## 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** 3,971,728 [7315]
   - B. **Securities (at market)** 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade** 1,593,770 [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** -178,185 [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.)** 5,387,313 [7345]

5. **Account liquidating to a deficit and account with a debit balances - gross amount** 0 [7351]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity** 5,387,313 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.** 5,387,313 [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** 361,757 [7580]
   - B. **Securities** 0 [7590]
   - C. **Unrealized gain (loss) on open futures contracts** 5,748 [7600]
   - D. **Value of long option contracts** 0 [7610]
   - E. **Value of short option contracts** 0 [7615] 367,505 [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** 1,344,019 [7700]
   - B. **Securities** 0 [7710]
   - C. **Unrealized gain (loss) on open futures contracts** 1,588,022 [7720]
   - D. **Value of long option contracts** 0 [7730]
   - E. **Value of short option contracts** -178,185 [7735] 2,753,856 [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** 37,960,672 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)** 32,573,359 [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** 17,573,359 [7785]
INITIAL
End Date: 9/1/2023
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 9/5/2023

### Daily Segregation - Segregation Statement

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

1. Net ledger balance
   - A. Cash
   - B. Securities (at market)

2. Net unrealized profit (loss) in open futures contracts traded on a contract market
   - Value: $-1,778,014

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

4. Net equity (deficit) (add lines 1, 2 and 3)
   - Amount: $192,120,519

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

6. Amount required to be segregated (add lines 4 and 5)
   - Amount: $192,120,519

Funds in segregated accounts

7. Deposited in segregated funds bank accounts
   - A. Cash
   - B. Securities representing investments of customers' funds (at market)
   - C. Securities held for particular customers or option customers in lieu of cash (at market)

8. Margins on deposit with derivatives clearing organizations of contract markets
   - A. Cash
   - B. Securities representing investments of customers' funds (at market)
   - C. Securities held for particular customers or option customers in lieu of cash (at market)

9. Net settlement from (to) derivatives clearing organizations of contract markets
   - Value: $0

10. Exchange traded options
    - A. Value of open long option contracts
    - B. Value of open short option contracts

11. Net equities with other FCMs
    - A. Net liquidating equity
    - B. Securities representing investments of customers' funds (at market)
    - C. Securities held for particular customers or option customers in lieu of cash (at market)

12. Segregated funds on hand
    - Value: $0

13. Total amount in segregation (add lines 7 through 12)
    - Value: $242,386,474

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)
    - Value: $50,265,955

15. Management Target Amount for Excess funds in segregation
    - Value: $25,000,000

16. Excess (deficiency) funds in segregation over (under) Management Target Amount
    - Excess: $25,265,955