**INITIAL**

**End Date:** 11/21/2023  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 11/22/2023

### 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**

1. **Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers**
   - **A. Cash:** **4,704,686**
   - **B. Securities (at market):** **0**

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade:** **1,019,403**

3. **Exchange traded options**
   - **a. Market value of open option contracts purchased on a foreign board of trade:** **0**
   - **b. Market value of open contracts granted (sold) on a foreign board of trade:** **-265,085**

4. **Net equity (deficit) (add lines 1. 2. and 3.)**
   - **5,459,004**

5. **Account liquidating to a deficit and account with a debit balances - gross amount**
   - **Less: amount offset by customer owned securities:** **0**

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity**
   - **5,459,004**

7. **Funds deposited in separate regulation 30.7 accounts**
   - **1. Cash in banks**
     - **A. Banks located in the United States:** **34,839,311**
     - **B. Other banks qualified under Regulation 30.7:** **0**
   - **2. Securities**
     - **A. In safekeeping with banks located in the United States:** **0**
     - **B. In safekeeping with other banks qualified under Regulation 30.7:** **0**
   - **3. Equities with registered futures commission merchants**
     - **A. Cash:** **383,903**
     - **B. Securities:** **0**
     - **C. Unrealized gain (loss) on open futures contracts:** **0**
     - **D. Value of long option contracts:** **0**
     - **E. Value of short option contracts:** **0**
   - **4. Amounts held by clearing organizations of foreign boards of trade**
     - **A. Cash:** **0**
     - **B. Securities:** **0**
     - **C. Amount due to (from) clearing organization - daily variation:** **0**
     - **D. Value of long option contracts:** **0**
     - **E. Value of short option contracts:** **0**
   - **5. Amounts held by members of foreign boards of trade**
     - **A. Cash:** **1,803,601**
     - **B. Securities:** **0**
     - **C. Unrealized gain (loss) on open futures contracts:** **1,019,403**
     - **D. Value of long option contracts:** **0**
     - **E. Value of short option contracts:** **-265,085**
   - **6. Amounts with other depositories designated by a foreign board of trade:** **0**
   - **7. Segregated funds on hand:** **0**
   - **8. Total funds in separate section 30.7 accounts:** **37,781,133**
   - **9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**
     - **32,322,129**
   - **10. Management Target Amount for Excess funds in separate section 30.7 accounts**
     - **15,000,000**
   - **11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target**
     - **17,322,129**
**Daily Segregation - Segregation Statement**

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

1. Net ledger balance
   - A. Cash \[45,189,032\] [7010]
   - B. Securities (at market) \[88,903,114\] [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market \[-1,511,253\] [7030]

3. Exchange traded options
   - A. Add market value of open option contracts purchased on a contract market \[364,308\] [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market \[-431,053\] [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) \[132,514,148\] [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount \[0\] [7045]
   - Less: amount offset by customer securities \[0\] [70470] [7050]

6. Amount required to be segregated (add lines 4 and 5) \[132,514,148\] [7060]

**Funds in segregated accounts**

7. Deposited in segregated funds bank accounts
   - A. Cash \[66,889,479\] [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 \[54,615,697\] [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) \[88,903,114\] [7170]

12. Segregated funds on hand \[0\] [7150]

13. Total amount in segregation (add lines 7 through 12) \[210,408,290\] [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) \[77,894,142\] [7190]

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

16. Excess (deficiency) funds in segregation over (under) Management Target Amount \[42,894,142\] [7198]