

**SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

**BROKER OR DEALER:**

UBS SECURITIES LLC

as of: 08/31/2023

**STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION  
FOR CUSTOMERS TRADING ON U.S. COMMODITY EXCHANGES**

**SEGREGATION REQUIREMENTS**

1. Net ledger balance				
A. Cash			\$ 3,038,159,943	7010
B. Securities (at market)			2,940,335,193	7020
2. Net unrealized profit (loss) in open futures contracts traded on a contract market			571,748,783	7030
3. Exchange traded options				
A. Add: Market value of open option contracts purchased on a contract market			196,122,955	7032
B. Deduct Market value of open option contracts granted (sold) on a contract market			(155,835,055)	7033
4. Net equity (deficit) (total of Lines 1, 2 and 3)			6,590,531,819	7040
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	2,467,865	7045		
Less: amount offset by customer owned securities	(2,460,443)	7047	7,422	7050
6. Amount required to be segregated (add Lines 4 and 5)			\$ 6,590,539,241	7060

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts				
A. Cash			265,406,156	7070
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)			1,448,718,043	7090
8. Margin on deposit with derivatives clearing organizations of contract markets				
A. Cash			3,602,764,870	7100
B. Securities representing investments of customers' funds (at market)			182,584,494	7110
C. Securities held for particular customers or option customers in lieu of cash (at market)			1,491,617,150	7120
9. Net settlement from (to) derivatives clearing organizations of contract markets			1,132,055	7130
10. Exchange traded options				
A. Value of open long option contracts			196,122,955	7132
B. Value of open short option contracts			(155,835,055)	7133
11. Net equities with other FCMs				
A. Net liquidating equity			0	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)			0	7170
12. Segregated funds on hand (describe: )			0	7150
13. Total amount in segregation (add Lines 7 through 12)			7,032,510,668	7180
14. Excess (deficiency) funds in segregation (subtract Line 6 from Line 13)			\$ 441,971,427	7190
15. Management target amount for excess funds in segregation			150,000,000	7194
16. Excess (deficiency) funds in segregation over (under) management target amount excess			291,971,427	7198

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**STATEMENT OF CLEARED SWAPS SEGREGATION REQUIREMENTS AND  
FUNDS IN CLEARED SWAPS CUSTOMER ACCOUNTS UNDER 4D(F) OF THE CEA**

**Cleared Swaps Customer Requirements**

1. Net ledger balance			
A. Cash		\$ 1,404,711,237	8500
B. Securities (at market)		351,768,781	8510
2. Net unrealized profit (loss) in open cleared swaps		(121,572,516)	8520
3. Cleared swaps options			
A. Market value of open cleared swaps option contracts purchased		0	8530
B. Market value of open cleared swaps option contracts granted (sold)		0	8540
4. Net equity (deficit) (add lines 1, 2 and 3)		1,634,907,502	8550
5. Accounts liquidating to a deficit and accounts with debit balances			
- gross amount	\$ 213,931	8560	
Less: amount offset by customer owned securities	(157,213)	8570	
6. Amount required to be segregated for cleared swaps customers (add lines 4 and 5)		56,718	8580
		1,634,964,220	8590

**Funds in Cleared Swaps Customer Segregated Accounts**

7. Deposited in cleared swaps customer segregated accounts at banks			
A. Cash		\$ 327,127,023	8600
B. Securities representing investments of cleared swaps customers' funds (at market)		0	8610
C. Securities held for particular cleared swaps customers in lieu of cash (at market)		158,748,154	8620
8. Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts			
A. Cash		1,242,932,196	8630
B. Securities representing investments of cleared swaps customers' funds (at market)		0	8640
C. Securities held for particular cleared swaps customers in lieu of cash (at market)		193,020,627	8650
9. Net settlement from (to) derivatives clearing organizations		(4,809,019)	8660
10. Cleared swaps options			
A. Value of open cleared swaps long option contracts		0	8670
B. Value of open cleared swaps short option contracts		0	8680
11. Net equities with other FCMs			
A. Net liquidating equity		0	8690
B. Securities representing investments of cleared swaps customers' funds (at market)		0	8700
C. Securities held for particular cleared swaps customers in lieu of cash (at market)		0	8710
12. Cleared swaps customer funds on hand (describe: )		0	8715
13. Total amount in cleared swaps customer segregation (add lines 7 through 12)		1,917,018,981	8720
14. Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)		\$ 282,054,761	8730
15. Management target Amount for Excess funds in cleared swaps segregated accounts		\$ 125,000,000	8760
16. Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) management target excess		\$ 157,054,761	8770

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**STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION  
FOR CUSTOMERS' DEALER OPTIONS ACCOUNTS**

1. Amount required to be segregated in accordance with 17 CFR 32.6		\$ 0	7200
2. Funds/property in segregated accounts			
A. Cash	\$ 0		7210
B. Securities (at market value)	0		7220
C. Total funds/property in segregated accounts		0	7230
3. Excess (deficiency) funds in segregation (subtract Line 2C from Line 1)		\$ 0	7240

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**STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS  
PURSUANT TO COMMISSION REGULATION 30.7**

**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 options trading - All customers			
A. Cash		\$ 1,341,734,960	7315
B. Securities (at market)		\$ 440,534,589	7317
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade		\$ 63,531,152	7325
3. Exchange traded options			
A. Market value of open option contracts purchased on a foreign board of trade		\$ 2,600,367	7335
B. Market value of open option contracts granted (sold) on a foreign board of trade		\$ 0	7337
4. Net equity (deficit) (add Lines 1, 2, and 3)		\$ 1,848,401,068	7345
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$ 8,693,972		7351
Less: Amount offset by customer owned securities	\$(8,680,924)		7352
6. Amount required to be set aside as the secured amount - Net liquidating equity method (add Lines 4 and 5)		\$ 13,048	7354
		\$ 1,848,414,116	7355
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or Line 6.		\$ 1,848,414,116	7360

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**STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS  
PURSUANT TO COMMISSION REGULATION 30.7**

**FUNDS DEPOSITED IN SEPARATE 17 CFR. 30.7 ACCOUNTS**

1. Cash in banks			
A. Banks located in the United States	\$ 318,060,239	7500	
B. Other banks qualified under 17 CFR. 30.7			
Name(s): <u>See Attached</u>	0	7520	\$ 318,060,239
			7530
2. Securities			
A. In safekeeping with banks located in the United States	\$ 375,758,666	7540	
B. In safekeeping with other banks designated by 17 CFR. 30.7			
Name(s): <u>See Attached</u>	0	7560	375,758,666
			7570
3. Equities with registered futures commission merchants			
A. Cash	\$ 0	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	0
			7620
4. Amounts held by clearing organizations of foreign boards of trade			
Name(s): _		7630	
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			
Name(s): <u>See Attached</u>		7690	
A. Cash	\$ 1,157,356,233	7700	
B. Securities	133,096,498	7710	
C. Unrealized gain (loss) on open futures contracts	63,531,152	7720	
D. Value of long option contracts	2,600,367	7730	
E. Value of short option contracts	0	7735	1,356,584,250
			7740
6. Amounts with other depositories designated by a foreign board of trade			
Name(s): _		7750	0
			7760
7. Segregated funds on hand (describe): _			
			0
			7765
8. Total funds in separate 17 CFR 30.7 accounts			
			\$ 2,050,403,155
			7770
9. Excess (deficiency) set aside funds for secured amount (Line Item 7770 minus Line Item 7360)			
			201,989,039
			7380
10. Management target amount for excess funds in separate 17 CFR 30.7 accounts			
			75,000,000
			7780
11. Excess (deficiency) funds in separate 17 CFR 30.7 accounts over (under) management target excess			
			126,989,039
			7785