**INITIAL**

**End Date:** 9/22/2023  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 9/25/2023  

### 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:** 3,748,362 [7315]
   - **B. Securities (at market):** 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 1,162,302 [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: -129,886 [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.): **4,780,778** [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
   - Method (add lines 4 and 5): **4,780,778** [7355]

   Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6:
   - **4,780,778** [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:** 370,266 [7580]
   - **B. Securities:** 0 [7590]
   - C. Unrealized gain (loss) on open futures contracts: **5,863** [7600]
   - **D. Value of long option contracts:** 0 [7610]
   - **E. Value of short option contracts:** 0 [7615] 376,129 [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:** 1,663,420 [7700]
   - **B. Securities:** 0 [7710]
   - C. Unrealized gain (loss) on open futures contracts: **1,156,439** [7720]
   - **D. Value of long option contracts:** 0 [7730]
   - **E. Value of short option contracts:** -129,886 [7735] 2,689,973 [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:** **37,905,413** [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**: **33,124,635** [7780]

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:** **18,124,635** [7785]
**Daily Segregation - Segregation Statement**

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

1. **Net ledger balance**
   - A. Cash: 55,636,432 [7010]
   - B. Securities (at market): 136,569,156 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: 6,525,424 [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: 250,396 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -307,949 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**: 198,673,459 [7040]

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

6. **Amount required to be segregated (add lines 4 and 5)**: 198,673,459 [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - A. Cash: 53,626,992 [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: 56,850,982 [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): 136,569,156 [7170]

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

13. **Total amount in segregation (add lines 7 through 12)**: 247,047,130 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: 48,373,671 [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: 23,373,671 [7198]