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

1. **Net ledger balance**
   - A. Cash: $100,507,692 [7010]
   - B. Securities (at market): $47,951,504 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: $-280,039 [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: $127,550 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: $455,779 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**: $147,850,928 [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)**: $147,850,928 [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - A. Cash: $149,989,637 [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: $-660,042 [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): $47,951,504 [7170]

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

13. **Total amount in segregation (add lines 7 through 12)**: $197,281,099 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: $49,430,171 [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: $24,430,171 [7198]
INITIAL
End Date:11/23/2022
Firm Name:UBS FINANCIAL SERVICES INC
Form:Daily Seg - FOCUS II
Submit Date:11/25/2022

Daily Segregation - Supplemental

- Total gross margin deficiencies - Segregated Funds Origin 23,961 [9100]
- Total gross margin deficiencies - Secured Funds Origin 19,242 [9101]
- Total gross margin deficiencies - Cleared Swaps Customer Collateral Funds Origin 0 [9102]
- Total gross margin deficiencies - Noncustomer and Proprietary Accounts Origin 1,726,496 [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 1 [9105]
- Total number of accounts contributing to total gross margin deficiencies - Cleared Swaps Customer Collateral Funds Origin 0 [9106]
- Total number of accounts contributing to 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.

Margin deficiencies 11-23-2022.xlsx

Virtual Currency

Identify the virtual currency products traded by customers and noncustomers:
Bitcoin futures No [VC05]
Bitcoin options No [VC06]
Ether futures No [VC07]
Micro bitcoin futures No [VC08]
Other: No [VC09] 0 [VC10]

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:
Bitcoin futures No [VC13]
Bitcoin options No [VC14]
Ether futures No [VC15]
Micro bitcoin futures No [VC16]
Other: No [VC17] 0 [VC18]

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:
Equity Yes [MC01]
Interest Rate No [MC02]
Metals No [MC03]
Energy No [MC04]
FX Futures No [MC05]
Other No [MC06] 0 [MC07]

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:
Equity No [MC12]