

**INITIAL**

**End Date:2/9/2024**

**Firm Name:UBS Securities LLC**

**Form:Daily Seg - FOCUS II**

**Submit Date:2/12/2024**

**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

- |    |   |   |
|----|---|---|
| 1. | Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers                           | <b>0</b> [7305]   |
|    | A. Cash   | <b><u>1,134,063,245</u></b> [7315]                          |
|    | B. Securities (at market)   | <b><u>499,232,455</u></b> [7317]                            |
| 2. | Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade                 | <b><u>321,071,690</u></b> [7325]                            |
| 3. | Exchange traded options   |   |
|    | a. Market value of open option contracts purchased on a foreign board of trade                            | <b><u>39,883</u></b> [7335]                                 |
|    | b. Market value of open contracts granted (sold) on a foreign board of trade                              | <b>0</b> [7337]   |
| 4. | Net equity (deficit) (add lines 1. 2. and 3.)   | <b><u>1,954,407,273</u></b> [7345]                          |
| 5. | Account liquidating to a deficit and account with a debit balances - gross amount                         | <b><u>3,618,651</u></b> [7351]                              |
|    | Less: amount offset by customer owned securities  | <b><u>-3,568,809</u></b> [7352] <b><u>49,842</u></b> [7354] |
| 6. | Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5) | <b><u>1,954,457,115</u></b> [7355]                          |
| 7. | Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.            | <b><u>1,954,457,115</u></b> [7360]                          |

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

- |     |   |  |
|-----|---|--|
| 1.  | Cash in banks   |  |
|     | A. Banks located in the United States   | <b><u>445,088,082</u></b> [7500]                   |
|     | B. Other banks qualified under Regulation 30.7  | <b>0</b> [7520] <b><u>445,088,082</u></b> [7530]   |
| 2.  | Securities  |  |
|     | A. In safekeeping with banks located in the United States   | <b><u>213,040,391</u></b> [7540]                   |
|     | B. In safekeeping with other banks qualified under Regulation 30.7                                      | <b>0</b> [7560] <b><u>213,040,391</u></b> [7570]   |
| 3.  | Equities with registered futures commission merchants   |  |
|     | A. Cash   | <b>0</b> [7580]                                    |
|     | B. Securities   | <b>0</b> [7590]                                    |
|     | C. Unrealized gain (loss) on open futures contracts   | <b>0</b> [7600]                                    |
|     | D. Value of long option contracts   | <b>0</b> [7610]                                    |
|     | E. Value of short option contracts  | <b>0</b> [7615] <b>0</b> [7620]                    |
| 4.  | Amounts held by clearing organizations of foreign boards of trade                                       |  |
|     | A. Cash   | <b>0</b> [7640]                                    |
|     | B. Securities   | <b>0</b> [7650]                                    |
|     | C. Amount due to (from) clearing organization - daily variation   | <b>0</b> [7660]                                    |
|     | D. Value of long option contracts   | <b>0</b> [7670]                                    |
|     | E. Value of short option contracts  | <b>0</b> [7675] <b>0</b> [7680]                    |
| 5.  | Amounts held by members of foreign boards of trade  |  |
|     | A. Cash   | <b><u>818,090,054</u></b> [7700]                   |
|     | B. Securities   | <b><u>286,192,063</u></b> [7710]                   |
|     | C. Unrealized gain (loss) on open futures contracts   | <b><u>321,071,690</u></b> [7720]                   |
|     | D. Value of long option contracts   | <b><u>39,883</u></b> [7730]                        |
|     | E. Value of short option contracts  | <b>0</b> [7735] <b><u>1,425,393,690</u></b> [7740] |
| 6.  | Amounts with other depositories designated by a foreign board of trade                                  | <b>0</b> [7760]                                    |
| 7.  | Segregated funds on hand  | <b>0</b> [7765]                                    |
| 8.  | Total funds in separate section 30.7 accounts   | <b><u>2,083,522,163</u></b> [7770]                 |
| 9.  | Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) | <b><u>129,065,048</u></b> [7380]                   |
| 10. | Management Target Amount for Excess funds in separate section 30.7 accounts                             | <b><u>75,000,000</u></b> [7780]                    |
| 11. | Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target                      | <b><u>54,065,048</u></b> [7785]                    |

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**Daily Segregation - Segregation Statement**

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

1.	Net ledger balance	
	A. Cash	<u>1,938,586,139</u> [7010]
	B. Securities (at market)	<u>3,338,969,299</u> [7020]
2.	Net unrealized profit (loss) in open futures contracts traded on a contract market	<u>1,869,905,316</u> [7030]
3.	Exchange traded options	
	A. Add market value of open option contracts purchased on a contract market	<u>236,556,945</u> [7032]
	B. Deduct market value of open option contracts granted (sold) on a contract market	<u>-202,495,472</u> [7033]
4.	Net equity (deficit) (add lines 1, 2 and 3)	<u>7,181,522,227</u> [7040]
5.	Accounts liquidating to a deficit and accounts with debit balances - gross amount	<u>17,579,279</u> [7045]
	Less: amount offset by customer securities	<u>-17,565,039</u> [7047] <u>14,240</u> [7050]
6.	Amount required to be segregated (add lines 4 and 5)	<u>7,181,536,467</u> [7060]
	FUNDS IN SEGREGATED ACCOUNTS	
7.	Deposited in segregated funds bank accounts	
	A. Cash	<u>329,964,436</u> [7070]
	B. Securities representing investments of customers' funds (at market)	<u>0</u> [7080]
	C. Securities held for particular customers or option customers in lieu of cash (at market)	<u>389,829,555</u> [7090]
8.	Margins on deposit with derivatives clearing organizations of contract markets	
	A. Cash	<u>3,643,283,246</u> [7100]
	B. Securities representing investments of customers' funds (at market)	<u>0</u> [7110]
	C. Securities held for particular customers or option customers in lieu of cash (at market)	<u>2,949,139,744</u> [7120]
9.	Net settlement from (to) derivatives clearing organizations of contract markets	<u>139,839,764</u> [7130]
10.	Exchange traded options	
	A. Value of open long option contracts	<u>236,556,945</u> [7132]
	B. Value of open short option contracts	<u>-202,495,472</u> [7133]
11.	Net equities with other FCMs	
	A. Net liquidating equity	<u>0</u> [7140]
	B. Securities representing investments of customers' funds (at market)	<u>0</u> [7160]
	C. Securities held for particular customers or option customers in lieu of cash (at market)	<u>0</u> [7170]
12.	Segregated funds on hand	<u>0</u> [7150]
13.	Total amount in segregation (add lines 7 through 12)	<u>7,486,118,218</u> [7180]
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)	<u>304,581,751</u> [7190]
15.	Management Target Amount for Excess funds in segregation	<u>150,000,000</u> [7194]
16.	Excess (deficiency) funds in segregation over (under) Management Target Amount Excess	<u>154,581,751</u> [7198]

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**Daily Segregation - Swaps Statement**

STATEMENT OF CLEARED SWAPS CUSTOMER 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	<b><u>674,006,850</u></b> [8500]
	B. Securities (at market)	<b><u>489,011,443</u></b> [8510]
2.	Net unrealized profit (loss) in open cleared swaps	<b><u>53,362,978</u></b> [8520]
3.	Cleared swaps options	
	A. Market value of open cleared swaps option contracts purchased	<b><u>0</u></b> [8530]
	B. Market value of open cleared swaps option contracts granted (sold)	<b><u>0</u></b> [8540]
4.	Net Equity (deficit) (add lines 1, 2, and 3)	<b><u>1,216,381,271</u></b> [8550]
5.	Accounts liquidating to a deficit and accounts with debit balances - gross amount	<b><u>4,606,431</u></b> [8560]
	Less: amount offset by customer owned securities	<b><u>-4,563,056</u></b> [8570] <b><u>43,375</u></b> [8580]
6.	Amount required to be segregated for cleared swaps customers (add lines 4 and 5) Funds in Cleared Swaps Customer Segregated Accounts	<b><u>1,216,424,646</u></b> [8590]
7.	Deposited in cleared swaps customer segregated accounts at banks	
	A. Cash	<b><u>178,259,868</u></b> [8600]
	B. Securities representing investments of cleared swaps customers' funds (at market)	<b><u>0</u></b> [8610]
	C. Securities held for particular cleared swaps customers in lieu of cash (at market)	<b><u>218,974,405</u></b> [8620]
8.	Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts	
	A. Cash	<b><u>759,234,890</u></b> [8630]
	B. Securities representing investments of cleared swaps customers' funds (at market)	<b><u>0</u></b> [8640]
	C. Securities held for particular cleared swaps customers in lieu of cash (at market)	<b><u>270,037,038</u></b> [8650]
9.	Net settlement from (to) derivatives clearing organizations	<b><u>17,082,223</u></b> [8660]
10.	Cleared swaps options	
	A. Value of open cleared swaps long option contracts	<b><u>0</u></b> [8670]
	B. Value of open cleared swaps short option contracts	<b><u>0</u></b> [8680]
11.	Net equities with other FCMs	
	A. Net liquidating equity	<b><u>0</u></b> [8690]
	B. Securities representing investments of cleared swaps customers' funds (at market)	<b><u>0</u></b> [8700]
	C. Securities held for particular cleared swaps customers in lieu of cash (at market)	<b><u>0</u></b> [8710]
12.	Cleared swaps customer funds on hand	
	A. Cash	<b><u>0</u></b>
	B. Securities representing investments of cleared swaps customers' funds (at market)	<b><u>0</u></b>
	C. Securities held for particular cleared swaps customers in lieu of cash (at market)	<b><u>0 0</u></b> [8715]
13.	Total amount in cleared swaps customer segregation (add lines 7 through 12)	<b><u>1,443,588,424</u></b> [8720]
14.	Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)	<b><u>227,163,778</u></b> [8730]
15.	Management Target Amount for Excess funds in cleared swaps segregated accounts	<b><u>125,000,000</u></b> [8760]
16.	Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management	<b><u>102,163,778</u></b> [8770]