INITIAL
End Date: 9/13/2023
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 9/14/2023

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 3,478,041 [7315]
   B. Securities (at market) 0 [7317]
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade 1,546,513 [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 -143,133 [7337]
4. Net equity (deficit) (add lines 1. 2. and 3.) 4,881,421 [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] 0 [7354]
6. Amount required to be set aside as the secured amount - Net Liquidating Equity 4,881,421 [7355]
   Method (add lines 4 and 5) 4,881,421 [7360]
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) 33,078,613 [7380]
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 18,078,613 [7785]
## Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - A. Cash: 54,703,343 [7010]
   - B. Securities (at market): 136,268,634 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: 3,003,194 [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: 439,605 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -432,516 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**: 193,982,260 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: 196,760 [7045]
   - Less: amount offset by customer securities: -196,760 [7047] 0 [7050]

6. **Amount required to be segregated (add lines 4 and 5)**: 193,982,260 [7060]

### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - A. Cash: 53,511,992 [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: 52,721,088 [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): 136,268,634 [7170]

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

13. **Total amount in segregation (add lines 7 through 12)**: 242,501,714 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: 48,519,454 [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: 23,519,454 [7198]