INITIAL End Date:7/20/2023 Firm Name:UBS Securities LLC Form:Daily Seg - FOCUS II Submit Date:7/21/2023 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 | <u>0</u> [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 | <u>1,266,893,794</u> [7315] |
| | B. Securities (at market) | 498,502,709 [7317] |
| 2. | Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade | 124,472,429 [7325] |
| 3. | Exchange traded options | |
| | a. Market value of open option contracts purchased on a foreign board of trade | <u>6,950,301</u> [7335] |
| | b. Market value of open contracts granted (sold) on a foreign board of trade | <u>0</u> [7337] |
| 4. | Net equity (deficit) (add lines 1. 2. and 3.) | 1,896,819,233 [7345] |
| 5. | Account liquidating to a deficit and account with a debit balances - gross amount | 11,391,807 [7351] |
| | Less: amount offset by customer owned securities | -11,336,870 [7352] 54,937 [7354] |
| 6. | Amount required to be set aside as the secured amount - Net Liquidating Equity | 1,896,874,170 [7355] |
| | Method (add lines 4 and 5) | |
| 7. | Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line | <u>1,896,874,170</u> [7360] |
| | 6. | |
| | FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS | |
| 1. | Cash in banks | |
| | A. Banks located in the United States | <u>239,998,917</u> [7500] |
| | B. Other banks qualified under Regulation 30.7 | <u>0</u> [7520] <u>239,998,917</u> [7530] |
| 2. | Securities | |
| | A. In safekeeping with banks located in the United States | <u>433,166,899</u> [7540] |
| | B. In safekeeping with other banks qualified under Regulation 30.7 | <u>0</u> [7560] <u>433,166,899</u> [7570] |
| 3. | Equities with registered futures commission merchants | |
| | A. Cash | <u>0</u> [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 | <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 | <u>0</u> [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 | <u>1,146,446,927</u> [7700] |
| | B. Securities | <u>133,374,121</u> [7710] |
| | C. Unrealized gain (loss) on open futures contracts | <u>124,472,429</u> [7720] |
| | D. Value of long option contracts | <u>6,950,301</u> [7730] |
| | E. Value of short option contracts | <u>0</u> [7735] <u>1,411,243,778</u> [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 | 2,084,409,594 [7770] |
| 9. | Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement | <u>187,535,424</u> [7380] |
| | Page 1 from Line 8) | |
| 10. | Management Target Amount for Excess funds in separate section 30.7 accounts | <u>75,000,000</u> [7780] |
| 11. | Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target | <u>112,535,424</u> [7785] |

| INITAL End Date:7/20/2023 Firm Name:UBS Securities LLC Form:Daily Segregation - Segregation Statement SEGRECATION REQUIREMENTS(Section 4d(2) of the CEAct) 1. Net ledger balance A. Cash 2,476.825.826 [7010] B. Securities (at market) 3,180.765.292 [7020] 2. Net unrealized profit (loss) in open futures contracts traded on a contract market 230.065.271 [7030] 3. Exchange traded options 217.2895.221 [7030] 4. Add market value of open option contracts granted (sold) on a contract market 230.065.271 [7033] 5. Accounts liquidating to a deficit and accounts with 12.218.609 [7045] 6. Accounts liquidating to a deficit and accounts with 102.205.794 [7047] 12.815 [7050] 6. Amount required to be segregated (add lines 4, 2 and 3) 5. 7. Deposited in segregated funds bank accounts 276.819.408 [7070] 8. Securities held for particular customers funds (at market) 2[7080] 9. Securities held for particular customers or option customers in lieu of cash (at market) 2.255.849.171 [7100] 10. Exchange traded options 2.225.849.171 [7100] 10. Exclustins he | | | |
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| Firm Name:UBS Securities LLC Porm:Daily Seg - FOCUS II Submit Date:77/1/2023 Daily Segregation - Segregation Statement SEGREGATION REQUIREMENTS(Section 4d(2) of the CEAct) 1. Net ledger balance A. Cash 2.476.825.826 [7010] B. Securities (at market) 3.180.765.227 [7020] 2. Net unrealized profit (loss) in open futures contracts traded on a contract market 401.317.122 [7030] 3. Exchange traded options 4.1289.521 [7033] 4. Add market value of open option contracts granted (sold) on a contract market 230.065.277 [7032] 5. Accounts liquidating to a deficit and accounts with 102.218.609 [7040] 6. Annount required to be segregated (add lines 4 and 5) 116.293.81 [7060] FUNDS IN SEGREGATED ACCOUNTS 102.218.609 [7045] 7. Deposited in segregated funds bank accounts 217.631.408 [7070] 8. Securities representing investments of customers' funds (at market) 9 [7080] 9. Securities representing investments of customers' funds (at market) 2.925.849.171 [7100] 8. Securities held for particular customers' funds (at market) 2.925.849.171 [7100] 9. Net settlement from (to) derivatives clearing organizations of contract markets 4.2456.251.698 [7140] 10. Exchange traded options <th></th> <th></th> <th></th> | | | |
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| _ | 16. | Excess (deficiency) funds in segregation over (under) Management Target Amount | 294,981,918 [7198] |
| Excess | | Excess | |

INITIAL End Date:7/20/2023 Firm Name:UBS Securities LLC Form:Daily Seg - FOCUS II Submit Date:7/21/2023 Daily Segregation - Swaps Statement

| | STATEMENT OF CLEARED SWAPS CUSTOMER SEGREGATION REQUIREMENTS AND | |
|-----|---|--|
| | FUNDS IN CLEARED SWAPS CUSTOMER ACCOUNTS UNDER 4D(F) OF THE CEA | |
| | Cleared Swaps Customer Requirements | |
| 1. | Net ledger balance | |
| | A. Cash | <u>1,660,686,876</u> [8500] |
| _ | B. Securities (at market) | <u>402,163,718</u> [8510] |
| 2. | Net unrealized profit (loss) in open cleared swaps | <u>-134,334,443</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>1,928,516,151</u> [8550] |
| 5. | Accounts liquidating to a deficit and accounts with | |
| | debit balances - gross amount | <u>32,693,846</u> [8560] |
| | Less: amount offset by customer owned securities | <u>-32,650,979</u> [8570] <u>42,867</u> [8580] |
| 6. | Amount required to be segregated for cleared swaps customers (add lines 4 and 5) | <u>1,928,559,018</u> [8590] |
| | Funds in Cleared Swaps Customer Segregated Accounts | |
| 7. | Deposited in cleared swaps customer segregated accounts at banks | |
| | A. Cash | 327,281,234 [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) | 214,860,247 [8620] |
| 8. | Margins on deposit with derivatives clearing organizations in cleared swaps customer | <u> </u> |
| | segregated accounts | |
| | A. Cash | <u>1,540,152,818</u> [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>187,303,471</u> [8650] |
| 9. | Net settlement from (to) derivatives clearing organizations | <u>-61,293,233</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>•</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>o</u> [8700] |
| | C. Securities held for particular cleared swaps customers in lieu of cash (at market) | <u>o</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) | |
| | C. Securities held for particular cleared swaps customers in lieu of cash (at market) | <u>0</u> <u>0</u> [8715] |
| 13. | Total amount in cleared swaps customer segregation (add lines 7 through 12) | <u>2,208,304,537</u> [8720] |
| 14. | | |
| 14. | Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13) | 279,745,519 [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) | 154,745,519 [8770] |
| | Management | |