

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

BROKER OR DEALER:	UBS SECURITIES LLC	as of: 10/31/2013
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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	\$ 3,189,643,810		7010
	B. Securities (at market)	4,866,499,251		7020
		9,005,182		7030
2.	Net unrealized profit (loss) in open futures contracts traded on a contract market			
3.	Exchange traded options			
	A. Add market value of open option contracts purchased on a contract market	1,296,191,959		7032
	B. Deduct market value of open option contracts granted (sold) on a contract market	(1,238,210,074)		7033
		8,123,130,128		7040
4.	Net equity (deficit) (add lines 1, 2 and 3)			
5.	Accounts liquidating to a deficit and accounts with debit balances			
	- gross amount	122,585,409		7045
	Less: amount offset by customer securities	(120,400,365)		7047
		2,185,044		7050
6.	Amount required to be segregated (add lines 4 and 5)	\$ 8,125,315,172		7060

FUNDS IN SEGREGATED ACCOUNTS

7.	Deposited in segregated funds bank accounts			
	A. Cash	122,632,277		7070
	B. Securities representing investments of customers' funds (at market)	149,973,968		7080
	C. Securities held for particular customers or option customers in lieu of cash (at market)	2,139,043,986		7090
		3,650,652,042		7100
8.	Margins on deposit with derivatives clearing organizations of contract markets			
	A. Cash	0		7110
	B. Securities representing investments of customers' funds (at market)	2,727,455,265		7120
	C. Securities held for particular customers or option customers in lieu of cash (at market)	(64,812,864)		7130
		1,296,191,959		7132
	B. Value of open short option contracts	(1,238,210,074)		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
		0		7150
12.	Segregated funds on hand (describe:)			
13.	Total amount in segregation (add lines 7 through 12)	8,782,926,559		7180
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)	\$ 657,611,387		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: 10/31/2013

**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	\$ 4,274,826,663	7360
2. Total funds in separate section 30.7 accounts (page T10-4, line 8)	4,707,694,791	7370
3. Excess (deficiency) - (subtract line 1 from line 2)	\$ 432,868,128	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	\$ 21,670,747	7500	
B. Other banks designated by the Commission			
Name(s): <u>See Attached</u>	0	7520	\$ 21,670,747
			7530
2. Securities			
A. In safekeeping with banks located in the United States	\$ 625,634,848	7540	
B. In safekeeping with other banks designated by the Commission			
Name(s): <u>See Attached</u>	0	7560	625,634,848
			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	\$ 3,330,374	7640	
B. Securities	0	7650	
C. Amount due to (from) clearing organization - daily variation	287,174	7660	
D. Value of long option contracts	19,097	7670	
E. Value of short option contracts	(18,794)	7675	3,617,851
			7680
5. Amounts held by members of foreign boards of trade			
Name(s): <u>See Attached</u>		7690	
A. Cash	\$ 1,441,104,650	7700	
B. Securities	1,665,443,059	7710	
C. Unrealized gain (loss) on open futures contracts	838,017,680	7720	
D. Value of long option contracts	112,710,178	7730	
E. Value of short option contracts	(504,222)	7735	4,056,771,345
			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)			
			\$ 4,707,694,791
			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			\$(73,224,608)	8500
B. Securities (at market)			241,336,574	8510
2. Net unrealized profit (loss) in open cleared swaps			268,089,255	8520
3. Cleared swaps options				
A. Market value of open cleared swaps option contracts purchased			236,835	8530
B. Market value of open cleared swaps option contracts granted (sold)			0	8540
4. Net equity (deficit) (add lines 1, 2, and 3)			\$436,438,056	8550
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$1,811,236	8560		
Less: amount offset by customer owned securities	(1,484,973)	8570	326,263	8580
6. Amount required to be segregated for cleared swaps customers (add lines 4 and 5)			\$436,764,319	8590

Funds in Cleared Swaps Customer Segregated Accounts

7. Deposited in cleared swaps customer segregated accounts at banks				
A. Cash			\$19,809,554	8600
B. Securities representing investments of cleared swaps customers' funds (at market)			0	8610
C. Securities held for particular cleared swaps customers in lieu of cash (at market)			209,210,821	8620
8. Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts				
A. Cash			395,166,159	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)			32,125,753	8650
9. Net settlement from (to) derivatives clearing organizations			(2,479,089)	8660
10. Cleared swaps options				
A. Value of open cleared swaps long option contracts			236,835	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)			\$654,070,033	8720
14. Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)			\$217,305,714	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