**INITIAL**

**End Date: 12/20/2022**  
**Firm Name: UBS FINANCIAL SERVICES INC**  
**Form: Daily Seg - FOCUS II**  
**Submit Date: 12/21/2022**

### 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

1. **Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers**
   - **A. Cash:** $3,153,059
   - **B. Securities (at market):** $0

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade:** $5,622,658

3. **Exchange traded options**
   - **a. Market value of open option contracts purchased on a foreign board of trade:** $71,850
   - **b. Market value of open contracts granted (sold) on a foreign board of trade:** $-97,250

4. **Net equity (deficit) (add lines 1. 2. and 3.)**
   - $8,750,317

5. **Account liquidating to a deficit and account with a debit balances - gross amount**
   - $0
   - Less: amount offset by customer owned securities: $0

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity**
   - Method (add lines 4 and 5)
   - $8,750,317

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**
   - $8,750,317

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### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - **A. Banks located in the United States:** $31,987,133
   - **B. Other banks qualified under Regulation 30.7:** $0

2. **Securities**
   - **A. In safekeeping with banks located in the United States:** $0
   - **B. In safekeeping with other banks qualified under Regulation 30.7:** $0

3. **Equities with registered futures commission merchants**
   - **A. Cash:** $334,813
   - **B. Securities:** $0
   - **C. Unrealized gain (loss) on open futures contracts:** $0
   - **D. Value of long option contracts:** $0
   - **E. Value of short option contracts:** $0

4. **Amounts held by clearing organizations of foreign boards of trade**
   - **A. Cash:** $0
   - **B. Securities:** $0
   - **C. Amount due to (from) clearing organization - daily variation:** $0
   - **D. Value of long option contracts:** $0
   - **E. Value of short option contracts:** $0

5. **Amounts held by members of foreign boards of trade**
   - **A. Cash:** $417,772
   - **B. Securities:** $0
   - **C. Unrealized gain (loss) on open futures contracts:** $5,622,658
   - **D. Value of long option contracts:** $71,850
   - **E. Value of short option contracts:** $-97,250

6. **Amounts with other depositories designated by a foreign board of trade**
   - **0**

7. **Segregated funds on hand**
   - **0**

8. **Total funds in separate section 30.7 accounts**
   - $38,336,976

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**
   - $29,586,659

10. **Management Target Amount for Excess funds in separate section 30.7 accounts**
    - $15,000,000

11. **Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target**
    - $14,586,659
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **A. Cash**: 102,316,498 [7010]
   - **B. Securities (at market)**: 20,781,509 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: 4,315,158 [7030]

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**: 289,275 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**: -333,756 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**: 127,368,684 [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)**: 127,368,684 [7060]

**Funds in Segregated Accounts**

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**: 150,500,100 [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**: 5,867,025 [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)**: 20,781,509 [7170]

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

13. **Total amount in segregation (add lines 7 through 12)**: 177,148,634 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: 49,779,950 [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**: 24,779,950 [7198]