**INITIAL**  
End Date: 8/10/2022  
Firm Name: UBS FINANCIAL SERVICES INC  
Form: Daily Seg - FOCUS II  
Submit Date: 8/11/2022  

### 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  

1. **Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers**  
   **A. Cash**  
   $8,896,508 [7315]  
   **B. Securities (at market)**  
   $0 [7317]  

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade**  
   $5,345,774 [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  
   -$42,505 [7337]  

4. **Net equity (deficit) (add lines 1. 2. and 3.)**  
   $14,199,777 [7345]  

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)**  
   $14,199,777 [7355]  

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**  
   $14,199,777 [7360]  

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**  
   a. Banks located in the United States  
   $34,575,411 [7500]  
   b. Other banks qualified under Regulation 30.7  
   $0 [7520]  
   **34,575,411** [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  
   $349,401 [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]  
   **349,401** [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  
   $717,258 [7700]  
   b. Securities  
   $0 [7710]  
   c. Unrealized gain (loss) on open futures contracts  
   $5,345,774 [7720]  
   d. Value of long option contracts  
   $0 [7730]  
   e. Value of short option contracts  
   -$42,505 [7735]  
   **6,020,527** [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**  
   $40,945,339 [7770]  

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**  
   $26,745,562 [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**  
    **11,745,562** [7785]
### Daily Segregation - Segregation Statement

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

1. **Net ledger balance**
   - **A. Cash**
     - $114,717,931 [7010]
   - **B. Securities (at market)**
     - $15,584,047 [7020]

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - $-9,250,363 [7030]

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**
     - $124,894 [7032]
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**
     - $-299,900 [7033]

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - $120,876,609 [7040]

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

6. **Amount required to be segregated (add lines 4 and 5)**
   - $120,876,609 [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**
     - $132,952,193 [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**
      - $9,951,798 [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)**
      - $15,584,047 [7170]

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

13. **Total amount in segregation (add lines 7 through 12)**
    - $158,488,038 [7180]

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - $37,611,429 [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**
      - $12,611,429 [7198]