**INITIAL**

End Date: 7/1/2022  
Firm Name: UBS FINANCIAL SERVICES INC  
Form: Daily Seg - FOCUS II  
Submit Date: 7/5/2022

### 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 self-regulatory organization authorized thereunder \(0\) [7305]

1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers  
   a. Cash \(10,284,695\) [7315]  
   b. Securities (at market) \(0\) [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade \(5,598,873\) [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 \(-95,144\) [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.) \(15,788,424\) [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) \(15,788,424\) [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. \(15,788,424\) [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks  
   a. Banks located in the United States \(35,444,737\) [7500]  
   b. Other banks qualified under Regulation 30.7 \(0\) [7520] \(35,444,737\) [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 \(369,032\) [7580]  
   b. Securities \(0\) [7590]  
   c. Unrealized gain (loss) on open futures contracts \(-16,267\) [7600]  
   d. Value of long option contracts \(0\) [7610]  
   e. Value of short option contracts \(0\) [7615] \(352,765\) [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 \(742,071\) [7700]  
   b. Securities \(0\) [7710]  
   c. Unrealized gain (loss) on open futures contracts \(5,615,140\) [7720]  
   d. Value of long option contracts \(0\) [7730]  
   e. Value of short option contracts \(-95,144\) [7735] \(6,262,067\) [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 \(42,059,569\) [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) \(26,271,145\) [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 \(11,271,145\) [7785]
**Daily Segregation - Segregation Statement**

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

1. Net ledger balance
   - A. Cash 142,852,017 [7010]
   - B. Securities (at market) 14,754,906 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market -4,049,731 [7030]

3. Exchange traded options
   - A. Add market value of open option contracts purchased on a contract market 197,881 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market -313,453 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 153,441,620 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 1,354 [7045]
   - Less: amount offset by customer securities -867 [7047] 487 [7050]

6. Amount required to be segregated (add lines 4 and 5) 153,442,107 [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts
   - A. Cash 164,428,244 [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 9,902,418 [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) 14,754,906 [7170]

12. Segregated funds on hand 0 [7150]

13. Total amount in segregation (add lines 7 through 12) 189,085,568 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 35,643,461 [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 10,643,461 [7198]