule IX

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UBS Financial Services Inc.

Computation of CFTC Minimum

## Net Capital Requirement

December 31, 2022  
(Amounts in Thousands of Dollars)

### Net Capital Required

#### Risk based requirement:

Amount of customer risk maintenance margin requirement	13,851	
Enter 8% of above		\$ <u>1,108</u>
Amount of non-customer risk maintenance margin requirement	172	
Enter 8% of above		<u>14</u>
Total risk-based requirement		<u>1,122</u>
Minimum requirement		1,000
Minimum CFTC net capital requirement		\$ <u>1,122</u>

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