

## Direct Owners/Executive Officers

Organization CRD Number: 7654

Organization Name: UBS SECURITIES LLC

Organization SEC Number: 8-22651

Applicant Name: UBS SECURITIES LLC-

[View IA Record](#)

Full Legal Name	Domestic, Foreign, Individual	Status	Date Status Acquired	Ownership Code	Control person	Public Reporting Company	CRD#, EIN, SSN, IRS#
<del>CONNORS, JOHN THOMAS</del> <del>MR. NIETO, CALLUM</del>	Individual	<del>EXECUTIVE DIRECTOR- CORPORATE LEGAL AND GOVERNANCE</del> <del>PRINCIPAL OPERATIONS OFFICER</del>	<del>04/2014</del> <del>01/2023</del>	Less than 5%	N	N	<del>2433007</del> <del>6765482</del>
UBS AMERICAS HOLDING LLC	Domestic Entity	SHAREHOLDER	08/2015	Less than 5%	Y	N	47-4954572
UBS AMERICAS INC	Domestic Entity	MEMBER, VOTING	10/2003	50% but less than 75%	Y	N	06-1595848
MUNFA, LAUREN K	Individual	CHIEF COMPLIANCE OFFICER	08/2019	Less than 5%	N	N	4431011
VAN TASSEL, JAMES C	Individual	MANAGING DIRECTOR, US EQUITIES RESEARCH	06/2017	Less than 5%	Y	N	2558212
MATTONE, RALPH MICHAEL	Individual	PRINCIPAL FINANCIAL OFFICER	12/2016	Less than 5%	Y	N	1840894
MOLINARO, SAMUEL	Individual	GROUP MANAGING DIRECTOR- CHAIRMAN OF THE BOARD	04/2016	Less than 5%	Y	N	2414084
LOFTUS, MICHAEL L	Individual	MANAGING ATTORNEY, INVESTMENT BANKING & CAPITAL MARKETS	02/2018	Less than 5%	N	N	4176467
CAPANNA, DEREK EMMETT	Individual	PRESIDENT	02/2021	Less than 5%	Y	N	2401898
SANBORN, MARK WILSON	Individual	MANAGING DIRECTOR	05/2022	Less than 5%	N	N	1805781
<del>WHITTLE, JOHN DONALD</del>	Individual	<del>PRINCIPAL OPERATIONS OFFICER</del>	<del>04/2022</del>	<del>Less than 5%</del>	<del>Y</del>	<del>N</del>	<del>6146678</del>