SUPPLEMENT TO
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
PART II

BROKER OR DEALER as of ______________

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: ) 7190
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 $7198
<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amount required to be set aside pursuant to law, rule or regulation of a</td>
<td>$ 7305</td>
</tr>
<tr>
<td>foreign government or a rule of a self-regulatory organization authorized</td>
<td></td>
</tr>
<tr>
<td>thereunder</td>
<td></td>
</tr>
<tr>
<td>1. Net ledger balance - Foreign Futures and Foreign Option Trading - All</td>
<td></td>
</tr>
<tr>
<td>Customers</td>
<td></td>
</tr>
<tr>
<td>A. Cash</td>
<td>$ 7315</td>
</tr>
<tr>
<td>B. Securities (at market)</td>
<td>$ 7317</td>
</tr>
<tr>
<td>2. Net unrealized profit (loss) in open futures contracts traded on a</td>
<td></td>
</tr>
<tr>
<td>foreign board of trade</td>
<td>( ) 7325</td>
</tr>
<tr>
<td>3. Exchange traded options</td>
<td></td>
</tr>
<tr>
<td>A. Market value of open option contracts purchased on a foreign board of</td>
<td>$ 7335</td>
</tr>
<tr>
<td>trade</td>
<td></td>
</tr>
<tr>
<td>B. Market value of open contracts granted (sold) on a foreign board of trade</td>
<td>$ 7337</td>
</tr>
<tr>
<td>4. Net equity (deficit) (add lines 1. 2. and 3.)</td>
<td>$ 7345</td>
</tr>
<tr>
<td>5. Accounts liquidating to a deficit and accounts with debit balances -</td>
<td>$ 7351</td>
</tr>
<tr>
<td>gross amount</td>
<td></td>
</tr>
<tr>
<td>Less: amount offset by customer owned securities</td>
<td>( ) 7352</td>
</tr>
<tr>
<td>6. Amount required to be set aside as the secured amount - Net Liquidating</td>
<td>$ 7355</td>
</tr>
<tr>
<td>Equity Method (add lines 4 and 5)</td>
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</tr>
<tr>
<td>7. Greater of amount required to be set aside pursuant to foreign</td>
<td>$ 7360</td>
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<tr>
<td>jurisdiction (above) or line 6.</td>
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</table>
**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): ______________________ 7510
     ______________________ 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: ______________________ )

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)
   $ ______________________ 7780

10. Management Target Amount for Excess funds in separate section 30.7 accounts
    $ ______________________ 7785

11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target
    $ ______________________ 7785
### 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 8580

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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PURSUANT TO COMMISSION REGULATION 30.7

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   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: 7750)
   $ 7760

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 15 from Line 8)
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10. Management Target Amount for Excess funds in separate section 30.7 accounts
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11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target
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Page 16
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5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount** $ \[8560\]
   - Less: amount offset by customer owned securities $( \[8570\])

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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** $( \[8680\])

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