### INITIAL

**End Date:** 12/21/2022  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 12/22/2022

#### 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: 4,440,715 [7315]  
B. Securities (at market): 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 4,620,586 [7325]

3. Exchange traded options  
a. Market value of open option contracts purchased on a foreign board of trade: 78,780 [7335]  
b. Market value of open contracts granted (sold) on a foreign board of trade: -109,520 [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.): 9,030,561 [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): 9,030,561 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6: 9,030,561 [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: 335,004 [7580]  
B. Securities: 0 [7590]  
C. Unrealized gain (loss) on open futures contracts: 0 [7600]  
D. Value of long option contracts: 0 [7610]  
E. Value of short option contracts: 0 [7615] 335,004 [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: 228,276 [7700]  
B. Securities: 0 [7710]  
C. Unrealized gain (loss) on open futures contracts: 4,620,586 [7720]  
D. Value of long option contracts: 78,780 [7730]  
E. Value of short option contracts: -109,520 [7735] 4,818,122 [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: 38,340,259 [7770]


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: 14,309,698 [7785]
Daily Segregation - Segregation Statement

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

1. Net ledger balance
   A. Cash 101,878,005 [7010]
   B. Securities (at market) 20,781,561 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market 3,897,500 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 261,913 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -307,949 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 126,511,030 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 72,568 [7045]
   Less: amount offset by customer securities -72,568 [7047] 0 [7050]

6. Amount required to be segregated (add lines 4 and 5) 126,511,030 [7060]

Funds in Segregated Accounts

7. Deposited in segregated funds bank accounts
   A. Cash 152,005,100 [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 3,921,166 [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) 20,781,561 [7170]

12. Segregated funds on hand 0 [7150]

13. Total amount in segregation (add lines 7 through 12) 176,707,827 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 50,196,797 [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 25,196,797 [7198]