## 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: **$3,012,780** [7315]
   B. Securities (at market): **$0** [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: **$4,073,809** [7325]

3. Exchange traded options
   a. Market value of open option contracts purchased on a foreign board of trade: **$0** [7335]
   b. Market value of open contracts granted (sold) on a foreign board of trade: **$-96,570** [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.) : **$6,990,019** [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: **$6,990,019** [7355]
Method (add lines 4 and 5)

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6: **$6,990,019** [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] [7570]

3. Equities with registered futures commission merchants
   A. Cash: **$351,153** [7580]
   B. Securities: **$0** [7590]
   C. Unrealized gain (loss) on open futures contracts: **$4,042** [7600]
   D. Value of long option contracts: **$0** [7610]
   E. Value of short option contracts: **$0** [7615] **$355,195** [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] [7680]

5. Amounts held by members of foreign boards of trade
   A. Cash: **$556,643** [7700]
   B. Securities: **$0** [7710]
   C. Unrealized gain (loss) on open futures contracts: **$4,069,767** [7720]
   D. Value of long option contracts: **$0** [7730]
   E. Value of short option contracts: **$96,570** [7735] **$4,529,840** [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: **$37,727,907** [7770]
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8): **$30,737,888** [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: **$15,737,888** [7785]
INITIAL

End Date: 5/15/2023
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 5/16/2023

Daily Segregation - Segregation Statement

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

1. Net ledger balance
   A. Cash 52,334,963 [7010]
   B. Securities (at market) 130,404,986 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market -6,314,715 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 409,900 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -895,124 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 175,940,010 [7040]

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

6. Amount required to be segregated (add lines 4 and 5) 175,940,010 [7060]

Funds in segregated accounts

7. Deposited in segregated funds bank accounts
   A. Cash 78,160,212 [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 16,377,286 [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) 130,404,986 [7170]

12. Segregated funds on hand 0 [7150]

13. Total amount in segregation (add lines 7 through 12) 224,942,484 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 49,002,474 [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 24,002,474 [7198]