**INITIAL**

**End Date:** 3/24/2022  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 3/25/2022

### Daily Segregation - Secured Amounts

<table>
<thead>
<tr>
<th>Foreign Futures and Foreign Options Secured Amounts</th>
</tr>
</thead>
<tbody>
<tr>
<td>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</td>
</tr>
<tr>
<td>0 [7305]</td>
</tr>
</tbody>
</table>

1. **Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers**
   - **A. Cash**
     - 9,802,671 [7315]
   - **B. Securities (at market)**
     - 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**
   - 14,232,333 [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**
     - -8,065 [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.)**
   - 24,026,939 [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)**
   - 24,026,939 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**
   - 24,026,939 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - A. Banks located in the United States
     - 33,894,489 [7500]
   - B. Other banks qualified under Regulation 30.7
     - 0 [7520] 33,894,489 [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
     - 368,607 [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] 368,607 [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
     - 2,572,281 [7700]
   - B. Securities
     - 0 [7710]
   - C. Unrealized gain (loss) on open futures contracts
     - 14,232,333 [7720]
   - D. Value of long option contracts
     - 0 [7730]
   - E. Value of short option contracts
     - -8,065 [7735] 16,796,549 [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**
   - 51,059,645 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**
   - 27,032,706 [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**
    - 12,032,706 [7785]
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### Daily Segregation - Segregation Statement

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

1. Net ledger balance
   - **A. Cash**: $233,134,494 [7010]
   - **B. Securities (at market)**: $11,576,087 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market
   - **-1,227,396** [7030]

3. Exchange traded options
   - **A. Add market value of open option contracts purchased on a contract market**: $293,263 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**: $-230,471 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3)
   - **$243,545,977** [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount
   - Less: amount offset by customer securities
   - **Amount required to be segregated (add lines 4 and 5)**: $243,545,977 [7060]

6. Deposited in segregated funds bank accounts
   - **A. Cash**: $254,296,588 [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
   - **A. Value of open long option contracts**: $0 [7132]
   - **B. Value of open short option contracts**: $0 [7133]

10. Net equities with other FCMs
    - **A. Net liquidating equity**: $13,514,826 [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)**: $11,576,087 [7170]

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

12. Total amount in segregation (add lines 7 through 12)
    - **$279,387,501** [7180]

13. Excess (deficiency) funds in segregation (subtract line 6 from line 13)
    - **$35,841,524** [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**: $10,841,524 [7198]