INITIAL
End Date:12/26/2022
Firm Name:UBS FINANCIAL SERVICES INC
Form:Daily Seg - FOCUS II
Submit Date:12/27/2022

**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 3,656,206 [7315]
   B. Securities (at market) 0 [7317]
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade 4,341,906 [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.) 7,969,347 [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) 7,969,347 [7355]
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. 7,969,347 [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 335,218 [7580]
   B. Securities 0 [7590]
   C. Unrealized gain (loss) on open futures contracts -1,730 [7600]
   D. Value of long option contracts 0 [7610]
   E. Value of short option contracts 0 [7615] 333,488 [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 459,557 [7700]
   B. Securities 0 [7710]
   C. Unrealized gain (loss) on open futures contracts 4,343,636 [7720]
   D. Value of long option contracts 72,465 [7730]
   E. Value of short option contracts -101,230 [7735] 4,774,428 [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 38,295,049 [7770]
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) 30,325,702 [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 15,325,702 [7785]
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### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - A. Cash: \[94,723,415\]  
   - B. Securities (at market): \[17,783,980\]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - \[5,818,129\]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: \[232,438\]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: \[-287,589\]

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - \[118,270,373\]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - Less: amount offset by customer securities
   - \[0\]

6. **Amount required to be segregated (add lines 4 and 5)**
   - \[118,270,373\]

#### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - A. Cash: \[146,710,100\]
   - B. Securities representing investments of customers’ funds (at market): \[0\]
   - C. Securities held for particular customers or option customers in lieu of cash (at market): \[0\]

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - A. Cash
   - B. Securities representing investments of customers’ funds (at market)
   - C. Securities held for particular customers or option customers in lieu of cash (at market)

9. **Net settlement from (to) derivatives clearing organizations of contract markets**
   - \[0\]

10. **Exchange traded options**
    - A. Value of open long option contracts
    - B. Value of open short option contracts

11. **Net equities with other FCMs**
    - A. Net liquidating equity: \[5,750,441\]
    - B. Securities representing investments of customers’ funds (at market): \[0\]
    - C. Securities held for particular customers or option customers in lieu of cash (at market): \[17,783,980\]

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

13. **Total amount in segregation (add lines 7 through 12)**
    - \[170,244,521\]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - \[51,974,148\]

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

16. **Excess (deficiency) funds in segregation over (under) Management Target Amount**
    - \[26,974,148\]