INITIAL  
End Date: 5/9/2023  
Firm Name: UBS FINANCIAL SERVICES INC  
Form: Daily Seg - FOCUS II  
Submit Date: 5/10/2023  

**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**: 2,986,263 [7315]
   - **B. Securities (at market)**: 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**: 4,482,335 [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**: -55,290 [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.)**: 7,413,308 [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**
   - **Method (add lines 4 and 5)**: 7,413,308 [7355]
   - **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**: 7,413,308 [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**: 350,943 [7580]
   - **B. Securities**: 0 [7590]
   - **C. Unrealized gain (loss) on open futures contracts**: 5,846 [7600]
   - **D. Value of long option contracts**: 0 [7610]
   - **E. Value of short option contracts**: 0 [7615] 356,789 [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**: 559,236 [7700]
   - **B. Securities**: 0 [7710]
   - **C. Unrealized gain (loss) on open futures contracts**: 4,476,489 [7720]
   - **D. Value of long option contracts**: 0 [7730]
   - **E. Value of short option contracts**: -55,290 [7735] 4,980,435 [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**: 38,180,096 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**: 30,766,788 [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**: 15,766,788 [7785]
### Initial Information

**End Date:** 5/9/2023  
**Firm Name:** UBS FINANCIAL SERVICES INC  
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### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - A. Cash: 48,972,154 [7010]  
   - B. Securities (at market): 129,775,437 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**  
   - -5,134,518 [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: 267,225 [7032]  
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -781,079 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**  
   - 173,099,219 [7040]

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

6. **Amount required to be segregated (add lines 4 and 5)**  
   - 173,099,219 [7060]

### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - A. Cash: 78,150,212 [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: 16,845,052 [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): 129,775,437 [7170]

12. **Segregated funds on hand**  
    - 0 [7150]

13. **Total amount in segregation (add lines 7 through 12)**  
    - 224,770,701 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**  
    - 51,671,482 [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: 26,671,482 [7198]