### 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: 3,656,219 [7315]
   - B. Securities (at market): 0 [7317]
2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**: 4,343,350 [7325]
3. **Exchange traded options**
   - a. Market value of open option contracts purchased on a foreign board of trade: 72,465 [7335]
   - b. Market value of open contracts granted (sold) on a foreign board of trade: -101,230 [7337]
4. **Net equity (deficit) (add lines 1. 2. and 3.)**: 7,970,804 [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)**: 7,970,804 [7355]
7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**: 7,970,804 [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: 335,199 [7580]
   - B. Securities: 0 [7590]
   - C. Unrealized gain (loss) on open futures contracts: -226 [7600]
   - D. Value of long option contracts: 0 [7610]
   - E. Value of short option contracts: 0 [7615] 334,973 [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: 459,319 [7700]
   - B. Securities: 0 [7710]
   - C. Unrealized gain (loss) on open futures contracts: 4,343,576 [7720]
   - D. Value of long option contracts: 72,465 [7730]
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**: 38,296,236 [7770]
9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**: 30,325,432 [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**: 15,325,432 [7785]
**INITIAL**
*End Date: 12/23/2022*
*Firm Name: UBS FINANCIAL SERVICES INC*
*Form: Daily Seg - FOCUS II*
*Submit Date: 12/27/2022*

### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - A. Cash: 94,723,424 [7010]
   - B. Securities (at market): 17,785,278 [7020]
2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: 5,818,129 [7030]
3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: 232,438 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -287,589 [7033]
4. **Net equity (deficit) (add lines 1, 2 and 3)**: 118,271,680 [7040]
5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: 0 [7045]
   - Less: amount offset by customer securities: 0 [7047] 0 [7050]
6. **Amount required to be segregated (add lines 4 and 5)**: 118,271,680 [7060]

#### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - A. Cash: 146,710,100 [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: 5,749,903 [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): 17,785,278 [7170]
12. **Segregated funds on hand**: 0 [7150]
13. **Total amount in segregation (add lines 7 through 12)**: 170,245,281 [7180]
14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: 51,973,601 [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: 26,973,601 [7198]