INITIAL
End Date: 2/22/2023
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 2/23/2023

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
   B. Securities (at market)
   0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade 5,302,078 [7325]

3. Exchange traded options
   a. Market value of open option contracts purchased on a foreign board of trade 19,590 [7335]
   b. Market value of open contracts granted (sold) on a foreign board of trade -40,710 [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.) 8,177,272 [7345]

5. Account liquidating to a deficit and account with a debit balances - gross amount 0 [7351]

6. Amount required to be set aside as the secured amount - Net Liquidating Equity 8,177,272 [7355]

Method (add lines 4 and 5)

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. 8,177,272 [7360]

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
   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] 346,261 [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 415,624 [7700]
   B. Securities 0 [7710]
   C. Unrealized gain (loss) on open futures contracts 5,302,078 [7720]
   D. Value of long option contracts 19,590 [7730]
   E. Value of short option contracts -40,710 [7735] 5,696,582 [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 38,885,715 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement 30,708,443 [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 15,708,443 [7785]
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **A. Cash**: 40,371,572
   - **B. Securities (at market)**: 21,859,394

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: 2,579,947

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**: 229,175
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**: -660,475

4. **Net equity (deficit) (add lines 1, 2 and 3)**: 64,379,613

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: 252,342
   - **Less: amount offset by customer securities**: -252,342
   - **Amount required to be segregated (add lines 4 and 5)**: 64,379,613

### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**: 85,899,472
   - **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**: 8,286,943
    - **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)**: 21,859,394

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

13. **Total amount in segregation (add lines 7 through 12)**: 116,045,809

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: 51,666,196

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

16. **Excess (deficiency) funds in segregation over (under) Management Target Amount**
    - **Excess**: 26,666,196