**INITIAL**

**End Date:** 9/4/2023  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 9/5/2023

### 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]
- Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers:
  - A. Cash: 3,978,260 [7315]  
  - B. Securities (at market): 0 [7317]
- Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 1,549,609 [7325]
- 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: -174,768 [7337]
- Net equity (deficit) (add lines 1, 2, and 3.):
  - Total: 5,353,101 [7345]
- Account liquidating to a deficit and account with a debit balances - gross amount: 0 [7351]
- Less: amount offset by customer owned securities: 0 [7352]  
  - Total: 5,353,101 [7355]
- Method (add lines 4 and 5):
  - Total: 5,353,101 [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: 368,490 [7580]  
   - B. Securities: 0 [7590]  
   - C. Unrealized gain (loss) on open futures contracts: 137 [7600]  
   - D. Value of long option contracts: 0 [7610]  
   - E. Value of short option contracts: 0 [7615] 368,627 [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: 1,344,456 [7700]  
   - B. Securities: 0 [7710]  
   - C. Unrealized gain (loss) on open futures contracts: 1,549,472 [7720]  
   - D. Value of long option contracts: 0 [7730]  
   - E. Value of short option contracts: -174,768 [7735] 2,719,160 [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**: 37,927,098 [7770]  
9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**:
   - Excess (deficiency) of Excess funds in separate section 30.7 accounts:
     - Excess: 15,000,000 [7780]  
     - Deficiency: 17,573,997 [7785]  
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**: 17,573,997 [7785]
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**Daily Segregation - Segregation Statement**

SEgregation Requirements (Section 4d(2) of the CEAct)

1. Net ledger balance
   A. Cash 57,374,390 [7010]  
   B. Securities (at market) 136,568,486 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market -1,774,404 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 393,143 [7032]  
   B. Deduct market value of open option contracts granted (sold) on a contract market -432,672 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 192,128,943 [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) 192,128,943 [7060]

**Funds in Segregated Accounts**

7. Deposited in segregated funds bank accounts
   A. Cash 55,781,992 [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 50,045,317 [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) 136,568,486 [7170]

12. Segregated funds on hand 0 [7150]

13. Total amount in segregation (add lines 7 through 12) 242,395,795 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 50,266,852 [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 25,266,852 [7198]