**INITIAL**

**End Date:** 1/4/2022  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 1/5/2022  

### 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**: 10,936,458 [7315]
   - **B. Securities (at market)**: 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**: 12,742,102 [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: -126,893 [7337]

4. **Net equity (deficit) (add lines 1, 2, and 3.)**: 23,551,667 [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)**: 23,551,667 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**: 23,551,667 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - A. Banks located in the United States: 26,414,757 [7500]
   - B. Other banks qualified under Regulation 30.7: 0 [7520] 26,414,757 [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: 368,517 [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] 368,517 [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: 11,558,889 [7700]
   - B. Securities: 0 [7710]
   - C. Unrealized gain (loss) on open futures contracts: 12,742,102 [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**: 50,957,372 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**: 27,405,705 [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**: 12,405,705 [7785]
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### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **A. Cash**  
     - [59,567,662](7010)
   - **B. Securities (at market)**  
     - [7,475,109](7020)

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - [1,845,515](7030)

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**  
     - [176,331](7032)
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**  
     - [111,694](7033)

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - [65,261,893](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)**
   - [65,261,893](7060)

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**  
     - [76,385,495](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**  
      - [17,708,814](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)**  
      - [7,475,109](7170)

12. **Segregated funds on hand**
    - [0](7150)

13. **Total amount in segregation (add lines 7 through 12)**
    - [101,569,418](7180)

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - [36,307,525](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**  
      - [11,307,525](7198)