

**INITIAL**

**End Date:6/16/2023**

**Firm Name:UBS Securities LLC**

**Form:Daily Seg - FOCUS II**

**Submit Date:6/19/2023**

**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
  - A. Cash **1,393,932,318** [7315]
  - B. Securities (at market) **442,862,010** [7317]
- 2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade **235,520,392** [7325]
- 3. Exchange traded options
  - a. Market value of open option contracts purchased on a foreign board of trade **6,017,960** [7335]
  - b. Market value of open contracts granted (sold) on a foreign board of trade **0** [7337]
- 4. Net equity (deficit) (add lines 1. 2. and 3.) **2,078,332,680** [7345]
- 5. Account liquidating to a deficit and account with a debit balances - gross amount **1,229,029** [7351]  
Less: amount offset by customer owned securities **-1,222,212** [7352] **6,817** [7354]
- 6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5) **2,078,339,497** [7355]
- 7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. **2,078,339,497** [7360]

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

- 1. Cash in banks
  - A. Banks located in the United States **216,361,597** [7500]
  - B. Other banks qualified under Regulation 30.7 **0** [7520] **216,361,597** [7530]
- 2. Securities
  - A. In safekeeping with banks located in the United States **352,123,391** [7540]
  - B. In safekeeping with other banks qualified under Regulation 30.7 **0** [7560] **352,123,391** [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
  - 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 **1,298,136,698** [7700]
  - B. Securities **158,617,958** [7710]
  - C. Unrealized gain (loss) on open futures contracts **235,520,392** [7720]
  - D. Value of long option contracts **6,017,960** [7730]
  - E. Value of short option contracts **0** [7735] **1,698,293,008** [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 **2,266,777,996** [7770]
- 9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) **188,438,499** [7380]
- 10. Management Target Amount for Excess funds in separate section 30.7 accounts **75,000,000** [7780]
- 11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target **113,438,499** [7785]

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**Daily Segregation - Segregation Statement**

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

1.	Net ledger balance	
	A. Cash	<u>2,764,485,425</u> [7010]
	B. Securities (at market)	<u>2,596,874,511</u> [7020]
2.	Net unrealized profit (loss) in open futures contracts traded on a contract market	<u>162,901,386</u> [7030]
3.	Exchange traded options	
	A. Add market value of open option contracts purchased on a contract market	<u>221,098,389</u> [7032]
	B. Deduct market value of open option contracts granted (sold) on a contract market	<u>-183,668,486</u> [7033]
4.	Net equity (deficit) (add lines 1, 2 and 3)	<u>5,561,691,225</u> [7040]
5.	Accounts liquidating to a deficit and accounts with debit balances - gross amount	<u>46,438,730</u> [7045]
	Less: amount offset by customer securities	<u>-46,350,468</u> [7047] <u>88,262</u> [7050]
6.	Amount required to be segregated (add lines 4 and 5)	<u>5,561,779,487</u> [7060]
	FUNDS IN SEGREGATED ACCOUNTS	
7.	Deposited in segregated funds bank accounts	
	A. Cash	<u>135,412,813</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>104,500,374</u> [7090]
8.	Margins on deposit with derivatives clearing organizations of contract markets	
	A. Cash	<u>3,475,369,831</u> [7100]
	B. Securities representing investments of customers' funds (at market)	<u>182,543,338</u> [7110]
	C. Securities held for particular customers or option customers in lieu of cash (at market)	<u>2,492,374,137</u> [7120]
9.	Net settlement from (to) derivatives clearing organizations of contract markets	<u>11,480,965</u> [7130]
10.	Exchange traded options	
	A. Value of open long option contracts	<u>221,098,389</u> [7132]
	B. Value of open short option contracts	<u>-183,668,486</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>6,439,111,361</u> [7180]
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)	<u>877,331,874</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>727,331,874</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	<u>1,840,132,885</u> [8500]
	B. Securities (at market)	<u>392,465,392</u> [8510]
2.	Net unrealized profit (loss) in open cleared swaps	<u>-240,395,872</u> [8520]
3.	Cleared swaps options	
	A. Market value of open cleared swaps option contracts purchased	<u>0</u> [8530]
	B. Market value of open cleared swaps option contracts granted (sold)	<u>0</u> [8540]
4.	Net Equity (deficit) (add lines 1, 2, and 3)	<u>1,992,202,405</u> [8550]
5.	Accounts liquidating to a deficit and accounts with debit balances - gross amount	<u>5,555,469</u> [8560]
	Less: amount offset by customer owned securities	<u>-5,510,989</u> [8570] <u>44,480</u> [8580]
6.	Amount required to be segregated for cleared swaps customers (add lines 4 and 5)	<u>1,992,246,885</u> [8590]
	Funds in Cleared Swaps Customer Segregated Accounts	
7.	Deposited in cleared swaps customer segregated accounts at banks	
	A. Cash	<u>415,633,691</u> [8600]
	B. Securities representing investments of cleared swaps customers' funds (at market)	<u>0</u> [8610]
	C. Securities held for particular cleared swaps customers in lieu of cash (at market)	<u>200,765,995</u> [8620]
8.	Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts	
	A. Cash	<u>1,438,935,815</u> [8630]
	B. Securities representing investments of cleared swaps customers' funds (at market)	<u>0</u> [8640]
	C. Securities held for particular cleared swaps customers in lieu of cash (at market)	<u>191,699,397</u> [8650]
9.	Net settlement from (to) derivatives clearing organizations	<u>22,638,503</u> [8660]
10.	Cleared swaps options	
	A. Value of open cleared swaps long option contracts	<u>0</u> [8670]
	B. Value of open cleared swaps short option contracts	<u>0</u> [8680]
11.	Net equities with other FCMs	
	A. Net liquidating equity	<u>0</u> [8690]
	B. Securities representing investments of cleared swaps customers' funds (at market)	<u>0</u> [8700]
	C. Securities held for particular cleared swaps customers in lieu of cash (at market)	<u>0</u> [8710]
12.	Cleared swaps customer funds on hand	
	A. Cash	<u>0</u>
	B. Securities representing investments of cleared swaps customers' funds (at market)	<u>0</u>
	C. Securities held for particular cleared swaps customers in lieu of cash (at market)	<u>0 0</u> [8715]
13.	Total amount in cleared swaps customer segregation (add lines 7 through 12)	<u>2,269,673,401</u> [8720]
14.	Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)	<u>277,426,516</u> [8730]
15.	Management Target Amount for Excess funds in cleared swaps segregated accounts	<u>125,000,000</u> [8760]
16.	Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management	<u>152,426,516</u> [8770]