INITIAL

End Date: 2/15/2023
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 2/16/2023

### Daily Segregation - Secured Amounts

Foreign Futures and Foreign Options Secured Amounts

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amount required to be set aside pursuant to law, rule or regulation of a foreign government or rule of a self-regulatory organization authorized thereunder</td>
<td>0 [7305]</td>
</tr>
<tr>
<td>1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers</td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>3,019,551 [7315]</td>
</tr>
<tr>
<td>B. Securities (at market)</td>
<td>0 [7317]</td>
</tr>
<tr>
<td>2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade</td>
<td>4,706,536 [7325]</td>
</tr>
<tr>
<td>3. Exchange traded options</td>
<td></td>
</tr>
<tr>
<td>a. Market value of open option contracts purchased on a foreign board of trade</td>
<td>25,200 [7335]</td>
</tr>
<tr>
<td>b. Market value of open contracts granted (sold) on a foreign board of trade</td>
<td>-42,930 [7337]</td>
</tr>
<tr>
<td>4. Net equity (deficit) (add lines 1. 2. and 3.)</td>
<td>7,708,357 [7345]</td>
</tr>
<tr>
<td>5. Account liquidating to a deficit and account with a debit balances - gross amount</td>
<td>0 [7351]</td>
</tr>
<tr>
<td>Less: amount offset by customer owned securities</td>
<td>0 [7352]</td>
</tr>
<tr>
<td>6. Amount required to be set aside as the secured amount - Net Liquidating Equity</td>
<td>7,708,357 [7355]</td>
</tr>
<tr>
<td>Method (add lines 4 and 5)</td>
<td></td>
</tr>
<tr>
<td>7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.</td>
<td>7,708,357 [7360]</td>
</tr>
</tbody>
</table>

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

#### 1. Cash in banks
- A. Banks located in the United States | 32,842,872 [7500] |
- B. Other banks qualified under Regulation 30.7 | 0 [7520]32,842,872 [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 | 346,087 [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]346,087 [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 | 417,625 [7700] |
- B. Securities | 0 [7710] |
- C. Unrealized gain (loss) on open futures contracts | 4,706,536 [7720] |
- D. Value of long option contracts | 25,200 [7730] |

#### 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 | 38,295,390 [7770] |

#### 9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) | 30,587,033 [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 | 15,587,033 [7785] |
INITIAL
End Date: 2/15/2023
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 2/16/2023

**Daily Segregation - Segregation Statement**

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

1. Net ledger balance
   - A. Cash: \[39,691,003\] [7010]
   - B. Securities (at market): \[21,865,486\] [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market: \[-200,943\] [7030]

3. Exchange traded options
   - A. Add market value of open option contracts purchased on a contract market: \[266,988\] [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: \[-497,607\] [7033]

4. Net equity (deficit) (add lines 1, 2 and 3): \[61,124,927\] [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount: \[366,054\] [7045]
   - Less: amount offset by customer securities: \[-366,054\] [7047]
   - Result: \[0\] [7050]

6. Amount required to be segregated (add lines 4 and 5): \[61,124,927\] [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts
   - A. Cash: \[86,077,312\] [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: \[5,530,810\] [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): \[21,865,486\] [7170]

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

13. Total amount in segregation (add lines 7 through 12): \[113,473,608\] [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13): \[52,348,681\] [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: \[27,348,681\] [7198]