End Date: 2/15/2022  
Firm Name: UBS FINANCIAL SERVICES INC  
Form: Daily Seg - FOCUS II  
Submit Date: 2/16/2022

### 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:** 11,485,096 [7315]
   - **B. Securities (at market):** 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade:** 12,527,932 [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:** -22,442 [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.)**
   - 23,990,586 [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)**
   - 23,990,586 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.**
   - 23,990,586 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - **A. Banks located in the United States:** 35,324,909 [7500]
   - **B. Other banks qualified under Regulation 30.7:** 0 [7520] 35,324,909 [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 [7670]
   - **E. Value of short option contracts:** 0 [7675] 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:** 2,355,408 [7700]
   - **B. Securities:** 0 [7710]
   - **C. Unrealized gain (loss) on open futures contracts:** 12,527,932 [7720]
   - **D. Value of long option contracts:** 0 [7730]
   - **E. Value of short option contracts:** -22,442 [7735] 14,860,898 [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**
   - 50,554,335 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)**
   - 26,563,749 [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**
    - 11,563,749 [7785]
### Daily Segregation - Segregation Statement

**SEREGATION REQUIREMENTS (Section 4d(2) of the CEAct)**

1. **Net ledger balance**
   - A. Cash: $72,861,239
   - B. Securities (at market): $9,408,478

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**
   - $22,506,763

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: $318,638
   - B. Deduct market value of open option contracts granted (sold) on a contract market: ($706,285)

4. **Net equity (deficit) (add lines 1, 2 and 3)**
   - $104,388,833

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**
   - $90,954
   - Less: amount offset by customer securities: ($90,954)

6. **Amount required to be segregated (add lines 4 and 5)**
   - $104,388,833

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - 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: $21,734,306
    - 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): $9,408,478

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

13. **Total amount in segregation (add lines 7 through 12)**
    - $139,977,090

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**
    - $35,588,257

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

16. **Excess (deficiency) funds in segregation over (under) Management Target Amount**
    - Excess: $10,588,257