

OMB Approval

OMB Number: 3235-0123,
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0123) 16.00 (3235-0749)

This report is being filed by a/an:

1) Broker-dealer not registered as an SBSD or MSBSP (stand-alone broker-dealer) 12000
 2) Broker-dealer registered as an SBSD (broker-dealer SBSD) 12001
 3) Broker-dealer registered as an MSBSP (broker-dealer MSBSP) 12002
 4) SBSD without a prudential regulator and not registered as a broker-dealer (stand-alone SBSD) 12003
 5) MSBSP without a prudential regulator and not registered as a broker-dealer (stand-alone MSBSP) 12004
 Check here if respondent is an OTC derivatives dealer 12005

This report is being filed by a: Firm authorized to use models 12006 U.S. person 12007 Non-U.S. person 12008

This report is being filed pursuant to (check applicable block(s)):

1) Rule 17a-5(a) 16
 2) Rule 17a-5(b) 17
 3) Special request by DEA or the Commission 19
 4) Rule 18a-7 12999
 5) Other (explain: _____) 26

NAME OF REPORTING ENTITY

SEC FILE NO.

WEBBUSH SECURITIES INC.

13

8-12987

14

ADDRESS OF PRINCIPAL PLACE OF BUSINESS (Do not use P.O. Box No.)

FIRM ID NO.

1000 WILSHIRE BLVD. SUITE 900, ATTN: COMPLIANCE

20

877

15

(No. and Street)

FOR PERIOD BEGINNING (MM/DD/YY)

LOS ANGELES

21

CA

22

90017-2457

23

04/01/2022

24

(City)

(State/Province)

(Zip Code)

AND ENDING (MM/DD/YY)

United States

12009

04/30/2022

25

(Country)

NAME OF PERSON TO CONTACT IN REGARD TO THIS REPORT

EMAIL ADDRESS

(AREA CODE) TELEPHONE NO.

DANIEL BILLINGS, CFO

30

DAN.BILLINGS@WEBBUSH.COM

12010

(213) 688-8000

31

NAME(S) OF SUBSIDIARIES OR AFFILIATES CONSOLIDATED IN THIS REPORT

OFFICIAL USE

32

33

34

35

36

37

38

39

Is this report consolidated or unconsolidated? Consolidated 198 Unconsolidated 199

Does respondent carry its own customer or security-based swap customer accounts? Yes 40 No 41

Check here if respondent is filing an audited report 42

EXECUTION: The registrant submitting this Form and its attachments and the person(s) by whom it is executed represent hereby that all information contained therein is true, correct and complete. It is understood that all required items, statements, and schedules are considered integral parts of this Form and that the submission of any amendment represents that all unamended items, statements, and schedules remain true, correct and complete as previously submitted.

Dated the _____ day of _____, 20____.

Signatures of:

1) _____ Principal Executive Officer or Comparable Officer
 2) _____ Principal Financial Officer or Comparable Officer
 3) _____ Principal Operations Officer or Comparable Officer

Names of:

Gary Webbush

12011

Principal Executive Officer or Comparable Officer

Daniel Billings

12012

Principal Financial Officer or Comparable Officer

0

12013

Principal Operations Officer or Comparable Officer

ATTENTION: Intentional misstatements and/or omissions of facts constitute federal criminal violations. (See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).)

Name of Firm: WEBBUSH SECURITIES INC.

Persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number

As of: 04/30/2022

FOCUS
Report
Part II

Items on this page to be reported by a:
 Stand-Alone Broker-Dealer
 Stand-Alone SBSD
 Broker-Dealer SBSD
 Stand-Alone MSBSP
 Broker-Dealer MSBSP

ASSETS

<u>Assets</u>	<u>Allowable</u>	<u>Non-Allowable</u>	<u>Total</u>
1. Cash	\$ 37,323,093	200	\$ 37,323,093
2. Cash segregated in compliance with federal and other regulations	\$ 2,448,655,707	210	\$ 2,448,655,707
3. Receivables from brokers/dealers and clearing organizations organizations			
A. Failed to deliver			
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a	\$ 2,677,181	220	
2. Other.	\$ 18,353,733	230	\$ 21,030,914
B. Securities borrowed			
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a	\$ 266,457,912	240	
2. Other.	\$ 2,487,589,624	250	\$ 2,754,047,536
C. Omnibus accounts			
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a	\$ 0	260	
2. Other.	\$ 10,534,116	270	\$ 10,534,116
D. Clearing organizations			
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a, or the CEA ..	\$ 18,793,685	280	
2. Other.	\$ 1,000,107,979	290	\$ 1,018,901,664
E. Other.	\$ 0	300	\$ 765,897
4. Receivables from customers			
A. Securities accounts			
1. Cash and fully secured accounts	\$ 639,143,409	310	
2. Partly secured accounts.	\$ 11,014,879	320	\$ 85,304
3. Unsecured accounts			\$ 4,884,175
B. Commodity accounts	\$ 179,876	330	\$ 487,277
C. Allowance for doubtful accounts	\$(0)	335	\$ (1,274,927)
			\$ 654,519,993
5. Receivables from non-customers			
A. Cash and fully secured accounts	\$ 203,327,160	340	
B. Partly secured and unsecured accounts.....	\$ 0	350	\$ 24,981
6. Excess cash collateral pledged on derivative transactions	\$ 0	12015	\$ 0
7. Securities purchased under agreements to resell ...	\$ 176,050,536	360	\$ 0
8. Trade date receivable	\$ 902,035	292	\$ 902,035
9. Total net securities, commodities, and swaps positions	\$ 1,237,014,397	12019	\$ 3,854,981
			\$ 1,240,869,378
10. Securities borrowed under subordination			
agreements and partners' individual and capital securities accounts, at market value			
A. Exempted securities \$ 0	150		
B. Other \$ 0	160	460	\$ 630
			\$ 880
11. Secured demand notes – market value of collateral			
A. Exempted securities \$ 0	170		
B. Other \$ 0	180	470	\$ 640
			\$ 890

Name of Firm: WEBBUSH SECURITIES INC.As of: 04/30/2022

Items on this page to be reported by a:

Stand-Alone Broker-Dealer
 Stand-Alone SBSD
 Broker-Dealer SBSD
 Stand-Alone MSBSP
 Broker-Dealer MSBSP

<u>Assets</u>	<u>Allowable</u>	<u>Non-Allowable</u>	<u>Total</u>
12. Memberships in exchanges:			
A. Owned, at market value\$ _____ 190			
B. Owned at cost	\$ _____ 7,459,622	650	
C. Contributed for use of company, at market value	\$ _____ 0	660	\$ _____ 7,459,622 900
13. Investment in and receivables from affiliates, subsidiaries and associated partnerships.....	\$ _____ 0 480	\$ _____ 6,469,968 670	\$ _____ 6,469,968 910
14. Property, furniture, equipment, leasehold improvements and rights under lease agreements At cost (net of accumulated depreciation and amortization).....	\$ _____ 29,806,750 490	\$ _____ 898,378 680	\$ _____ 30,705,128 920
15. Other assets			
A. Dividends and interest receivable.....	\$ _____ 9,687,933 500	\$ _____ 1,134,767 690	
B. Free shipments.....	\$ _____ 0 510	\$ _____ 0 700	
C. Loans and advances.....	\$ _____ 0 520	\$ _____ 0 710	
D. Miscellaneous.....	\$ _____ 7,449,557 530	\$ _____ 41,636,291 720	
E. Collateral accepted under ASC 860	\$ _____ 0 536		
F. SPE Assets.....	\$ _____ 0 537		\$ _____ 59,908,548 930
16. TOTAL ASSETS	\$ _____ 8,605,069,562 540	\$ _____ 66,426,714 740	\$ _____ 8,671,496,276 940

Note: Stand-alone MSBSPs should only complete the Allowable and Total columns.

FOCUS
Report
Part II

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 Stand-Alone SBSD
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LIABILITIES AND OWNERSHIP EQUITY

<u>Liabilities</u>	<u>A.I. Liabilities</u>	<u>Non-A.I. Liabilities</u>	<u>Total</u>
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17. Bank loans payable:

A. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a, or the CEA	\$ 1030	\$ 1240	\$ 0	1460
B. Other	\$ 1040	\$ 1250	\$ 179,000,000	1470

18. Securities sold under repurchase agreements

19. Payable to brokers/dealers and clearing organizations

A. Failed to receive:				
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a	\$ 1050	\$ 1270	\$ 1,867,762	1490
2. Other	\$ 1060	\$ 1280	\$ 9,136,915	1500

B. Securities loaned

1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a	\$ 1070	\$ 1290	\$ 86,240,404	1510
2. Other	\$ 1080	\$ 1300	\$ 2,567,428,549	1520

C. Omnibus accounts

1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a	\$ 1090	\$ 1300	\$ 0	1530
2. Other	\$ 1095	\$ 1300	\$ 0	1540

D. Clearing organizations

1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a, or the CEA	\$ 1100	\$ 1310	\$ 4,300,229	1550
2. Other	\$ 1105	\$ 1320	\$ 25,730,683	1560
E. Other	\$ 1110	\$ 1320	\$ 1,069,170	1570

20. Payable to customers:

A. Securities accounts - including free credits of \$ 2,010,445,420 950	\$ 1120	\$ 1330	\$ 2,339,140,391	1580
B. Commodities accounts	\$ 1130	\$ 1340	\$ 2,708,019,382	1590

21. Payable to non customers:

A. Securities accounts	\$ 1140	\$ 1350	\$ 97,574,519	1600
B. Commodities accounts	\$ 1150	\$ 1360	\$ 416,534	1610

22. Excess cash collateral received on derivative

transactions

23. Trade date payable

24. Total net securities, commodities, and swaps positions

25. Accounts payable and accrued liabilities and expenses

A. Drafts payable	\$ 1160	\$ 1370	\$ 5,067,645	1630
B. Accounts payable	\$ 1170	\$ 1380	\$ 36,308,470	1640
C. Income taxes payable	\$ 1180	\$ 1386	\$ 1,468,223	1650
D. Deferred income taxes	\$ 1190	\$ 1387	\$ 0	1660
E. Accrued expenses and other liabilities	\$ 1200	\$ 1380	\$ 78,087,023	1670
F. Other	\$ 12033	\$ 1386	\$ 34,506,702	1680
G. Obligation to return securities	\$ 12045	\$ 1387	\$ 0	1686
H. SPE Liabilities	\$ 12045	\$ 1387	\$ 0	1687

FOCUS
Report
Part II

Items on this page to be reported by a: Stand-Alone Broker-Dealer
Stand-Alone SBSD
Broker-Dealer SBSD
Stand-Alone MSBSP
Broker-Dealer MSBSP

26. Notes and mortgages payable

A. Unsecured	\$ <input type="text" value="1210"/>	\$ <input type="text" value="0"/>	0 <input type="text" value="1690"/>	
B. Secured	\$ <input type="text" value="1211"/>	\$ <input type="text" value="1390"/>	\$ <input type="text" value="0"/>	0 <input type="text" value="1700"/>

<u>Liabilities</u>	<u>A.I. Liabilities</u>	<u>Non-A.I. Liabilities</u>	<u>Total</u>
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27. Liabilities subordinated to claims of

A. Cash borrowings	\$ <input type="text" value="1400"/>	\$ <input type="text" value="45,000,000"/>	0 <input type="text" value="1710"/>	
1. From outsiders \$ <input type="text" value="0"/>	970			
2. Includes equity subordination (Rule 15c3-1(d) or Rule 18a-1(g))				
of	\$ <input type="text" value="0"/>	980		
B. Securities borrowings, at market value	\$ <input type="text" value="1410"/>	\$ <input type="text" value="0"/>	0 <input type="text" value="1720"/>	
1. From outsiders \$ <input type="text" value="0"/>	990			
C. Pursuant to secured demand note collateral agreements	\$ <input type="text" value="1420"/>	\$ <input type="text" value="0"/>	0 <input type="text" value="1730"/>	
1. From outsiders \$ <input type="text" value="0"/>	1000			
2. Includes equity subordination (Rule 15c3-1(d) or Rule 18a-1(g))				
of	\$ <input type="text" value="0"/>	1010		
D. Exchange memberships contributed for				
use of company, at market value	\$ <input type="text" value="1430"/>	\$ <input type="text" value="0"/>	0 <input type="text" value="1740"/>	
E. Accounts and other borrowings not				
qualified for net capital purposes.	\$ <input type="text" value="1220"/>	\$ <input type="text" value="1440"/>	\$ <input type="text" value="0"/>	0 <input type="text" value="1750"/>
28. TOTAL LIABILITIES	\$ <input type="text" value="1230"/>	\$ <input type="text" value="1450"/>	\$ <input type="text" value="8,361,516,462"/>	0 <input type="text" value="1760"/>

Ownership Equity

29. Sole proprietorship	\$ <input type="text" value="0"/>	\$ <input type="text" value="0"/>	0 <input type="text" value="1770"/>
30. Partnership and limited liability company – including			
limited partners/members.	\$ <input type="text" value="1020"/>	\$ <input type="text" value="0"/>	0 <input type="text" value="1780"/>
31. Corporation			
A. Preferred stock	\$ <input type="text" value="0"/>	1791	
B. Common stock	\$ <input type="text" value="700,000"/>	1792	
C. Additional paid in capital	\$ <input type="text" value="18,305,107"/>	1793	
D. Retained Earnings	\$ <input type="text" value="291,355,657"/>	1794	
E. Accumulated other comprehensive income	\$ <input type="text" value="0"/>	1797	
F. Total	\$ <input type="text" value="310,360,764"/>	1795	
G. Less capital stock in treasury	\$ <input type="text" value="380,950"/>	1796	
32. TOTAL OWNERSHIP EQUITY (sum of Line Items 1770, 1780, 1795, and 1796)	\$ <input type="text" value="309,979,814"/>	1800	
33. TOTAL LIABILITIES AND OWNERSHIP EQUITY (sum of Line Items 1760 and 1800)	\$ <input type="text" value="8,671,496,276"/>	1810	

Items on this page to be reported by a: Stand-Alone Broker-Dealer (Not Authorized to use models)
 Stand-Alone SBSD (Not Authorized to use models)
 Broker-Dealer SBSD (Not Authorized to use models)
 Broker-Dealer MSBSP (Not Authorized to use models)

Computation of Net Capital

1. Total ownership equity from Item 1800	\$ 309,979,814	3480
2. Deduct ownership equity not allowable for net capital	\$ 0	3490
3. Total ownership equity qualified for net capital	\$ 309,979,814	3500
4. Add:		
A. Liabilities subordinated to claims of creditors allowable in computation of net capital	\$ 45,000,000	3520
B. Other (deductions) or allowable credits (list)	\$ 0	3525
5. Total capital and allowable subordinated liabilities	\$ 354,979,814	3530
6. Deductions and/or charges		
A. Total nonallowable assets from Statement of Financial Condition	\$ 66,426,714	3540
1. Additional charges for customers' and non-customers' security accounts	\$ 166,218	3550
2. Additional charges for customers' and non-customers' commodity accounts	\$ 0	3560
3. Additional charges for customers' and non-customers' security-based swap accounts	\$ 0	12051
4. Additional charges for customers' and non-customers' swap accounts	\$ 0	12052
B. Aged fail-to-deliver	\$ 1,671,857	3570
1. number of items	377	3450
C. Aged short security differences-less		
reserve of	\$ 0	3460
number of items	0	3470
D. Secured demand note deficiency	\$ 0	3590
E. Commodity futures contracts and spot commodities -		
proprietary capital charges	\$ 86,300	3600
F. Other deductions and/or charges	\$ 31,587,377	3610
G. Deductions for accounts carried under Rules 15c3-1(a)(6) and (c)(2)(x)	\$ 0	3615
H. Total deductions and/or charges	\$ (99,938,466)	3620
7. Other additions and/or allowable credits (list)	\$ 0	3630
8. Tentative net capital (net capital before haircuts)	\$ 255,041,348	3640
9. Haircuts on securities other than security-based swaps		
A. Contractual securities commitments	\$ 0	3660
B. Subordinated securities borrowings	\$ 0	3670
C. Trading and investment securities		
1. Bankers' acceptances, certificates of deposit, commercial paper, and money market instruments	\$ 0	3680
2. U.S. and Canadian government obligations	\$ 805,438	3690
3. State and municipal government obligations	\$ 1,864,613	3700
4. Corporate obligations	\$ 14,853	3710
5. Stocks and warrants	\$ 2,704,429	3720
6. Options	\$ 766,906	3730
7. Arbitrage	\$ 0	3732
8. Risk-based haircuts computed under 17 CFR 240.15c3-1a or 17 CFR 240.18a-1a	\$ 0	12028
9. Other securities	\$ 0	3734
D. Undue concentration	\$ 0	3650
E. Other (List: _____)	\$ 252,517	3736
10. Haircuts on security-based swaps	\$ 0	12053
11. Haircuts on swaps	\$ 0	12054
12. Total haircuts (sum of Lines 9A-9E, 10, and 11)	\$ (6,408,756)	3740
13. Net capital (Line 8 minus Line 12)	\$ 248,632,592	3750

Items on this page to be reported by a: Stand-Alone Broker-Dealer
Broker-Dealer SBSD (other than OTC Derivatives Dealer)
Broker-Dealer MSBSP

Calculation of Excess Tentative Net Capital (If Applicable)

1. Tentative net capital	\$ 255,041,348	3640
2. Minimum tentative net capital requirement	\$ 0	12055
3. Excess tentative net capital (difference between Lines 1 and 2)	\$ 255,041,348	12056
4. Tentative net capital in excess of 120% of minimum tentative net capital requirement reported on Line 2	\$ 0	12057

Calculation of Minimum Net Capital Requirement

5. Ratio minimum net capital requirement		
A. 62/3% of total aggregate indebtedness (Line Item 3840)	\$ 3756	
B. 2% of aggregate debit items as shown in the Formula for Reserve Requirements pursuant to Rule 15c3-3 \$	82,773,408	3870
i. Minimum CFTC net capital requirement (if applicable)	\$ 82,773,408	7490
C. Percentage of risk margin amount computed under 17 CFR 240.15c3-1(a)(7)(i) or (a)(10)	\$ 0	12058
D. For broker-dealers engaged in reverse repurchase agreements, 10% of the amounts in 17 CFR 240.15c3-1(a)(9)(i)-(iii) \$	10,518	12059
E. Minimum ratio requirement (sum of Lines 5A, 5B, 5C, and/or 5D, as applicable)	\$ 82,783,926	12060
6. Fixed-dollar minimum net capital requirement	\$ 1,000,000	3880
7. Minimum net capital requirement (greater of Lines 5E and 6)	\$ 82,783,926	3760
8. Excess net capital (Item 3750 minus Item 3760)	\$ 165,848,666	3910
9. Net capital and tentative net capital in relation to early warning thresholds		
A. Net capital in excess of 120% of minimum net capital requirement reported on Line 7	\$ 149,291,881	12061
B. Net capital in excess of 5% of combined aggregate debit items as shown in the Formula for Reserve Requirements pursuant to Rule 15c3-3.	\$ 199,263,149	3920

Computation of Aggregate Indebtedness (If Applicable)

10. Total aggregate indebtedness liabilities from Statement of Financial Condition (Item 1230)	\$ 3790	
11. Add		
A. Drafts for immediate credit	\$ 3800	
B. Market value of securities borrowed for which no equivalent value is paid or credited	\$ 3810	
C. Other unrecorded amounts (list)	\$ 3820	
D. Total additions (sum of Line Items 3800, 3810, and 3820)	\$ 3830	
12. Deduct: Adjustment based on deposits in Special Reserve Bank Accounts (see Rule 15c3-1(c)(1)(vii))	\$ 3838	
13. Total aggregate indebtedness (sum of Line Items 3790 and 3830)	\$ 3840	
14. Percentage of aggregate indebtedness to net capital (Item 3840 divided by Item 3750)	% 3850	
15. Percentage of aggregate indebtedness to net capital <u>after</u> anticipated capital withdrawals (Item 3840 divided by Item 3750 less Item 4880)	% 3853	

Calculation of Other Ratios

16. Percentage of net capital to aggregate debits (Item 3750 divided by Item 4470)	% 25.18	3851
17. Percentage of net capital, <u>after</u> anticipated capital withdrawals, to aggregate debits (Item 3750 less Item 4880, divided by Item 4470)	% 25.18	3854
18. Percentage of debt to debt-to-equity total, computed in accordance with Rule 15c3-1(d)	% 12.68	3860
19. Options deductions/net capital ratio (1000% test) total deductions exclusive of liquidating equity under Rule 15c3-1(a)(6) and (c)(2)(x) divided by net capital	% 0.00	3852

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

NET CAPITAL REQUIRED**A. Risk-Based Requirement****i. Amount of Customer Risk**Maintenance Margin \$ 1,034,467,272 **7415**ii. Enter 8% of line A.i \$ 82,757,382 **7425****iii. Amount of Non-Customer Risk**Maintenance Margin \$ 200,324 **7435**iv. Enter 8% of line A.iii \$ 16,026 **7445**v. Amount of uncleared swap margin \$ 0 **7446**vi. If the FCM is also registered as a swap dealer, enter 2% of Line A.v \$ 0 **7447**vii. Enter the sum of Lines A.ii, A.iv and A.vi. \$ 82,773,408 **7455****B. Minimum Dollar Amount Requirement****C. Other NFA Requirement****D. Minimum CFTC Net Capital Requirement.**Enter the greatest of lines A.vii., B or C \$ 82,773,408 **7490**

Note: If amount on Line D is greater than the minimum net capital requirement computed on Item 3760, then enter this greater amount on Item 3760.

The greater of the amount required by the SEC or CFTC is the minimum net capital requirement.

CFTC early warning level – enter the greatest of 110% of Line A.vii. or 150% of Line B or 150% of Line C

..... \$ 91,050,749 **7495**

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

SEGREGATION REQUIREMENTS

1. Net ledger balance

A. Cash	\$ 1,866,624,523	7010
B. Securities (at market)	\$ 164,576,126	7020
2. Net unrealized profit (loss) in open futures contracts traded on a contract market	\$ 805,664,034	7030

3. Exchange traded options

A. Add market value of open option contracts purchased on a contract market	\$ 6,084,964,112	7032
B. Deduct market value of open option contracts granted (sold) on a contract market	\$ (4,601,763,561)	7033

4. Net equity (deficit) (total of Lines 1, 2, and 3)	\$ 4,320,065,234	7040
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5. Accounts liquidating to a deficit and accounts with debit balances

- gross amount	\$ 5,434,280	7045
Less: amount offset by customer owned securities	\$ (4,912,584)	7047

6. Amount required to be segregated (add lines 4 and 5)	\$ 4,320,586,930	7060
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FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts

A. Cash	\$ 754,532,996	7070
B. Securities representing investments of customers' funds (at market)	\$ 0	7080
C. Securities held for particular customers or option customers in lieu of cash (at market)	\$ 640,594	7090

8. Margins on deposit with derivatives clearing organizations of contract markets

A. Cash	\$ 662,451,853	7100
B. Securities representing investments of customers' funds (at market)	\$ 1,174,079,645	7110
C. Securities held for particular customers or option customers in lieu of cash (at market)	\$ 159,426,893	7120

9. Net settlement from (to) derivatives clearing organizations of contract markets	\$ 135,494,585	7130
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10. Exchange traded options

A. Value of open long option contracts	\$ 6,084,964,112	7132
B. Value of open short option contracts	\$ (4,601,763,561)	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:)	\$ 4,508,639	7150
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13. Total amount in segregation (add lines 7 through 12)	\$ 4,374,335,756	7180
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14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)	\$ 53,748,826	7190
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15. Management Target Amount for Excess funds in segregation	\$ 19,000,000	7194
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16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess	\$ 34,748,826	7198
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Items on this page to be reported by: Futures Commission Merchant

CLEARED SWAPS CUSTOMER REQUIREMENTS

1. Net ledger balance	
A. Cash	\$ 0 8500
B. Securities (at market)	\$ 0 8510
2. Net unrealized profit (loss) in open cleared swaps	\$ 0 8520
3. Cleared swaps options	
A. Market value of open cleared swaps option contracts purchased	\$ 0 8530
B. Market value of open cleared swaps option contracts granted (sold)	\$ (0) 8540
4. Net equity (deficit) (add lines 1, 2 and 3)	\$ 0 8550
5. Accounts liquidating to a deficit and accounts with debit balances	
- gross amount	\$ 0 8560
Less: amount offset by customer owned securities	\$ (0) 8570 \$ 0 8580
6. Amount required to be segregated for cleared swaps customers (add Lines 4 and 5)	\$ 0 8590

FUNDS IN CLEARED SWAPS CUSTOMER SEGREGATED ACCOUNTS

7. Deposited in cleared swaps customer segregated accounts at banks	
A. Cash	\$ 0 8600
B. Securities representing investment of cleared swaps customers' funds (at market)	\$ 0 8610
C. Securities held for particular cleared swaps customers in lieu of cash (at market)	\$ 0 8620
8. Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts	
A. Cash	\$ 0 8630
B. Securities representing investment 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	\$ 0 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 investment 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)	\$ 0 8720
14. Excess (deficiency) funds in cleared swaps customer segregation (subtract Line 6 from Line 13)	\$ 0 8730
15. Management target amount for excess funds in cleared swaps segregated accounts	\$ 0 8760
16. Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) management target excess	\$ 0 8770

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

1. Amount required to be segregated in accordance with 17 CFR 32.6	\$	0	7200
2. Funds/property in segregated accounts			
A. Cash	\$	0	7210
B. Securities (at market value)	\$	0	7220
C. Total funds/property in segregated accounts	\$	0	7230
3. Excess (deficiency) funds in segregation (subtract Line 2C from Line 1)	\$	0	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	\$ 0	7305
1. Net ledger balance - Foreign futures and foreign option trading - All Customers		
A. Cash	\$ 35,124,311	7315
B. Securities (at market)	\$ 0	7317
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	\$ (60,640)	7325
3. Exchange traded options		
A. Market value of open option contracts purchased on a foreign board of trade.....	\$ 13,251	7335
B. Market value of open contracts granted (sold) on a foreign board of trade	\$ 0	7337
4. Net equity (deficit)(add lines 1. 2. and 3.)	\$ 35,076,922	7345
5. Accounts liquidating to a deficit and accounts with		
debit balances - gross amount	\$ 12,611	7351
Less: amount offset by customer owned securities	\$ (0)	7352
	\$ 12,611	7354
6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	\$ 35,089,533	7355
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	\$ 35,089,533	7360

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FUNDS DEPOSITED IN SEPARATE 17 CFR. 30.7 ACCOUNTS

1. Cash in banks

A. Banks located in the United States	\$ 13,980,025	7500
B. Other banks qualified under 17 CFR. 30.7		

Name(s): 0	\$ 7,569,528	7520	\$ 21,549,553	7530
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2. Securities

A. In safekeeping with banks located in the United States	\$ 0	7540
B. In safekeeping with other banks designated by 17 CFR. 30.7		

Name(s): 0	\$ 0	7560	\$ 0	7570
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3. Equities with registered futures commission merchants

A. Cash	\$ 9,692,317	7580		
B. Securities	\$ 0	7590		
C. Unrealized gain (loss) on open futures contracts	\$ 674,137	7600		
D. Value of long option contracts	\$ 13,251	7610		
E. Value of short option contracts	\$ (0)	7615	\$ 10,379,705	7620

4. Amounts held by clearing organizations of foreign boards of trade

Name(s): 0	7630			
A. Cash	\$ 7,471,974	7640		
B. Securities	\$ 0	7650		
C. Amount due to (from) clearing organizations - daily variation	\$ 473,049	7660		
D. Value of long option contracts	\$ 0	7670		
E. Value of short option contracts	\$ (0)	7675	\$ 7,945,023	7680

5. Amounts held by members of foreign boards of trade

Name(s): 0	7690			
A. Cash	\$ 142,495	7700		
B. Securities	\$ 0	7710		
C. Unrealized gain (loss) on open futures contracts	\$ (2,038)	7720		
D. Value of long option contracts	\$ 0	7730		
E. Value of short option contracts	\$ (0)	7735	\$ 140,457	7740

6. Amounts with other depositories designated by a foreign board of trade

Name(s): 0	7750		\$ 0	7760
7. Segregated funds on hand (describe:)	\$ 0	7765		
8. Total funds in separate 17 CFR 30.7 accounts	\$ 40,014,738	7770		

9. Excess (deficiency) set aside funds for secured amount

(Line Item 7770 minus Line Item 7360)	\$ 4,925,205	7380
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10. Management target amount for excess funds in separate 17 CFR 30.7 accounts	\$ 1,000,000	7780
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11. Excess (deficiency) funds in separate 17 CFR 30.7 accounts over (under) management target excess	\$ 3,925,205	7785
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