INITIAL
End Date: 7/5/2023
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 7/6/2023

**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]

1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers
   A. Cash: 4,375,224 [7315]
   B. Securities (at market): 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 4,234,177 [7325]

3. Exchange traded options
   a. Market value of open option contracts purchased on a foreign board of trade: 0 [7335]
   b. Market value of open contracts granted (sold) on a foreign board of trade: -244,191 [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.): 8,365,210 [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: 8,365,210 [7355]

   Method (add lines 4 and 5)
   7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 4: 8,365,210 [7360]

**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: 360,039 [7580]
   B. Securities: 0 [7590]
   C. Unrealized gain (loss) on open futures contracts: -6,083 [7600]
   D. Value of long option contracts: 0 [7610]
   E. Value of short option contracts: 0 [7615] 353,956 [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: 394,830 [7700]
   B. Securities: 0 [7710]
   C. Unrealized gain (loss) on open futures contracts: 4,240,260 [7720]
   D. Value of long option contracts: 0 [7730]
   E. Value of short option contracts: -244,191 [7735] 4,390,899 [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: 37,587,727 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)
   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: 14,222,517 [7785]
### Daily Segregation - Segregation Statement

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

1. Net ledger balance
   - A. Cash: 45,113,473
   - B. Securities (at market): 139,895,396

2. Net unrealized profit (loss) in open futures contracts traded on a contract market: -3,986,740

3. Exchange traded options
   - A. Add market value of open option contracts purchased on a contract market: 373,813
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -580,407

4. Net equity (deficit) (add lines 1, 2 and 3): 180,815,535

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): 180,815,535

### FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts
   - A. Cash: 67,795,638
   - 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: 30,347,919
    - 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): 139,895,396

12. Segregated funds on hand: 0

13. Total amount in segregation (add lines 7 through 12): 238,038,953

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13): 57,223,418

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

16. Excess (deficiency) funds in segregation over (under) Management Target Amount: 32,223,418