

INITIAL

End Date:12/4/2023

Firm Name:UBS Securities LLC

Form:Daily Seg - FOCUS II

Submit Date:12/5/2023

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	0 [7305]
	A. Cash	1,082,265,245 [7315]
	B. Securities (at market)	370,045,841 [7317]
2.	Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	297,483,510 [7325]
3.	Exchange traded options	
	a. Market value of open option contracts purchased on a foreign board of trade	190 [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.)	1,749,794,786 [7345]
5.	Account liquidating to a deficit and account with a debit balances - gross amount	2,723,429 [7351]
	Less: amount offset by customer owned securities	-2,716,887 [7352] 6,542 [7354]
6.	Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	1,749,801,328 [7355]
7.	Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	1,749,801,328 [7360]

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1.	Cash in banks	
	A. Banks located in the United States	318,702,917 [7500]
	B. Other banks qualified under Regulation 30.7	0 [7520] 318,702,917 [7530]
2.	Securities	
	A. In safekeeping with banks located in the United States	225,593,773 [7540]
	B. In safekeeping with other banks qualified under Regulation 30.7	0 [7560] 225,593,773 [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	840,162,802 [7700]
	B. Securities	212,620,161 [7710]
	C. Unrealized gain (loss) on open futures contracts	297,483,510 [7720]
	D. Value of long option contracts	190 [7730]
	E. Value of short option contracts	0 [7735] 1,350,266,663 [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	1,894,563,353 [7770]
9.	Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)	144,762,025 [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	69,762,025 [7785]

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Daily Segregation - Segregation Statement

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

1.	Net ledger balance	
	A. Cash	<u>1,919,403,308</u> [7010]
	B. Securities (at market)	<u>3,474,105,561</u> [7020]
2.	Net unrealized profit (loss) in open futures contracts traded on a contract market	<u>1,227,196,800</u> [7030]
3.	Exchange traded options	
	A. Add market value of open option contracts purchased on a contract market	<u>185,377,208</u> [7032]
	B. Deduct market value of open option contracts granted (sold) on a contract market	<u>-162,474,251</u> [7033]
4.	Net equity (deficit) (add lines 1, 2 and 3)	<u>6,643,608,626</u> [7040]
5.	Accounts liquidating to a deficit and accounts with debit balances - gross amount	<u>98,506,243</u> [7045]
	Less: amount offset by customer securities	<u>-98,498,675</u> [7047] <u>7,568</u> [7050]
6.	Amount required to be segregated (add lines 4 and 5)	<u>6,643,616,194</u> [7060]
	FUNDS IN SEGREGATED ACCOUNTS	
7.	Deposited in segregated funds bank accounts	
	A. Cash	<u>272,936,998</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>554,986,555</u> [7090]
8.	Margins on deposit with derivatives clearing organizations of contract markets	
	A. Cash	<u>3,048,491,565</u> [7100]
	B. Securities representing investments of customers' funds (at market)	<u>182,906,163</u> [7110]
	C. Securities held for particular customers or option customers in lieu of cash (at market)	<u>2,919,119,006</u> [7120]
9.	Net settlement from (to) derivatives clearing organizations of contract markets	<u>49,382,880</u> [7130]
10.	Exchange traded options	
	A. Value of open long option contracts	<u>185,377,208</u> [7132]
	B. Value of open short option contracts	<u>-162,474,251</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>7,050,726,124</u> [7180]
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)	<u>407,109,930</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>257,109,930</u> [7198]

INITIAL**End Date:12/4/2023****Firm Name:UBS Securities LLC****Form:Daily Seg - FOCUS II****Submit Date:12/5/2023****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>992,161,527</u> [8500]
	B. Securities (at market) <u>437,093,563</u> [8510]
2.	Net unrealized profit (loss) in open cleared swaps <u>-235,220,068</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>1,194,035,022</u> [8550]
5.	Accounts liquidating to a deficit and accounts with debit balances - gross amount <u>3,584,598</u> [8560]
	Less: amount offset by customer owned securities <u>-3,539,255</u> [8570] <u>45,343</u> [8580]
6.	Amount required to be segregated for cleared swaps customers (add lines 4 and 5) <u>1,194,080,365</u> [8590]
7.	Funds in Cleared Swaps Customer Segregated Accounts
	Deposited in cleared swaps customer segregated accounts at banks
	A. Cash <u>236,557,876</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>219,365,847</u> [8620]
8.	Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts
	A. Cash <u>796,483,888</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>217,727,716</u> [8650]
9.	Net settlement from (to) derivatives clearing organizations <u>10,476,042</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>1,480,611,369</u> [8720]
14.	Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13) <u>286,531,004</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>161,531,004</u> [8770]