**INITIAL**

**End Date:** 8/15/2022  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 8/16/2022  

### 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**  
      **8,877,442 [7315]**  
   B. **Securities (at market)**  
       **0 [7317]**

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**  
   **5,033,682 [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**  
      **-136,805 [7337]**

4. **Net equity (deficit) (add lines 1. 2. and 3.)**  
   **13,774,319 [7345]**

5. **Account liquidating to a deficit and account with a debit balances - gross amount**  
   Less: amount offset by customer owned securities  
   **0 [7354]**

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)**  
   **13,774,319 [7355]**

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**  
   **13,774,319 [7360]**

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**  
   A. **Banks located in the United States**  
      **34,595,871 [7500]**  
   B. **Other banks qualified under Regulation 30.7**  
      **0 [7520] 34,595,871 [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**  
      **349,495 [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] 349,495 [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**  
      **717,804 [7700]**  
   B. **Securities**  
      **0 [7710]**  
   C. **Unrealized gain (loss) on open futures contracts**  
      **5,033,682 [7720]**  
   D. **Value of long option contracts**  
      **0 [7730]**  
   E. **Value of short option contracts**  
      **-136,805 [7735] 5,614,681 [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**  
   **40,560,047 [7770]**

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**  
   **26,785,728 [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**  
    **11,785,728 [7785]**
<table>
<thead>
<tr>
<th>Requirement</th>
<th>Amount</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Net ledger balance</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>113,331,790 [7010]</td>
<td></td>
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<tr>
<td>B. Securities (at market)</td>
<td>15,590,703 [7020]</td>
<td></td>
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<tr>
<td><strong>Net unrealized profit (loss) in open futures contracts traded on a contract market</strong></td>
<td>-11,988,499 [7030]</td>
<td></td>
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<tr>
<td><strong>Exchange traded options</strong></td>
<td></td>
<td></td>
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<tr>
<td>A. Add market value of open option contracts purchased on a contract market</td>
<td>122,725 [7032]</td>
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<tr>
<td>B. Deduct market value of open option contracts granted (sold) on a contract market</td>
<td>-317,503 [7033]</td>
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<tr>
<td><strong>Net equity (deficit) (add lines 1, 2 and 3)</strong></td>
<td>116,739,216 [7040]</td>
<td></td>
</tr>
<tr>
<td><strong>Accounts liquidating to a deficit and accounts with debit balances - gross amount</strong></td>
<td>38,813 [7045]</td>
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<tr>
<td>Less: amount offset by customer securities</td>
<td>-38,813 [7047] 0 [7050]</td>
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<tr>
<td><strong>Amount required to be segregated (add lines 4 and 5)</strong></td>
<td>116,739,216 [7060]</td>
<td></td>
</tr>
<tr>
<td><strong>FUNDS IN SEGREGATED ACCOUNTS</strong></td>
<td></td>
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</tr>
<tr>
<td>A. Cash</td>
<td>133,393,857 [7070]</td>
<td></td>
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<tr>
<td>B. Securities representing investments of customers’ funds (at market)</td>
<td>0 [7080]</td>
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<tr>
<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>0 [7090]</td>
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</tr>
<tr>
<td><strong>Margins on deposit with derivatives clearing organizations of contract markets</strong></td>
<td></td>
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</tr>
<tr>
<td>A. Cash</td>
<td>0 [7100]</td>
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</tr>
<tr>
<td>B. Securities representing investments of customers’ funds (at market)</td>
<td>0 [7110]</td>
<td></td>
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<tr>
<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>0 [7120]</td>
<td></td>
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<tr>
<td><strong>Net settlement from (to) derivatives clearing organizations of contract markets</strong></td>
<td>0 [7130]</td>
<td></td>
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<tr>
<td><strong>Exchange traded options</strong></td>
<td></td>
<td></td>
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<tr>
<td>A. Value of open long option contracts</td>
<td>0 [7132]</td>
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<tr>
<td>B. Value of open short option contracts</td>
<td>0 [7133]</td>
<td></td>
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<tr>
<td><strong>Net equities with other FCMs</strong></td>
<td></td>
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<tr>
<td>A. Net liquidating equity</td>
<td>5,988,688 [7140]</td>
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<tr>
<td>B. Securities representing investments of customers’ funds (at market)</td>
<td>0 [7160]</td>
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<tr>
<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>15,590,703 [7170]</td>
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<tr>
<td><strong>Segregated funds on hand</strong></td>
<td>0 [7150]</td>
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<tr>
<td><strong>Total amount in segregation (add lines 7 through 12)</strong></td>
<td>154,973,248 [7180]</td>
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<tr>
<td><strong>Excess (deficiency) funds in segregation (subtract line 6 from line 13)</strong></td>
<td>38,234,032 [7190]</td>
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<tr>
<td><strong>Management Target Amount for Excess funds in segregation</strong></td>
<td>25,000,000 [7194]</td>
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<tr>
<td><strong>Excess (deficiency) funds in segregation over (under) Management Target Amount</strong></td>
<td>13,234,032 [7198]</td>
<td>Excess</td>
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</tbody>
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