

**INITIAL**

**End Date:7/22/2024**

**Firm Name:UBS FINANCIAL SERVICES INC**

**Form:Daily Seg - FOCUS II**

**Submit Date:7/23/2024**

**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>2,315,354</u> [7315]                        |
|     | B. Securities (at market)   | <u>0</u> [7317]                                |
| 2.  | Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade   | <u>-51,058</u> [7325]                          |
| 3.  | Exchange traded options   |  |
|     | a. Market value of open option contracts purchased on a foreign board of trade  | <u>39,673</u> [7335]                           |
|     | b. Market value of open contracts granted (sold) on a foreign board of trade  | <u>-141,571</u> [7337]                         |
| 4.  | Net equity (deficit) (add lines 1. 2. and 3.)   | <u>2,162,398</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>2,162,398</u> [7355]                        |
| 7.  | Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.  | <u>2,162,398</u> [7360]                        |
|     | <b>FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS</b>   |  |
| 1.  | Cash in banks   |  |
|     | A. Banks located in the United States   | <u>34,839,311</u> [7500]                       |
|     | B. Other banks qualified under Regulation 30.7  | <u>0</u> [7520] <u>34,839,311</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>396,780</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>396,780</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>2,561,233</u> [7700]                        |
|     | B. Securities   | <u>0</u> [7710]                                |
|     | C. Unrealized gain (loss) on open futures contracts   | <u>-51,058</u> [7720]                          |
|     | D. Value of long option contracts   | <u>39,673</u> [7730]                           |
|     | E. Value of short option contracts  | <u>-141,571</u> [7735] <u>2,408,277</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>37,644,368</u> [7770]                       |
| 9.  | Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)   | <u>35,481,970</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>20,481,970</u> [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>76,253,541</u></b> [7010]             |
|     | B. Securities (at market)   | <b><u>82,766,609</u></b> [7020]             |
| 2.  | Net unrealized profit (loss) in open futures contracts traded on a contract market          | <b><u>638,590</u></b> [7030]                |
| 3.  | Exchange traded options   |   |
|     | A. Add market value of open option contracts purchased on a contract market                 | <b><u>483,305</u></b> [7032]                |
|     | B. Deduct market value of open option contracts granted (sold) on a contract market         | <b><u>-766,452</u></b> [7033]               |
| 4.  | Net equity (deficit) (add lines 1, 2 and 3)   | <b><u>159,375,593</u></b> [7040]            |
| 5.  | Accounts liquidating to a deficit and accounts with debit balances - gross amount           | <b><u>1,464</u></b> [7045]                  |
|     | Less: amount offset by customer securities  | <b><u>-1,464</u></b> [7047] <b>0</b> [7050] |
| 6.  | Amount required to be segregated (add lines 4 and 5)  | <b><u>159,375,593</u></b> [7060]            |
|     | FUNDS IN SEGREGATED ACCOUNTS  |   |
| 7.  | Deposited in segregated funds bank accounts   |   |
|     | A. Cash   | <b><u>65,564,022</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>85,958,210</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>82,766,609</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>234,288,841</u></b> [7180]            |
| 14. | Excess (deficiency) funds in segregation (subtract line 6 from line 13)                     | <b><u>74,913,248</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>39,913,248</u></b> [7198]             |
|     | Excess  |   |