INITIAL
End Date: 3/9/2022
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 3/10/2022

**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 9,186,598 [7315]
   b. Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade 15,982,576 [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 -3,375 [7337]

4. Net equity (deficit) (add lines 1, 2, and 3.) 25,165,799 [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) 25,165,799 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line
   6. 25,165,799 [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks
   a. Banks located in the United States 34,750,991 [7500]
   b. Other banks qualified under Regulation 30.7 0 [7520] 34,750,991 [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 368,595 [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] 368,595 [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 2,741,840 [7700]
   b. Securities 0 [7710]
   c. Unrealized gain (loss) on open futures contracts 15,982,576 [7720]
   d. Value of long option contracts 0 [7730]
   e. Value of short option contracts -3,375 [7735] 18,721,041 [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 53,840,627 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement
   Page 1 from Line 8) 28,674,828 [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 13,674,828 [7785]
### Daily Segregation - Segregation Statement

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

1. Net ledger balance
   - Cash: \(232,650,301\) [7010]
   - Securities (at market): \(10,953,672\) [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market
   - \(17,051,329\) [7030]

3. Exchange traded options
   - Add market value of open option contracts purchased on a contract market: \(313,650\) [7032]
   - Deduct market value of open option contracts granted (sold) on a contract market: \(-181,401\) [7033]

4. Net equity (deficit) (add lines 1, 2 and 3)
   - \(260,787,551\) [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount
   - Amount offset by customer securities: \(0\) [7045]

6. Amount required to be segregated (add lines 4 and 5)
   - \(260,787,551\) [7060]

Funds in segregated accounts

7. Deposited in segregated funds bank accounts
   - Cash: \(188,571,588\) [7070]
   - Securities representing investments of customers’ funds (at market): \(0\) [7080]
   - 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
   - Cash: \(0\) [7100]
   - Securities representing investments of customers’ funds (at market): \(0\) [7110]
   - 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
    - Value of open long option contracts: \(0\) [7132]
    - Value of open short option contracts: \(0\) [7133]

11. Net equities with other FCMs
    - Net liquidating equity: \(98,766,815\) [7140]
    - Securities representing investments of customers’ funds (at market): \(0\) [7160]
    - Securities held for particular customers or option customers in lieu of cash (at market): \(10,953,672\) [7170]

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

13. Total amount in segregation (add lines 7 through 12)
    - \(298,292,075\) [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)
    - \(37,504,524\) [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: \(12,504,524\) [7198]