**INITIAL**  
**End Date:** 12/28/2022  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 12/29/2022  

**Daily Segregation - Secured Amounts**

Foreign Futures and Foreign Options Secured Amounts

<table>
<thead>
<tr>
<th>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</th>
<th>0 [7305]</th>
</tr>
</thead>
</table>

1. **Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers**
   A. **Cash**  
   **3,968,904** [7315]
   B. **Securities (at market)**  
   **0** [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**  
   **4,466,504** [7325]

3. **Exchange traded options**
   a. **Market value of open option contracts purchased on a foreign board of trade**  
   **61,755** [7335]
   b. **Market value of open contracts granted (sold) on a foreign board of trade**  
   **-85,085** [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.)**  
   **8,412,078** [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)**  
   **8,412,078** [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**  
   **8,412,078** [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. **Cash in banks**
   A. **Banks located in the United States**  
   **33,187,133** [7500]
   B. **Other banks qualified under Regulation 30.7**  
   **0** [7520] **33,187,133** [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**  
   **335,622** [7580]
   B. **Securities**  
   **0** [7590]
   C. **Unrealized gain (loss) on open futures contracts**  
   **-4,465** [7600]
   D. **Value of long option contracts**  
   **0** [7610]
   E. **Value of short option contracts**  
   **0** [7615] **331,157** [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**  
   **459,165** [7700]
   B. **Securities**  
   **0** [7710]
   C. **Unrealized gain (loss) on open futures contracts**  
   **4,470,969** [7720]
   D. **Value of long option contracts**  
   **61,755** [7730]
   E. **Value of short option contracts**  
   **-85,085** [7735] **4,906,804** [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**  
   **38,425,094** [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**  
   **30,013,016** [7380]

10. **Management Target Amount for Excess funds in separate section 30.7 accounts**  
    **15,000,000** [7780]

11. **Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target**  
    **15,013,016** [7785]
**Daily Segregation - Segregation Statement**

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

1. **Net ledger balance**
   - A. Cash: 84,311,594 [7010]
   - B. Securities (at market): 28,773,344 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - 7,463,091 [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: 194,700 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -250,511 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - 120,492,218 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - 165,000 [7045]

   Less: amount offset by customer securities
   - -165,000 [7047] 0 [7050]

6. **Amount required to be segregated (add lines 4 and 5)**
   - 120,492,218 [7060]

Funds in segregated accounts

7. **Deposited in segregated funds bank accounts**
   - A. Cash: 135,615,100 [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: 7,398,855 [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): 28,773,344 [7170]

12. **Segregated funds on hand**
    - 0 [7150]

13. **Total amount in segregation (add lines 7 through 12)**
    - 171,787,299 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - 51,295,081 [7190]

15. **Management Target Amount for Excess funds in segregation**
    - 25,000,000 [7194]

16. **Excess (deficiency) funds in segregation over (under) Management Target Amount**
    - Excess