**INITIAL**
*End Date: 9/21/2022*  
*Firm Name: UBS FINANCIAL SERVICES INC*  
*Form: Daily Seg - FOCUS II*  
*Submit Date: 9/22/2022*

### 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 3,736,807 [7315]
   - B. Securities (at market) 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade** 4,645,398 [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 -212,828 [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.)** 8,169,377 [7345]

5. **Account liquidating to a deficit and account with a debit balances - gross amount** 0 [7351]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity**
   - Method (add lines 4 and 5) 8,169,377 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.** 8,169,377 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - A. Banks located in the United States 32,425,018 [7500]
   - B. Other banks qualified under Regulation 30.7 0 [7520] 32,425,018 [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 351,623 [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] 351,623 [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 622,166 [7700]
   - B. Securities 0 [7710]
   - C. Unrealized gain (loss) on open futures contracts 4,645,398 [7720]
   - D. Value of long option contracts 0 [7730]
   - E. Value of short option contracts -212,828 [7735] 5,054,736 [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** 37,831,377 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)** 29,662,000 [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** 14,662,000 [7785]
### Daily Segregation - Segregation Statement

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

1. Net ledger balance
   - A. Cash 126,613,564 [7010]
   - B. Securities (at market) 15,511,040 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market 4,022,730 [7030]

3. Exchange traded options
   - A. Add market value of open option contracts purchased on a contract market 310,663 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market -319,294 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 146,138,703 [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) 146,138,703 [7060]

#### FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts
   - A. Cash 171,257,066 [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 9,988,160 [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) 15,511,040 [7170]

12. Segregated funds on hand 0 [7150]

13. Total amount in segregation (add lines 7 through 12) 196,756,266 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 50,617,563 [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 25,617,563 [7198]