

SUPPLEMENT TO
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
PART II

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

FUNDS IN SEGREGATED ACCOUNTS

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

SUPPLEMENT TO
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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	\$ _____	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

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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	\$	7500	
B. Other banks qualified under Regulation 30.7			
Name(s):		7520	\$ 7530
2. Securities			
A. In safekeeping with banks located in the United States	\$	7540	
B. In safekeeping with other banks qualified under Regulation 30.7			
Name(s):		7550	7560 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 section 30.7 accounts			
	\$		7770
9. Excess (deficiency) set Aside Funds for Secured Amount (subtract Line 7 Secured Statement page T10-3 from Line 8)			
	\$		7380
10. Management Target Amount for Excess funds in separate section 30.7 accounts			
	\$		7780
11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target			
	\$		7785

SUPPLEMENT TO
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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	\$ _____	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 investments 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 investments 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 investments 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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FUNDS IN SEGREGATED ACCOUNTS

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A. Cash			7070
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