

**INITIAL**

**End Date:12/9/2024**

**Firm Name:UBS FINANCIAL SERVICES INC**

**Form:Daily Seg - FOCUS II**

**Submit Date:12/10/2024**

**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

|    |   |                                 |
|----|---|---------------------------------|
| 1. | Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers                           | <u>0</u> [7305]                 |
|    | A. Cash   | <u>2,156,705</u> [7315]         |
|    | B. Securities (at market)   | <u>0</u> [7317]                 |
| 2. | Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade                 | <u>107,845</u> [7325]           |
| 3. | Exchange traded options   |                                 |
|    | a. Market value of open option contracts purchased on a foreign board of trade                            | <u>0</u> [7335]                 |
|    | b. Market value of open contracts granted (sold) on a foreign board of trade                              | <u>-2,975</u> [7337]            |
| 4. | Net equity (deficit) (add lines 1. 2. and 3.)   | <u>2,261,575</u> [7345]         |
| 5. | Account liquidating to a deficit and account with a debit balances - gross amount                         | <u>0</u> [7351]                 |
|    | Less: amount offset by customer owned securities  | <u>0</u> [7352] <u>0</u> [7354] |
| 6. | Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5) | <u>2,261,575</u> [7355]         |
| 7. | Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.            | <u>2,261,575</u> [7360]         |

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

|     |   |  |
|-----|---|--|
| 1.  | Cash in banks   |  |
|     | A. Banks located in the United States   | <u>37,729,621</u> [7500]                   |
|     | B. Other banks qualified under Regulation 30.7  | <u>0</u> [7520] <u>37,729,621</u> [7530]   |
| 2.  | Securities  |  |
|     | A. In safekeeping with banks located in the United States   | <u>0</u> [7540]                            |
|     | B. In safekeeping with other banks qualified under Regulation 30.7                                      | <u>0</u> [7560] <u>0</u> [7570]            |
| 3.  | Equities with registered futures commission merchants   |  |
|     | A. Cash   | <u>404,425</u> [7580]                      |
|     | B. Securities   | <u>0</u> [7590]                            |
|     | C. Unrealized gain (loss) on open futures contracts   | <u>0</u> [7600]                            |
|     | D. Value of long option contracts   | <u>0</u> [7610]                            |
|     | E. Value of short option contracts  | <u>0</u> [7615] <u>404,425</u> [7620]      |
| 4.  | Amounts held by clearing organizations of foreign boards of trade                                       |  |
|     | A. Cash   | <u>0</u> [7640]                            |
|     | B. Securities   | <u>0</u> [7650]                            |
|     | C. Amount due to (from) clearing organization - daily variation   | <u>0</u> [7660]                            |
|     | D. Value of long option contracts   | <u>0</u> [7670]                            |
|     | E. Value of short option contracts  | <u>0</u> [7675] <u>0</u> [7680]            |
| 5.  | Amounts held by members of foreign boards of trade  |  |
|     | A. Cash   | <u>78,764</u> [7700]                       |
|     | B. Securities   | <u>0</u> [7710]                            |
|     | C. Unrealized gain (loss) on open futures contracts   | <u>107,845</u> [7720]                      |
|     | D. Value of long option contracts   | <u>0</u> [7730]                            |
|     | E. Value of short option contracts  | <u>-2,975</u> [7735] <u>183,634</u> [7740] |
| 6.  | Amounts with other depositories designated by a foreign board of trade                                  | <u>0</u> [7760]                            |
| 7.  | Segregated funds on hand  | <u>0</u> [7765]                            |
| 8.  | Total funds in separate section 30.7 accounts   | <u>38,317,680</u> [7770]                   |
| 9.  | Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) | <u>36,056,105</u> [7380]                   |
| 10. | Management Target Amount for Excess funds in separate section 30.7 accounts                             | <u>15,000,000</u> [7780]                   |
| 11. | Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target                      | <u>21,056,105</u> [7785]                   |

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

|     |   |                                      |
|-----|---|--------------------------------------|
| 1.  | Net ledger balance  |                                      |
|     | A. Cash   | <b><u>49,321,620</u></b> [7010]      |
|     | B. Securities (at market)   | <b><u>97,378,813</u></b> [7020]      |
| 2.  | Net unrealized profit (loss) in open futures contracts traded on a contract market          | <b><u>-6,277,502</u></b> [7030]      |
| 3.  | Exchange traded options   |                                      |
|     | A. Add market value of open option contracts purchased on a contract market                 | <b><u>398,230</u></b> [7032]         |
|     | B. Deduct market value of open option contracts granted (sold) on a contract market         | <b><u>-558,136</u></b> [7033]        |
| 4.  | Net equity (deficit) (add lines 1, 2 and 3)   | <b><u>140,263,025</u></b> [7040]     |
| 5.  | Accounts liquidating to a deficit and accounts with debit balances - gross amount           | <b><u>30,750</u></b> [7045]          |
|     | Less: amount offset by customer securities  | <b><u>-30,750</u></b> [7047]0 [7050] |
| 6.  | Amount required to be segregated (add lines 4 and 5)  | <b><u>140,263,025</u></b> [7060]     |
|     | FUNDS IN SEGREGATED ACCOUNTS  |                                      |
| 7.  | Deposited in segregated funds bank accounts   |                                      |
|     | A. Cash   | <b><u>57,004,813</u></b> [7070]      |
|     | B. Securities representing investments of customers' funds (at market)                      | <b><u>0</u></b> [7080]               |
|     | C. Securities held for particular customers or option customers in lieu of cash (at market) | <b><u>0</u></b> [7090]               |
| 8.  | Margins on deposit with derivatives clearing organizations of contract markets              |                                      |
|     | A. Cash   | <b><u>0</u></b> [7100]               |
|     | B. Securities representing investments of customers' funds (at market)                      | <b><u>0</u></b> [7110]               |
|     | C. Securities held for particular customers or option customers in lieu of cash (at market) | <b><u>0</u></b> [7120]               |
| 9.  | Net settlement from (to) derivatives clearing organizations of contract markets             | <b><u>0</u></b> [7130]               |
| 10. | Exchange traded options   |                                      |
|     | A. Value of open long option contracts  | <b><u>0</u></b> [7132]               |
|     | B. Value of open short option contracts   | <b><u>0</u></b> [7133]               |
| 11. | Net equities with other FCMs  |                                      |
|     | A. Net liquidating equity   | <b><u>72,297,068</u></b> [7140]      |
|     | B. Securities representing investments of customers' funds (at market)                      | <b><u>0</u></b> [7160]               |
|     | C. Securities held for particular customers or option customers in lieu of cash (at market) | <b><u>97,378,813</u></b> [7170]      |
| 12. | Segregated funds on hand  | <b><u>0</u></b> [7150]               |
| 13. | Total amount in segregation (add lines 7 through 12)  | <b><u>226,680,694</u></b> [7180]     |
| 14. | Excess (deficiency) funds in segregation (subtract line 6 from line 13)                     | <b><u>86,417,669</u></b> [7190]      |
| 15. | Management Target Amount for Excess funds in segregation                                    | <b><u>35,000,000</u></b> [7194]      |
| 16. | Excess (deficiency) funds in segregation over (under) Management Target Amount              | <b><u>51,417,669</u></b> [7198]      |
|     | Excess  |                                      |