**INITIAL**

**End Date:** 3/7/2023  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 3/8/2023

### 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.  

<table>
<thead>
<tr>
<th>Line</th>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers</td>
<td></td>
</tr>
</tbody>
</table>
  A. Cash | 2,732,976 |
  B. Securities (at market) | 0 |
| 2.   | Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade | 4,546,549 |
| 3.   | Exchange traded options |  
  a. Market value of open option contracts purchased on a foreign board of trade | 0 |
  b. Market value of open contracts granted (sold) on a foreign board of trade | 0 |
| 4.   | Net equity (deficit) (add lines 1. 2. and 3.) | 7,279,525 |
| 5.   | Account liquidating to a deficit and account with a debit balances - gross amount |  
  Less: amount offset by customer owned securities | 0 |
| 6.   | Amount required to be set aside as the secured amount - Net Liquidating Equity | 7,279,525 |
| 7.   | Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. | 7,279,525 |

#### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

<table>
<thead>
<tr>
<th>Line</th>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Cash in banks</td>
<td></td>
</tr>
</tbody>
</table>
  A. Banks located in the United States | 32,842,872 |
  B. Other banks qualified under Regulation 30.7 | 0 |
| 2.   | Securities |  
  A. In safekeeping with banks located in the United States | 0 |
  B. In safekeeping with other banks qualified under Regulation 30.7 | 0 |
| 3.   | Equities with registered futures commission merchants |  
  A. Cash | 348,750 |
  B. Securities | 0 |
  C. Unrealized gain (loss) on open futures contracts | 0 |
  D. Value of long option contracts | 0 |
  E. Value of short option contracts | 0 |
| 4.   | Amounts held by clearing organizations of foreign boards of trade |  
  A. Cash | 0 |
  B. Securities | 0 |
  C. Amount due to (from) clearing organization - daily variation | 0 |
  D. Value of long option contracts | 0 |
  E. Value of short option contracts | 0 |
| 5.   | Amounts held by members of foreign boards of trade |  
  A. Cash | 446,726 |
  B. Securities | 0 |
  C. Unrealized gain (loss) on open futures contracts | 4,546,549 |
  D. Value of long option contracts | 0 |
  E. Value of short option contracts | 0 |
| 6.   | Amounts with other depositories designated by a foreign board of trade | 0 |
| 7.   | Segregated funds on hand | 0 |
| 8.   | Total funds in separate section 30.7 accounts | 38,184,897 |
| 9.   | Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) | 30,905,372 |
| 10.  | Management Target Amount for Excess funds in separate section 30.7 accounts | 15,000,000 |
| 11.  | Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target | 15,905,372 |
Daily Segregation - Segregation Statement

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

1. Net ledger balance
   A. Cash 41,531,193 [7010]
   B. Securities (at market) 21,773,856 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market 4,301,389 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 34,600 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -369,299 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 67,271,739 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 39,120 [7045]
   Less: amount offset by customer securities -39,120 [7047] 0 [7050]

6. Amount required to be segregated (add lines 4 and 5) 67,271,739 [7060]

Funds in segregated accounts

7. Deposited in segregated funds bank accounts
   A. Cash 85,565,212 [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 11,149,152 [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) 21,773,856 [7170]

12. Segregated funds on hand 0 [7150]

13. Total amount in segregation (add lines 7 through 12) 118,488,220 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 51,216,481 [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 26,216,481 [7198]