Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 3/18/2022

### Daily Segregation - Secured Amounts

Foreign Futures and Foreign Options Secured Amounts

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</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>
<td>0 [7305]</td>
</tr>
</tbody>
</table>

1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers
   A. Cash                              | 11,607,486   [7315] |
   B. Securities (at market)             | 0 [7317]     |

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade | 13,597,691   [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   | -44,956 [7337] |

4. Net equity (deficit) (add lines 1. 2. and 3.) | 25,160,221   [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) | 25,160,221   [7355] |

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6 | 25,160,221   [7360] |

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks
   A. Banks located in the United States | 35,593,586 [7500] |
   B. Other banks qualified under Regulation 30.7 | 0 [7520] 35,593,586 [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                              | 368,591 [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] 368,591 [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                              | 2,695,336 [7700] |
   B. Securities                        | 0 [7710]      |
   C. Unrealized gain (loss) on open futures contracts | 13,597,691 [7720] |
   D. Value of long option contracts    | 0 [7730]      |
   E. Value of short option contracts   | -44,956 [7735] 16,248,071 [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 | 52,210,248 [7770] |
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) | 27,050,027 [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 | 12,050,027 [7785] |
**INITIAL**

End Date: 3/17/2022  
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### Daily Segregation - Segregation Statement

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

1. Net ledger balance  
   A. Cash 232,549,272 [7010]  
   B. Securities (at market) 10,911,841 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market 2,360,500 [7030]

3. Exchange traded options  
   A. Add market value of open option contracts purchased on a contract market 275,081 [7032]  
   B. Deduct market value of open option contracts granted (sold) on a contract market -164,886 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 245,931,808 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount  
   Less: amount offset by customer securities  

6. Amount required to be segregated (add lines 4 and 5) 245,931,808 [7060]

### FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts  
   A. Cash 256,776,588 [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]

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 15,600,738 [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) 10,911,841 [7170]

12. Segregated funds on hand 0 [7150]

13. Total amount in segregation (add lines 7 through 12) 283,289,167 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 37,357,359 [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 12,357,359 [7198]