**INITIAL**

End Date: 1/26/2023  
Firm Name: UBS FINANCIAL SERVICES INC  
Form: Daily Seg - FOCUS II  
Submit Date: 1/27/2023

### 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]

<table>
<thead>
<tr>
<th>1. <strong>Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Cash: 3,161,443 [7315]</td>
</tr>
<tr>
<td>B. Securities (at market): 0 [7317]</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. <strong>Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>5,678,807 [7325]</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>3. <strong>Exchange traded options</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Market value of open option contracts purchased on a foreign board of trade: 292,020 [7335]</td>
</tr>
<tr>
<td>b. Market value of open contracts granted (sold) on a foreign board of trade: -354,405 [7337]</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4. <strong>Net equity (deficit) (add lines 1. 2. and 3.)</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>8,777,865 [7345]</td>
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</tbody>
</table>

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<thead>
<tr>
<th>5. <strong>Account liquidating to a deficit and account with a debit balances - gross amount</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>0 [7351]</td>
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</tbody>
</table>

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<thead>
<tr>
<th>6. <strong>Amount required to be set aside as the secured amount - Net Liquidating Equity</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>8,777,865 [7355]</td>
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</tbody>
</table>

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<thead>
<tr>
<th>7. <strong>Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>8,777,865 [7360]</td>
</tr>
</tbody>
</table>

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**

   A. Banks located in the United States: 32,842,872 [7500]  

   B. Other banks qualified under Regulation 30.7: 0 [7520] 32,842,872 [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: 335,525 [7580]  

   B. Securities: 0 [7590]  

   C. Unrealized gain (loss) on open futures contracts: 22,118 [7600]  

   D. Value of long option contracts: 0 [7610]  

   E. Value of short option contracts: 0 [7615] 357,643 [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: 419,309 [7700]  

   B. Securities: 0 [7710]  

   C. Unrealized gain (loss) on open futures contracts: 5,656,689 [7720]  

   D. Value of long option contracts: 292,020 [7730]  

   E. Value of short option contracts: -354,405 [7735] 6,013,613 [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**

   39,214,128 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**

   30,436,263 [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**

    15,436,263 [7785]
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - A. Cash: 42,072,551 [7010]  
   - B. Securities (at market): 22,395,166 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: 2,060,451 [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: 138,438 [7032]  
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -648,491 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**: 66,018,115 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: 604,929 [7045]  
   - Less: amount offset by customer securities: -604,929 [7047]  
   - Net required to be segregated (add lines 4 and 5): 66,018,115 [7060]

**Funds in segregated accounts**

6. **Deposited in segregated funds bank accounts**
   - A. Cash: 90,885,212 [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: 3,178,274 [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): 22,395,166 [7170]

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

13. **Total amount in segregation (add lines 7 through 12)**: 116,458,652 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: 50,440,537 [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: 25,440,537 [7198]