INITIAL
End Date: 11/1/2022
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 11/2/2022

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 3,241,843 [7315]
   B. Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade 4,142,509 [7325]

3. Exchange traded options
   a. Market value of open option contracts purchased on a foreign board of trade 70,275 [7335]
   b. Market value of open contracts granted (sold) on a foreign board of trade -335,880 [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.) 7,118,747 [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) 7,118,747 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. 7,118,747 [7360]

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks
   A. Banks located in the United States 32,055,987 [7500]
   B. Other banks qualified under Regulation 30.7 0 [7520] 32,055,987 [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 352,872 [7580]
   B. Securities 0 [7590]
   C. Unrealized gain (loss) on open futures contracts -11,657 [7600]
   D. Value of long option contracts 0 [7610]
   E. Value of short option contracts 0 [7615] 341,215 [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 741,538 [7700]
   B. Securities 0 [7710]
   C. Unrealized gain (loss) on open futures contracts 4,154,166 [7720]
   D. Value of long option contracts 70,275 [7730]
   E. Value of short option contracts -335,880 [7735] 4,630,099 [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 37,027,301 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) 29,908,554 [7780]

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 14,908,554 [7785]
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## Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - A. Cash: $100,272,407 (7010)
   - B. Securities (at market): $47,612,935 (7020)

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: $7,110,691 (7030)

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: $97,000 (7032)
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -$288,718 (7033)

4. **Net equity (deficit) (add lines 1, 2 and 3)**: $154,804,315 (7040)

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - Less: amount offset by customer securities: 0 (7047) 0 (7050)

6. **Amount required to be segregated (add lines 4 and 5)**: $154,804,315 (7060)

### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - A. Cash: $154,265,113 (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: $7,060,932 (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): $47,612,935 (7170)

12. **Segregated funds on hand**: 0 (7150)

13. **Total amount in segregation (add lines 7 through 12)**: $208,938,980 (7180)

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: $54,134,665 (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: $29,134,665 (7198)