### 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**: 3,381,457 [7315]
- **B. Securities (at market)**: 0 [7317]

#### 2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 4,220,283 [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**: -187,674 [7337]

#### 4. Net equity (deficit) (add lines 1. 2. and 3.): 7,414,066 [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: 7,414,066 [7355]

**Method (add lines 4 and 5)**

- Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6: 7,414,066 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

#### 1. Cash in banks

- **A. Banks located in the United States**: 32,842,872 [7500]
- **B. Other banks qualified under Regulation 30.7**: 0 [7520] 32,842,872 [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**: 358,094 [7580]
- **B. Securities**: 0 [7590]
- **C. Unrealized gain (loss) on open futures contracts**: -4,599 [7600]
- **D. Value of long option contracts**: 0 [7610]
- **E. Value of short option contracts**: 0 [7615] 353,495 [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**: 735,333 [7700]
- **B. Securities**: 0 [7710]
- **C. Unrealized gain (loss) on open futures contracts**: 4,224,882 [7720]
- **D. Value of long option contracts**: 0 [7730]
- **E. Value of short option contracts**: -187,674 [7735] 4,772,541 [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: 37,968,908 [7770]

#### 9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8): 30,554,842 [7780]

#### 10. Management Target Amount for Excess funds in separate section 30.7 accounts: 15,000,000 [7785]

#### 11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target: 15,554,842 [7785]
**INITIAL**

**Ending Date:** 6/20/2023  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 6/21/2023

### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **A. Cash**  
     - 38,602,578 [7010]
   - **B. Securities (at market)**  
     - 139,583,431 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**  
   - 2,043,379 [7030]

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**  
     - 417,063 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**  
     - -831,551 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**  
   - 179,814,900 [7040]

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

6. **Amount required to be segregated (add lines 4 and 5)**  
   - 179,814,900 [7060]

### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**  
     - 77,445,212 [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**  
      - 13,609,935 [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)**  
      - 139,583,431 [7170]

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

13. **Total amount in segregation (add lines 7 through 12)**  
    - 230,638,578 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**  
    - 50,823,678 [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**  
    - 25,823,678 [7198]