INITIAL
End Date: 11/17/2022
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 11/18/2022

**Daily Segregation - Secured Amounts**

Foreign Futures and Foreign Options Secured Amounts

<table>
<thead>
<tr>
<th>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</th>
<th>0 [7305]</th>
</tr>
</thead>
</table>

1. **Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers**
   - **Cash**
     - $3,329,497 [7315]
   - **Securities (at market)**
     - $0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**
   - $5,009,455 [7325]

3. **Exchange traded options**
   - **a. Market value of open option contracts purchased on a foreign board of trade**
     - $7,740 [7335]
   - **b. Market value of open contracts granted (sold) on a foreign board of trade**
     - $-187,058 [7337]
   - **Net equity (deficit) (add lines 1. 2. and 3.)**
     - $8,159,634 [7345]

4. **Account liquidating to a deficit and account with a debit balance - gross amount**
   - $0 [7351]

5. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)**
   - $8,159,634 [7355]

6. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**
   - $8,159,634 [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**
     - $336,214 [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] $336,214 [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**
     - $763,810 [7700]
   - **B. Securities**
     - $0 [7710]
   - **C. Unrealized gain (loss) on open futures contracts**
     - $5,009,455 [7720]
   - **D. Value of long option contracts**
     - $7,740 [7730]
   - **E. Value of short option contracts**
     - $-187,058 [7735] $5,593,947 [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**
   - $37,917,294 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**
   - $29,757,660 [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**
    - $14,757,660 [7785]
SEGREGATION REQUIREMENTS (Section 4d(2) of the CEAct)

1. Net ledger balance
   A. Cash 100,492,881 [7010]
   B. Securities (at market) 47,968,466 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market 801,118 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 63,563 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -303,573 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 149,022,455 [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) 149,022,455 [7060]

7. Deposited in segregated funds bank accounts
   A. Cash 150,685,113 [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 289,344 [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) 47,968,466 [7170]

12. Segregated funds on hand 0 [7150]

13. Total amount in segregation (add lines 7 through 12) 198,942,923 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 49,920,468 [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 24,920,468 [7198]