

INITIAL**End Date:10/13/2017****Firm Name:UBS FINANCIAL SERVICES INC****Form:Daily Seg - FOCUS II****Submit Date:10/16/2017****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	<u>0</u> [7305]
1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers	
A. Cash	<u>944,367</u> [7315]
B. Securities (at market)	<u>1,614,649</u> [7317]
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	<u>3,778,445</u> [7325]
3. Exchange traded options	
a. Market value of open option contracts purchased on a foreign board of trade	<u>9,888</u> [7335]
b. Market value of open contracts granted (sold) on a foreign board of trade	<u>-12,550</u> [7337]
4. Net equity (deficit) (add lines 1. 2. and 3.)	<u>6,334,799</u> [7345]
5. Account liquidating to a deficit and account with a debit balances - gross amount	<u>0</u> [7351]
Less: amount offset by customer owned securities	<u>0</u> [7352] <u>0</u> [7354]
6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	<u>6,334,799</u> [7355]
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	<u>6,334,799</u> [7360]
FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS	
1. Cash in banks	
A. Banks located in the United States	<u>22,842,981</u> [7500]
B. Other banks qualified under Regulation 30.7	<u>0</u> [7520] <u>22,842,981</u> [7530]
2. Securities	
A. In safekeeping with banks located in the United States	<u>0</u> [7540]
B. In safekeeping with other banks qualified under Regulation 30.7	<u>0</u> [7560] <u>0</u> [7570]
3. Equities with registered futures commission merchants	
A. Cash	<u>5,172,853</u> [7580]
B. Securities	<u>0</u> [7590]
C. Unrealized gain (loss) on open futures contracts	<u>-5,849</u> [7600]
D. Value of long option contracts	<u>0</u> [7610]
E. Value of short option contracts	<u>0</u> [7615] <u>5,167,004</u> [7620]
4. Amounts held by clearing organizations of foreign boards of trade	
A. Cash	<u>0</u> [7640]
B. Securities	<u>0</u> [7650]
C. Amount due to (from) clearing organization - daily variation	<u>0</u> [7660]
D. Value of long option contracts	<u>0</u> [7670]
E. Value of short option contracts	<u>0</u> [7675] <u>0</u> [7680]
5. Amounts held by members of foreign boards of trade	
A. Cash	<u>-49</u> [7700]
B. Securities	<u>1,614,649</u> [7710]
C. Unrealized gain (loss) on open futures contracts	<u>3,784,294</u> [7720]
D. Value of long option contracts	<u>9,888</u> [7730]
E. Value of short option contracts	<u>-12,550</u> [7735] <u>5,396,232</u> [7740]
6. Amounts with other depositories designated by a foreign board of trade	<u>0</u> [7760]
7. Segregated funds on hand	<u>0</u> [7765]
8. Total funds in separate section 30.7 accounts	<u>33,406,217</u> [7770]
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)	<u>27,071,418</u> [7380]
10. Management Target Amount for Excess funds in separate section 30.7 accounts	<u>15,000,000</u> [7780]
11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target	<u>12,071,418</u> [7785]

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Daily Segregation - Segregation Statement

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

1.	Net ledger balance	
	A. Cash	<u>69,584,018</u> [7010]
	B. Securities (at market)	<u>16,025,263</u> [7020]
2.	Net unrealized profit (loss) in open futures contracts traded on a contract market	<u>767,639</u> [7030]
3.	Exchange traded options	
	A. Add market value of open option contracts purchased on a contract market	<u>92,525</u> [7032]
	B. Deduct market value of open option contracts granted (sold) on a contract market	<u>-197,854</u> [7033]
4.	Net equity (deficit) (add lines 1, 2 and 3)	<u>86,271,591</u> [7040]
5.	Accounts liquidating to a deficit and accounts with debit balances - gross amount	<u>0</u> [7045]
	Less: amount offset by customer securities	<u>0</u> [7047] <u>0</u> [7050]
6.	Amount required to be segregated (add lines 4 and 5)	<u>86,271,591</u> [7060]
	FUNDS IN SEGREGATED ACCOUNTS	
7.	Deposited in segregated funds bank accounts	
	A. Cash	<u>93,382,355</u> [7070]
	B. Securities representing investments of customers' funds (at market)	<u>0</u> [7080]
	C. Securities held for particular customers or option customers in lieu of cash (at market)	<u>0</u> [7090]
8.	Margins on deposit with derivatives clearing organizations of contract markets	
	A. Cash	<u>0</u> [7100]
	B. Securities representing investments of customers' funds (at market)	<u>0</u> [7110]
	C. Securities held for particular customers or option customers in lieu of cash (at market)	<u>0</u> [7120]
9.	Net settlement from (to) derivatives clearing organizations of contract markets	<u>0</u> [7130]
10.	Exchange traded options	
	A. Value of open long option contracts	<u>0</u> [7132]
	B. Value of open short option contracts	<u>0</u> [7133]
11.	Net equities with other FCMs	
	A. Net liquidating equity	<u>10,899,291</u> [7140]
	B. Securities representing investments of customers' funds (at market)	<u>0</u> [7160]
	C. Securities held for particular customers or option customers in lieu of cash (at market)	<u>16,025,263</u> [7170]
12.	Segregated funds on hand	<u>0</u> [7150]
13.	Total amount in segregation (add lines 7 through 12)	<u>120,306,909</u> [7180]
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)	<u>34,035,318</u> [7190]
15.	Management Target Amount for Excess funds in segregation	<u>22,000,000</u> [7194]
16.	Excess (deficiency) funds in segregation over (under) Management Target Amount Excess	<u>12,035,318</u> [7198]