

**SUPPLEMENT TO
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
PART II**

BROKER OR DEALER:	UBS SECURITIES LLC	as of: 12/31/2013
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**STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION
FOR CUSTOMERS TRADING ON U.S. COMMODITY EXCHANGES**

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

1. Net ledger balance				
A. Cash	\$ 3,885,605,351	7010		
B. Securities (at market)	4,762,400,271	7020		
2. Net unrealized profit (loss) in open futures contracts traded on a contract market	(468,171,325)	7030		
3. Exchange traded options				
A. Add market value of open option contracts purchased on a contract market	1,112,436,024	7032		
B. Deduct market value of open option contracts granted (sold) on a contract market	(1,103,061,257)	7033		
4. Net equity (deficit) (add lines 1, 2 and 3)	8,189,209,064	7040		
5. Accounts liquidating to a deficit and accounts with debit balances				
- gross amount	124,696,457	7045		
Less: amount offset by customer securities	(122,173,522)	7047	2,522,935	7050
6. Amount required to be segregated (add lines 4 and 5)			\$ 8,191,731,999	7060

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts				
A. Cash	47,267,141	7070		
B. Securities representing investments of customers' funds (at market)	795,000,000	7080		
C. Securities held for particular customers or option customers in lieu of cash (at market)	1,643,008,316	7090		
8. Margins on deposit with derivatives clearing organizations of contract markets				
A. Cash	2,305,024,996	7100		
B. Securities representing investments of customers' funds (at market)	843,669,848	7110		
C. Securities held for particular customers or option customers in lieu of cash (at market)	3,119,391,955	7120		
9. Net settlement from (to) derivatives clearing organizations of contract markets	24,121,162	7130		
10. Exchange traded options				
A. Value of open long option contracts	1,112,436,024	7132		
B. Value of open short option contracts	(1,103,061,257)	7133		
11. Net equities with other FCMs				
A. Net liquidating equity	0	7140		
B. Securities representing investments of customers' funds (at market)	0	7160		
C. Securities held for particular customers or option customers in lieu of cash (at market)	0	7170		
12. Segregated funds on hand (describe:)	0	7150		
13. Total amount in segregation (add lines 7 through 12)	8,786,858,185	7180		
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)	\$ 595,126,186	7190		

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**STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION
FOR CUSTOMERS' DEALER OPTIONS ACCOUNTS**

1.	Amount required to be segregated in accordance with Commission regulation 32.6		\$ 0	7200
2.	Funds in segregated accounts			
	A. Cash	\$ 0		7210
	B. Securities (at market)	0		7220
	C. Total		0	7230
3.	Excess (deficiency) funds in segregation (subtract line 1. from line 2.C.)		\$ 0	7240

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BROKER OR DEALER: UBS SECURITIES LLC

as of: 12/31/2013

**STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS
FOR FOREIGN FUTURES AND FOREIGN OPTIONS CUSTOMERS
PURSUANT TO COMMISSION REGULATION 30.7**

FOREIGN FUTURES AND FOREIGN OPTIONS SECURED AMOUNTS - SUMMARY

I. Check the appropriate box to identify the amount shown on line 1. below:

- 7300 Secured amounts in only U.S.-domiciled customers' accounts
- 7310 Secured amounts in U.S. and foreign-domiciled customers' accounts
- 7320 Net liquidating equities in all accounts of customers trading on foreign boards of trade
- 7330 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

II. Has the FCM changed the method of calculating the amount to be set aside in separate accounts since the last financial report it filed?

- Yes 7340 If Yes, explain the change below.
- No 7350

1. Amount to be set aside in separate section 30.7 accounts	\$ 3,818,659,551	<input type="checkbox"/> 7360
2. Total funds in separate section 30.7 accounts (page T10-4, line 8)	4,236,223,124	<input type="checkbox"/> 7370
3. Excess (deficiency) - (subtract line 1 from line 2)	\$ 417,563,573	<input type="checkbox"/> 7380

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**STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS
FOR FOREIGN FUTURES AND FOREIGN OPTIONS CUSTOMERS
PURSUANT TO COMMISSION REGULATION 30.7**

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in banks			
A.	Banks located in the United States	\$ 21,740,337	7500
B.	Other banks designated by the Commission		
	Name(s): <u>See Attached</u>	0	7520
	7510	\$ 21,740,337	7530
2. Securities			
A.	In safekeeping with banks located in the United States	\$ 390,645,390	7540
B.	In safekeeping with other banks designated by the Commission		
	Name(s): <u>See Attached</u>	0	7560
	7550	390,645,390	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			
	Name(s): <u>See Attached</u>	\$ 509,391	7640
	7630	0	7650
A.	Cash	848,612	7660
B.	Securities	6,079	7670
C.	Amount due to (from) clearing organization - daily variation	0	7675
D.	Value of long option contracts		
E.	Value of short option contracts	1,364,082	7680
5. Amounts held by members of foreign boards of trade			
	Name(s): <u>See Attached</u>	\$ 1,390,623,770	7700
	7690	1,552,785,674	7710
A.	Cash	805,404,934	7720
B.	Securities	73,666,024	7730
C.	Unrealized gain (loss) on open futures contracts	(7,087)	7735
D.	Value of long option contracts		
E.	Value of short option contracts	3,822,473,315	7740
6. Amounts with other depositories designated by a foreign board of trade			
	Name(s): _	0	7760
	7750		
7. Segregated funds on hand (describe): _			
		0	7765
8. Total funds in separate section 30.7 accounts (to page T10-3, line 2)			
		<u>\$ 4,236,223,124</u>	7770

A. If any securities shown above are other than the types of securities referred to in CFTC Regulation 1.25, attach a separate schedule detailing the obligations shown on each such line.

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	\$83,490,729	8500	
	B. Securities (at market)	157,873,799	8510	
2.	Net unrealized profit (loss) in open cleared swaps	338,677,518	8520	
3.	Cleared swaps options			
	A. Market value of open cleared swaps option contracts purchased	0	8530	
	B. Market value of open cleared swaps option contracts granted (sold)	0	8540	
4.	Net equity (deficit) (add lines 1, 2, and 3)	\$580,042,046	8550	
5.	Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$5,355,286	8560	
	Less: amount offset by customer owned securities	(5,351,945)	8570	
		3,341	8580	
6.	Amount required to be segregated for cleared swaps customers (add lines 4 and 5)	\$580,045,387	8590	

Funds in Cleared Swaps Customer Segregated Accounts

7.	Deposited in cleared swaps customer segregated accounts at banks			
	A. Cash	\$29,231,097	8600	
	B. Securities representing investments of cleared swaps customers' funds (at market)	90,000,000	8610	
	C. Securities held for particular cleared swaps customers in lieu of cash (at market)	157,873,799	8620	
8.	Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts			
	A. Cash	511,989,204	8630	
	B. Securities representing investments of cleared swaps customers' funds (at market)	0	8640	
	C. Securities held for particular cleared swaps customers in lieu of cash (at market)	0	8650	
9.	Net settlement from (to) derivatives clearing organizations	7,492,557	8660	
10.	Cleared swaps options			
	A. Value of open cleared swaps long option contracts	0	8670	
	B. Value of open cleared swaps short option contracts	0	8680	
11.	Net equities with other FCMs			
	A. Net liquidating equity	0	8690	
	B. Securities representing investments of cleared swaps customers' funds (at market)	0	8700	
	C. Securities held for particular cleared swaps customers in lieu of cash (at market)	0	8710	
12.	Cleared swaps customer funds on hand (describe:)	0	8715	
13.	Total amount in cleared swaps customer segregation (add lines 7 through 12)	\$796,586,657	8720	
14.	Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)	\$216,541,270	8730	
15.	The aggregate performance bond requirement for all customer and house accounts containing CME-cleared IRS and CDS positions. (Applicable for FCMs and broker-dealers which clear CME-cleared IRS and/or CDS products for customer or house accounts)	\$ 0	8750	