**Initial**

End Date: 2/2/2023  
Firm Name: UBS FINANCIAL SERVICES INC  
Form: Daily Seg - FOCUS II  
Submit Date: 2/3/2023

**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: 3,100,251 [7315]  
   B. Securities (at market): 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 5,004,249 [7325]

3. Exchange traded options  
   a. Market value of open option contracts purchased on a foreign board of trade: 247,230 [7335]  
   b. Market value of open contracts granted (sold) on a foreign board of trade: -310,665 [7337]

4. Net equity (deficit) (add lines 1, 2, and 3.): 8,041,065 [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 Method (add lines 4 and 5): 8,041,065 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6: 8,041,065 [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: 336,242 [7580]  
   B. Securities: 0 [7590]  
   C. Unrealized gain (loss) on open futures contracts: 12,907 [7600]  
   D. Value of long option contracts: 0 [7610]  
   E. Value of short option contracts: 0 [7615] 349,149 [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: 419,348 [7700]  
   B. Securities: 0 [7710]  
   C. Unrealized gain (loss) on open futures contracts: 4,991,342 [7720]  
   D. Value of long option contracts: 247,230 [7730]  
   E. Value of short option contracts: -310,665 [7735] 5,347,255 [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: 38,539,276 [7770]  
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8): 30,498,211 [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: 15,498,211 [7785]
Day Segregation - Segregation Statement

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

1. Net ledger balance
   A. Cash 43,889,615 [7010]
   B. Securities (at market) 20,684,624 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market -3,449,648 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 112,500 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -446,814 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 60,790,277 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 804,259 [7045]
   Less: amount offset by customer securities -804,259 [7047] 0 [7050]

6. Amount required to be segregated (add lines 4 and 5) 60,790,277 [7060]

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts
   A. Cash 90,045,212 [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 2,148,180 [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) 20,684,624 [7170]

12. Segregated funds on hand 0 [7150]

13. Total amount in segregation (add lines 7 through 12) 112,878,016 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 52,087,739 [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
    Excess 27,087,739 [7198]