

**INITIAL**

**End Date:** 10/6/2022  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 10/7/2022

### 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: $0 [7305]

1. **Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers**
   - **A. Cash:** $2,937,737 [7315]
   - **B. Securities (at market):** $0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade:** $4,777,925 [7325]

3. **Exchange traded options**
   - a. Market value of open option contracts purchased on a foreign board of trade: $58,560 [7335]
   - b. Market value of open contracts granted (sold) on a foreign board of trade: $-436,118 [7337]

4. **Net equity (deficit) (add lines 1, 2, and 3):** $7,338,104 [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):** $7,338,104 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6:** $7,338,104 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - **A. Banks located in the United States:** $32,234,167 [7500]
   - **B. Other banks qualified under Regulation 30.7:** $0 [7520] $32,234,167 [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:** $352,531 [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] $352,531 [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:** $665,780 [7700]
   - **B. Securities:** $0 [7710]
   - **C. Unrealized gain (loss) on open futures contracts:** $4,777,925 [7720]
   - **D. Value of long option contracts:** $58,560 [7730]
   - **E. Value of short option contracts:** $-436,118 [7735] $5,066,147 [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:** $37,652,845 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8):** $30,314,741 [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:** $15,314,741 [7785]
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**Daily Segregation - Segregation Statement**

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

1. **Net ledger balance**
   - **Cash**
     - A. Cash: 111,510,641 [7010]
   - **Securities (at market)**
     - B. Securities (at market): 15,493,913 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - Value: 7,117,746 [7030]

3. **Exchange traded options**
   - **Add market value of open option contracts purchased on a contract market**
     - A. Add market value of open option contracts purchased on a contract market: 162,825 [7032]
   - **Deduct market value of open option contracts granted (sold) on a contract market**
     - B. Deduct market value of open option contracts granted (sold) on a contract market: -339,614 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - Value: 133,945,511 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - Less: amount offset by customer securities
     - Amount: 0 [7045]

6. **Amount required to be segregated (add lines 4 and 5)**
   - Value: 133,945,511 [7060]

Funds in segregated accounts

7. **Deposited in segregated funds bank accounts**
   - **Cash**
     - A. Cash: 162,112,279 [7070]
   - **Securities representing investments of customers’ funds (at market)**
     - B. Securities representing investments of customers’ funds (at market): 0 [7080]
   - **Securities held for particular customers or option customers in lieu of cash (at market)**
     - 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**
   - **Cash**
     - A. Cash: 0 [7100]
   - **Securities representing investments of customers’ funds (at market)**
     - B. Securities representing investments of customers’ funds (at market): 0 [7110]
   - **Securities held for particular customers or option customers in lieu of cash (at market)**
     - 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**
   - Value: 0 [7130]

10. **Exchange traded options**
    - **Value of open long option contracts**
      - A. Value of open long option contracts: 0 [7132]
    - **Value of open short option contracts**
      - B. Value of open short option contracts: 0 [7133]

11. **Net equities with other FCMs**
    - **Net liquidating equity**
      - A. Net liquidating equity: 10,599,728 [7140]
    - **Securities representing investments of customers’ funds (at market)**
      - B. Securities representing investments of customers’ funds (at market): 0 [7160]
    - **Securities held for particular customers or option customers in lieu of cash (at market)**
      - C. Securities held for particular customers or option customers in lieu of cash (at market): 15,493,913 [7170]

12. **Segregated funds on hand**
    - Value: 0 [7150]

13. **Total amount in segregation (add lines 7 through 12)**
    - Value: 188,205,920 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - Value: 54,260,409 [7190]

15. **Management Target Amount for Excess funds in segregation**
    - Value: 25,000,000 [7194]

16. **Excess (deficiency) funds in segregation over (under) Management Target Amount**
    - Excess: 29,260,409 [7198]