### 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: 6,905,118
   - B. Securities (at market): 0

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 1,391,807

3. Exchange traded options
   - a. Market value of open option contracts purchased on a foreign board of trade: 10,765
   - b. Market value of open contracts granted (sold) on a foreign board of trade: -191,344

4. Net equity (deficit) (add lines 1. 2. and 3.): 8,116,346

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): 8,116,346

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6: 8,116,346

### 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: 359,551
   - B. Securities: 0
   - C. Unrealized gain (loss) on open futures contracts: 705
   - 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: 3,436,498
   - B. Securities: 0
   - C. Unrealized gain (loss) on open futures contracts: 1,391,102
   - D. Value of long option contracts: 10,765
   - E. Value of short option contracts: -191,344

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: 37,846,588


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: 14,730,242
**INITIAL**

**End Date:** 7/21/2023  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 7/24/2023  

**Daily Segregation - Segregation Statement**

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

1. Net ledger balance
   - A. Cash: 47,127,447  
   - B. Securities (at market): 155,929,957

2. Net unrealized profit (loss) in open futures contracts traded on a contract market: -4,879,983

3. Exchange traded options
   - A. Add market value of open option contracts purchased on a contract market: 336,163
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -565,483

4. Net equity (deficit) (add lines 1, 2 and 3): 197,948,101

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

6. Amount required to be segregated (add lines 4 and 5): 197,948,101

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts
   - A. Cash: 65,443,638
   - B. Securities representing investments of customers' funds (at market): 0
   - C. Securities held for particular customers or option customers in lieu of cash (at market): 0

8. Margins on deposit with derivatives clearing organizations of contract markets
   - A. Cash: 0
   - B. Securities representing investments of customers' funds (at market): 0
   - C. Securities held for particular customers or option customers in lieu of cash (at market): 0

9. Net settlement from (to) derivatives clearing organizations of contract markets: 0

10. Exchange traded options
    - A. Value of open long option contracts: 0
    - B. Value of open short option contracts: 0

11. Net equities with other FCMs
    - A. Net liquidating equity: 29,957,661
    - B. Securities representing investments of customers' funds (at market): 0
    - C. Securities held for particular customers or option customers in lieu of cash (at market): 155,929,957

12. Segregated funds on hand: 0

13. Total amount in segregation (add lines 7 through 12): 251,331,256

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13): 53,383,155

15. Management Target Amount for Excess funds in segregation: 25,000,000

16. Excess (deficiency) funds in segregation over (under) Management Target Amount
    - Excess: 28,383,155