**INITIAL**

**End Date:** 12/20/2023  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 12/21/2023

### 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

1. **Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers**
   - **A. Cash**
     - 5,931,597
   - **B. Securities (at market)**
     - 0

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**
   - 8,637

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**
     - -435,536

4. **Net equity (deficit) (add lines 1. 2. and 3.)**
   - 5,504,698

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**
   - 5,504,698

   - **Method (add lines 4 and 5)**
     - 5,504,698

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**
   - 5,504,698

### 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**
     - 385,299
   - **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**
     - 2,846,352
   - **B. Securities**
     - 0
   - **C. Unrealized gain (loss) on open futures contracts**
     - 8,637
   - **D. Value of long option contracts**
     - 0
   - **E. Value of short option contracts**
     - -435,536

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**
   - 37,644,063

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**
   - 32,139,365

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**
    - 17,139,365
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**Daily Segregation - Segregation Statement**

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

1. Net ledger balance
   - A. Cash: 41,570,979
   - B. Securities (at market): 97,345,347

2. Net unrealized profit (loss) in open futures contracts traded on a contract market: -2,669,002

3. Exchange traded options
   - A. Add market value of open option contracts purchased on a contract market: 178,354
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -264,143

4. Net equity (deficit) (add lines 1, 2 and 3): 136,161,535

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount: 35,326
   - Less: amount offset by customer securities: -35,326
   - Total: 0

6. Amount required to be segregated (add lines 4 and 5): 136,161,535

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts
   - A. Cash: 33,923,726
   - 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: 69,532,245
    - 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): 97,345,347

12. Segregated funds on hand: 0

13. Total amount in segregation (add lines 7 through 12): 200,801,318

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13): 64,639,783

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

16. Excess (deficiency) funds in segregation over (under) Management Target Amount: 29,639,783

Excess