## 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: 10,708,826 [7315]
   - B. Securities (at market): 0 [7317]
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 12,342,481 [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: -90,543 [7337]
4. Net equity (deficit) (add lines 1. 2. and 3.): 22,960,764 [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): 22,960,764 [7355]
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6: 22,960,764 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks
   - A. Banks located in the United States: 25,114,757 [7500]
   - B. Other banks qualified under Regulation 30.7: 0 [7520] 25,114,757 [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: 368,525 [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] 368,525 [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: 12,173,719 [7700]
   - B. Securities: 0 [7710]
   - C. Unrealized gain (loss) on open futures contracts: 12,342,481 [7720]
   - D. Value of long option contracts: 0 [7730]
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: 49,908,939 [7770]
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8): 26,948,175 [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: 11,948,175 [7785]
INITIAL
End Date: 1/31/2022
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 2/1/2022

Daily Segregation - Segregation Statement

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

1. Net ledger balance
   A. Cash  74,183,894 [7010]
   B. Securities (at market)  6,748,452 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market  12,770,008 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market  340,894 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -339,825 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3)  93,703,423 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount  0 [7045]
   Less: amount offset by customer securities  0 [7047] 0 [7050]

6. Amount required to be segregated (add lines 4 and 5)  93,703,423 [7060]

Funds in segregated accounts

7. Deposited in segregated funds bank accounts
   A. Cash  102,720,177 [7070]
   B. Securities representing investments of customers' funds (at market)  0 [7080]
   C. Securities held for particular customers or option customers in lieu of cash (at market)  0 [7090]

8. Margins on deposit with derivatives clearing organizations of contract markets
   A. Cash  0 [7100]
   B. Securities representing investments of customers' funds (at market)  0 [7110]
   C. Securities held for particular customers or option customers in lieu of cash (at market)  0 [7120]

9. Net settlement from (to) derivatives clearing organizations of contract markets  0 [7130]

10. Exchange traded options
    A. Value of open long option contracts  0 [7132]
    B. Value of open short option contracts  0 [7133]

11. Net equities with other FCMs
    A. Net liquidating equity  20,814,388 [7140]
    B. Securities representing investments of customers' funds (at market)  0 [7160]
    C. Securities held for particular customers or option customers in lieu of cash (at market)  6,748,452 [7170]

12. Segregated funds on hand  0 [7150]

13. Total amount in segregation (add lines 7 through 12)  130,283,017 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)  36,579,594 [7190]

15. Management Target Amount for Excess funds in segregation  25,000,000 [7194]

16. Excess (deficiency) funds in segregation over (under) Management Target Amount
    Excess  11,579,594 [7198]