

**INITIAL**

End Date:5/2/2018

Firm Name:UBS FINANCIAL SERVICES INC

Form:Daily Seg - FOCUS II

Submit Date:5/3/2018

**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>4,281,965</u> [7315]                      |
|     | B. Securities (at market)   | <u>1,615,394</u> [7317]                      |
| 2.  | Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade                 | <u>-1,279,344</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>-4,534</u> [7337]                         |
| 4.  | Net equity (deficit) (add lines 1. 2. and 3.)   | <u>4,613,481</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>4,613,481</u> [7355]                      |
| 7.  | Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.            | <u>4,613,481</u> [7360]                      |
|     | <b>FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS</b>   |  |
| 1.  | Cash in banks   |  |
|     | A. Banks located in the United States   | <u>24,301,467</u> [7500]                     |
|     | B. Other banks qualified under Regulation 30.7  | <u>0</u> [7520] <u>24,301,467</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>5,069,225</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>5,069,225</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>2,739,108</u> [7700]                      |
|     | B. Securities   | <u>1,615,394</u> [7710]                      |
|     | C. Unrealized gain (loss) on open futures contracts   | <u>-1,279,344</u> [7720]                     |
|     | D. Value of long option contracts   | <u>0</u> [7730]                              |
|     | E. Value of short option contracts  | <u>-4,534</u> [7735] <u>3,070,624</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>32,441,316</u> [7770]                     |
| 9.  | Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)   | <u>27,827,835</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>12,827,835</u> [7785]                     |

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

|     |   |  |
|-----|---|--|
| 1.  | Net ledger balance  |  |
|     | A. Cash   | <b><u>103,713,355</u></b> [7010]                   |
|     | B. Securities (at market)   | <b><u>16,349,938</u></b> [7020]                    |
| 2.  | Net unrealized profit (loss) in open futures contracts traded on a contract market          | <b><u>15,108,275</u></b> [7030]                    |
| 3.  | Exchange traded options   |  |
|     | A. Add market value of open option contracts purchased on a contract market                 | <b><u>88,970</u></b> [7032]                        |
|     | B. Deduct market value of open option contracts granted (sold) on a contract market         | <b><u>-424,509</u></b> [7033]                      |
| 4.  | Net equity (deficit) (add lines 1, 2 and 3)   | <b><u>134,836,029</u></b> [7040]                   |
| 5.  | Accounts liquidating to a deficit and accounts with debit balances - gross amount           | <b><u>4,528</u></b> [7045]                         |
|     | Less: amount offset by customer securities  | <b><u>-4,528</u></b> [7047] <b><u>0</u></b> [7050] |
| 6.  | Amount required to be segregated (add lines 4 and 5)  | <b><u>134,836,029</u></b> [7060]                   |
|     | FUNDS IN SEGREGATED ACCOUNTS  |  |
| 7.  | Deposited in segregated funds bank accounts   |  |
|     | A. Cash   | <b><u>121,449,689</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>31,422,976</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>16,349,938</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>169,222,603</u></b> [7180]                   |
| 14. | Excess (deficiency) funds in segregation (subtract line 6 from line 13)                     | <b><u>34,386,574</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>12,386,574</u></b> [7198]                    |
|     | Excess  |  |