**INITIAL**

**End Date:** 5/20/2022  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 5/23/2022

### 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.  

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers</td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>$10,563,920</td>
</tr>
<tr>
<td>B. Securities (at market)</td>
<td>0</td>
</tr>
<tr>
<td>2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade</td>
<td>$8,317,188</td>
</tr>
<tr>
<td>3. Exchange traded options</td>
<td></td>
</tr>
<tr>
<td>a. Market value of open option contracts purchased on a foreign board of trade</td>
<td>$166,890</td>
</tr>
<tr>
<td>b. Market value of open contracts granted (sold) on a foreign board of trade</td>
<td>-$89,414</td>
</tr>
<tr>
<td>4. Net equity (deficit) (add lines 1. 2. and 3.)</td>
<td></td>
</tr>
<tr>
<td>5. Account liquidating to a deficit and account with a debit balances - gross amount</td>
<td>0</td>
</tr>
<tr>
<td>Less: amount offset by customer owned securities</td>
<td>0</td>
</tr>
<tr>
<td>6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)</td>
<td>$18,958,584</td>
</tr>
</tbody>
</table>

| Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6 | $18,958,584 |

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks  
   A. Banks located in the United States | $34,912,658 |
   B. Other banks qualified under Regulation 30.7 | 0  |

2. Securities  
   A. In safekeeping with banks located in the United States | 0  |
   B. In safekeeping with other banks qualified under Regulation 30.7 | 0  |

3. Equities with registered futures commission merchants  
   A. Cash | $368,825 |
   B. Securities | 0  |
   C. Unrealized gain (loss) on open futures contracts | 0  |
   D. Value of long option contracts | 0  |
   E. Value of short option contracts | 0  |

4. Amounts held by clearing organizations of foreign boards of trade  
   A. Cash | 0  |
   B. Securities | 0  |
   C. Amount due to (from) clearing organization - daily variation | 0  |
   D. Value of long option contracts | 0  |
   E. Value of short option contracts | 0  |

5. Amounts held by members of foreign boards of trade  
   A. Cash | $2,554,214 |
   B. Securities | 0  |
   C. Unrealized gain (loss) on open futures contracts | $8,317,188 |
   D. Value of long option contracts | $166,890 |
   E. Value of short option contracts | -$89,414 |

6. Amounts with other depositories designated by a foreign board of trade | 0  |
7. Segregated funds on hand | 0  |
8. Total funds in separate section 30.7 accounts | $46,230,361  |
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) | $27,271,777 |
10. Management Target Amount for Excess funds in separate section 30.7 accounts | $15,000,000  |
11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target | $12,271,777  |
### SEGREGATION REQUIREMENTS (Section 4d(2) of the CEAct)

1. **Net ledger balance**
   - **A. Cash**: $99,011,397 [7010]
   - **B. Securities (at market)**: $146,141,893 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: $11,940,197 [7030]

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**: $101,931 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**: -$125,690 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**: $257,069,728 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - **Net settlement from (to) derivatives clearing organizations of contract markets**: $134,874,754 [7070]
   - **Deposit in segregated funds bank accounts**
     - **A. Cash**: $0 [7080]
     - **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]

6. **Margins on deposit with derivatives clearing organizations of contract markets**
   - **Net settlement from (to) derivatives clearing organizations of contract markets**: $0 [7100]
   - **Exchange traded options**
     - **A. Value of open long option contracts**: $0 [7110]
     - **B. Value of open short option contracts**: $0 [7120]

7. **Net equities with other FCMs**
   - **A. Net liquidating equity**: $13,896,934 [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)**: $146,141,893 [7170]

8. **Segregated funds on hand**: $0 [7150]

9. **Total amount in segregation (add lines 7 through 12)**: $294,913,581 [7180]

10. **Excess (deficiency) in segregation (subtract line 6 from line 13)**: $37,843,853 [7190]

11. **Management Target Amount for Excess funds in segregation**: $25,000,000 [7194]

12. **Excess (deficiency) funds in segregation over (under) Management Target Amount**
    - **Excess**: $12,843,853 [7198]