**Initial 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

1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers
   - A. Cash
   - B. Securities (at market)

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade

3. Exchange traded options
   - a. Market value of open option contracts purchased on a foreign board of trade
   - b. Market value of open contracts granted (sold) on a foreign board of trade

4. Net equity (deficit) (add lines 1. 2. and 3.)

5. Account liquidating to a deficit and account with a debit balances - gross amount
   - Less: amount offset by customer owned securities

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.

**Funds Deposited in Separate Regulation 30.7 Accounts**

1. Cash in banks
   - A. Banks located in the United States
   - B. Other banks qualified under Regulation 30.7

2. Securities
   - A. In safekeeping with banks located in the United States
   - B. In safekeeping with other banks qualified under Regulation 30.7

3. Equities with registered futures commission merchants
   - A. Cash
   - B. Securities
   - C. Unrealized gain (loss) on open futures contracts
   - D. Value of long option contracts
   - E. Value of short option contracts

4. Amounts held by clearing organizations of foreign boards of trade
   - A. Cash
   - B. Securities
   - C. Amount due to (from) clearing organization - daily variation
   - D. Value of long option contracts
   - E. Value of short option contracts

5. Amounts held by members of foreign boards of trade
   - A. Cash
   - B. Securities
   - C. Unrealized gain (loss) on open futures contracts
   - D. Value of long option contracts
   - E. Value of short option contracts

6. Amounts with other depositories designated by a foreign board of trade

7. Segregated funds on hand

8. Total funds in separate section 30.7 accounts

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)

10. Management Target Amount for Excess funds in separate section 30.7 accounts

11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target
**INITIAL**

**End Date:** 6/3/2022  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 6/6/2022

### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - A. Cash: 97,909,378 [7010]
   - B. Securities (at market): 145,173,247 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: 8,998,345 [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: 164,525 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -318,060 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**: 251,927,435 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: 38 [7045]
   - Less: amount offset by customer securities: -38 [7047] 0 [7050]

6. **Amount required to be segregated (add lines 4 and 5)**: 251,927,435 [7060]

### FUNDS IN SEGREGATED ACCOUNTS

7. **Deposited in segregated funds bank accounts**
   - A. Cash: 136,644,754 [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: 9,520,426 [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): 145,173,247 [7170]

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

13. **Total amount in segregation (add lines 7 through 12)**: 291,338,427 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: 39,410,992 [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: 14,410,992 [7198]