INITIAL
End Date: 6/8/2023
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 6/9/2023

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 3,218,549 [7315]
   B. Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade 3,983,330 [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 -160,250 [7337]

4. Net equity (deficit) (add lines 1, 2, and 3.) 7,041,629 [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 7,041,629 [7355]
Method (add lines 4 and 5)

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. 7,041,629 [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 357,724 [7580]
   B. Securities 0 [7590]
   C. Unrealized gain (loss) on open futures contracts 216 [7600]
   D. Value of long option contracts 0 [7610]
   E. Value of short option contracts 0 [7615] 357,940 [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 715,222 [7700]
   B. Securities 0 [7710]
   C. Unrealized gain (loss) on open futures contracts 3,983,114 [7720]
   D. Value of long option contracts 0 [7730]
   E. Value of short option contracts -160,250 [7735] 4,538,086 [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 37,738,898 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) 30,697,269 [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 15,697,269 [7785]
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**Daily Segregation - Segregation Statement**

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

1. Net ledger balance
   - **A. Cash**: 57,903,035 [7010]
   - **B. Securities (at market)**: 131,146,362 [7020]
2. Net unrealized profit (loss) in open futures contracts traded on a contract market
   - **-11,689,221** [7030]
3. Exchange traded options
   - **A. Add market value of open option contracts purchased on a contract market**: 324,963 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**: -659,211 [7033]
4. Net equity (deficit) (add lines 1, 2 and 3)
   - **177,025,928** [7040]
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount
   - **1,012** [7045]
     - Less: amount offset by customer securities
     - **-1,012** [7047] [7050]
6. Amount required to be segregated (add lines 4 and 5)
   - **177,025,928** [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts
   - **A. Cash**: 83,660,212 [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**: 13,244,230 [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)**: 131,146,362 [7170]
12. Segregated funds on hand
    - **0** [7150]
13. Total amount in segregation (add lines 7 through 12)
    - **228,050,804** [7180]
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)
    - **51,024,876** [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**: 26,024,876 [7198]