

## 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#
NIETO, CALLUM	Individual	PRINCIPAL OPERATIONS OFFICER	01/2023	Less than 5%	N	N	<a href="#">6765482</a>
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	<a href="#">4431011</a>
VAN TASSEL, JAMES C	Individual	MANAGING DIRECTOR, US EQUITIES RESEARCH	06/2017	Less than 5%	Y	N	<a href="#">2558212</a>
MATTONI, RALPH MICHAEL	Individual	PRINCIPAL FINANCIAL OFFICER	12/2016	Less than 5%	Y	N	<a href="#">1840894</a>
LOFTUS, MICHAEL L	Individual	MANAGING ATTORNEY, INVESTMENT BANKING & CAPITAL MARKETS	02/2018	Less than 5%	N	N	<a href="#">4176467</a>
CAPANNA, DEREK EMMETT	Individual	PRESIDENT	02/2021	Less than 5%	Y	N	<a href="#">2401898</a>
SANBORN, MARK WILSON	Individual	MANAGING DIRECTOR	05/2022	Less than 5%	N	N	<a href="#">1805781</a>