**INITIAL**

**End Date:** 7/15/2022  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 7/18/2022

### 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  

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<tr>
<th>Line</th>
<th>Description</th>
<th>Amount</th>
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| 1 | Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers  
A. Cash | 8,783,459 [7315] |
| 2 | Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade | 4,110,736 [7325] |
| 3 | Exchange traded options  
a. Market value of open option contracts purchased on a foreign board of trade | 0 [7335] |
| 4 | Net equity (deficit) (add lines 1. 2. and 3.) | 12,879,164 [7345] |
| 5 | Account liquidating to a deficit and account with a debit balances - gross amount  
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) | 12,879,164 [7355] |
| 7 | Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. | 12,879,164 [7360] |

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

<table>
<thead>
<tr>
<th>Line</th>
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| 1 | Cash in banks  
A. Banks located in the United States | 35,452,977 [7500] |
| 2 | Securities  
A. In safekeeping with banks located in the United States | 0 [7540] |
| 3 | Equities with registered futures commission merchants  
A. Cash | 369,411 [7580] |
| 4 | Amounts held by clearing organizations of foreign boards of trade  
A. Cash | 0 [7640] |
| 5 | Amounts held by members of foreign boards of trade  
A. Cash | 715,625 [7700] |
| 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 | 40,633,718 [7770] |
| 9 | Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) | 27,754,554 [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 | 12,754,554 [7785] |
**Daily Segregation - Segregation Statement**

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

1. **Net ledger balance**
   - A. Cash: 118,361,513
   - B. Securities (at market): 15,554,372

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - Value: -7,051,309

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: 294,456
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -462,375

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - Value: 126,696,657

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)
   - Value: 126,696,657

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - A. Cash: 138,742,281
   - B. Securities representing investments of customers' funds (at market): 0
   - C. Securities held for particular customers or option customers in lieu of cash (at market): 0

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - A. Cash: 0
   - B. Securities representing investments of customers' funds (at market): 0
   - C. Securities held for particular customers or option customers in lieu of cash (at market): 0

9. **Net settlement from (to) derivatives clearing organizations of contract markets**
   - Value: 0

10. **Exchange traded options**
    - A. Value of open long option contracts: 0
    - B. Value of open short option contracts: 0

11. **Net equities with other FCMs**
    - A. Net liquidating equity: 7,496,473
    - B. Securities representing investments of customers' funds (at market): 0
    - C. Securities held for particular customers or option customers in lieu of cash (at market): 15,554,372

12. **Segregated funds on hand**
    - Value: 0

13. **Total amount in segregation (add lines 7 through 12)**
    - Value: 161,793,126

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - Value: 35,096,469

15. **Management Target Amount for Excess funds in segregation**
    - Value: 25,000,000

16. **Excess (deficiency) funds in segregation over (under) Management Target Amount**
    - Value: 10,096,469