INITIAL
End Date: 5/19/2023
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 5/22/2023

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: 3,157,137 [7315]
   B. Securities (at market): 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 3,897,212 [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: -67,935 [7337]

4. Net equity (deficit) (add lines 1, 2, and 3): 6,986,414 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount: 0 [7351]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity
   Method: add lines 4 and 5
   Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6: 6,986,414 [7355]

7. 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]

   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]

   3. Equities with registered futures commission merchants
      A. Cash: 351,568 [7580]
      B. Securities: 0 [7590]
      C. Unrealized gain (loss) on open futures contracts: 4,346 [7600]
      D. Value of long option contracts: 0 [7610]
      E. Value of short option contracts: 0 [7615]

   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]

   5. Amounts held by members of foreign boards of trade
      A. Cash: 702,074 [7700]
      B. Securities: 0 [7710]
      C. Unrealized gain (loss) on open futures contracts: 3,892,866 [7720]
      D. Value of long option contracts: 0 [7730]
      E. Value of short option contracts: -67,935 [7735]

   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: 37,725,791 [7770]


   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: 15,739,377 [7785]
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Daily Segregation - Segregation Statement

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

1. Net ledger balance
   A. Cash 55,585,391 [7010]
   B. Securities (at market) 130,374,670 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market -7,978,475 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 429,425 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -826,968 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 177,584,043 [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) 177,584,043 [7060]

Funds in Segregated Accounts

7. Deposited in segregated funds bank accounts
   A. Cash 83,335,212 [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 15,869,500 [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) 130,374,670 [7170]

12. Segregated funds on hand 0 [7150]

13. Total amount in segregation (add lines 7 through 12) 229,579,382 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 51,995,339 [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 26,995,339 [7198]