

**INITIAL**

**End Date:8/24/2020**

**Firm Name:UBS FINANCIAL SERVICES INC**

**Form:Daily Seg - FOCUS II**

**Submit Date:8/25/2020**

**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

- 1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers
  - A. Cash **5,730,330** [7315]
  - B. Securities (at market) **200,472** [7317]
- 2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade **4,777,482** [7325]
- 3. Exchange traded options
  - a. Market value of open option contracts purchased on a foreign board of trade **0** [7335]
  - b. Market value of open contracts granted (sold) on a foreign board of trade **0** [7337]
- 4. Net equity (deficit) (add lines 1. 2. and 3.) **10,708,284** [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) **10,708,284** [7355]
- 7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. **10,708,284** [7360]

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

- 1. Cash in banks
  - A. Banks located in the United States **11,416,224** [7500]
  - B. Other banks qualified under Regulation 30.7 **0** [7520] **11,416,224** [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 **368,044** [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] **368,044** [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 **21,207,022** [7700]
  - B. Securities **200,472** [7710]
  - C. Unrealized gain (loss) on open futures contracts **4,777,482** [7720]
  - D. Value of long option contracts **0** [7730]
  - E. Value of short option contracts **0** [7735] **26,184,976** [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 **37,969,244** [7770]
- 9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) **27,260,960** [7380]
- 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 **12,260,960** [7785]

**INITIAL****End Date:8/24/2020****Firm Name:UBS FINANCIAL SERVICES INC****Form:Daily Seg - FOCUS II****Submit Date:8/25/2020****Daily Segregation - Segregation Statement**

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

1.	Net ledger balance	
	A. Cash	<b><u>141,415,447</u></b> [7010]
	B. Securities (at market)	<b><u>14,466,648</u></b> [7020]
2.	Net unrealized profit (loss) in open futures contracts traded on a contract market	<b><u>-56,411,270</u></b> [7030]
3.	Exchange traded options	
	A. Add market value of open option contracts purchased on a contract market	<b><u>112,925</u></b> [7032]
	B. Deduct market value of open option contracts granted (sold) on a contract market	<b><u>-126,430</u></b> [7033]
4.	Net equity (deficit) (add lines 1, 2 and 3)	<b><u>99,457,320</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>99,457,320</u></b> [7060]
	FUNDS IN SEGREGATED ACCOUNTS	
7.	Deposited in segregated funds bank accounts	
	A. Cash	<b><u>84,099,796</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>34,565,041</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>14,466,648</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>133,131,485</u></b> [7180]
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)	<b><u>33,674,165</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>11,674,165</u></b> [7198]
	Excess	