**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 9,808,218 [7315]
B. Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade 14,094,824 [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 -15,864 [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.) 23,887,178 [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) 23,887,178 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. 23,887,178 [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks
A. Banks located in the United States 33,894,594 [7500]
B. Other banks qualified under Regulation 30.7 0 [7520] 33,894,594 [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 368,606 [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] 368,606 [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 2,574,722 [7700]
B. Securities 0 [7710]
C. Unrealized gain (loss) on open futures contracts 14,094,824 [7720]
D. Value of long option contracts 0 [7730]
E. Value of short option contracts -15,864 [7735] 16,653,682 [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 50,916,882 [7770]
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) 27,029,704 [7780]

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 12,029,704 [7785]
**INITIAL**
End Date:3/23/2022  
Firm Name:UBS FINANCIAL SERVICES INC  
Form:Daily Seg - FOCUS II  
Submit Date:3/24/2022

### Daily Segregation - Segregation Statement

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

1. Net ledger balance
   - **Cash**: 234,195,989 [7010]
   - **Securities (at market)**: 10,919,807 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market  
   - **735,668** [7030]

3. Exchange traded options
   - **A.** Add market value of open option contracts purchased on a contract market: 306,363 [7032]
   - **B.** Deduct market value of open option contracts granted (sold) on a contract market: -234,281 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3)  
   - **245,923,546** [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount  
   - **3,837** [7045]
   - Less: amount offset by customer securities: -3,837 [7047] 0 [7050]

6. Amount required to be segregated (add lines 4 and 5)  
   - **245,923,546** [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts
   - **Cash**: 255,536,588 [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
    - **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: 15,453,966 [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): 10,919,807 [7170]

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

13. Total amount in segregation (add lines 7 through 12)  
    - **281,910,361** [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)  
    - **35,986,815** [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**: **10,986,815** [7198]