

INITIAL

End Date:5/23/2023

Firm Name:UBS FINANCIAL SERVICES INC

Form:Daily Seg - FOCUS II

Submit Date:5/24/2023

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 | 3,157,156 [7315] |
| | B. Securities (at market) | 0 [7317] |
| 2. | Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade | 3,655,402 [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 | -129,285 [7337] |
| 4. | Net equity (deficit) (add lines 1. 2. and 3.) | 6,683,273 [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) | 6,683,273 [7355] |
| 7. | Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. | 6,683,273 [7360] |
| | FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS | |
| 1. | Cash in banks | |
| | A. Banks located in the United States | 32,842,872 [7500] |
| | B. Other banks qualified under Regulation 30.7 | 0 [7520] 32,842,872 [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 | 351,653 [7580] |
| | B. Securities | 0 [7590] |
| | C. Unrealized gain (loss) on open futures contracts | 4,117 [7600] |
| | D. Value of long option contracts | 0 [7610] |
| | E. Value of short option contracts | 0 [7615] 355,770 [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 | 700,657 [7700] |
| | B. Securities | 0 [7710] |
| | C. Unrealized gain (loss) on open futures contracts | 3,651,285 [7720] |
| | D. Value of long option contracts | 0 [7730] |
| | E. Value of short option contracts | -129,285 [7735] 4,222,657 [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 | 37,421,299 [7770] |
| 9. | Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) | 30,738,026 [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 | 15,738,026 [7785] |

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Daily Segregation - Segregation Statement

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

| | | |
|-----|---|---|
| 1. | Net ledger balance | |
| | A. Cash | <u>55,476,815</u> [7010] |
| | B. Securities (at market) | <u>130,370,759</u> [7020] |
| 2. | Net unrealized profit (loss) in open futures contracts traded on a contract market | <u>-7,306,606</u> [7030] |
| 3. | Exchange traded options | |
| | A. Add market value of open option contracts purchased on a contract market | <u>428,463</u> [7032] |
| | B. Deduct market value of open option contracts granted (sold) on a contract market | <u>-842,876</u> [7033] |
| 4. | Net equity (deficit) (add lines 1, 2 and 3) | <u>178,126,555</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>178,126,555</u> [7060] |
| | FUNDS IN SEGREGATED ACCOUNTS | |
| 7. | Deposited in segregated funds bank accounts | |
| | A. Cash | <u>82,540,212</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>16,366,315</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>130,370,759</u> [7170] |
| 12. | Segregated funds on hand | <u>0</u> [7150] |
| 13. | Total amount in segregation (add lines 7 through 12) | <u>229,277,286</u> [7180] |
| 14. | Excess (deficiency) funds in segregation (subtract line 6 from line 13) | <u>51,150,731</u> [7190] |
| 15. | Management Target Amount for Excess funds in segregation | <u>25,000,000</u> [7194] |
| 16. | Excess (deficiency) funds in segregation over (under) Management Target Amount | <u>26,150,731</u> [7198] |
| | Excess | |