INITIAL
End Date: 11/16/2023
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 11/17/2023

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 4,704,315 [7315]
   B. Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade 1,005,354 [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 -122,118 [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.) 5,587,551 [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 5,587,551 [7355]
   Method (add lines 4 and 5) 5,587,551 [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 383,979 [7580]
   B. Securities 0 [7590]
   C. Unrealized gain (loss) on open futures contracts 0 [7600]
   D. Value of long option contracts 0 [7610]
   E. Value of short option contracts 0 [7615] 383,979 [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 1,802,103 [7700]
   B. Securities 0 [7710]
   C. Unrealized gain (loss) on open futures contracts 1,005,354 [7720]
   D. Value of long option contracts 0 [7730]
   E. Value of short option contracts -122,118 [7735] 2,685,339 [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 37,908,629 [7770]
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement 32,321,078 [7780]

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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 17,321,078 [7785]
**Daily Segregation - Segregation Statement**

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

1. Net ledger balance
   - A. Cash: \textbf{50,563,656} [7010]
   - B. Securities (at market): \textbf{98,895,293} [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market
   - \textbf{-609,362} [7030]

3. Exchange traded options
   - A. Add market value of open option contracts purchased on a contract market: \textbf{379,904} [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: \textbf{-531,542} [7033]

4. Net equity (deficit) (add lines 1, 2 and 3): \textbf{148,697,949} [7040]

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

6. Amount required to be segregated (add lines 4 and 5): \textbf{148,697,949} [7060]

Funds in segregated accounts

7. Deposited in segregated funds bank accounts
   - A. Cash: \textbf{65,220,684} [7070]

8. Margins on deposit with derivatives clearing organizations of contract markets
   - A. Cash: \textbf{0} [7100]

9. Net settlement from (to) derivatives clearing organizations of contract markets: \textbf{0} [7130]

10. Exchange traded options
    - A. Value of open long option contracts: \textbf{0} [7132]
    - B. Value of open short option contracts: \textbf{0} [7133]

11. Net equities with other FCMs
    - A. Net liquidating equity: \textbf{54,561,280} [7140]
    - B. Securities representing investments of customers’ funds (at market): \textbf{0} [7160]
    - C. Securities held for particular customers or option customers in lieu of cash (at market): \textbf{98,895,293} [7170]

12. Segregated funds on hand: \textbf{0} [7150]

13. Total amount in segregation (add lines 7 through 12): \textbf{218,677,257} [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13): \textbf{69,979,308} [7190]

15. Management Target Amount for Excess funds in segregation: \textbf{35,000,000} [7194]

16. Excess (deficiency) funds in segregation over (under) Management Target Amount
    - Excess: \textbf{34,979,308} [7198]