**INITIAL**

**End Date:** 6/27/2022  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 6/28/2022

### 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:** 9,580,502 [7315]  
   - **B. Securities (at market):** 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade:** 6,613,466 [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:** -4,510 [7337]

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

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)**

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:** 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:** 369,006 [7580]  
   - **B. Securities:** 0 [7590]  
   - **C. Unrealized gain (loss) on open futures contracts:** -13,365 [7600]  
   - **D. Value of long option contracts:** 0 [7610]  
   - **E. Value of short option contracts:** 0 [7615] 355,641 [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:** 650,855 [7700]  
   - **B. Securities:** 0 [7710]  
   - **C. Unrealized gain (loss) on open futures contracts:** 6,626,831 [7720]  
   - **D. Value of long option contracts:** 0 [7730]  
   - **E. Value of short option contracts:** 4,510 [7735] 7,273,176 [7740]

6. **Amounts with other depositories designated by a foreign board of trade**
   - **0 [7760]  
   - **Segregated funds on hand:** 0 [7765]

7. **Total funds in separate section 30.7 accounts**
   - **43,073,554 [7770]

8. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**
   - **26,884,096 [7380]

9. **Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target**
   - **15,000,000 [7780]
   - **11,884,096 [7785]
### Daily Segregation - Segregation Statement

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

1. Net ledger balance
   - A. Cash 238,698,089 [7010]
   - B. Securities (at market) 14,765,733 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market 1,072,403 [7030]

3. Exchange traded options
   - A. Add market value of open option contracts purchased on a contract market 170,319 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market -278,999 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 254,427,545 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 81 [7045]
   - Less: amount offset by customer securities -81 [7047] 0 [7050]

6. Amount required to be segregated (add lines 4 and 5) 254,427,545 [7060]

Funds in segregated accounts

7. Deposited in segregated funds bank accounts
   - A. Cash 174,022,254 [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 102,497,648 [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) 14,765,733 [7170]

12. Segregated funds on hand 0 [7150]

13. Total amount in segregation (add lines 7 through 12) 291,285,635 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 36,858,090 [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 11,858,090 [7198]