

INITIAL

End Date:1/28/2026

Firm Name:UBS FINANCIAL SERVICES INC

Form:Daily Seg - FOCUS II - Daily

Submit Date:1/29/2026

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

- 1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers
 - A. Cash **656,701** [7315]
 - B. Securities (at market) **0** [7317]
- 2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade **150,462** [7325]
- 3. Exchange traded options
 - a. Market value of open option contracts purchased on a foreign board of trade **8,018** [7335]
 - b. Market value of open contracts granted (sold) on a foreign board of trade **-16,834** [7337]
- 4. Net equity (deficit) (add lines 1. 2. and 3.) **798,347** [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) **798,347** [7355]
- 7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. **798,347** [7360]

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

- 1. Cash in banks
 - A. Banks located in the United States **39,044,768** [7500]
 - B. Other banks qualified under Regulation 30.7 **0** [7520]**39,044,768** [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 **422,621** [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]**422,621** [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 **6,676** [7700]
 - B. Securities **0** [7710]
 - C. Unrealized gain (loss) on open futures contracts **150,462** [7720]
 - D. Value of long option contracts **8,018** [7730]
 - E. Value of short option contracts **-16,834** [7735]**148,322** [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 **39,615,711** [7770]
- 9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) **38,817,364** [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 **23,817,364** [7785]

INITIAL**End Date:1/28/2026****Firm Name:UBS FINANCIAL SERVICES INC****Form:Daily Seg - FOCUS II - Daily****Submit Date:1/29/2026****Daily Segregation - Segregation Statement**

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

1.	Net ledger balance	
	A. Cash	<u>27,947,679</u> [7010]
	B. Securities (at market)	<u>59,346,700</u> [7020]
2.	Net unrealized profit (loss) in open futures contracts traded on a contract market	<u>4,954,137</u> [7030]
3.	Exchange traded options	
	A. Add market value of open option contracts purchased on a contract market	<u>1,860,050</u> [7032]
	B. Deduct market value of open option contracts granted (sold) on a contract market	<u>-3,609,089</u> [7033]
4.	Net equity (deficit) (add lines 1, 2 and 3)	<u>90,499,477</u> [7040]
5.	Accounts liquidating to a deficit and accounts with debit balances - gross amount	<u>0</u> [7045]
	Less: amount offset by customer securities	<u>0</u> [7047] <u>0</u> [7050]
6.	Amount required to be segregated (add lines 4 and 5)	<u>90,499,477</u> [7060]
	FUNDS IN SEGREGATED ACCOUNTS	
7.	Deposited in segregated funds bank accounts	
	A. Cash	<u>55,821,473</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>83,333,286</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>59,346,700</u> [7170]
12.	Segregated funds on hand	<u>0</u> [7150]
13.	Total amount in segregation (add lines 7 through 12)	<u>198,501,459</u> [7180]
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)	<u>108,001,982</u> [7190]
15.	Management Target Amount for Excess funds in segregation	<u>35,000,000</u> [7194]
16.	Excess (deficiency) funds in segregation over (under) Management Target Amount Excess	<u>73,001,982</u> [7198]