**INITIAL**

**End Date:** 6/9/2023  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 6/12/2023

### 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:** 3,272,392 [7315]  
   - **B. Securities (at market):** 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade  
4,010,789 [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  
   - **-170,905** [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.)  
7,112,276 [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  
7,112,276 [7355]

Method (add lines 4 and 5)  
7,112,276 [7360]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.  
7,112,276 [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  
   - 357,805 [7580]  
   - B. Securities  
   - 0 [7590]  
   - C. Unrealized gain (loss) on open futures contracts  
   - -933 [7600]  
   - D. Value of long option contracts  
   - 0 [7610]  
   - E. Value of short option contracts  
   - 0 [7615] 356,872 [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  
   - 731,232 [7700]  
   - B. Securities  
   - 0 [7710]  
   - C. Unrealized gain (loss) on open futures contracts  
   - 4,011,722 [7720]  
   - D. Value of long option contracts  
   - 0 [7730]  
   - E. Value of short option contracts  
   - -170,905 [7735] 4,572,049 [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  
37,771,793 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)  
30,659,517 [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  
15,659,517 [7785]
**INITIAL**

**End Date:** 6/9/2023  
**Firm Name:** UBS FINANCIAL SERVICES INC  
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### Daily Segregation - Segregation Statement

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

<table>
<thead>
<tr>
<th>Line</th>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td><strong>Net ledger balance</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>A. Cash</td>
<td>57,026,886</td>
</tr>
<tr>
<td></td>
<td>B. Securities (at market)</td>
<td>131,152,288</td>
</tr>
<tr>
<td>2.</td>
<td><strong>Net unrealized profit (loss) in open futures contracts traded on a contract market</strong></td>
<td>-12,434,535</td>
</tr>
<tr>
<td>3.</td>
<td><strong>Exchange traded options</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>A. Add market value of open option contracts purchased on a contract market</td>
<td>291,913</td>
</tr>
<tr>
<td></td>
<td>B. Deduct market value of open option contracts granted (sold) on a contract market</td>
<td>-661,648</td>
</tr>
<tr>
<td>4.</td>
<td><strong>Net equity (deficit) (add lines 1, 2 and 3)</strong></td>
<td>175,374,904</td>
</tr>
<tr>
<td>5.</td>
<td>Accounts liquidating to a deficit and accounts with</td>
<td></td>
</tr>
<tr>
<td></td>
<td>debit balances - gross amount</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Less: amount offset by customer securities</td>
<td>0</td>
</tr>
<tr>
<td>6.</td>
<td>Amount required to be segregated (add lines 4 and 5)</td>
<td>175,374,904</td>
</tr>
<tr>
<td>7.</td>
<td><strong>Funds in segregated accounts</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>A. Cash</td>
<td>82,210,212</td>
</tr>
<tr>
<td></td>
<td>B. Securities representing investments of customers' funds (at market)</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>0</td>
</tr>
<tr>
<td>8.</td>
<td>Margins on deposit with derivatives clearing organizations of contract markets</td>
<td></td>
</tr>
<tr>
<td></td>
<td>A. Cash</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>B. Securities representing investments of customers' funds (at market)</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>0</td>
</tr>
<tr>
<td>9.</td>
<td><strong>Net settlement from (to) derivatives clearing organizations of contract markets</strong></td>
<td>0</td>
</tr>
<tr>
<td>10.</td>
<td><strong>Exchange traded options</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>A. Value of open long option contracts</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>B. Value of open short option contracts</td>
<td>0</td>
</tr>
<tr>
<td>11.</td>
<td><strong>Net equities with other FCMs</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>A. Net liquidating equity</td>
<td>12,874,365</td>
</tr>
<tr>
<td></td>
<td>B. Securities representing investments of customers' funds (at market)</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>131,152,288</td>
</tr>
<tr>
<td>12.</td>
<td>Segregated funds on hand</td>
<td>0</td>
</tr>
<tr>
<td>13.</td>
<td><strong>Total amount in segregation (add lines 7 through 12)</strong></td>
<td>226,236,865</td>
</tr>
<tr>
<td>14.</td>
<td>Excess (deficiency) funds in segregation (subtract line 6 from line 13)</td>
<td>50,861,961</td>
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<tr>
<td>15.</td>
<td>Management Target Amount for Excess funds in segregation</td>
<td>25,000,000</td>
</tr>
<tr>
<td>16.</td>
<td>Excess (deficiency) funds in segregation over (under) Management Target Amount</td>
<td>25,861,961</td>
</tr>
</tbody>
</table>