### 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: 3,942,915 [7315]
   - B. Securities (at market): 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 4,969,534 [7325]

3. Exchange traded options
   - a. Market value of open option contracts purchased on a foreign board of trade: 93,435 [7335]
   - b. Market value of open contracts granted (sold) on a foreign board of trade: -191,295 [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.): 8,814,589 [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] [7354]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity: 8,814,589 [7355]

Method (add lines 4 and 5)

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6: 8,814,589 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks
   - A. Banks located in the United States: 33,187,133 [7500]
   - B. Other banks qualified under Regulation 30.7: 0 [7520] 33,187,133 [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: 336,137 [7580]
   - B. Securities: 0 [7590]
   - C. Unrealized gain (loss) on open futures contracts: -3,782 [7600]
   - D. Value of long option contracts: 0 [7610]
   - E. Value of short option contracts: 0 [7615] 332,355 [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: 468,896 [7700]
   - B. Securities: 0 [7710]
   - C. Unrealized gain (loss) on open futures contracts: 4,973,316 [7720]
   - D. Value of long option contracts: 93,435 [7730]

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: 38,863,840 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8): 30,049,251 [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: 15,049,251 [7785]
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - A. Cash
     - **41,181,296** [7010]
   - B. Securities (at market)
     - **23,183,942** [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - **3,821,851** [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market
     - **257,650** [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market
     - **-593,172** [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - **67,851,567** [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - **347,841** [7045]
   - Less: amount offset by customer securities
     - **-347,841** [7047][7050]
   - **0** [7050]

6. **Amount required to be segregated (add lines 4 and 5)**
   - **67,851,567** [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - A. Cash
     - **92,335,097** [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
      - **3,994,969** [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)
      - **23,183,942** [7170]

12. **Segregated funds on hand**
    - **0** [7150]

13. **Total amount in segregation (add lines 7 through 12)**
    - **119,514,008** [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - **51,662,441** [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**
    - **26,662,441** [7198]

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*End Date: 1/10/2023*

*Firm Name: UBS FINANCIAL SERVICES INC*

*Form: Daily Seg - FOCUS II*

*Submit Date: 1/11/2023*