## 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**

1. **Net ledger balance** - Foreign Futures and Foreign Option Trading - All Customers
   - **A. Cash**
     - **4,267,836**
   - **B. Securities (at market)**
     - **0**

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**
   - **1,050,045**

3. **Exchange traded options**
   - **a. Market value of open option contracts purchased on a foreign board of trade**
     - **0**
   - **b. Market value of open contracts granted (sold) on a foreign board of trade**
     - **-63,289**

4. **Net equity (deficit) (add lines 1. 2. and 3.)**
   - **5,254,594**

5. **Account liquidating to a deficit and account with a debit balances - gross amount**
   - **0**

   **Less: amount offset by customer owned securities**
   - **0**

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity**
   - **5,254,594**

   **Method (add lines 4 and 5)**

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**
   - **5,254,594**

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - **A. Banks located in the United States**
     - **34,839,311**
   - **B. Other banks qualified under Regulation 30.7**
     - **0**

2. **Securities**
   - **A. In safekeeping with banks located in the United States**
     - **0**
   - **B. In safekeeping with other banks qualified under Regulation 30.7**
     - **0**

3. **Equities with registered futures commission merchants**
   - **A. Cash**
     - **371,893**
   - **B. Securities**
     - **0**
   - **C. Unrealized gain (loss) on open futures contracts**
     - **9,443**
   - **D. Value of long option contracts**
     - **0**
   - **E. Value of short option contracts**
     - **381,336**

4. **Amounts held by clearing organizations of foreign boards of trade**
   - **A. Cash**
     - **0**
   - **B. Securities**
     - **0**
   - **C. Amount due to (from) clearing organization - daily variation**
     - **0**
   - **D. Value of long option contracts**
     - **0**
   - **E. Value of short option contracts**
     - **0**

5. **Amounts held by members of foreign boards of trade**
   - **A. Cash**
     - **1,717,687**
   - **B. Securities**
     - **0**
   - **C. Unrealized gain (loss) on open futures contracts**
     - **1,040,602**
   - **D. Value of long option contracts**
     - **0**
   - **E. Value of short option contracts**
     - **-63,289**

6. **Amounts with other depositories designated by a foreign board of trade**
   - **0**

7. **Segregated funds on hand**
   - **0**

8. **Total funds in separate section 30.7 accounts**
   - **37,915,647**

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**
   - **32,661,053**

10. **Management Target Amount for Excess funds in separate section 30.7 accounts**
    - **15,000,000**

11. **Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target**
    - **17,661,053**
INITIAL
End Date: 10/6/2023
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 10/9/2023

Daily Segregation - Segregation Statement

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

1. Net ledger balance
   A. Cash 46,806,945 [7010]
   B. Securities (at market) 166,610,075 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market 6,584,155 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 327,961 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -591,835 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 219,737,301 [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) 219,737,301 [7060]

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts
   A. Cash 52,837,744 [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 58,671,444 [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) 166,610,075 [7170]

12. Segregated funds on hand 0 [7150]

13. Total amount in segregation (add lines 7 through 12) 278,119,263 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 58,381,962 [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 33,381,962 [7198]

Excess