**INITIAL**

End Date: 10/31/2023  
Firm Name: UBS FINANCIAL SERVICES INC  
Form: Daily Seg - FOCUS II  
Submit Date: 11/1/2023

### 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.

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>0. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers</td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>5,136,447</td>
</tr>
<tr>
<td>B. Securities (at market)</td>
<td>0</td>
</tr>
<tr>
<td>1. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade</td>
<td>1,026,810</td>
</tr>
<tr>
<td>2. Exchange traded options</td>
<td></td>
</tr>
<tr>
<td>a. Market value of open option contracts purchased on a foreign board of trade</td>
<td>12,571</td>
</tr>
<tr>
<td>b. Market value of open contracts granted (sold) on a foreign board of trade</td>
<td>-163,727</td>
</tr>
<tr>
<td>3. Net equity (deficit)</td>
<td>6,012,101</td>
</tr>
<tr>
<td>4. Account liquidating to a deficit and account with a debit balances - gross amount</td>
<td></td>
</tr>
<tr>
<td>Less: amount offset by customer owned securities</td>
<td>0</td>
</tr>
<tr>
<td>5. Amount required to be set aside as the secured amount - Net Liquidating Equity</td>
<td>6,012,101</td>
</tr>
</tbody>
</table>

Method (add lines 4 and 5):  
6. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.  
   6. **6,012,101**  

### 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                                                                  382,469  
   B. Securities                                                           0  
   C. Unrealized gain (loss) on open futures contracts                    0  
   D. Value of long option contracts                                       0  
   E. Value of short option contracts                                      0  

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                                                                  1,770,784  
   B. Securities                                                           0  
   C. Unrealized gain (loss) on open futures contracts                    1,026,810  
   D. Value of long option contracts                                       12,571  
   E. Value of short option contracts                                      -163,727  

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                          | 37,886,218  
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) | 31,856,117  
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 | 16,856,117
#### SEGREGATION REQUIREMENTS (Section 4d(2) of the CEAct)

1. **Net ledger balance**
   - **A. Cash**
     - 39,782,004
   - **B. Securities (at market)**
     - 88,077,375

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - 8,669,981

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**
     - 403,548
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**
     - -600,605

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - 136,332,303

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

6. **Amount required to be segregated (add lines 4 and 5)**
   - 136,332,303

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**
     - 66,166,209
   - **B. Securities representing investments of customers’ funds (at market)**
     - 0
   - **C. 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**
   - **A. Cash**
     - 0
   - **B. Securities representing investments of customers’ funds (at market)**
     - 0
   - **C. 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**
    - **A. Value of open long option contracts**
      - 0
    - **B. Value of open short option contracts**
      - 0

11. **Net equities with other FCMs**
    - **A. Net liquidating equity**
      - 62,899,545
    - **B. Securities representing investments of customers’ funds (at market)**
      - 0
    - **C. Securities held for particular customers or option customers in lieu of cash (at market)**
      - 88,077,375

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

13. **Total amount in segregation (add lines 7 through 12)**
    - 217,143,129

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - 80,810,826

15. **Management Target Amount for Excess funds in segregation**
    - 35,000,000

16. **Excess (deficiency) funds in segregation over (under) Management Target Amount**
    - 45,810,826