**INITIAL**

**End Date:** 10/20/2023  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 10/23/2023

### 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 self-regulatory organization authorized thereunder: 0 [7305]

1. **Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers**
   - **A. Cash:** 4,518,337 [7315]  
   - **B. Securities (at market):** 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade:** 1,008,825 [7325]

3. **Exchange traded options**
   - **a. Market value of open option contracts purchased on a foreign board of trade:** 18,560 [7335]  
   - **b. Market value of open contracts granted (sold) on a foreign board of trade:** -181,127 [7337]

4. **Net equity (deficit) (add lines 1, 2, and 3.):** 5,364,595 [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]  
   **Method (add lines 4 and 5):** 5,364,595 [7355]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity:** 5,364,595 [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]  

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:** 382,418 [7580]  
   - **B. Securities:** 0 [7590]  
   - **C. Unrealized gain (loss) on open futures contracts:** 0 [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:** 1,746,528 [7700]  
   - **B. Securities:** 0 [7710]  
   - **C. Unrealized gain (loss) on open futures contracts:** 1,008,825 [7720]  
   - **D. Value of long option contracts:** 18,560 [7730]  
   - **E. Value of short option contracts:** -181,127 [7735]  

   **Total:** 2,592,786 [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:** 37,814,515 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8):** 32,449,920 [7780]

10. **Management Target Amount for Excess funds in separate section 30.7 accounts:** 15,000,000 [7785]

11. **Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target:** 17,449,920 [7785]
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **A. Cash:** 37,222,572 [7010]
   - **B. Securities (at market):** 81,493,543 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market:** 7,844,485 [7030]

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market:** 523,006 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market:** -596,759 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3):** 126,486,847 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount:** 406 [7045]
   - **Less: amount offset by customer securities:** 0 [7047] 406 [7050]

6. **Amount required to be segregated (add lines 4 and 5):** 126,487,253 [7060]

#### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - **A. Cash:** 77,824,992 [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:** 44,694,412 [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):** 81,493,543 [7170]

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

13. **Total amount in segregation (add lines 7 through 12):** 204,012,947 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13):** 77,525,694 [7190]

15. **Management Target Amount for Excess funds in segregation:** 35,000,000 [7194]

16. **Excess (deficiency) funds in segregation over (under) Management Target Amount:**
    - **Excess:** 42,525,694 [7198]