

INITIAL

End Date:5/17/2024

Firm Name:UBS Securities LLC

Form:Daily Seg - FOCUS II

Submit Date:5/20/2024

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
 - A. Cash **1,153,843,663** [7315]
 - B. Securities (at market) **462,258,865** [7317]
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade **270,850,696** [7325]
3. Exchange traded options
 - a. Market value of open option contracts purchased on a foreign board of trade **12,004** [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.) **1,886,965,228** [7345]
5. Account liquidating to a deficit and account with a debit balances - gross amount **6,794,740** [7351]
Less: amount offset by customer owned securities **-6,783,871** [7352] **10,869** [7354]
6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5) **1,886,976,097** [7355]
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. **1,886,976,097** [7360]

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks
 - A. Banks located in the United States **415,413,282** [7500]
 - B. Other banks qualified under Regulation 30.7 **0** [7520] **415,413,282** [7530]
2. Securities
 - A. In safekeeping with banks located in the United States **165,493,078** [7540]
 - B. In safekeeping with other banks qualified under Regulation 30.7 **0** [7560] **165,493,078** [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 **865,055,425** [7700]
 - B. Securities **296,765,787** [7710]
 - C. Unrealized gain (loss) on open futures contracts **270,850,696** [7720]
 - D. Value of long option contracts **12,004** [7730]
 - E. Value of short option contracts **0** [7735] **1,432,683,912** [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 **2,013,590,272** [7770]
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) **126,614,175** [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 **51,614,175** [7785]

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Daily Segregation - Segregation Statement

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

1.	Net ledger balance	
	A. Cash	<u>3,849,769,540</u> [7010]
	B. Securities (at market)	<u>2,374,206,488</u> [7020]
2.	Net unrealized profit (loss) in open futures contracts traded on a contract market	<u>519,051,072</u> [7030]
3.	Exchange traded options	
	A. Add market value of open option contracts purchased on a contract market	<u>259,379,893</u> [7032]
	B. Deduct market value of open option contracts granted (sold) on a contract market	<u>-250,142,772</u> [7033]
4.	Net equity (deficit) (add lines 1, 2 and 3)	<u>6,752,264,221</u> [7040]
5.	Accounts liquidating to a deficit and accounts with debit balances - gross amount	<u>31,376,616</u> [7045]
	Less: amount offset by customer securities	<u>-31,367,005</u> [7047] <u>9,611</u> [7050]
6.	Amount required to be segregated (add lines 4 and 5)	<u>6,752,273,832</u> [7060]
	FUNDS IN SEGREGATED ACCOUNTS	
7.	Deposited in segregated funds bank accounts	
	A. Cash	<u>285,677,457</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>334,736,398</u> [7090]
8.	Margins on deposit with derivatives clearing organizations of contract markets	
	A. Cash	<u>4,377,605,716</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>2,039,470,090</u> [7120]
9.	Net settlement from (to) derivatives clearing organizations of contract markets	<u>8,038,343</u> [7130]
10.	Exchange traded options	
	A. Value of open long option contracts	<u>259,379,893</u> [7132]
	B. Value of open short option contracts	<u>-250,142,772</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>7,054,765,125</u> [7180]
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)	<u>302,491,293</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>152,491,293</u> [7198]

INITIAL**End Date:5/17/2024****Firm Name:UBS Securities LLC****Form:Daily Seg - FOCUS II****Submit Date:5/20/2024****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>957,452,891</u> [8500]
	B. Securities (at market) <u>415,808,018</u> [8510]
2.	Net unrealized profit (loss) in open cleared swaps <u>-210,652,465</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>1,162,608,444</u> [8550]
5.	Accounts liquidating to a deficit and accounts with debit balances - gross amount <u>22,599,744</u> [8560]
	Less: amount offset by customer owned securities <u>-22,543,667</u> [8570] <u>56,077</u> [8580]
6.	Amount required to be segregated for cleared swaps customers (add lines 4 and 5) <u>1,162,664,521</u> [8590]
7.	Funds in Cleared Swaps Customer Segregated Accounts
	Deposited in cleared swaps customer segregated accounts at banks
	A. Cash <u>223,902,338</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>171,323,215</u> [8620]
8.	Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts
	A. Cash <u>777,027,107</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>244,484,803</u> [8650]
9.	Net settlement from (to) derivatives clearing organizations <u>-23,422,865</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</u> [8715]
13.	Total amount in cleared swaps customer segregation (add lines 7 through 12) <u>1,393,314,598</u> [8720]
14.	Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13) <u>230,650,077</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>105,650,077</u> [8770]