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 11,486,249 [7315]
   B. Securities (at market) 0 [7317]

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade 12,804,635 [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 -5,938 [7337]

4. Net equity (deficit) (add lines 1. 2. and 3.) 24,284,946 [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) 24,284,946 [7355]

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. 24,284,946 [7360]

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks
   A. Banks located in the United States 35,689,434 [7500]
   B. Other banks qualified under Regulation 30.7 0 [7520] 35,689,434 [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 368,528 [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] 368,528 [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 1,991,524 [7700]
   B. Securities 0 [7710]
   C. Unrealized gain (loss) on open futures contracts 12,804,635 [7720]
   D. Value of long option contracts 0 [7730]
   E. Value of short option contracts -5,938 [7735] 14,790,221 [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 50,848,183 [7770]
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) 26,563,237 [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 11,563,237 [7785]
INITIAL
End Date: 2/17/2022
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 2/18/2022

Daily Segregation - Segregation Statement

SEGREGATION REQUIREMENTS (Section 4d(2) of the CEA
ction)
1. Net ledger balance
   A. Cash
   B. Securities (at market)
2. Net unrealized profit (loss) in open futures contracts traded on a contract market
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)
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)

Funds in segregated accounts
7. Deposited in segregated funds bank accounts
   A. Cash
   B. Securities representing investments of customers' funds (at market)
   C. Securities held for particular customers or option customers in lieu of cash (at market)
8. Margins on deposit with derivatives clearing organizations of contract markets
   A. Cash
   B. Securities representing investments of customers' funds (at market)
   C. Securities held for particular customers or option customers in lieu of cash (at market)
9. Net settlement from (to) derivatives clearing organizations of contract markets
10. Exchange traded options
    A. Value of open long option contracts
    B. Value of open short option contracts
11. Net equities with other FCMs
    A. Net liquidating equity
    B. Securities representing investments of customers' funds (at market)
    C. Securities held for particular customers or option customers in lieu of cash (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

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Net ledger balance A. Cash</td>
<td>66,958,649</td>
<td>[7010]</td>
</tr>
<tr>
<td>B. Securities (at market)</td>
<td>10,912,592</td>
<td>[7020]</td>
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<tr>
<td>2. Net unrealized profit (loss) in open futures contracts traded on a contract market</td>
<td>20,796,175</td>
<td>[7030]</td>
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<tr>
<td>3. Exchange traded options A. Add market value of open option contracts purchased on a contract market</td>
<td>245,869 [7032]</td>
<td></td>
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<tr>
<td>B. Deduct market value of open option contracts granted (sold) on a contract market</td>
<td>-552,270 [7033]</td>
<td></td>
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<tr>
<td>4. Net equity (deficit) (add lines 1, 2 and 3)</td>
<td>98,361,015</td>
<td>[7040]</td>
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<tr>
<td>5. Accounts liquidating to a deficit and accounts with debit balances - gross amount</td>
<td>402,043 [7045]</td>
<td></td>
</tr>
<tr>
<td>Less: amount offset by customer securities</td>
<td>-402,043 [7047]</td>
<td>0 [7050]</td>
</tr>
<tr>
<td>6. Amount required to be segregated (add lines 4 and 5)</td>
<td>98,361,015</td>
<td>[7060]</td>
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<tr>
<td>7. Deposited in segregated funds bank accounts A. Cash</td>
<td>101,229,309</td>
<td>[7070]</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>
<td></td>
</tr>
<tr>
<td>8. Margins on deposit with derivatives clearing organizations of contract markets A. Cash</td>
<td>0 [7100]</td>
<td></td>
</tr>
<tr>
<td>B. Securities representing investments of customers' funds (at market)</td>
<td>0 [7110]</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>9. Net settlement from (to) derivatives clearing organizations of contract markets</td>
<td>0 [7130]</td>
<td></td>
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<tr>
<td>10. Exchange traded options A. Value of open long option contracts</td>
<td>0 [7132]</td>
<td></td>
</tr>
<tr>
<td>B. Value of open short option contracts</td>
<td>0 [7133]</td>
<td></td>
</tr>
<tr>
<td>11. Net equities with other FCMs A. Net liquidating equity</td>
<td>20,054,575</td>
<td>[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>10,912,592 [7170]</td>
<td></td>
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<tr>
<td>12. Segregated funds on hand</td>
<td>0 [7150]</td>
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<tr>
<td>13. Total amount in segregation (add lines 7 through 12)</td>
<td>132,196,476</td>
<td>[7180]</td>
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<tr>
<td>14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)</td>
<td>33,835,461</td>
<td>[7190]</td>
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<tr>
<td>15. Management Target Amount for Excess funds in segregation</td>
<td>25,000,000</td>
<td>[7194]</td>
</tr>
<tr>
<td>16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess</td>
<td>8,835,461</td>
<td>[7198]</td>
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