INITIAL
End Date: 7/20/2023
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 7/21/2023

### 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

1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers
   - A. Cash: 6,908,202
   - B. Securities (at market): 0

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 1,437,213

3. Exchange traded options
   - a. Market value of open option contracts purchased on a foreign board of trade: 11,310
   - b. Market value of open contracts granted (sold) on a foreign board of trade: -211,059

4. Net equity (deficit) (add lines 1. 2. and 3.): 8,145,666

5. Account liquidating to a deficit and account with a debit balances - gross amount: 0
   - Less: amount offset by customer owned securities: 0

6. Amount required to be set aside as the secured amount - Net Liquidating Equity (Method add lines 4 and 5): 8,145,666

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6: 8,145,666

#### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks
   - A. Banks located in the United States: 32,839,311
   - 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: 359,292
   - B. Securities: 0
   - C. Unrealized gain (loss) on open futures contracts: 357
   - 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: 3,436,540
   - B. Securities: 0
   - C. Unrealized gain (loss) on open futures contracts: 1,436,856
   - D. Value of long option contracts: 11,310
   - E. Value of short option contracts: -211,059

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: 37,872,607


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: 14,726,941
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - A. Cash: $61,135,548 [7010]
   - B. Securities (at market): $140,940,196 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - $-4,983,671 [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: $333,588 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: $-674,836 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - $196,750,825 [7040]

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

6. **Amount required to be segregated (add lines 4 and 5)**
   - $196,750,825 [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - A. Cash: $79,428,638 [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: $29,750,055 [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): $140,940,196 [7170]

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

13. **Total amount in segregation (add lines 7 through 12)**
    - $250,118,889 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - $53,368,064 [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: $28,368,064 [7198]