INITIAL
End Date: 10/3/2023
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 10/4/2023

**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**: 4,177,187 [7315]
   - **B. Securities (at market)**: 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade
   - **1,042,975** [7325]

3. Exchange traded options
   - a. Market value of open option contracts purchased on a foreign board of trade
   - b. Market value of open contracts granted (sold) on a foreign board of trade
       - `-117,015` [7337]

4. Net equity (deficit) (add lines 1, 2 and 3.)
   - **5,103,147** [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount

6. Amount required to be set aside as the secured amount - Net Liquidating Equity
   - Method (add lines 4 and 5)
   - **5,103,147** [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6
   - **5,103,147** [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks
   - A. Banks located in the United States: 34,839,311 [7500]
   - B. Other banks qualified under Regulation 30.7: 0 [7520] 34,839,311 [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: 371,865 [7580]
   - B. Securities: 0 [7590]
   - C. Unrealized gain (loss) on open futures contracts: 8,196 [7600]
   - D. Value of long option contracts: 0 [7610]
   - E. Value of short option contracts: 0 [7615] 380,061 [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: 1,789,369 [7700]
   - B. Securities: 0 [7710]
   - C. Unrealized gain (loss) on open futures contracts: 1,034,779 [7720]
   - D. Value of long option contracts: 0 [7730]
   - E. Value of short option contracts: -117,015 [7735] 2,707,133 [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: 37,926,505 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)
   - **32,823,358** [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: 17,823,358 [7785]
### Daily Segregation - Segregation Statement

**SEGREGATION REQUIREMENTS (Section 4d(2) of the CEA)**

1. **Net ledger balance**
   - **Cash**: 46,177,349
   - **Securities (at market)**: 166,721,381

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: 9,845,287

3. **Exchange traded options**
   - **Add market value of open option contracts purchased on a contract market**: 291,034
   - **Deduct market value of open option contracts granted (sold) on a contract market**: -513,505

4. **Net equity (deficit) (add lines 1, 2 and 3)**: 222,521,546

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: 4,840
   - **Less: amount offset by customer securities**: -4,840

6. **Amount required to be segregated (add lines 4 and 5)**: 222,521,546

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - **Cash**: 53,037,744
   - **Securities representing investments of customers’ funds (at market)**: 0
   - **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**
   - **Cash**: 0
   - **Securities representing investments of customers’ funds (at market)**: 0
   - **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**
    - **Value of open long option contracts**: 0
    - **Value of open short option contracts**: 0

11. **Net equities with other FCMs**
    - **Net liquidating equity**: 61,440,022
    - **Securities representing investments of customers’ funds (at market)**: 0
    - **Securities held for particular customers or option customers in lieu of cash (at market)**: 166,721,381

12. **Segregated funds on hand**: 0

13. **Total amount in segregation (add lines 7 through 12)**: 281,199,147

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: 58,677,601

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

16. **Excess (deficiency) funds in segregation over (under) Management Target Amount**
    - **Excess**: 33,677,601