### 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**: 4,759,990 [7315]
   - **B. Securities (at market)**: 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**: 993,895 [7325]

3. **Exchange traded options**
   - **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**: -154,407 [7337]

4. **Net equity (deficit) (add lines 1, 2, and 3)**: 5,599,478 [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]\[7354\]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity**
   - **Method (add lines 4 and 5)**: 5,599,478 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6**: 5,599,478 [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]\[7530\]

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]\[7570\]

3. **Equities with registered futures commission merchants**
   - **A. Cash**: 385,287 [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]\[7620\]

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]\[7680]\[7682\]

5. **Amounts held by members of foreign boards of trade**
   - **A. Cash**: 1,859,716 [7700]
   - **B. Securities**: 0 [7710]
   - **C. Unrealized gain (loss) on open futures contracts**: 993,895 [7720]
   - **D. Value of long option contracts**: 0 [7730]
   - **E. Value of short option contracts**: -154,407 [7735]\[7740\] 2,699,204 [7745]\[7750\]

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**: 37,923,802 [7770]

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

10. **Management Target 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**: 17,324,324 [7785]
**INITIAL**
End Date: 12/13/2023  
Firm Name: UBS FINANCIAL SERVICES INC  
Form: Daily Seg - FOCUS II  
Submit Date: 12/14/2023

**Daily Segregation - Segregation Statement**

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

1. Net ledger balance
   A. Cash                        48,113,319 [7010]  
   B. Securities (at market)     109,509,386 [7020]  
2. Net unrealized profit (loss) in open futures contracts traded on a contract market  
   -4,935,122 [7030]  
3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 200,485 [7032]  
   B. Deduct market value of open option contracts granted (sold) on a contract market -257,877 [7033]  
4. Net equity (deficit) (add lines 1, 2 and 3) 152,630,191 [7040]  
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 1,043,716 [7045]  
   Less: amount offset by customer securities -1,043,716 [7047] 0 [7050]  
6. Amount required to be segregated (add lines 4 and 5) 152,630,191 [7060]  

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts
   A. Cash                        36,180,863 [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 69,000,174 [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) 109,509,386 [7170]  
12. Segregated funds on hand 0 [7150]  
13. Total amount in segregation (add lines 7 through 12) 214,690,423 [7180]  
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 62,060,232 [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 27,060,232 [7198]  

Excess