### 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**
   
<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Cash</td>
<td>$2,786,583 [7315]</td>
</tr>
<tr>
<td>B. Securities (at market)</td>
<td>$0 [7317]</td>
</tr>
</tbody>
</table>

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**: $4,306,270 [7325]

3. **Exchange traded options**
   
   - a. Market value of open option contracts purchased on a foreign board of trade: $137,950 [7335]
   - b. Market value of open contracts granted (sold) on a foreign board of trade: $-289,396 [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.)**: $6,941,407 [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)**: $6,941,407 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**: $6,941,407 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   
   - A. Banks located in the United States: $32,055,987 [7500]
   - B. Other banks qualified under Regulation 30.7: $0 [7520] $32,055,987 [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: $353,168 [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] $353,168 [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: $669,406 [7700]
   - B. Securities: $0 [7710]
   - C. Unrealized gain (loss) on open futures contracts: $4,306,270 [7720]
   - D. Value of long option contracts: $137,950 [7730]
   - E. Value of short option contracts: $-289,396 [7735] $4,824,230 [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**: $37,233,385 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**: $30,291,978 [7780]

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**: $15,291,978 [7785]
**INITIAL**
End Date:10/20/2022
Firm Name:UBS FINANCIAL SERVICES INC
Form:Daily Seg - FOCUS II
Submit Date:10/21/2022

### Daily Segregation - Segregation Statement

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

1. Net ledger balance
   - A. Cash: 100,229,914 [7010]
   - B. Securities (at market): 41,335,944 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market
   - 11,081,488 [7030]

3. Exchange traded options
   - A. Add market value of open option contracts purchased on a contract market: 407,250 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -746,238 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3)
   - 152,308,358 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount
   - 85,255 [7045]

   Less: amount offset by customer securities
   - 85,255 [7047] 0 [7050]

6. Amount required to be segregated (add lines 4 and 5)
   - 152,308,358 [7060]

### FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts
   - A. Cash: 163,252,252 [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: 3,208,908 [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): 41,335,944 [7170]

12. Segregated funds on hand
    - 0 [7150]

13. Total amount in segregation (add lines 7 through 12)
    - 207,797,104 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)
    - 55,488,746 [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
    - 30,488,746 [7198]