### 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: 10,089,075 [7315]
   - B. Securities (at market): 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**: 13,367,428 [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: 0 [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.)**: 23,456,503 [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)**: 23,456,503 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**: 23,456,503 [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. **Cash in banks**
   - A. Banks located in the United States: 33,838,435 [7500]
   - B. Other banks qualified under Regulation 30.7: 0 [7520] 33,838,435 [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: 368,681 [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] 368,681 [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: 2,600,337 [7700]
   - B. Securities: 0 [7710]
   - C. Unrealized gain (loss) on open futures contracts: 13,367,428 [7720]
   - D. Value of long option contracts: 0 [7730]
   - E. Value of short option contracts: 0 [7735] 15,967,765 [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**: 50,174,881 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**: 26,718,378 [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**: 11,718,378 [7785]
**INITIAL**

End Date: 4/7/2022  
Firm Name: UBS FINANCIAL SERVICES INC  
Form: Daily Seg - FOCUS II  
Submit Date: 4/8/2022

**Daily Segregation - Segregation Statement**

SEgregation Requirements (Section 4d(2) of the CEAct)

1. Net ledger balance
   - Cash  
   - Securities (at market)

2. Net unrealized profit (loss) in open futures contracts traded on a contract market

3. Exchange traded options
   - Add market value of open option contracts purchased on a contract market
   - Deduct market value of open option contracts granted (sold) on a contract market

4. Net equity (deficit) (add lines 1, 2, and 3)

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)

Funds in segregated accounts

7. Deposited in segregated funds bank accounts
   - Cash
   - Securities representing investments of customers’ funds (at market)
   - Securities held for particular customers or option customers in lieu of cash (at market)

8. Margins on deposit with derivatives clearing organizations of contract markets
   - Cash
   - Securities representing investments of customers’ funds (at market)
   - Securities held for particular customers or option customers in lieu of cash (at market)

9. Net settlement from (to) derivatives clearing organizations of contract markets

10. Exchange traded options
    - Value of open long option contracts
    - Value of open short option contracts

11. Net equities with other FCMs
    - Net liquidating equity
    - Securities representing investments of customers’ funds (at market)
    - Securities held for particular customers or option customers in lieu of cash (at market)

12. Segregated funds on hand

13. Total amount in segregation (add lines 7 through 12)

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)

15. Management Target Amount for Excess funds in segregation

16. Excess (deficiency) funds in segregation over (under) Management Target Amount

Excess

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**Daily Segregation - Segregation Statement**

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount</th>
<th>Line</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Net ledger balance</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>76,109,670</td>
<td>7010</td>
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<tr>
<td>B. Securities (at market)</td>
<td>11,559,679</td>
<td>7020</td>
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<tr>
<td>2. Net unrealized profit (loss) in open futures contracts</td>
<td>-1,729,472</td>
<td>7030</td>
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<td>3. Exchange traded options</td>
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<td></td>
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<tr>
<td>A. Add market value of open option contracts purchased on a contract</td>
<td>441,925</td>
<td>7032</td>
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<tr>
<td>B. Deduct market value of open option contracts granted (sold)</td>
<td>-527,690</td>
<td>7033</td>
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<tr>
<td>4. Net equity (deficit) (add lines 1, 2 and 3)</td>
<td>85,854,112</td>
<td>7040</td>
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<td>5. Accounts liquidating to a deficit and accounts with debit balances</td>
<td>0</td>
<td>7045</td>
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<tr>
<td>A. Less: amount offset by customer securities</td>
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<td>7047</td>
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<tr>
<td>6. Amount required to be segregated (add lines 4 and 5)</td>
<td>85,854,112</td>
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<td>7. Deposited in segregated funds bank accounts</td>
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<tr>
<td>A. Cash</td>
<td>94,138,785</td>
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<td>B. Securities representing investments of customers’ funds (at market)</td>
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<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
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<tr>
<td>8. Margins on deposit with derivatives clearing organizations of contract markets</td>
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<tr>
<td>A. Cash</td>
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<td>B. Securities representing investments of customers’ funds (at market)</td>
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<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
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<td>9. Net settlement from (to) derivatives clearing organizations of contract markets</td>
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<td>7130</td>
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<tr>
<td>10. Exchange traded options</td>
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<td></td>
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<tr>
<td>A. Value of open long option contracts</td>
<td>0</td>
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<tr>
<td>B. Value of open short option contracts</td>
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<tr>
<td>11. Net equities with other FCMs</td>
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<tr>
<td>A. Net liquidating equity</td>
<td>15,486,424</td>
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<td>B. Securities representing investments of customers’ funds (at market)</td>
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<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>11,559,679</td>
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<td>12. Segregated funds on hand</td>
<td>0</td>
<td>7150</td>
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<td>13. Total amount in segregation (add lines 7 through 12)</td>
<td>121,184,888</td>
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<td>14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)</td>
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<td>15. Management Target Amount for Excess funds in segregation</td>
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<td>16. Excess (deficiency) funds in segregation over (under) Management Target Amount</td>
<td>10,330,776</td>
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