### 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.

1. **Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers**
   - **A. Cash**
     - Amount required to be set aside: 0 [7305]
   - **B. Securities (at market)**
     - Amount required to be set aside: 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**
   - Amount required to be set aside: 4,268,937 [7325]

3. **Exchange traded options**
   - **a. Market value of open option contracts purchased on a foreign board of trade**
     - Amount required to be set aside: 0 [7335]
   - **b. Market value of open contracts granted (sold) on a foreign board of trade**
     - Amount required to be set aside: -209,765 [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.)**
   - Amount required to be set aside: 7,426,343 [7345]

5. **Account liquidating to a deficit and account with a debit balances - gross amount**
   - Amount required to be set aside: 0 [7351]
   - **Less: amount offset by customer owned securities**
     - Amount required to be set aside: 0 [7352]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity**
   - Amount required to be set aside: 7,426,343 [7355]
   - **Method (add lines 4 and 5)**
     - Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.
     - Amount required to be set aside: 7,426,343 [7360]

**Funds Deposited in Separate Regulation 30.7 Accounts**

1. **Cash in banks**
   - **A. Banks located in the United States**
     - Amount required to be set aside: 32,842,872 [7500]
   - **B. Other banks qualified under Regulation 30.7**
     - Amount required to be set aside: 0 [7520]

2. **Securities**
   - **A. In safekeeping with banks located in the United States**
     - Amount required to be set aside: 0 [7540]
   - **B. In safekeeping with other banks qualified under Regulation 30.7**
     - Amount required to be set aside: 0 [7560]

3. **Equities with registered futures commission merchants**
   - **A. Cash**
     - Amount required to be set aside: 357,922 [7580]
   - **B. Securities**
     - Amount required to be set aside: 0 [7590]
   - **C. Unrealized gain (loss) on open futures contracts**
     - Amount required to be set aside: -1,425 [7600]
   - **D. Value of long option contracts**
     - Amount required to be set aside: 0 [7610]
   - **E. Value of short option contracts**
     - Amount required to be set aside: 356,497 [7620]

4. **Amounts held by clearing organizations of foreign boards of trade**
   - **A. Cash**
     - Amount required to be set aside: 0 [7640]
   - **B. Securities**
     - Amount required to be set aside: 0 [7650]
   - **C. Amount due to (from) clearing organization - daily variation**
     - Amount required to be set aside: 0 [7660]
   - **D. Value of long option contracts**
     - Amount required to be set aside: 0 [7670]
   - **E. Value of short option contracts**
     - Amount required to be set aside: 0 [7675]

5. **Amounts held by members of foreign boards of trade**
   - **A. Cash**
     - Amount required to be set aside: 736,185 [7700]
   - **B. Securities**
     - Amount required to be set aside: 0 [7710]
   - **C. Unrealized gain (loss) on open futures contracts**
     - Amount required to be set aside: 4,270,362 [7720]
   - **D. Value of long option contracts**
     - Amount required to be set aside: 0 [7730]
   - **E. Value of short option contracts**
     - Amount required to be set aside: -209,765 [7735]

6. **Amounts with other depositories designated by a foreign board of trade**
   - Amount required to be set aside: 0 [7760]

7. **Segregated funds on hand**
   - Amount required to be set aside: 0 [7765]

8. **Total funds in separate section 30.7 accounts**
   - Amount required to be set aside: 37,996,151 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**
   - Excess (deficiency) Set Aside for Secured Amount: 30,569,808 [7780]

10. **Management Target Amount for Excess funds in separate section 30.7 accounts**
    - Management Target Amount: 15,000,000 [7780]

11. **Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target**
    - Excess (deficiency) funds: 15,569,808 [7785]
INITIAL
End Date: 6/15/2023
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 6/16/2023

Daily Segregation - Segregation Statement

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

1. Net ledger balance
   A. Cash _______________________________ 35,675,137 [7010]
   B. Securities (at market) _______________________________ 139,616,838 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market _______________________________ 694,120 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market _______________________________ 421,463 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market _______________________________ -723,693 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) _______________________________ 175,683,865 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount _______________________________ 766,420 [7045]
   Less: amount offset by customer securities _______________________________ -766,420 [7047] 0 [7050]

6. Amount required to be segregated (add lines 4 and 5) _______________________________ 175,683,865 [7060]

Funds in segregated accounts

7. Deposited in segregated funds bank accounts
   A. Cash _______________________________ 77,515,212 [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 _______________________________ 11,703,682 [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) _______________________________ 139,616,838 [7170]

12. Segregated funds on hand _______________________________ 0 [7150]

13. Total amount in segregation (add lines 7 through 12) _______________________________ 228,835,732 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) _______________________________ 53,151,867 [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 _______________________________ 28,151,867 [7198]

Excess