**INITIAL**

**End Date:** 6/29/2022  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 6/30/2022

### 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  
      9,531,569 [7315]  
   B. Securities (at market)  
      0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade  
   6,650,710 [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  
      -7,561 [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.)  
   16,174,718 [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]  
6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)  
   16,174,718 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.  
   16,174,718 [7360]

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks  
   A. Banks located in the United States  
      35,444,737 [7500]  
   B. Other banks qualified under Regulation 30.7  
      0 [7520] 35,444,737 [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  
      369,029 [7580]  
   B. Securities  
      0 [7590]  
   C. Unrealized gain (loss) on open futures contracts  
      -13,478 [7600]  
   D. Value of long option contracts  
      0 [7610]  
   E. Value of short option contracts  
      0 [7615] 355,551 [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  
      643,437 [7700]  
   B. Securities  
      0 [7710]  
   C. Unrealized gain (loss) on open futures contracts  
      6,664,188 [7720]  
   D. Value of long option contracts  
      0 [7730]  
   E. Value of short option contracts  
      -7,561 [7735] 7,300,064 [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  
   43,100,352 [7770]

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)  
   26,925,634 [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  
    11,925,634 [7785]
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - A. Cash: $141,550,059 [7010]
   - B. Securities (at market): $14,751,423 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: $353,678 [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: $170,844 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: $-268,019 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**: $156,557,985 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: $28 [7045]
   - Less: amount offset by customer securities: $-28 [7047] 0 [7050]

6. **Amount required to be segregated (add lines 4 and 5)**: $156,557,985 [7060]

### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - A. Cash: $124,152,254 [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: $54,447,954 [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): $14,751,423 [7170]

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

13. **Total amount in segregation (add lines 7 through 12)**: $193,351,631 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: $36,793,646 [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: $11,793,646 [7198]