**INITIAL**

**End Date:** 9/26/2022  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 9/27/2022

**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>Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers</td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>3,330,664 [7315]</td>
</tr>
<tr>
<td>B. Securities (at market)</td>
<td>0 [7317]</td>
</tr>
<tr>
<td>Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade</td>
<td>4,094,557 [7325]</td>
</tr>
<tr>
<td>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>0 [7335]</td>
</tr>
<tr>
<td>b. Market value of open contracts granted (sold) on a foreign board of trade</td>
<td>-289,848 [7337]</td>
</tr>
<tr>
<td>Net equity (deficit) (add lines 1. 2. and 3.)</td>
<td>7,135,373 [7345]</td>
</tr>
<tr>
<td>Account liquidating to a deficit and account with a debit balances - gross amount</td>
<td>0 [7351]</td>
</tr>
<tr>
<td>Less: amount offset by customer owned securities</td>
<td>0 [7352] 0 [7354]</td>
</tr>
<tr>
<td>Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)</td>
<td>7,135,373 [7355]</td>
</tr>
<tr>
<td>Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6</td>
<td>7,135,373 [7360]</td>
</tr>
</tbody>
</table>

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks
   - A. Banks located in the United States | 32,423,805 [7500] |
   - B. Other banks qualified under Regulation 30.7 | 0 [7520] 32,423,805 [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 | 351,817 [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] 351,817 [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 | 607,541 [7700] |
   - B. Securities | 0 [7710] |
   - C. Unrealized gain (loss) on open futures contracts | 4,094,557 [7720] |
   - D. Value of long option contracts | 0 [7730] |
   - E. Value of short option contracts | -289,848 [7735] 4,412,250 [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 | 37,187,872 [7770] |
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) | 30,052,499 [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 | 15,052,499 [7785] |
### Daily Segregation - Segregation Statement

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

1. Net ledger balance
   - **A. Cash**: 115,332,221 [7010]
   - **B. Securities (at market)**: 15,079,390 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market
   - ****: -14,259,257 [7030]

3. Exchange traded options
   - **A. Add market value of open option contracts purchased on a contract market**: 174,813 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**: -552,894 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3)
   - ****: 115,774,273 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount
   - ****: 0 [7045]
   - Less: amount offset by customer securities
     - ****: 0 [7047] 0 [7050]

6. Amount required to be segregated (add lines 4 and 5)
   - ****: 115,774,273 [7060]

Funds in segregated accounts

7. Deposited in segregated funds bank accounts
   - **A. Cash**: 137,199,598 [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**: 12,579,758 [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)**: 15,079,390 [7170]

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

13. Total amount in segregation (add lines 7 through 12)
    - ****: 164,858,746 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)
    - ****: 49,084,473 [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: 24,084,473 [7198]