

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

<b>BROKER OR DEALER:</b>	UBS SECURITIES LLC	as of: 02/28/2014
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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	\$ 4,307,136,541	7010
	B. Securities (at market)	3,584,774,320	7020
2.	Net unrealized profit (loss) in open futures contracts traded on a contract market	232,422,869	7030
3.	Exchange traded options		
	A. Add market value of open option contracts purchased on a contract market	1,153,115,462	7032
	B. Deduct market value of open option contracts granted (sold) on a contract market	(1,117,366,942)	7033
4.	Net equity (deficit) (add lines 1, 2 and 3)	8,160,082,250	7040
5.	Accounts liquidating to a deficit and accounts with debit balances		
	- gross amount	69,818,947	7045
	Less: amount offset by customer securities	(55,891,046)	7047
		13,927,901	7050
6.	Amount required to be segregated (add lines 4 and 5)	\$ 8,174,010,151	7060

**FUNDS IN SEGREGATED ACCOUNTS**

7.	Deposited in segregated funds bank accounts		
	A. Cash	235,318,624	7070
	B. Securities representing investments of customers' funds (at market)	575,000,001	7080
	C. Securities held for particular customers or option customers in lieu of cash (at market)	1,316,634,690	7090
8.	Margins on deposit with derivatives clearing organizations of contract markets		
	A. Cash	3,694,662,946	7100
	B. Securities representing investments of customers' funds (at market)	852,517,382	7110
	C. Securities held for particular customers or option customers in lieu of cash (at market)	2,268,139,630	7120
9.	Net settlement from (to) derivatives clearing organizations of contract markets	(138,590,286)	7130
10.	Exchange traded options		
	A. Value of open long option contracts	1,153,115,462	7132
	B. Value of open short option contracts	(1,117,366,942)	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)	8,839,431,507	7180
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)	\$ 665,421,356	7190
15.	Management Target Amount for Excess funds in segregation	572,180,711	7194
16.	Excess (deficiency) funds in segregation over (under) Management Target Amount Excess	93,240,645	7198

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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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**as of:** 02/28/2014

**STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS  
PURSUANT TO COMMISSION REGULATION 30.7**

**FOREIGN FUTURES AND FOREIGN OPTIONS SECURED AMOUNTS**

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

	\$ 0	7305
1. Net ledger balance - Foreign Futures and Foreign Options Trading - All Customers		
A. Cash	\$ 863,727,109	7315
B. Securities (at market)	\$ 2,334,231,195	7317
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	\$ 830,557,950	7325
3. Exchange traded options		
A. Market value of open option contracts purchased on a foreign board of trade	\$ 81,373,315	7335
B. Market value of open option contracts granted (sold) on a foreign board of trade	\$(2,551,496)	7337
4. Net equity (deficit) (add lines 1, 2, and 3)	\$ 4,107,338,073	7345
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$ 12,932,558	7351
Less: amount offset by customer owned securities	\$(10,793,271)	7352
	\$ 2,139,287	7354
6. Amount to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	\$ 4,109,477,360	7355
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	\$ 4,109,477,360	7360

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**STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS  
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	\$ 19,380,657	7500			
B. Other banks qualified under Regulation 30.7					
Name(s): <u>See Attached</u>		7510	0	7520	\$ 19,380,657
					7530
2. Securities					
A. In safekeeping with banks located in the United States	\$ 1,098,793,254	7540			
B. In safekeeping with other banks qualified under Regulation 30.7					
Name(s): <u>See Attached</u>		7550	0	7560	1,098,793,254
					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	\$ 288,305	7640			
B. Securities	0	7650			
C. Amount due to (from) clearing organization - daily variation	25,490	7660			
D. Value of long option contracts	0	7670			
E. Value of short option contracts	0	7675			
			313,795	7680	
5. Amounts held by members of foreign boards of trade					
Name(s): <u>See Attached</u>		7690			
A. Cash	\$ 1,283,817,151	7700			
B. Securities	1,235,437,941	7710			
C. Unrealized gain (loss) on open futures contracts	821,519,952	7720			
D. Value of long option contracts	81,373,315	7730			
E. Value of short option contracts	(2,551,496)	7735			
			3,419,596,863	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					
			\$ 4,538,084,569	7770	
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)					
			428,607,209	7380	
10. Management Target Amount for Excess funds in separate section 30.7 accounts					
			400,000,000	7780	
11. Excess (deficiency) funds in separate section 30.7 accounts over (under) Management Target Amount					
			28,607,209	7785	

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**BROKER OR DEALER:** UBS SECURITIES LLC

as of: 02/28/2014

**STATEMENT OF CLEARED SWAPS 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		\$ 335,381,538	8500
B. Securities (at market)		174,688,292	8510
2. Net unrealized profit (loss) in open cleared swaps		86,832,303	8520
3. Cleared swaps options			
A. Market value of open cleared swaps option contracts purchased		0	8530
B. Market value of open cleared swaps granted (sold)		0	8540
4. Net equity (deficit) (add lines 1, 2 and 3)		596,902,133	8550
5. Accounts liquidating to a deficit and accounts with debit balances			
- gross amount	\$ 3,545,021		8560
Less: amount offset by customer securities	(3,516,247)		8570
		28,774	8580
6. Amount required to be segregated for cleared swaps customers (add lines 4 and 5)		596,930,907	8590

**Funds in Cleared Swaps Customer Segregated Accounts**

7. Deposited in cleared swaps customer segregated accounts at banks			
A. Cash		\$ 91,226,007	8600
B. Securities representing investments of cleared swaps customers' funds (at market)		35,000,000	8610
C. Securities held for particular cleared swaps customers in lieu of cash (at market)		174,688,292	8620
8. Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts			
A. Cash		545,902,135	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		(2,620,099)	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)		844,196,335	8720
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)		\$ 247,265,428	8730
15. Management target Amount for Excess funds in cleared swaps segregated accounts		\$ 200,000,000	8760
16. Excess (deficiency) funds in cleared swaps customer segregation over (under) Management Target Excess		\$ 47,265,428	8770