**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: $10,582,217 [7315]
   - B. Securities (at market): $0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**: $10,086,460 [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: -$45,975 [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.)**: $20,622,702 [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)**: $20,622,702 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**: $20,622,702 [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. **Cash in banks**
   - A. Banks located in the United States: $34,383,310 [7500]
   - B. Other banks qualified under Regulation 30.7: $0 [7520] $34,383,310 [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: $368,744 [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] $368,744 [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: $2,543,148 [7700]
   - B. Securities: $0 [7710]
   - C. Unrealized gain (loss) on open futures contracts: $10,086,460 [7720]
   - D. Value of long option contracts: $0 [7730]
   - E. Value of short option contracts: -$45,975 [7735] $12,583,633 [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**: $47,335,687 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**: $26,712,985 [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**: $11,712,985 [7785]
**INITIAL**
End Date: 5/2/2022  
Firm Name: UBS FINANCIAL SERVICES INC  
Form: Daily Seg - FOCUS II  
Submit Date: 5/3/2022

**Daily Segregation - Segregation Statement**

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

1. **Net ledger balance**
   - A. Cash  
     [129,151,270] [7010]
   - B. Securities (at market)  
     [12,108,653] [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**  
   [4,610,683] [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market  
     [187,806] [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market  
     [-454,193] [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**  
   [145,604,219] [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**  
   [1,098] [7045]

   Less: amount offset by customer securities  
   [-1,098] [7047] [0] [7050]

6. **Amount required to be segregated (add lines 4 and 5)**  
   [145,604,219] [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - A. Cash  
     [160,807,425] [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  
      [10,354,509] [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)  
      [12,108,653] [7170]

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

13. **Total amount in segregation (add lines 7 through 12)**  
    [183,270,587] [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**  
    [37,666,368] [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**  
    [12,666,368] [7198]