INITIAL
End Date: 12/7/2022
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 12/8/2022

Daily Segregation - Segregation Statement

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

1. Net ledger balance
   A. Cash: 102,080,293 [7010]
   B. Securities (at market): 17,554,166 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market
   -2,682,435 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market: 306,950 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market: -523,198 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3): 116,735,776 [7040]

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

6. Amount required to be segregated (add lines 4 and 5): 116,735,776 [7060]

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts
   A. Cash: 136,644,639 [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: 11,562,385 [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): 17,554,166 [7170]

12. Segregated funds on hand: 0 [7150]

13. Total amount in segregation (add lines 7 through 12): 165,761,190 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13): 49,025,414 [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: 24,025,414 [7198]
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Daily Segregation - Supplemental

- Total gross margin deficiencies - Segregated Funds Origin 44,211 [9100]
- Total gross margin deficiencies - Secured Funds Origin 0 [9101]
- Total gross margin deficiencies - Cleared Swaps Customer Collateral Funds Origin 0 [9102]
- Total gross margin deficiencies - Noncustomer and Proprietary Accounts Origin 1,628,898 [9103]
- Total number of accounts contributing to total gross margin deficiencies - Segregated Funds Origin 1 [9104]
- Total number of accounts contributing to total gross margin deficiencies - Secured Funds Origin 0 [9105]
- Total number of accounts contributing to the total gross margin deficiencies - Cleared Swaps Customer Collateral Funds Origin 0 [9106]
- Total number of accounts contributing to the total gross margin deficiencies - Noncustomer and Proprietary Accounts Origin 1 [9107]

- Upload a copy of the firm's daily margin report the FCM uses to issue margin calls which corresponds with the reporting date.

Virtual Currency

Identify the virtual currency products traded by customers and noncustomers:

<table>
<thead>
<tr>
<th>Product</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bitcoin futures</td>
<td>No [VC05]</td>
</tr>
<tr>
<td>Bitcoin options</td>
<td>No [VC06]</td>
</tr>
<tr>
<td>Ether futures</td>
<td>No [VC07]</td>
</tr>
<tr>
<td>Micro bitcoin futures</td>
<td>No [VC08]</td>
</tr>
<tr>
<td>Other</td>
<td>No [VC09] [VC10]</td>
</tr>
</tbody>
</table>

Identify the number of customers with open virtual currency futures/options?

- 0 [VC11]

Identify the number of noncustomers with open virtual currency futures/options?

- 0 [VC12]

Total open long customer/noncustomer virtual currency derivatives positions:

- 0 [VC03]

Total open short customer/noncustomer virtual currency derivatives positions:

- 0 [VC04]

Identify the virtual currency products traded for proprietary purposes:

<table>
<thead>
<tr>
<th>Product</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bitcoin futures</td>
<td>No [VC13]</td>
</tr>
<tr>
<td>Bitcoin options</td>
<td>No [VC14]</td>
</tr>
<tr>
<td>Ether futures</td>
<td>No [VC15]</td>
</tr>
<tr>
<td>Micro bitcoin futures</td>
<td>No [VC16]</td>
</tr>
<tr>
<td>Other</td>
<td>No [VC17] [VC18]</td>
</tr>
</tbody>
</table>

Total open long proprietary virtual currency derivatives positions:

- 0 [VC19]

Total open short proprietary virtual currency derivatives positions:

- 0 [VC20]

Micro

Identify the micro contracts traded by customers and noncustomers:

<table>
<thead>
<tr>
<th>Category</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equity</td>
<td>Yes [MC01]</td>
</tr>
<tr>
<td>Interest Rate</td>
<td>No [MC02]</td>
</tr>
<tr>
<td>Metals</td>
<td>No [MC03]</td>
</tr>
<tr>
<td>Energy</td>
<td>No [MC04]</td>
</tr>
<tr>
<td>FX Futures</td>
<td>No [MC05]</td>
</tr>
<tr>
<td>Other</td>
<td>No [MC06] [MC07]</td>
</tr>
</tbody>
</table>

Identify the number of customers with open micro contracts?

- 1 [MC08]

Identify the number of noncustomers with open micro contracts?

- 0 [MC09]

Total open customer/noncustomer long micro positions:

- 4 [MC10]

Total open customer/noncustomer short micro positions:

- 0 [MC11]

Identify the micro contracts traded for proprietary purposes:

<table>
<thead>
<tr>
<th>Category</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equity</td>
<td>No [MC12]</td>
</tr>
</tbody>
</table>