

Items on this page to be reported by: Futures Commission Merchant

SEGREGATION REQUIREMENTS

1. Net ledger balance	
A. Cash	\$ <u>7010</u>
B. Securities (at market)	\$ <u>7020</u>
2. Net unrealized profit (loss) in open futures contracts traded on a contract market	
	\$ <u>7030</u>
3. Exchange traded options	
A. Add market value of open option contracts purchased on a contract market	\$ <u>7032</u>
B. Deduct market value of open option contracts granted (sold) on a contract market	\$ (<u>7033</u>)
4. Net equity (deficit) (total of Lines 1, 2, and 3)	
	\$ <u>7040</u>
5. Accounts liquidating to a deficit and accounts with debit balances	
- gross amount	\$ <u>7045</u>
Less: amount offset by customer owned securities	\$ (<u>7047</u>)
	\$ <u>7050</u>
6. Amount required to be segregated (add lines 4 and 5)	
	\$ <u>7060</u>

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts	
A. Cash	\$ <u>4,969,934</u> <u>7070</u>
B. Securities representing investments of customers' funds (at market)	\$ <u>7080</u>
C. Securities held for particular customers or option customers in lieu of cash (at market)	\$ <u>7090</u>
8. Margins on deposit with derivatives clearing organizations of contract markets	
A. Cash	\$ <u>7100</u>
B. Securities representing investments of customers' funds (at market)	\$ <u>7110</u>
C. Securities held for particular customers or option customers in lieu of cash (at market)	\$ <u>7120</u>
9. Net settlement from (to) derivatives clearing organizations of contract markets	
	\$ <u>7130</u>
10. Exchange traded options	
A. Value of open long option contracts	\$ <u>7132</u>
B. Value of open short option contracts	\$ (<u>7133</u>)
11. Net equities with other FCMs	
A. Net liquidating equity	\$ <u>7140</u>
B. Securities representing investments of customers' funds (at market)	\$ <u>7160</u>
C. Securities held for particular customers or option customers in lieu of cash (at market)	\$ <u>7170</u>
12. Segregated funds on hand (describe: _____)	
	\$ <u>7150</u>
13. Total amount in segregation (add lines 7 through 12)	
	\$ <u>4,969,934</u> <u>7180</u>
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)	
	\$ <u>4,969,934</u> <u>7190</u>
15. Management Target Amount for Excess funds in segregation	
	\$ <u>3,000,000</u> <u>7194</u>
16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess	
	\$ <u>1,969,934</u> <u>7198</u>

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CLEARED SWAPS CUSTOMER REQUIREMENTS

1. Net ledger balance		
A. Cash	\$	8500
B. Securities (at market)	\$	8510
2. Net unrealized profit (loss) in open cleared swaps	\$	8520
3. Cleared swaps options		
A. Market value of open cleared swaps option contracts purchased	\$	8530
B. Market value of open cleared swaps option contracts granted (sold)	\$ (8540
4. Net equity (deficit) (add lines 1, 2 and 3)	\$	8550
5. Accounts liquidating to a deficit and accounts with debit balances		
- gross amount	\$	8560
Less: amount offset by customer owned securities	\$ (8570
6. Amount required to be segregated for cleared swaps customers (add Lines 4 and 5)	\$	8590

FUNDS IN CLEARED SWAPS CUSTOMER SEGREGATED ACCOUNTS

7. Deposited in cleared swaps customer segregated accounts at banks		
A. Cash	\$	8600
B. Securities representing investment of cleared swaps customers' funds (at market)	\$	8610
C. Securities held for particular cleared swaps customers in lieu of cash (at market)	\$	8620
8. Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts		
A. Cash	\$	8630
B. Securities representing investment of cleared swaps customers' funds (at market)	\$	8640
C. Securities held for particular cleared swaps customers in lieu of cash (at market)	\$	8650
9. Net settlement from (to) derivatives clearing organizations	\$	8660
10. Cleared swaps options		
A. Value of open cleared swaps long option contracts	\$	8670
B. Value of open cleared swaps short option contracts	\$ (8680
11. Net equities with other FCMs		
A. Net liquidating equity	\$	8690
B. Securities representing investment of cleared swaps customers' funds (at market)	\$	8700
C. Securities held for particular cleared swaps customers in lieu of cash (at market)	\$	8710
12. Cleared swaps customer funds on hand (describe: _____)	\$	8715
13. Total amount in cleared swaps customer segregation (add Lines 7 through 12)	\$	8720
14. Excess (deficiency) funds in cleared swaps customer segregation (subtract Line 6 from Line 13)	\$	8730
15. Management target amount for excess funds in cleared swaps segregated accounts	\$	8760
16. Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) management target excess	\$	8770

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1. Amount required to be segregated in accordance with 17 CFR 32.6	\$		7200
2. Funds/property in segregated accounts			
A. Cash	\$	7210	
B. Securities (at market value)	\$	7220	
C. Total funds/property in segregated accounts	\$		7230
3. Excess (deficiency) funds in segregation (subtract Line 2C from Line 1)	\$		7240

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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	\$		7305
1. Net ledger balance - Foreign futures and foreign option trading - All Customers			
A. Cash	\$		7315
B. Securities (at market)	\$		7317
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	\$		7325
3. Exchange traded options			
A. Market value of open option contracts purchased on a foreign board of trade	\$		7335
B. Market value of open contracts granted (sold) on a foreign board of trade	\$		7337
4. Net equity (deficit)(add lines 1, 2, and 3.)	\$		7345
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$		7351
Less: amount offset by customer owned securities	\$(7352)
6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	\$		7355
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	\$		7360

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

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FUNDS DEPOSITED IN SEPARATE 17 CFR. 30.7 ACCOUNTS

1. Cash in banks			
A. Banks located in the United States	\$	7500	
B. Other banks qualified under 17 CFR. 30.7			
Name(s):	\$	7520	\$
7510			7530
2. Securities			
A. In safekeeping with banks located in the United States	\$	7540	
B. In safekeeping with other banks designated by 17 CFR. 30.7			
Name(s):	\$	7560	\$
7550			7570
3. Equities with registered futures commission merchants			
A. Cash	\$	7580	
B. Securities	\$	7590	
C. Unrealized gain (loss) on open futures contracts	\$	7600	
D. Value of long option contracts	\$	7610	
E. Value of short option contracts	\$(7615	\$
			7620
4. Amounts held by clearing organizations of foreign boards of trade			
Name(s):		7630	
A. Cash	\$	7640	
B. Securities	\$	7650	
C. Amount due to (from) clearing organizations - daily variation	\$	7660	
D. Value of long option contracts	\$	7670	
E. Value of short option contracts	\$(7675	\$
			7680
5. Amounts held by members of foreign boards of trade			
Name(s):		7690	
A. Cash	\$	7700	
B. Securities	\$	7710	
C. Unrealized gain (loss) on open futures contracts	\$	7720	
D. Value of long option contracts	\$	7730	
E. Value of short option contracts	\$(7735	\$
			7740
6. Amounts with other depositories designated by a foreign board of trade			
Name(s):		7750	
	\$		\$
			7760
7. Segregated funds on hand (describe: _____)			
	\$		\$
			7765
8. Total funds in separate 17 CFR 30.7 accounts			
	\$		\$
			7770
9. Excess (deficiency) set aside funds for secured amount			
(Line Item 7770 minus Line Item 7360)	\$		\$
			7380
10. Management target amount for excess funds in separate 17 CFR 30.7 accounts			
	\$		\$
			7780
11. Excess (deficiency) funds in separate 17 CFR 30.7 accounts over (under) management target excess			
	\$		\$
			7785