

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

**BROKER OR DEALER:**

UBS SECURITIES LLC

as of: 09/30/2013

**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		\$ 3,147,630,268		7010
B. Securities (at market)		5,105,829,159		7020
2. Net unrealized profit (loss) in open futures contracts traded on a contract market		(230,301,614)		7030
3. Exchange traded options				
A. Add market value of open option contracts purchased on a contract market		1,307,385,956		7032
B. Deduct market value of open option contracts granted (sold) on a contract market		(1,254,471,404)		7033
4. Net equity (deficit) (add lines 1, 2 and 3)		8,076,072,365		7040
5. Accounts liquidating to a deficit and accounts with debit balances				
- gross amount	159,610,274		7045	
Less: amount offset by customer securities	(157,216,628)		7047	
		2,393,646		7050
6. Amount required to be segregated (add lines 4 and 5)		\$ 8,078,466,011		7060

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts				
A. Cash		27,913,426		7070
B. Securities representing investments of customers' funds (at market)		1,175,994,634		7080
C. Securities held for particular customers or option customers in lieu of cash (at market)		1,512,093,563		7090
8. Margins on deposit with derivatives clearing organizations of contract markets				
A. Cash		1,129,875,780		7100
B. Securities representing investments of customers' funds (at market)		1,273,979,323		7110
C. Securities held for particular customers or option customers in lieu of cash (at market)		3,593,735,596		7120
9. Net settlement from (to) derivatives clearing organizations of contract markets		(40,624,256)		7130
10. Exchange traded options				
A. Value of open long option contracts		1,307,385,956		7132
B. Value of open short option contracts		(1,254,471,404)		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)		8,725,882,618		7180
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)		\$ 647,416,607		7190

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<b>BROKER OR DEALER:</b>	UBS SECURITIES LLC	as of: 09/30/2013
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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: 09/30/2013

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	\$ 4,379,811,074	7360
2. Total funds in separate section 30.7 accounts (page T10-4, line 8)	4,800,087,745	7370
3. Excess (deficiency) - (subtract line 1 from line 2)	\$ 420,276,671	7380

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as of: 09/30/2013

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	\$ 33,490,009	7500	
B. Other banks designated by the Commission			
Name(s): <u>See Attached</u>		7510	
	0	7520	\$ 33,490,009
			7530
2. Securities			
A. In safekeeping with banks located in the United States	\$ 1,059,031,582	7540	
B. In safekeeping with other banks designated by the Commission			
Name(s): <u>See Attached</u>		7550	
	0	7560	1,059,031,582
			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): _		7630	
A. Cash	\$ 0	7640	
B. Securities	0	7650	
C. Amount due to (from) clearing organization - daily variation	0	7660	
D. Value of long option contracts	0	7670	
E. Value of short option contracts	0	7675	0
			7680
5. Amounts held by members of foreign boards of trade			
Name(s): <u>See Attached</u>		7690	
A. Cash	\$ 1,971,355,717	7700	
B. Securities	1,632,681,152	7710	
C. Unrealized gain (loss) on open futures contracts	19,027,760	7720	
D. Value of long option contracts	85,344,213	7730	
E. Value of short option contracts	(842,688)	7735	3,707,566,154
			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)			
			\$ 4,800,087,745
			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			\$(193,534,294)	8500
B. Securities (at market)			334,314,791	8510
2. Net unrealized profit (loss) in open cleared swaps			287,787,427	8520
3. Cleared swaps options				
A. Market value of open cleared swaps option contracts purchased			334,029	8530
B. Market value of open cleared swaps option contracts granted (sold)			0	8540
4. Net equity (deficit) (add lines 1, 2, and 3)			\$428,901,953	8550
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$4,181,029	8560		
Less: amount offset by customer owned securities	(4,152,579)	8570	28,450	8580
6. Amount required to be segregated for cleared swaps customers (add lines 4 and 5)			\$428,930,403	8590

Funds in Cleared Swaps Customer Segregated Accounts

7. Deposited in cleared swaps customer segregated accounts at banks				
A. Cash			\$36,825,355	8600
B. Securities representing investments of cleared swaps customers' funds (at market)			34,994,269	8610
C. Securities held for particular cleared swaps customers in lieu of cash (at market)			166,650,551	8620
8. Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts				
A. Cash			51,810,337	8630
B. Securities representing investments of cleared swaps customers' funds (at market)			184,996,916	8640
C. Securities held for particular cleared swaps customers in lieu of cash (at market)			167,664,240	8650
9. Net settlement from (to) derivatives clearing organizations			1,491,145	8660
10. Cleared swaps options				
A. Value of open cleared swaps long option contracts			334,029	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)			\$644,766,842	8720
14. Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)			\$215,836,439	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