INITIAL
End Date: 6/7/2022
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 6/8/2022

Daily Segregation - Secured Amounts

<table>
<thead>
<tr>
<th>Foreign Futures and Foreign Options Secured Amounts</th>
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</thead>
<tbody>
<tr>
<td>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</td>
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</tbody>
</table>

1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers
   A. Cash | 8,864,329 [7315] |
   B. Securities (at market) | 0 [7317] |

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade | 9,840,968 [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 | -97,920 [7337] |

4. Net equity (deficit) (add lines 1, 2, and 3.) | 18,607,377 [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) | 18,607,377 [7355] |

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. | 18,607,377 [7360] |

Funds Deposited in Separate Regulation 30.7 Accounts

1. Cash in banks
   A. Banks located in the United States | 34,951,063 [7500] |
   B. Other banks qualified under Regulation 30.7 | 0 [7520] 34,951,063 [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 | 369,011 [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] 369,011 [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 | 759,964 [7700] |
   B. Securities | 0 [7710] |
   C. Unrealized gain (loss) on open futures contracts | 9,840,968 [7720] |
   D. Value of long option contracts | 0 [7730] |
   E. Value of short option contracts | -97,920 [7735] 10,503,012 [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 | 45,823,086 [7770] |

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) | 27,215,709 [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 | 12,215,709 [7785] |
**Daily Segregation - Segregation Statement**

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

1. Net ledger balance
   - A. Cash: 98,227,324 [7010]
   - B. Securities (at market): 148,879,916 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market: 7,965,311 [7030]

3. Exchange traded options
   - A. Add market value of open option contracts purchased on a contract market: 150,450 [7032]
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -200,700 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3): 255,022,301 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount: 104 [7045]
   - Less: amount offset by customer securities: -104 [7047] 0 [7050]

6. Amount required to be segregated (add lines 4 and 5): 255,022,301 [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts
   - A. Cash: 134,180,754 [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: 9,042,043 [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): 148,879,916 [7170]

12. Segregated funds on hand: 0 [7150]

13. Total amount in segregation (add lines 7 through 12): 292,102,713 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13): 37,080,412 [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: 12,080,412 [7198]