INITIAL
End Date: 11/15/2023
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 11/16/2023

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
     4,681,633 [7315]
   - B. Securities (at market)
     0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade
   1,006,455 [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
     -139,680 [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.)
   5,548,408 [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
   5,548,408 [7355]

   Method (add lines 4 and 5)
   5,548,408 [7360]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.
   5,548,408 [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
     384,002 [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] 384,002 [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
     1,790,206 [7700]
   - B. Securities
     0 [7710]
   - C. Unrealized gain (loss) on open futures contracts
     1,006,455 [7720]
   - D. Value of long option contracts
     0 [7730]
   - E. Value of short option contracts
     -139,680 [7735] 2,656,981 [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
   37,880,294 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)
   32,331,886 [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
    17,331,886 [7785]
## Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - A. Cash: \(50,475,844\) [7010]
   - B. Securities (at market): \(89,044,898\) [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: \(631,510\) [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: \(408,545\) [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: \(-518,291\) [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**: \(140,042,506\) [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: \(238\) [7045]
   - Less: amount offset by customer securities: \(-238\) [7047]

6. **Amount required to be segregated (add lines 4 and 5)**: \(140,042,506\) [7060]

### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - A. Cash: \(65,220,684\) [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): \(89,044,898\) [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: \(56,110,571\) [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): \(89,044,898\) [7170]

12. **Segregated funds on hand**: \(0\) [7150]

13. **Total amount in segregation (add lines 7 through 12)**: \(210,376,153\) [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: \(70,333,647\) [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**
    - Excess: \(35,333,647\) [7198]