

Direct Owners/Executive Officers

Organization CRD Number: 7654 Organization Primary Business Name: UBS SECURITIES LLC BD Number: 7654
 Organization SEC Number: 8-22651 Applicant Name: UBS SECURITIES LLC View IA Record

BD - AMENDMENT

03/04/2024

BD - DIRECT OWNERS/EXECUTIVE OFFICERS

Are there any indirect owners of the applicant required to be reported on Schedule B?

Yes N o

Ownership Codes:
than 75%

NA - less than 5%

B - 10% but less than 25%

D - 50% but less

A - 5% but less than 10%

C - 25% but less than 50%

E - 75% or more

Full Legal Name	Domestic, Foreign, Individual <u>DE/ FE/ I</u>	<u>Title or Status</u>	<u>Date Status Acquired</u>	<u>Ownership</u> <u>Code</u>	<u>Control person</u> <u>Person</u>	<u>Public Reporting Company</u> <u>PR</u>	<u>CRD #, EIN, SSN (or S.S.No., IRS Tax #, Emp. ID)</u>
NIETO, CALLUM	Individual <u>I</u>	PRINCIPAL OPERATIONS OFFICER	01/2023	Less than 5% <u>NA</u>	N	N	6765482
HAZELWOOD, TRICIA	Individual <u>I</u>	MANAGING DIRECTOR, HEAD OF GLOBAL MARKETS AMERICAS <u>PRESIDENT AND CHAIR OF THE BOARD</u>	08/2023 <u>2024</u>	Less than 5% <u>NA</u>	Y	N	4232035
UBS AMERICAS INC	Domestic Entity <u>DE</u>	MEMBER, VOTING	10/2003	50% but less than 75% <u>D</u>	Y	N	061595848
VAN TASSEL, JAMES C	Individual <u>I</u>	MANAGING DIRECTOR, US EQUITIES RESEARCH	06/2017	Less than 5% <u>NA</u>	Y	N	2558212
MATTONE, RALPH MICHAEL	Individual <u>I</u>	PRINCIPAL FINANCIAL OFFICER	12/2016	Less than 5% <u>NA</u>	Y	N	1840894
LOFTUS, MICHAEL L	Individual <u>I</u>	MANAGING ATTORNEY, INVESTMENT BANKING & CAPITAL MARKETS	02/2018	Less than 5% <u>NA</u>	N	N	4176467
CAPANNA, DEREK EMMETT	Individual <u>I</u>	PRESIDENT	02/2021	Less than 5%	Y	N	2401898
DIMARCO, PATRICK M	Individual <u>I</u>	CHIEF COMPLIANCE OFFICER	09/2023	Less than 5% <u>NA</u>	N	N	4549136