### 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: 3,977,946 [7315]
   - B. Securities (at market): 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 1,442,191 [7325]

3. Exchange traded options
   - a. Market value of open option contracts purchased on a foreign board of trade: 39,010 [7335]
   - b. Market value of open contracts granted (sold) on a foreign board of trade: -209,723 [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.): 5,249,424 [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] [7354]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity
   - Method (add lines 4 and 5): 5,249,424 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6:
   - 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: 361,701 [7580]
      - B. Securities: 0 [7590]
      - C. Unrealized gain (loss) on open futures contracts: 10,148 [7600]
      - D. Value of long option contracts: 0 [7610]
      - E. Value of short option contracts: 0 [7615] 371,849 [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] 39,010 [7680]

   5. Amounts held by members of foreign boards of trade
      - A. Cash: 1,339,942 [7700]
      - B. Securities: 0 [7710]
      - C. Unrealized gain (loss) on open futures contracts: 1,432,043 [7720]
      - D. Value of long option contracts: 0 [7730]
      - E. Value of short option contracts: -209,723 [7735] 2,601,272 [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: 37,812,432 [7770]

   9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8):
      - 32,563,008 [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:
      - 17,563,008 [7785]
**INITIAL**

**End Date:** 8/22/2023  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 8/23/2023

### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **A. Cash:** 53,988,125 [7010]
   - **B. Securities (at market):** 133,334,653 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - **-1,048,755** [7030]

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market:** 275,338 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market:** -433,694 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - **186,115,667** [7040]

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

6. **Amount required to be segregated (add lines 4 and 5)**
   - **186,115,667** [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - **A. Cash:** 56,066,992 [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:** 53,891,740 [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):** 133,334,653 [7170]

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

13. **Total amount in segregation (add lines 7 through 12)**
    - **243,293,385** [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - **57,177,718** [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:** 32,177,718 [7198]