

## Owners and Executive Officers

☐ Direct Owners & Officers

☐ Indirect Owners

The owners/officers listed below are reported on your firm's Form BD. The displayed information is current as of the previous day. If it is no longer accurate, your firm should amend your Form BD through Web CRD. [Click here to amend Form BD](#)

Full Legal Name	Title or Status	Title or Status Acquired	Percent Ownership	Control Person	Public Reporting Company
<b>Individual</b>					
<u>CONNORS, JOHN THOMAS MR.</u>	EXECUTIVE DIRECTOR-CORPORATE LEGAL AND GOVERNANCE	04/01/2014	Less than 5%	No	No
<u>ROY, DYLAN JOSEPH</u>	MANAGING DIRECTOR-TRADING TEAM LEADER	09/01/2015	Less than 5%	Yes	No
<u>MOLINARO, SAMUEL</u>	GROUP MANAGING DIRECTOR-CHAIRMAN OF THE BOARD	04/01/2016	Less than 5%	Yes	No
<u>MATTONE, RALPH MICHAEL</u>	PRINCIPAL FINANCIAL OFFICER	12/01/2016	Less than 5%	Yes	No
<u>VAN TASSEL, JAMES C</u>	MANAGING DIRECTOR, US EQUITIES RESEARCH	06/01/2017	Less than 5%	Yes	No
<u>LOFTUS, MICHAEL L</u>	MANAGING ATTORNEY, INVESTMENT BANKING & CAPITAL MARKETS	02/01/2018	Less than 5%	No	No
<u>MUNFA, LAUREN K</u>	CHIEF COMPLIANCE OFFICER	08/01/2019	Less than 5%	No	No
<u>CAPANNA, DEREK EMMETT</u>	PRESIDENT	02/01/2021	Less than 5%	Yes	No
<u>VON REDDEN, LISA</u>	PRINCIPAL OPERATIONS OFFICER	07/01/2021	Less than 5%	Yes	No
<b>Domestic Entity</b>					
UBS AMERICAS INC	MEMBER, VOTING	10/01/2003	50% but less than 75%	Yes	No
UBS AMERICAS HOLDING LLC	SHAREHOLDER	08/01/2015	Less than 5%	Yes	No
<b>Foreign Entity</b>					
<b>No Information Available.</b>					