

**INITIAL**

**End Date:2/5/2018**

**Firm Name:UBS FINANCIAL SERVICES INC**

**Form:Daily Seg - FOCUS II**

**Submit Date:2/6/2018**

**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 | <u>0</u> [7305]                           |
| 1.  | Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers   |   |
|     | A. Cash   | <u>3,031,537</u> [7315]                   |
|     | B. Securities (at market)   | <u>1,613,397</u> [7317]                   |
| 2.  | Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade   | <u>3,047,221</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>-58</u> [7337]                         |
| 4.  | Net equity (deficit) (add lines 1. 2. and 3.)   | <u>7,692,097</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>7,692,097</u> [7355]                   |
| 7.  | Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.  | <u>7,692,097</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>5,229,034</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>5,229,034</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>812,196</u> [7700]                     |
|     | B. Securities   | <u>1,613,397</u> [7710]                   |
|     | C. Unrealized gain (loss) on open futures contracts   | <u>3,047,221</u> [7720]                   |
|     | D. Value of long option contracts   | <u>0</u> [7730]                           |
|     | E. Value of short option contracts  | <u>-58</u> [7735] <u>5,472,756</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>35,284,125</u> [7770]                  |
| 9.  | Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)   | <u>27,592,028</u> [7380]                  |
| 10. | Management Target Amount for Excess funds in separate section 30.7 accounts   | <u>15000000.00</u> [7780]                 |
| 11. | Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target  | <u>12,592,028</u> [7785]                  |

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**Daily Segregation - Segregation Statement**

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

|     |   |                                  |
|-----|---|----------------------------------|
| 1.  | Net ledger balance  |                                  |
|     | A. Cash   | <u>73,980,077</u> [7010]         |
|     | B. Securities (at market)   | <u>16,458,387</u> [7020]         |
| 2.  | Net unrealized profit (loss) in open futures contracts traded on a contract market          | <u>20,055,376</u> [7030]         |
| 3.  | Exchange traded options   |                                  |
|     | A. Add market value of open option contracts purchased on a contract market                 | <u>52,020</u> [7032]             |
|     | B. Deduct market value of open option contracts granted (sold) on a contract market         | <u>-344,445</u> [7033]           |
| 4.  | Net equity (deficit) (add lines 1, 2 and 3)   | <u>110,201,415</u> [7040]        |
| 5.  | Accounts liquidating to a deficit and accounts with debit balances - gross amount           | <u>34</u> [7045]                 |
|     | Less: amount offset by customer securities  | <u>0</u> [7047] <u>34</u> [7050] |
| 6.  | Amount required to be segregated (add lines 4 and 5)  | <u>110,201,449</u> [7060]        |
|     | FUNDS IN SEGREGATED ACCOUNTS  |                                  |
| 7.  | Deposited in segregated funds bank accounts   |                                  |
|     | A. Cash   | <u>92,308,103</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>34,243,313</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>16,458,387</u> [7170]         |
| 12. | Segregated funds on hand  | <u>0</u> [7150]                  |
| 13. | Total amount in segregation (add lines 7 through 12)  | <u>143,009,803</u> [7180]        |
| 14. | Excess (deficiency) funds in segregation (subtract line 6 from line 13)                     | <u>32,808,354</u> [7190]         |
| 15. | Management Target Amount for Excess funds in segregation                                    | <u>22000000.00</u> [7194]        |
| 16. | Excess (deficiency) funds in segregation over (under) Management Target Amount Excess       | <u>10,808,354</u> [7198]         |