**INITIAL**

**End Date:** 8/18/2022  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 8/19/2022

### 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: 8,732,139 [7315]
  - B. Securities (at market): 0 [7317]

- **2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade:** 5,126,846 [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: -101,528 [7337]

- **4. Net equity (deficit) (add lines 1. 2. and 3.)**
  - 13,757,457 [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)**
  - 13,757,457 [7355]

- **7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**
  - 13,757,457 [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: 349,891 [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] 349,891 [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: 592,928 [7700]
  - B. Securities: 0 [7710]
  - C. Unrealized gain (loss) on open futures contracts: 5,126,846 [7720]
  - D. Value of long option contracts: 0 [7730]
  - E. Value of short option contracts: -101,528 [7735] 5,618,246 [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**
  - 40,564,008 [7770]

- **9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**
  - 26,806,551 [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**
  - 11,806,551 [7785]
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**Daily Segregation - Segregation Statement**

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

1. **Net ledger balance**
   - A. Cash
     
   - B. Securities (at market)

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - -9,095,570 [7030]

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market
     
   - B. Deduct market value of open option contracts granted (sold) on a contract market

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - 118,085,581 [7040]

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

6. **Amount required to be segregated (add lines 4 and 5)**
   - 118,085,581 [7060]

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - A. Cash
     
   - B. Securities representing investments of customers’ funds (at market)

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - A. Cash

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

10. **Exchange traded options**
   - A. Value of open long option contracts

11. **Net equities with other FCMs**
   - A. Net liquidating equity
     
   - B. Securities representing investments of customers’ funds (at market)

12. **Segregated funds on hand**

13. **Total amount in segregation (add lines 7 through 12)**

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**

15. **Management Target Amount for Excess funds in segregation**

16. **Excess (deficiency) funds in segregation over (under) Management Target Amount**

Excess

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<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
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<tbody>
<tr>
<td>Net ledger balance</td>
<td>111,710,636</td>
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<tr>
<td>A. Cash</td>
<td>111,710,636</td>
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<tr>
<td>B. Securities (at market)</td>
<td>15,591,210</td>
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<tr>
<td>Net unrealized profit (loss) in open futures contracts traded on a contract market</td>
<td>-9,095,570</td>
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<td>Exchange traded options</td>
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<tr>
<td>A. Add market value of open option contracts purchased on a contract market</td>
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<td>B. Deduct market value of open option contracts granted (sold) on a contract market</td>
<td>-238,851</td>
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<td>Net equity (deficit) (add lines 1, 2 and 3)</td>
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<td>Accounts liquidating to a deficit and accounts with debit balances - gross amount</td>
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<td>Less: amount offset by customer securities</td>
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<td>Amount required to be segregated (add lines 4 and 5)</td>
<td>118,085,581</td>
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<td>Deposited in segregated funds bank accounts</td>
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<tr>
<td>A. Cash</td>
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<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
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<td>Margins on deposit with derivatives clearing organizations of contract markets</td>
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<tr>
<td>A. Cash</td>
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<td>Exchange traded options</td>
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</tr>
<tr>
<td>A. Value of open long option contracts</td>
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<tr>
<td>B. Value of open short option contracts</td>
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<tr>
<td>Net equities with other FCMs</td>
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<tr>
<td>A. Net liquidating equity</td>
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<td>C. Securities held for particular customers or option customers in lieu of cash (at market)</td>
<td>15,591,210</td>
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<td>Segregated funds on hand</td>
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<td>Total amount in segregation (add lines 7 through 12)</td>
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<td>Management Target Amount for Excess funds in segregation</td>
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<td>Excess (deficiency) funds in segregation over (under) Management Target Amount</td>
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