**Initial**

**End Date:** 8/8/2022  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 8/9/2022

### 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**
   - **Cash:** 8,815,921 [7315]
   - **Securities (at market):** 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade:** 4,966,733 [7325]

3. **Exchange traded options**
   - **Market value of open option contracts purchased on a foreign board of trade:** 0 [7335]
   - **Market value of open contracts granted (sold) on a foreign board of trade:** -28,320 [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.)** 13,754,334 [7345]

5. **Account liquidating to a deficit and account with a debit balances - gross amount**
   - **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)**
   - **Total:** 13,754,334 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**
   - **Total:** 13,754,334 [7360]

#### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - **Banks located in the United States:** 34,575,411 [7500]
   - **Other banks qualified under Regulation 30.7:** 0 [7520] 34,575,411 [7530]

2. **Securities**
   - **In safekeeping with banks located in the United States:** 0 [7540]
   - **In safekeeping with other banks qualified under Regulation 30.7:** 0 [7560] 0 [7570]

3. **Equities with registered futures commission merchants**
   - **Cash:** 349,721 [7580]
   - **Securities:** 0 [7590]
   - **Unrealized gain (loss) on open futures contracts:** 0 [7600]
   - **Value of long option contracts:** 0 [7610]
   - **Value of short option contracts:** 0 [7615] 349,721 [7620]

4. **Amounts held by clearing organizations of foreign boards of trade**
   - **Cash:** 0 [7640]
   - **Securities:** 0 [7650]
   - **Amount due to (from) clearing organization - daily variation:** 0 [7660]
   - **Value of long option contracts:** 0 [7670]
   - **Value of short option contracts:** 0 [7675] 0 [7680]

5. **Amounts held by members of foreign boards of trade**
   - **Cash:** 691,132 [7700]
   - **Securities:** 0 [7710]
   - **Unrealized gain (loss) on open futures contracts:** 4,966,733 [7720]
   - **Value of long option contracts:** 0 [7730]
   - **Value of short option contracts:** -28,320 [7735] 5,629,545 [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:** 40,554,677 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**
   - **Total:** 26,800,343 [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**
    - **Total:** 11,800,343 [7785]
1. **Net ledger balance**
   - **A. Cash**: $114,491,772
   - **B. Securities (at market)**: $15,575,664

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: $-8,784,153

3. **Exchange traded options**
   - **A. Add market value of open option contracts purchased on a contract market**: $133,831
   - **B. Deduct market value of open option contracts granted (sold) on a contract market**: $-324,200

4. **Net equity (deficit) (add lines 1, 2 and 3)**: $121,092,914

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

6. **Amount required to be segregated (add lines 4 and 5)**: $121,092,914

7. **Deposited in segregated funds bank accounts**
   - **A. Cash**: $133,622,193
   - **B. Securities representing investments of customers’ funds (at market)**: $0
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**: $0

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - **A. Cash**: $0
   - **B. Securities representing investments of customers’ funds (at market)**: $0
   - **C. Securities held for particular customers or option customers in lieu of cash (at market)**: $0

9. **Net settlement from (to) derivatives clearing organizations of contract markets**: $0

10. **Exchange traded options**
    - **A. Value of open long option contracts**: $0
    - **B. Value of open short option contracts**: $0

11. **Net equities with other FCMs**
    - **A. Net liquidating equity**: $10,094,628
    - **B. Securities representing investments of customers’ funds (at market)**: $0
    - **C. Securities held for particular customers or option customers in lieu of cash (at market)**: $15,575,664

12. **Segregated funds on hand**: $0

13. **Total amount in segregation (add lines 7 through 12)**: $159,292,485

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: $38,199,571

15. **Management Target Amount for Excess funds in segregation**: $25,000,000

16. **Excess (deficiency) funds in segregation over (under) Management Target Amount**
    - **Excess**: $13,199,571