**INITIAL**

**End Date:** 8/24/2023  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 8/25/2023

### 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 3,978,005 [7315]  
   - B. Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 1,460,244 [7325]

3. Exchange traded options  
   a. Market value of open option contracts purchased on a foreign board of trade 43,270 [7335]
   b. Market value of open contracts granted (sold) on a foreign board of trade: -211,418 [7337]

4. Net equity (deficit) (add lines 1, 2, and 3.): 5,270,101 [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: 5,270,101 [7355]

   Method (add lines 4 and 5): 5,270,101 [7360]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6: 5,270,101 [7360]

**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 361,711 [7580]  
   - B. Securities: 0 [7590]  
   - C. Unrealized gain (loss) on open futures contracts 7,473 [7600]  
   - D. Value of long option contracts: 0 [7610]  
   - E. Value of short option contracts: 0 [7615] 369,184 [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 1,338,727 [7700]  
   - B. Securities: 0 [7710]  
   - C. Unrealized gain (loss) on open futures contracts 1,452,771 [7720]  
   - D. Value of long option contracts 43,270 [7730]  
   - E. Value of short option contracts: -211,418 [7735] 2,623,350 [7740]

6. Amounts with other depositaries 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: 37,831,845 [7770]


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 17,561,744 [7785]
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **A. Cash**: 53,933,816
   - **B. Securities (at market)**: 133,493,781

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: -3,029,924

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**: 264,038
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**: -388,969

4. **Net equity (deficit) (add lines 1, 2 and 3)**: 184,272,742

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: 28,399
   - **Less: amount offset by customer securities**: -28,399
   - **Result**: 0

6. **Amount required to be segregated (add lines 4 and 5)**: 184,272,742

### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**: 55,881,992
   - **B. Securities representing investments of customers’ funds (at market)**: 0
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**: 0

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - **A. Cash**: 0
   - **B. Securities representing investments of customers’ funds (at market)**: 0
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**: 0

9. **Net settlement from (to) derivatives clearing organizations of contract markets**: 0

10. **Exchange traded options**
    - **A. Value of open long option contracts**: 0
    - **B. Value of open short option contracts**: 0

11. **Net equities with other FCMs**
    - **A. Net liquidating equity**: 52,219,012
    - **B. Securities representing investments of customers’ funds (at market)**: 0
    - **C. Securities held for particular customers or option customers in lieu of cash (at market)**: 133,493,781

12. **Segregated funds on hand**: 0

13. **Total amount in segregation (add lines 7 through 12)**: 241,594,785

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: 57,322,043

15. **Management Target Amount for Excess funds in segregation**: 25,000,000

16. **Excess (deficiency) funds in segregation over (under) Management Target Amount**
    - **Excess**: 32,322,043