

**INITIAL**

**End Date:1/24/2020**

**Firm Name:UBS FINANCIAL SERVICES INC**

**Form:Daily Seg - FOCUS II**

**Submit Date:1/27/2020**

**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 | <u>0</u> [7305]                 |
| 1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers  |                                 |
| A. Cash   | <u>5,887,737</u> [7315]         |
| B. Securities (at market)   | <u>84,861</u> [7317]            |
| 2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade  | <u>-839,957</u> [7325]          |
| 3. Exchange traded options  |                                 |
| a. Market value of open option contracts purchased on a foreign board of trade  | <u>0</u> [7335]                 |
| b. Market value of open contracts granted (sold) on a foreign board of trade  | <u>0</u> [7337]                 |
| 4. Net equity (deficit) (add lines 1. 2. and 3.)  | <u>5,132,641</u> [7345]         |
| 5. Account liquidating to a deficit and account with a debit balances - gross amount  | <u>0</u> [7351]                 |
| Less: amount offset by customer owned securities  | <u>0</u> [7352] <u>0</u> [7354] |
| 6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)  | <u>5,132,641</u> [7355]         |
| 7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.   | <u>5,132,641</u> [7360]         |

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

|  |  |
|--|--|
| 1. Cash in banks   |  |
| A. Banks located in the United States  | <u>11,900,126</u> [7500]                 |
| B. Other banks qualified under Regulation 30.7   | <u>0</u> [7520] <u>11,900,126</u> [7530] |
| 2. Securities  |  |
| A. In safekeeping with banks located in the United States  | <u>0</u> [7540]                          |
| B. In safekeeping with other banks qualified under Regulation 30.7   | <u>0</u> [7560] <u>0</u> [7570]          |
| 3. Equities with registered futures commission merchants   |  |
| A. Cash  | <u>367,041</u> [7580]                    |
| B. Securities  | <u>0</u> [7590]                          |
| C. Unrealized gain (loss) on open futures contracts  | <u>0</u> [7600]                          |
| D. Value of long option contracts  | <u>0</u> [7610]                          |
| E. Value of short option contracts   | <u>0</u> [7615] <u>367,041</u> [7620]    |
| 4. Amounts held by clearing organizations of foreign boards of trade                                       |  |
| A. Cash  | <u>0</u> [7640]                          |
| B. Securities  | <u>0</u> [7650]                          |
| C. Amount due to (from) clearing organization - daily variation  | <u>0</u> [7660]                          |
| D. Value of long option contracts  | <u>0</u> [7670]                          |
| E. Value of short option contracts   | <u>0</u> [7675] <u>0</u> [7680]          |
| 5. Amounts held by members of foreign boards of trade  |  |
| A. Cash  | <u>21,422,576</u> [7700]                 |
| B. Securities  | <u>84,861</u> [7710]                     |
| C. Unrealized gain (loss) on open futures contracts  | <u>-839,957</u> [7720]                   |
| D. Value of long option contracts  | <u>0</u> [7730]                          |
| E. Value of short option contracts   | <u>0</u> [7735] <u>20,667,480</u> [7740] |
| 6. Amounts with other depositories designated by a foreign board of trade                                  | <u>0</u> [7760]                          |
| 7. Segregated funds on hand  | <u>0</u> [7765]                          |
| 8. Total funds in separate section 30.7 accounts   | <u>32,934,647</u> [7770]                 |
| 9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) | <u>27,802,006</u> [7380]                 |
| 10. Management Target Amount for Excess funds in separate section 30.7 accounts                            | <u>15,000,000</u> [7780]                 |
| 11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target                     | <u>12,802,006</u> [7785]                 |

**INITIAL****End Date:1/24/2020****Firm Name:UBS FINANCIAL SERVICES INC****Form:Daily Seg - FOCUS II****Submit Date:1/27/2020****Daily Segregation - Segregation Statement**

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

|     |   |   |
|-----|---|---|
| 1.  | Net ledger balance  |   |
|     | A. Cash   | <b><u>74,576,990</u></b> [7010]               |
|     | B. Securities (at market)   | <b><u>23,663,350</u></b> [7020]               |
| 2.  | Net unrealized profit (loss) in open futures contracts traded on a contract market          | <b><u>-13,078,217</u></b> [7030]              |
| 3.  | Exchange traded options   |   |
|     | A. Add market value of open option contracts purchased on a contract market                 | <b><u>102,863</u></b> [7032]                  |
|     | B. Deduct market value of open option contracts granted (sold) on a contract market         | <b><u>-184,629</u></b> [7033]                 |
| 4.  | Net equity (deficit) (add lines 1, 2 and 3)   | <b><u>85,080,357</u></b> [7040]               |
| 5.  | Accounts liquidating to a deficit and accounts with debit balances - gross amount           | <b><u>0</u></b> [7045]                        |
|     | Less: amount offset by customer securities  | <b><u>0</u></b> [7047] <b><u>0</u></b> [7050] |
| 6.  | Amount required to be segregated (add lines 4 and 5)  | <b><u>85,080,357</u></b> [7060]               |
|     | FUNDS IN SEGREGATED ACCOUNTS  |   |
| 7.  | Deposited in segregated funds bank accounts   |   |
|     | A. Cash   | <b><u>80,097,626</u></b> [7070]               |
|     | B. Securities representing investments of customers' funds (at market)                      | <b><u>0</u></b> [7080]                        |
|     | C. Securities held for particular customers or option customers in lieu of cash (at market) | <b><u>0</u></b> [7090]                        |
| 8.  | Margins on deposit with derivatives clearing organizations of contract markets              |   |
|     | A. Cash   | <b><u>0</u></b> [7100]                        |
|     | B. Securities representing investments of customers' funds (at market)                      | <b><u>0</u></b> [7110]                        |
|     | C. Securities held for particular customers or option customers in lieu of cash (at market) | <b><u>0</u></b> [7120]                        |
| 9.  | Net settlement from (to) derivatives clearing organizations of contract markets             | <b><u>0</u></b> [7130]                        |
| 10. | Exchange traded options   |   |
|     | A. Value of open long option contracts  | <b><u>0</u></b> [7132]                        |
|     | B. Value of open short option contracts   | <b><u>0</u></b> [7133]                        |
| 11. | Net equities with other FCMs  |   |
|     | A. Net liquidating equity   | <b><u>14,776,180</u></b> [7140]               |
|     | B. Securities representing investments of customers' funds (at market)                      | <b><u>0</u></b> [7160]                        |
|     | C. Securities held for particular customers or option customers in lieu of cash (at market) | <b><u>23,663,350</u></b> [7170]               |
| 12. | Segregated funds on hand  | <b><u>0</u></b> [7150]                        |
| 13. | Total amount in segregation (add lines 7 through 12)  | <b><u>118,537,156</u></b> [7180]              |
| 14. | Excess (deficiency) funds in segregation (subtract line 6 from line 13)                     | <b><u>33,456,799</u></b> [7190]               |
| 15. | Management Target Amount for Excess funds in segregation                                    | <b><u>22,000,000</u></b> [7194]               |
| 16. | Excess (deficiency) funds in segregation over (under) Management Target Amount              | <b><u>11,456,799</u></b> [7198]               |
|     | Excess  |   |