**INITIAL**

**End Date:** 8/2/2022  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 8/3/2022

## 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:** 8,166,374 [7315]
   - **B. Securities (at market):** 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade:** 4,618,223 [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:** -105,208 [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.)** 12,679,389 [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)** 12,679,389 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.** 12,679,389 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - **A. Banks located in the United States:** 34,543,271 [7500]
   - **B. Other banks qualified under Regulation 30.7:** 0 [7520] 34,543,271 [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:** 348,986 [7580]
   - **B. Securities:** 0 [7590]
   - **C. Unrealized gain (loss) on open futures contracts:** 4,618,223 [7720]
   - **D. Value of long option contracts:** 0 [7610]
   - **E. Value of short option contracts:** 0 [7675] 348,986 [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:** 722,748 [7700]
   - **B. Securities:** 0 [7710]
   - **C. Unrealized gain (loss) on open futures contracts:** 4,618,223 [7720]
   - **D. Value of long option contracts:** 0 [7730]
   - **E. Value of short option contracts:** -105,208 [7735] 5,235,763 [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:** 40,128,020 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)** 27,448,631 [7780]

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:** 12,448,631 [7785]
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### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **A. Cash** 114,471,541 [7010]
   - **B. Securities (at market)** 15,627,842 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market** -8,016,348 [7030]

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market** 168,381 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market** -377,491 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)** 121,873,925 [7040]

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - Less: amount offset by customer securities 0 [7045]
   - **Amount required to be segregated (add lines 4 and 5)** 121,873,925 [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - **A. Cash** 133,528,550 [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** 8,677,325 [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)** 15,627,842 [7170]

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

13. **Total amount in segregation (add lines 7 through 12)** 157,833,717 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)** 35,959,792 [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** 10,959,792 [7198]