# Daily Segregation - Secured Amounts

**Foreign Futures and Foreign Options Secured Amounts**

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>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</td>
<td>0 [7305]</td>
</tr>
</tbody>
</table>

1. **Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers**
   - A. Cash                                                                 | 3,249,565 [7315] |
   - B. Securities (at market)                                                | 0 [7317]       |

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade** | 5,405,235 [7325] |

3. **Exchange traded options**
   - a. Market value of open option contracts purchased on a foreign board of trade | 7,800 [7335] |
   - b. Market value of open contracts granted (sold) on a foreign board of trade | -255,555 [7337] |

4. **Net equity (deficit) (add lines 1. 2. and 3.)**                          | 8,404,045 [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)** | 8,404,045 [7355] |

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.** | 8,404,045 [7360] |

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. **Cash in banks**
   - A. Banks located in the United States                                   | 31,987,133 [7500] |
   - B. Other banks qualified under Regulation 30.7                         | 0 [7520] 31,987,133 [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                                                                | 352,576 [7580] |
   - B. Securities                                                          | 0 [7590]       |
   - C. Unrealized gain (loss) on open futures contracts                    | -16,633 [7600] |
   - D. Value of long option contracts                                      | 0 [7610]       |
   - E. Value of short option contracts                                     | 0 [7615] 335,943 [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                                                                | 696,311 [7700] |
   - B. Securities                                                          | 0 [7710]       |
   - C. Unrealized gain (loss) on open futures contracts                    | 5,421,868 [7720] |
   - D. Value of long option contracts                                      | 7,800 [7730]   |
   - E. Value of short option contracts                                     | -255,555 [7735] 5,867,424 [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**                         | 38,190,500 [7770] |

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)** | 29,786,455 [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** | 14,786,455 [7785] |
INITIAL
End Date: 11/14/2022
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 11/15/2022

Daily Segregation - Segregation Statement

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

1. Net ledger balance
   A. Cash 100,942,308 [7010]
   B. Securities (at market) 47,962,642 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market -412,539 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 88,188 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -548,718 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 148,031,881 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 95,935 [7045]
   Less: amount offset by customer securities -95,935 [7047] 0 [7050]

6. Amount required to be segregated (add lines 4 and 5) 148,031,881 [7060]

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts
   A. Cash 150,650,113 [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 10,589 [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) 47,962,642 [7170]

12. Segregated funds on hand 0 [7150]

13. Total amount in segregation (add lines 7 through 12) 198,623,344 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 50,591,463 [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 25,591,463 [7198]