<table>
<thead>
<tr>
<th><strong>End Date:</strong> 3/8/2022</th>
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<tr>
<td><strong>Firm Name:</strong> UBS FINANCIAL SERVICES INC</td>
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<td><strong>Form:</strong> Daily Seg - FOCUS II</td>
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<td><strong>Submit Date:</strong> 3/9/2022</td>
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**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**
   
   - Cash 8,540,126 [7315]
   - Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade 17,392,285 [7325]

3. **Exchange traded options**
   
   - Market value of open option contracts purchased on a foreign board of trade 0 [7335]
   - Market value of open contracts granted (sold) on a foreign board of trade -3,817 [7337]

4. **Net equity (deficit)** (add lines 1. 2. and 3.) 25,928,594 [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)

   - Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. 25,928,594 [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. **Cash in banks**
   
   - Banks located in the United States 34,750,991 [7500]
   - Other banks qualified under Regulation 30.7 0 [7520] 34,750,991 [7530]

2. **Securities**
   
   - In safekeeping with banks located in the United States 0 [7540]
   - In safekeeping with other banks qualified under Regulation 30.7 0 [7560] 0 [7570]

3. **Equities with registered futures commission merchants**
   
   - Cash 368,622 [7580]
   - Securities 0 [7590]
   - Unrealized gain (loss) on open futures contracts 0 [7600]
   - Value of long option contracts 0 [7610]
   - Value of short option contracts 0 [7615] 368,622 [7620]

4. **Amounts held by clearing organizations of foreign boards of trade**
   
   - Cash 2,142,268 [7700]
   - Securities 0 [7710]
   - Unrealized gain (loss) on open futures contracts 17,392,285 [7720]
   - Value of long option contracts 0 [7730]
   - Value of short option contracts -3,817 [7735] 19,530,736 [7740]

5. **Amounts held by members of foreign boards of trade**
   
   - Cash 0 [7760]
   - Securities 0 [7785]
   - Total funds in separate section 30.7 accounts 54,650,349 [7770]

6. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**

   - Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target 13,721,755 [7785]
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - A. Cash: 237,878,275 [7010]
   - B. Securities (at market): 10,948,879 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - \(-15,189,928\) [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: 352,800 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: \(-229,193\) [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - 233,760,833 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - Less: amount offset by customer securities: 0 [7045]
   - Amount required to be segregated (add lines 4 and 5): 233,760,833 [7060]

6. **FUNDS IN SEGREGATED ACCOUNTS**
   - A. Cash: 200,177,586 [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]

7. **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]

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

9. **Exchange traded options**
   - Value of open long option contracts: 0 [7132]
   - Value of open short option contracts: 0 [7133]

10. **Net equities with other FCMs**
    - A. Net liquidating equity: 59,805,546 [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): 10,948,879 [7170]

11. **Segregated funds on hand**
    - 0 [7150]

12. **Total amount in segregation**
    - (add lines 7 through 12): 270,932,011 [7180]

13. **Excess (deficiency) funds in segregation**
    - (subtract line 6 from line 13): 37,171,178 [7190]

14. **Management Target Amount for Excess funds in segregation**
    - 25,000,000 [7194]

15. **Excess (deficiency) funds in segregation over (under) Management Target Amount**
    - Excess: 12,171,178 [7198]