**INITIAL**

End Date: 9/12/2022  
Firm Name: UBS FINANCIAL SERVICES INC  
Form: Daily Seg - FOCUS II  
Submit Date: 9/13/2022

**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: 4,330,714 [7315]  
   B. Securities (at market): 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 4,483,494 [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: -98,060 [7337]

4. Net equity (deficit) (add lines 1, 2, and 3): 8,716,148 [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): 8,716,148 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6: 8,716,148 [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks
   A. Banks located in the United States: 33,014,883 [7500]  
   B. Other banks qualified under Regulation 30.7: 0 [7520] 33,014,883 [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: 351,489 [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] 351,489 [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: 632,484 [7700]  
   B. Securities: 0 [7710]  
   C. Unrealized gain (loss) on open futures contracts: 4,483,494 [7720]  
   D. Value of long option contracts: 0 [7730]  
   E. Value of short option contracts: -98,060 [7735] 5,017,918 [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: 38,384,290 [7770]


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: 14,668,142 [7785]
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **A. Cash**
   - **B. Securities (at market)**

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - **-6,641,372 [7030]**

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - **129,076,382 [7040]**

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - **279,333 [7045]**
   - **Less: amount offset by customer securities**
   - **-279,333 [7047] 0 [7050]**

6. **Amount required to be segregated (add lines 4 and 5)**
   - **129,076,382 [7060]**

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**
   - **B. Securities representing investments of customers' funds (at market)**
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - **A. Cash**
   - **B. Securities representing investments of customers' funds (at market)**
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**

9. **Net settlement from (to) derivatives clearing organizations of contract markets**
    - **0 [7130]**

10. **Exchange traded options**
    - **A. Value of open long option contracts**
    - **B. Value of open short option contracts**

11. **Net equities with other FCMs**
    - **A. Net liquidating equity**
    - **B. Securities representing investments of customers' funds (at market)**
    - **C. Securities held for particular customers or option customers in lieu of cash (at market)**

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

13. **Total amount in segregation (add lines 7 through 12)**
    - **184,667,267 [7180]**

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - **55,590,885 [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**
    - **30,590,885 [7198]**