

**INITIAL**

End Date:1/31/2018

Firm Name:UBS FINANCIAL SERVICES INC

Form:Daily Seg - FOCUS II

Submit Date:2/1/2018

**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	<u>0</u> [7305]
	A. Cash	<u>3,169,925</u> [7315]
	B. Securities (at market)	<u>1,613,562</u> [7317]
2.	Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	<u>2,713,226</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>-145</u> [7337]
4.	Net equity (deficit) (add lines 1. 2. and 3.)	<u>7,496,568</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>7,496,568</u> [7355]
7.	Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	<u>7,496,568</u> [7360]
	<b>FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS</b>	
1.	Cash in banks	
	A. Banks located in the United States	<u>24,582,335</u> [7500]
	B. Other banks qualified under Regulation 30.7	<u>0</u> [7520] <u>24,582,335</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>5,237,114</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>5,237,114</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>812,894</u> [7700]
	B. Securities	<u>1,613,562</u> [7710]
	C. Unrealized gain (loss) on open futures contracts	<u>2,713,226</u> [7720]
	D. Value of long option contracts	<u>0</u> [7730]
	E. Value of short option contracts	<u>-145</u> [7735] <u>5,139,537</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>34,958,986</u> [7770]
9.	Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)	<u>27,462,418</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>12,462,418</u> [7785]

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

1.	Net ledger balance	
	A. Cash	<b><u>74,479,860</u></b> [7010]
	B. Securities (at market)	<b><u>16,460,798</u></b> [7020]
2.	Net unrealized profit (loss) in open futures contracts traded on a contract market	<b><u>-5,938,553</u></b> [7030]
3.	Exchange traded options	
	A. Add market value of open option contracts purchased on a contract market	<b><u>50,500</u></b> [7032]
	B. Deduct market value of open option contracts granted (sold) on a contract market	<b><u>-398,019</u></b> [7033]
4.	Net equity (deficit) (add lines 1, 2 and 3)	<b><u>84,654,586</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>84,654,586</u></b> [7060]
	FUNDS IN SEGREGATED ACCOUNTS	
7.	Deposited in segregated funds bank accounts	
	A. Cash	<b><u>87,498,619</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>14,635,789</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>16,460,798</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>118,595,206</u></b> [7180]
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)	<b><u>33,940,620</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>11,940,620</u></b> [7198]
	Excess	