

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

<b>BROKER OR DEALER:</b>	UBS SECURITIES LLC	as of: 11/30/2013
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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	\$ 3,543,223,662	7010
	B. Securities (at market)	4,897,771,412	7020
2.	Net unrealized profit (loss) in open futures contracts traded on a contract market	(156,276,648)	7030
3.	Exchange traded options		
	A. Add market value of open option contracts purchased on a contract market	1,121,279,603	7032
	B. Deduct market value of open option contracts granted (sold) on a contract market	(1,170,519,122)	7033
4.	Net equity (deficit) (add lines 1, 2 and 3)	8,235,478,907	7040
5.	Accounts liquidating to a deficit and accounts with debit balances		
	- gross amount	21,135,405	7045
	Less: amount offset by customer securities	(20,438,363)	7047
		697,042	7050
6.	Amount required to be segregated (add lines 4 and 5)	\$ 8,236,175,949	7060

**FUNDS IN SEGREGATED ACCOUNTS**

7.	Deposited in segregated funds bank accounts		
	A. Cash	323,360,036	7070
	B. Securities representing investments of customers' funds (at market)	625,000,001	7080
	C. Securities held for particular customers or option customers in lieu of cash (at market)	1,313,841,581	7090
8.	Margins on deposit with derivatives clearing organizations of contract markets		
	A. Cash	2,682,608,589	7100
	B. Securities representing investments of customers' funds (at market)	450,684,788	7110
	C. Securities held for particular customers or option customers in lieu of cash (at market)	3,583,929,831	7120
9.	Net settlement from (to) derivatives clearing organizations of contract markets	(26,023,747)	7130
10.	Exchange traded options		
	A. Value of open long option contracts	1,121,279,603	7132
	B. Value of open short option contracts	(1,170,519,122)	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)	8,904,161,560	7180
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)	\$ 667,985,611	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: 11/30/2013

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	\$ 3,929,998,628	7360
2. Total funds in separate section 30.7 accounts (page T10-4, line 8)	4,395,929,840	7370
3. Excess (deficiency) - (subtract line 1 from line 2)	\$ 465,931,212	7380

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as of: 11/30/2013

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		\$ 12,753,339	7500		
B. Other banks designated by the Commission					
Name(s): <u>See Attached</u>	7510	0	7520	\$ 12,753,339	7530
2. Securities					
A. In safekeeping with banks located in the United States		\$ 535,794,397	7540		
B. In safekeeping with other banks designated by the Commission					
Name(s): <u>See Attached</u>	7550	0	7560	535,794,397	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>	7630				
A. Cash		\$ 2,777,901	7640		
B. Securities		0	7650		
C. Amount due to (from) clearing organization - daily variation		(30,050)	7660		
D. Value of long option contracts		36,944	7670		
E. Value of short option contracts		0	7675	2,784,795	7680
5. Amounts held by members of foreign boards of trade					
Name(s): <u>See Attached</u>	7690				
A. Cash		\$ 1,509,703,434	7700		
B. Securities		1,535,430,303	7710		
C. Unrealized gain (loss) on open futures contracts		706,307,672	7720		
D. Value of long option contracts		93,494,381	7730		
E. Value of short option contracts		(338,481)	7735	3,844,597,309	7740
6. Amounts with other depositories designated by a foreign board of trade					
Name(s): _	7750			0	7760
7. Segregated funds on hand (describe): _				0	7765
8. Total funds in separate section 30.7 accounts (to page T10-3, line 2)				<u>\$ 4,395,929,840</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			\$(70,303,551)	8500
B. Securities (at market)			184,294,805	8510
2. Net unrealized profit (loss) in open cleared swaps			334,295,325	8520
3. Cleared swaps options				
A. Market value of open cleared swaps option contracts purchased			70,665	8530
B. Market value of open cleared swaps option contracts granted (sold)			0	8540
4. Net equity (deficit) (add lines 1, 2, and 3)			\$448,357,244	8550
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$1,298,575	8560		
Less: amount offset by customer owned securities	(1,234,927)	8570	63,648	8580
6. Amount required to be segregated for cleared swaps customers (add lines 4 and 5)			\$448,420,892	8590

Funds in Cleared Swaps Customer Segregated Accounts

7. Deposited in cleared swaps customer segregated accounts at banks				
A. Cash			\$14,441,421	8600
B. Securities representing investments of cleared swaps customers' funds (at market)			100,000,000	8610
C. Securities held for particular cleared swaps customers in lieu of cash (at market)			117,286,943	8620
8. Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts				
A. Cash			264,041,215	8630
B. Securities representing investments of cleared swaps customers' funds (at market)			104,276,542	8640
C. Securities held for particular cleared swaps customers in lieu of cash (at market)			67,007,862	8650
9. Net settlement from (to) derivatives clearing organizations			(1,744,814)	8660
10. Cleared swaps options				
A. Value of open cleared swaps long option contracts			70,665	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)			\$665,379,834	8720
14. Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)			\$216,958,942	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