### 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>
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<tbody>
<tr>
<td>0 [7305]</td>
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1. **Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers**
   - A. Cash                                                                   | 2,641,181 [7315] |
   - B. Securities (at market)                                                 | 0 [7317]        |

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade** | 4,149,115 [7325] |

3. **Exchange traded options**
   - a. Market value of open option contracts purchased on a foreign board of trade | 90,915 [7335] |
   - b. Market value of open contracts granted (sold) on a foreign board of trade  | -280,269 [7337] |

4. **Net equity (deficit) (add lines 1. 2. and 3.)**                           | 6,600,942 [7345] |

5. **Account liquidating to a deficit and account with a debit balances - gross amount** | 2,650 [7351] |
   Less: amount offset by customer owned securities                             | 0 [7352]        |
   2,650 [7354]                                                               | 0 [7355]        |

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)** | 6,603,592 [7355] |

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.** | 6,603,592 [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]         |

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]         |

3. **Equities with registered futures commission merchants**
   - A. Cash                                                                   | 352,835 [7580]  |
   - B. Securities                                                             | 0 [7590]        |
   - C. Unrealized gain (loss) on open futures contracts                       | -2,650 [7600]   |
   - D. Value of long option contracts                                         | 0 [7610]        |
   - E. Value of short option contracts                                        | 0 [7615]        |
   C. Unrealized gain (loss) on open futures contracts                       | 350,185 [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]        |

5. **Amounts held by members of foreign boards of trade**
   - A. Cash                                                                   | 703,171 [7700]  |
   - B. Securities                                                             | 0 [7710]        |
   - C. Unrealized gain (loss) on open futures contracts                       | 4,151,765 [7720]|
   - D. Value of long option contracts                                         | 90,915 [7730]   |
   - E. Value of short option contracts                                        | -280,269 [7735] |
   C. Unrealized gain (loss) on open futures contracts                       | 4,665,582 [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**                          | 37,071,754 [7770]|

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)** | 30,468,162 [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** | 15,468,162 [7785] |
**INITIAL**

**End Date:** 10/25/2022  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 10/26/2022

### Daily Segregation - Segregation Statement

**SEGREGATION REQUIREMENTS (Section 4d(2) of the CEA)**

1. **Net ledger balance**
   - A. Cash: $100,633,834 [7010]
   - B. Securities (at market): $38,781,388 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - $5,063,356 [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: $244,438 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -$562,569 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - $144,160,447 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - Less: amount offset by customer securities: $0 [7047]
   - 0 [7050]

6. **Amount required to be segregated (add lines 4 and 5)**
   - $144,160,447 [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - A. Cash: $162,820,113 [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: -$2,538,550 [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): $38,781,388 [7170]

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

13. **Total amount in segregation (add lines 7 through 12)**
    - $199,062,951 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - $54,902,504 [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: $29,902,504 [7198]