**INITIAL**  
End Date: 5/12/2023  
Firm Name: UBS FINANCIAL SERVICES INC  
Form: Daily Seg - FOCUS II  
Submit Date: 5/15/2023  

### 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.  

1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers  
   A. Cash  
      2,997,211 [7315]  
   B. Securities (at market)  
      0 [7317]  

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade  
   4,041,421 [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  
      -127,260 [7337]  

4. Net equity (deficit) (add lines 1., 2. and 3.)  
   6,911,372 [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][9] [7354]  

6. Amount required to be set aside as the secured amount - Net Liquidating Equity  
   Method (add lines 4 and 5)  
   6,911,372 [7355]  

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.  
   6,911,372 [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][9] [7570]  

3. Equities with registered futures commission merchants  
   A. Cash  
      351,075 [7580]  
   B. Securities  
      0 [7590]  
   C. Unrealized gain (loss) on open futures contracts  
      2,137 [7600]  
   D. Value of long option contracts  
      0 [7610]  
   E. Value of short option contracts  
      0 [7615][353,212] [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][9] [7680]  

5. Amounts held by members of foreign boards of trade  
   A. Cash  
      556,139 [7700]  
   B. Securities  
      0 [7710]  
   C. Unrealized gain (loss) on open futures contracts  
      4,039,284 [7720]  
   D. Value of long option contracts  
      0 [7730]  
   E. Value of short option contracts  
      -127,260 [7735][4,468,163] [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  
   37,664,247 [7770]  

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)  
   30,752,875 [7380]  

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  
    15,752,875 [7785]
SEGREGATION REQUIREMENTS (Section 4d(2) of the CEAct)

1. Net ledger balance
   A. Cash 52,035,256 [7010]
   B. Securities (at market) 130,664,101 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market -7,000,173 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 414,063 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -931,739 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 175,181,508 [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) 175,181,508 [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 15,403,792 [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) 130,664,101 [7170]

12. Segregated funds on hand 0 [7150]

13. Total amount in segregation (add lines 7 through 12) 224,228,105 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 49,046,597 [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 24,046,597 [7198]