INITIAL End Date:7/6/2023 Firm Name: UBS Securities LLC Form:Daily Seg - FOCUS II Submit Date:7/7/2023 **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 0 [7305] 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 1,318,537,885 [7315] B. Securities (at market) 437,937,990 [7317] 2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade -185,811,127 [7325] 3. Exchange traded options a. Market value of open option contracts purchased on a foreign board of trade 6,450,176 [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.) 1,577,114,924 [7345] 5. Account liquidating to a deficit and account with a debit balances - gross amount 67,365,899 [7351] Less: amount offset by customer owned securities -67,325,202 [7352] 40,697 [7354] 6. Amount required to be set aside as the secured amount - Net Liquidating Equity 1,577,155,621 [7355] Method (add lines 4 and 5) 7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 1,577,155,621 [7360] 6. FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS 1. Cash in banks A. Banks located in the United States 259,231,932 [7500] B. Other banks qualified under Regulation 30.7 **0** [7520] **<u>259,231,932</u>** [7530] 2. Securities A. In safekeeping with banks located in the United States 373,619,461 [7540] B. In safekeeping with other banks gualified under Regulation 30.7 **0** [7560] **373,619,461** [7570] 3. Equities with registered futures commission merchants A. Cash 0 [7580] **B.** Securities <u>0</u> [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 <u>**0**</u> [7615] <u>**0**</u> [7620] 4. Amounts held by clearing organizations of foreign boards of trade A. Cash <u>0</u> [7640] **B.** Securities <u>0</u> [7650] C. Amount due to (from) clearing organization - daily variation <u>0</u> [7660] D. Value of long option contracts 0 [7670] E. Value of short option contracts <u>**0**</u> [7675] <u>**0**</u> [7680] 5. Amounts held by members of foreign boards of trade A. Cash 1,178,819,105 [7700] **B.** Securities 131,667,837 [7710] -185,811,127 [7720] C. Unrealized gain (loss) on open futures contracts D. Value of long option contracts 6,450,176 [7730] E. Value of short option contracts **0** [7735] **1,131,125,991** [7740] 6. Amounts with other depositories designated by a foreign board of trade <u>0</u> [7760] 7. Segregated funds on hand <u>0</u> [7765] 8. Total funds in separate section 30.7 accounts 1,763,977,384 [7770] 9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement 186,821,763 [7380] Page 1 from Line 8) 10. Management Target Amount for Excess funds in separate section 30.7 accounts 75,000,000 [7780] 111,821,763 [7785]

11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target

INITAL End Date:7/6/2023 Firm Name:UBS Securities LLC Form:Daily Segregation - Segregation Statement SECRECATION RECOUREMENTS(Section 4d(2) of the CEAct) 1. Net ledger balance A. Cash 2.597,848,498 [7010] B. Securities (at market) 2.515,460,489 [7020] 2. Net inegle trade options A. Add market value of open option contracts traded on a contract market 1.904,791,429 [7030] 3. Supplement trade options A. Add market value of open option contracts granted (sold) on a contract market 1.904,791,429 [7033] 4. Net equity (deficit) (add lines 1, 2 and 3) Supplement and the supplement on contracts granted (sold) on a contract market 1.904,791,429 [7045] 5. Accounts liquidating to a deficit and accounts with 1.24,768,961 [7045] 1.529,9347,135 [7060] 6. Amount required to be segregated (add lines 4 and 5) 5.999,285,232 [7070] 1.999,285,232 [7070] 7. Deposited in segregated funds bank accounts 1.922,820,822,92 [7080] 1.924,701,429 [7070] 8. Securities held for particular customers or option customers in leu of cash (at market) 1.953,824,922 [7080] 1.926,532 [7070] 1.926,532 [7070] 1.926,532 [7070]			
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INITIAL End Date:7/6/2023 Firm Name:UBS Securities LLC Form:Daily Seg - FOCUS II Submit Date:7/7/2023 Daily Segregation - Swaps Statement

	STATEMENT OF CLEARED SWAPS CUSTOMER SEGREGATION REQUIREMENTS AND	
	FUNDS IN CLEARED SWAPS CUSTOMER ACCOUNTS UNDER 4D(F) OF THE CEA	
4	Cleared Swaps Customer Requirements	
1.	Net ledger balance	
	A. Cash	<u>1,845,543,360</u> [8500]
-	B. Securities (at market)	<u>386,577,585</u> [8510]
2.	Net unrealized profit (loss) in open cleared swaps	<u>-276,434,489</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)	1,955,686,456 [8550]
5.	Accounts liquidating to a deficit and accounts with	
	debit balances - gross amount	28,603,226 [8560]
	Less: amount offset by customer owned securities	<u>-28,559,608</u> [8570] <u>43,618</u> [8580]
6.	Amount required to be segregated for cleared swaps customers (add lines 4 and 5)	<u>1,955,730,074</u> [8590]
	Funds in Cleared Swaps Customer Segregated Accounts	
7.	Deposited in cleared swaps customer segregated accounts at banks	
	A. Cash	<u>284,801,054</u> [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)	203,954,147 [8620]
8.	Margins on deposit with derivatives clearing organizations in cleared swaps customer	
	segregated accounts	
	A. Cash	1,613,812,546 [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)	<u>182,623,438</u> [8650]
9.	Net settlement from (to) derivatives clearing organizations	<u>-52,204,416</u> [8660]
10.	Cleared swaps options	<u></u> []
	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	<u>•</u> [0000]
	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</u> 0 [8715]
13.	Total amount in cleared swaps customer segregation (add lines 7 through 12)	<u>2,232,986,769</u> [8720]
14.	Excess (deficiency) funds in cleared swaps customer segregation (add lines 7 through 12)	
14.	line 13)	<u>277,256,695</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)	152,256,695 [8770]
	Management	