### 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

1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers
   - **Cash**: 11,130,774
   - **Securities (at market)**: 0

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: 13,529,831

3. Exchange traded options
   - **a. Market value of open option contracts purchased on a foreign board of trade**: 0
   - **b. Market value of open contracts granted (sold) on a foreign board of trade**: 22,512

4. Net equity (deficit) (add lines 1, 2, and 3): 24,638,093

5. Account liquidating to a deficit and account with a debit balances - gross amount: 0

   Less: amount offset by customer owned securities: 0

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5): 24,638,093

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6: 24,638,093

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks
   - **A. Banks located in the United States**: 25,114,757
   - **B. Other banks qualified under Regulation 30.7**: 0

2. Securities
   - **A. In safekeeping with banks located in the United States**: 0
   - **B. In safekeeping with other banks qualified under Regulation 30.7**: 0

3. Equities with registered futures commission merchants
   - **A. Cash**: 368,516
   - **B. Securities**: 0
   - **C. Unrealized gain (loss) on open futures contracts**: 0
   - **D. Value of long option contracts**: 0
   - **E. Value of short option contracts**: 0

4. Amounts held by clearing organizations of foreign boards of trade
   - **A. Cash**: 0
   - **B. Securities**: 0
   - **C. Amount due to (from) clearing organization - daily variation**: 0
   - **D. Value of long option contracts**: 0
   - **E. Value of short option contracts**: 22,512

5. Amounts held by members of foreign boards of trade
   - **A. Cash**: 12,202,173
   - **B. Securities**: 0
   - **C. Unrealized gain (loss) on open futures contracts**: 13,529,831
   - **D. Value of long option contracts**: 0
   - **E. Value of short option contracts**: 22,512

6. Amounts with other depositories designated by a foreign board of trade: 0

7. Segregated funds on hand: 0

8. Total funds in separate section 30.7 accounts: 51,192,765

9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8): 26,554,672

10. Management Target Amount for Excess funds in separate section 30.7 accounts: 15,000,000

11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target: 11,554,672
INITIAL
End Date: 2/9/2022
Firm Name: UBS FINANCIAL SERVICES INC
Form: Daily Seg - FOCUS II
Submit Date: 2/10/2022

Daily Segregation - Segregation Statement

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

1. Net ledger balance
   A. Cash 70,398,848 [7010]
   B. Securities (at market) 9,404,497 [7020]

2. Net unrealized profit (loss) in open futures contracts traded on a contract market 15,439,259 [7030]

3. Exchange traded options
   A. Add market value of open option contracts purchased on a contract market 334,801 [7032]
   B. Deduct market value of open option contracts granted (sold) on a contract market -463,674 [7033]

4. Net equity (deficit) (add lines 1, 2 and 3) 95,113,731 [7040]

5. Accounts liquidating to a deficit and accounts with debit balances - gross amount 0 [7045]
   Less: amount offset by customer securities 0 [7047] 0 [7050]

6. Amount required to be segregated (add lines 4 and 5) 95,113,731 [7060]

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts
   A. Cash 104,144,309 [7071]
   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 18,132,206 [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) 9,404,497 [7170]

12. Segregated funds on hand 0 [7150]

13. Total amount in segregation (add lines 7 through 12) 131,681,012 [7180]

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 36,567,281 [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

11,567,281 [7198]