

INITIAL

End Date:9/17/2020

Firm Name:UBS FINANCIAL SERVICES INC

Form:Daily Seg - FOCUS II

Submit Date:9/18/2020

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>4,025,561</u> [7315] |
| B. Securities (at market) | <u>200,304</u> [7317] |
| 2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade | <u>6,012,063</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>10,237,928</u> [7345] |
| 5. Account liquidating to a deficit and account with a debit balances - gross amount | <u>28,714</u> [7351] |
| Less: amount offset by customer owned securities | <u>0</u> [7352] <u>28,714</u> [7354] |
| 6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5) | <u>10,266,642</u> [7355] |
| 7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. | <u>10,266,642</u> [7360] |

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

| | |
|--|--|
| 1. Cash in banks | |
| A. Banks located in the United States | <u>9,416,224</u> [7500] |
| B. Other banks qualified under Regulation 30.7 | <u>0</u> [7520] <u>9,416,224</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>368,063</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>368,063</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>22,207,760</u> [7700] |
| B. Securities | <u>200,304</u> [7710] |
| C. Unrealized gain (loss) on open futures contracts | <u>6,012,063</u> [7720] |
| D. Value of long option contracts | <u>0</u> [7730] |
| E. Value of short option contracts | <u>0</u> [7735] <u>28,420,127</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>38,204,414</u> [7770] |
| 9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) | <u>27,937,772</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>12,937,772</u> [7785] |

INITIAL**End Date:9/17/2020****Firm Name:UBS FINANCIAL SERVICES INC****Form:Daily Seg - FOCUS II****Submit Date:9/18/2020****Daily Segregation - Segregation Statement**

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

| | | |
|-----|---|---|
| 1. | Net ledger balance | |
| | A. Cash | <u>143,195,733</u> [7010] |
| | B. Securities (at market) | <u>14,371,215</u> [7020] |
| 2. | Net unrealized profit (loss) in open futures contracts traded on a contract market | <u>-20,885,060</u> [7030] |
| 3. | Exchange traded options | |
| | A. Add market value of open option contracts purchased on a contract market | <u>115,088</u> [7032] |
| | B. Deduct market value of open option contracts granted (sold) on a contract market | <u>-73,060</u> [7033] |
| 4. | Net equity (deficit) (add lines 1, 2 and 3) | <u>136,723,916</u> [7040] |
| 5. | Accounts liquidating to a deficit and accounts with debit balances - gross amount | <u>0</u> [7045] |
| | Less: amount offset by customer securities | <u>0</u> [7047] <u>0</u> [7050] |
| 6. | Amount required to be segregated (add lines 4 and 5) | <u>136,723,916</u> [7060] |
| | FUNDS IN SEGREGATED ACCOUNTS | |
| 7. | Deposited in segregated funds bank accounts | |
| | A. Cash | <u>121,954,572</u> [7070] |
| | B. Securities representing investments of customers' funds (at market) | <u>0</u> [7080] |
| | C. Securities held for particular customers or option customers in lieu of cash (at market) | <u>0</u> [7090] |
| 8. | Margins on deposit with derivatives clearing organizations of contract markets | |
| | A. Cash | <u>0</u> [7100] |
| | B. Securities representing investments of customers' funds (at market) | <u>0</u> [7110] |
| | C. Securities held for particular customers or option customers in lieu of cash (at market) | <u>0</u> [7120] |
| 9. | Net settlement from (to) derivatives clearing organizations of contract markets | <u>0</u> [7130] |
| 10. | Exchange traded options | |
| | A. Value of open long option contracts | <u>0</u> [7132] |
| | B. Value of open short option contracts | <u>0</u> [7133] |
| 11. | Net equities with other FCMs | |
| | A. Net liquidating equity | <u>34,825,423</u> [7140] |
| | B. Securities representing investments of customers' funds (at market) | <u>0</u> [7160] |
| | C. Securities held for particular customers or option customers in lieu of cash (at market) | <u>14,371,215</u> [7170] |
| 12. | Segregated funds on hand | <u>0</u> [7150] |
| 13. | Total amount in segregation (add lines 7 through 12) | <u>171,151,210</u> [7180] |
| 14. | Excess (deficiency) funds in segregation (subtract line 6 from line 13) | <u>34,427,294</u> [7190] |
| 15. | Management Target Amount for Excess funds in segregation | <u>22,000,000</u> [7194] |
| 16. | Excess (deficiency) funds in segregation over (under) Management Target Amount | <u>12,427,294</u> [7198] |
| | Excess | |