END<br>End Date:10/10/2023
Firm Name:UBS FINANCIAL SERVICES INC
Form:Daily Seg - FOCUS II
Submit Date:10/11/2023

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 4,267,906 [7315]
   B. Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade 1,016,463 [7325]

3. Market value of open option contracts purchased on a foreign board of trade 0 [7335]
   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 -45,529 [7337]

Net equity (deficit) (add lines 1. 2. and 3.) 5,238,840 [7345]

4. Account liquidating to a deficit and account with a debit balances - gross amount 0 [7351]
   Less: amount offset by customer owned securities 0 [7352] 0 [7354]

5. Amount required to be set aside as the secured amount - Net Liquidating Equity 5,238,840 [7355]

   Method (add lines 4 and 5)
   Net liquidating equity 5,238,840 [7360]

6. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. 5,238,840 [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 371,832 [7580]
   B. Securities 0 [7590]
   C. Unrealized gain (loss) on open futures contracts 6,926 [7600]
   D. Value of long option contracts 0 [7610]
   E. Value of short option contracts 0 [7615] 378,758 [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 1,717,695 [7700]
   B. Securities 0 [7710]
   C. Unrealized gain (loss) on open futures contracts 1,009,537 [7720]
   D. Value of long option contracts 0 [7730]
   E. Value of short option contracts -45,529 [7735] 2,681,703 [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 37,899,772 [7770]
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement, Page 1 from Line 8) 32,660,932 [7780]
10. Excess (deficiency) 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 17,660,932 [7785]
## Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **A. Cash**
     - 47,499,409 [7010]
   - **B. Securities (at market)**
     - 166,574,473 [7020]
2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - 4,259,816 [7030]
3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**
     - 566,176 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**
     - -680,600 [7033]
4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - 218,219,274 [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)**
   - 218,219,274 [7060]

### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**
     - 52,830,817 [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**
      - 56,490,826 [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)**
      - 166,574,473 [7170]
12. **Segregated funds on hand**
    - 0 [7150]
13. **Total amount in segregation (add lines 7 through 12)**
    - 275,896,116 [7180]
14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - 57,676,842 [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

Excess