

**INITIAL**

**End Date:2/6/2026**

**Firm Name:UBS FINANCIAL SERVICES INC**

**Form:Daily Seg - FOCUS II - Daily**

**Submit Date:2/9/2026**

**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	0 [7305]
1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers	
A. Cash	<b>689,752</b> [7315]
B. Securities (at market)	0 [7317]
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	<b>806,733</b> [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.)	<b>1,496,485</b> [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)	<b>1,496,485</b> [7355]
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	<b>1,496,485</b> [7360]

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks	
A. Banks located in the United States	<b>39,104,249</b> [7500]
B. Other banks qualified under Regulation 30.7	0 [7520] <b>39,104,249</b> [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	<b>423,930</b> [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] <b>423,930</b> [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	<b>11,637</b> [7700]
B. Securities	0 [7710]
C. Unrealized gain (loss) on open futures contracts	<b>806,733</b> [7720]
D. Value of long option contracts	0 [7730]
E. Value of short option contracts	0 [7735] <b>818,370</b> [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	<b>40,346,549</b> [7770]
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)	<b>38,850,064</b> [7380]
10. Management Target Amount for Excess funds in separate section 30.7 accounts	<b>15,000,000</b> [7780]
11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target	<b>23,850,064</b> [7785]

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**Daily Segregation - Segregation Statement**

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

1.	Net ledger balance	
	A. Cash	<b><u>25,720,799</u></b> [7010]
	B. Securities (at market)	<b><u>60,847,300</u></b> [7020]
2.	Net unrealized profit (loss) in open futures contracts traded on a contract market	<b><u>3,434,453</u></b> [7030]
3.	Exchange traded options	
	A. Add market value of open option contracts purchased on a contract market	<b><u>1,902,820</u></b> [7032]
	B. Deduct market value of open option contracts granted (sold) on a contract market	<b><u>-938,583</u></b> [7033]
4.	Net equity (deficit) (add lines 1, 2 and 3)	<b><u>90,966,789</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>90,966,789</u></b> [7060]
	FUNDS IN SEGREGATED ACCOUNTS	
7.	Deposited in segregated funds bank accounts	
	A. Cash	<b><u>75,238,000</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>52,688,409</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>60,847,300</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>188,773,709</u></b> [7180]
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)	<b><u>97,806,920</u></b> [7190]
15.	Management Target Amount for Excess funds in segregation	<b><u>35,000,000</u></b> [7194]
16.	Excess (deficiency) funds in segregation over (under) Management Target Amount	<b><u>62,806,920</u></b> [7198]
	Excess	