**INITIAL**

**End Date:** 9/5/2022  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 9/6/2022

## 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:** 4,068,355 [7315]
   - **B. Securities (at market):** 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade:** 4,095,409 [7325]

3. **Exchange traded options**
   - a. **Market value of open option contracts purchased on a foreign board of trade:** 0 [7335]
   - b. **Market value of open contracts granted (sold) on a foreign board of trade:** -179,995 [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.)** 7,983,769 [7345]

5. **Account liquidating to a deficit and account with a debit balances - gross amount**
   - 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)** 7,983,769 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.** 7,983,769 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - A. Banks located in the United States 33,077,923 [7500]
   - B. Other banks qualified under Regulation 30.7 0 [7520] 33,077,923 [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 351,226 [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] 351,226 [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 609,772 [7700]
   - B. Securities 0 [7710]
   - C. Unrealized gain (loss) on open futures contracts 4,095,409 [7720]
   - D. Value of long option contracts 0 [7730]
   - E. Value of short option contracts -179,995 [7735] 4,525,186 [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** 37,954,335 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)** 29,970,566 [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** 14,970,566 [7785]
<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
<th>Amount</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Net ledger balance</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td></td>
<td>119,360,188</td>
<td>[7010]</td>
</tr>
<tr>
<td>B. Securities (at market)</td>
<td></td>
<td>15,583,973</td>
<td>[7020]</td>
</tr>
<tr>
<td>2</td>
<td>Net unrealized profit (loss) in open futures contracts traded on a contract market</td>
<td>-6,566,878</td>
<td>[7030]</td>
</tr>
<tr>
<td>3</td>
<td>Exchange traded options</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Add market value of open option contracts purchased on a contract market</td>
<td></td>
<td>203,044</td>
<td>[7032]</td>
</tr>
<tr>
<td>B. Deduct market value of open option contracts granted (sold) on a contract market</td>
<td></td>
<td>-380,570</td>
<td>[7033]</td>
</tr>
<tr>
<td>4</td>
<td>Net equity (deficit) (add lines 1, 2 and 3)</td>
<td>128,199,757</td>
<td>[7040]</td>
</tr>
<tr>
<td>5</td>
<td>Accounts liquidating to a deficit and accounts with debit balances - gross amount</td>
<td>0</td>
<td>[7045]</td>
</tr>
<tr>
<td>Less: amount offset by customer securities</td>
<td></td>
<td>0 [7047] 0 [7050]</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Amount required to be segregated (add lines 4 and 5)</td>
<td>128,199,757</td>
<td>[7060]</td>
</tr>
<tr>
<td>7</td>
<td>Deposited in segregated funds bank accounts</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td></td>
<td>152,762,603</td>
<td>[7070]</td>
</tr>
<tr>
<td>B. Securities representing investments of customers’ funds (at market)</td>
<td></td>
<td>0 [7080]</td>
<td></td>
</tr>
<tr>
<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td></td>
<td>0 [7090]</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Margins on deposit with derivatives clearing organizations of contract markets</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td></td>
<td>0 [7100]</td>
<td></td>
</tr>
<tr>
<td>B. Securities representing investments of customers’ funds (at market)</td>
<td></td>
<td>0 [7110]</td>
<td></td>
</tr>
<tr>
<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td></td>
<td>0 [7120]</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Net settlement from (to) derivatives clearing organizations of contract markets</td>
<td>0</td>
<td>[7130]</td>
</tr>
<tr>
<td>10</td>
<td>Exchange traded options</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Value of open long option contracts</td>
<td></td>
<td>0 [7132]</td>
<td></td>
</tr>
<tr>
<td>B. Value of open short option contracts</td>
<td></td>
<td>0 [7133]</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>Net equities with other FCMs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Net liquidating equity</td>
<td></td>
<td>11,188,111</td>
<td>[7140]</td>
</tr>
<tr>
<td>B. Securities representing investments of customers’ funds (at market)</td>
<td></td>
<td>0 [7160]</td>
<td></td>
</tr>
<tr>
<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td></td>
<td>15,583,973 [7170]</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>Segregated funds on hand</td>
<td></td>
<td>0 [7150]</td>
</tr>
<tr>
<td>13</td>
<td>Total amount in segregation (add lines 7 through 12)</td>
<td>179,534,687</td>
<td>[7180]</td>
</tr>
<tr>
<td>14</td>
<td>Excess (deficiency) funds in segregation (subtract line 6 from line 13)</td>
<td>51,334,930</td>
<td>[7190]</td>
</tr>
<tr>
<td>15</td>
<td>Management Target Amount for Excess funds in segregation</td>
<td>25,000,000</td>
<td>[7194]</td>
</tr>
<tr>
<td>16</td>
<td>Excess (deficiency) funds in segregation over (under) Management Target Amount</td>
<td>26,334,930</td>
<td>[7198]</td>
</tr>
</tbody>
</table>

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

1. **Net ledger balance**
   - **A. Cash**
     - 119,360,188 [7010]
   - **B. Securities (at market)**
     - 15,583,973 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - (-6,566,878) [7030]

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**
     - 203,044 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**
     - (-380,570) [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - 128,199,757 [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)**
   - 128,199,757 [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**
     - 152,762,603 [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**
      - 11,188,111 [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)**
      - 15,583,973 [7170]

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

13. **Total amount in segregation (add lines 7 through 12)**
    - 179,534,687 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - 51,334,930 [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**
    - 26,334,930 [7198]