

**INITIAL**

**End Date:8/24/2017**

**Firm Name:Rand Financial Services Inc.**

**Form:Daily Seg - 1-FR**

**Submit Date:8/25/2017**

**Daily Segregation - Secured Amounts**

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 | <u>0</u> [5605]                 |
| 1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers  |                                 |
| A. Cash   | <u>19,440,000</u> [5615]        |
| B. Securities (at market)   | <u>0</u> [5617]                 |
| 2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade  | <u>-1,086,700</u> [5625]        |
| 3. Exchange traded options  |                                 |
| A. Market value of open option contracts purchased on a foreign board of trade  | <u>0</u> [5635]                 |
| B. Market value of open contracts granted (sold) on a foreign board of trade  | <u>0</u> [5637]                 |
| 4. Net equity (deficit) (add lines 1. 2. and 3.)  | <u>18,353,300</u> [5645]        |
| 5. Account liquidating to a deficit and account with a debit balances - gross amount  | <u>0</u> [5651]                 |
| Less: amount offset by customer owned securities  | <u>0</u> [5652] <u>0</u> [5654] |
| 6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)  | <u>18,353,300</u> [5655]        |
| 7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.   | <u>18,353,300</u> [5660]        |

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

|  |  |
|--|--|
| 1. Cash in Banks   |  |
| A. Banks located in the United States  | <u>24,523,500</u> [5700]                         |
| B. Other banks qualified under Regulation 30.7   | <u>2,447,500</u> [5720] <u>26,971,000</u> [5730] |
| 2. Securities  |  |
| A. In safekeeping with banks located in the United States  | <u>0</u> [5740]                                  |
| B. In safekeeping with other banks qualified under Regulation 30.7   | <u>0</u> [5760] <u>0</u> [5770]                  |
| 3. Equities with registered futures commission merchants   |  |
| A. Cash  | <u>6,723,100</u> [5780]                          |
| B. Securities  | <u>0</u> [5790]                                  |
| C. Unrealized gain (loss) on open futures contracts  | <u>473,300</u> [5800]                            |
| D. Value of long option contracts  | <u>0</u> [5810]                                  |
| E. Value of short option contracts   | <u>0</u> [5815] <u>7,196,400</u> [5820]          |
| 4. Amounts held by clearing organizations of foreign boards of trade                                       |  |
| A. Cash  | <u>4,802,500</u> [5840]                          |
| B. Securities  | <u>0</u> [5850]                                  |
| C. Amount due to (from) clearing organization - daily variation  | <u>182,100</u> [5860]                            |
| D. Value of long option contracts  | <u>0</u> [5870]                                  |
| E. Value of short option contracts   | <u>0</u> [5875] <u>4,984,600</u> [5880]          |
| 5. Amounts held by member of foreign boards of trade   |  |
| A. Cash  | <u>3,049,600</u> [5900]                          |
| B. Securities  | <u>0</u> [5910]                                  |
| C. Unrealized gain (loss) on open futures contracts  | <u>-80,400</u> [5920]                            |
| D. Value of long option contracts  | <u>0</u> [5930]                                  |
| E. Value of short option contracts   | <u>0</u> [5935] <u>2,969,200</u> [5940]          |
| 6. Amounts with other depositories designated by a foreign board of trade                                  | <u>0</u> [5960]                                  |
| 7. Segregated funds on hand  | <u>0</u> [5965]                                  |
| 8. Total funds in separate section 30.7 accounts   | <u>42,121,200</u> [5970]                         |
| 9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) | <u>23,767,900</u> [5680]                         |
| 10. Management Target Amount for Excess funds in separate section 30.7 accounts                            | <u>550,600</u> [5980]                            |
| 11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target                     | <u>23,217,300</u> [5985]                         |

**INITIAL****End Date:8/24/2017****Firm Name:Rand Financial Services Inc.****Form:Daily Seg - 1-FR****Submit Date:8/25/2017****Daily Segregation - Segregation Statement**

## SEGREGATION REQUIREMENTS (Section 4d(2) of the CEAct)

|     |   |   |
|-----|---|---|
| 1.  | Net ledger balance  |   |
|     | A. Cash   | <b><u>158,271,400</u></b> [5000]                |
|     | B. Securities (at market)   | <b><u>5,440,100</u></b> [5010]                  |
| 2.  | Net unrealized profit (loss) in open futures contracts traded on a contract market          | <b><u>28,787,900</u></b> [5020]                 |
| 3.  | Exchange traded options   |   |
|     | A. Market value of open option contracts purchased on a contract market                     | <b><u>6,129,100</u></b> [5030]                  |
|     | B. Market value of open option contracts granted (sold) on a contract market                | <b><u>-11,550,800</u></b> [5040]                |
| 4.  | Net Equity (deficit) (add lines 1, 2, and 3)  | <b><u>187,077,700</u></b> [5050]                |
| 5.  | Accounts liquidating to a deficit and accounts with debit balances - gross amount           | <b><u>500</u></b> [5060]                        |
|     | Less: amount offset by customer owned securities  | <b><u>0</u></b> [5070] <b><u>500</u></b> [5080] |
| 6.  | Amount required to be segregated (add lines 4 and 5)  | <b><u>187,078,200</u></b> [5090]                |
|     | FUNDS IN SEGREGATED ACCOUNTS  |   |
| 7.  | Deposited in segregated funds bank accounts   |   |
|     | A. Cash   | <b><u>125,070,500</u></b> [5100]                |
|     | B. Securities representing investment of customers' funds (at market)                       | <b><u>13,202,500</u></b> [5110]                 |
|     | C. Securities held for particular customers or option customers in lieu of cash (at market) | <b><u>992,400</u></b> [5120]                    |
| 8.  | Margins on deposit with derivatives clearing organizations of contract markets              |   |
|     | A. Cash   | <b><u>1,165,000</u></b> [5130]                  |
|     | B. Securities representing investment of customers' funds (at market)                       | <b><u>89,206,600</u></b> [5140]                 |
|     | C. Securities held for particular customers or option customers in lieu of cash (at market) | <b><u>0</u></b> [5150]                          |
| 9.  | Net settlement from (to) derivatives clearing organizations of contract markets             | <b><u>328,800</u></b> [5160]                    |
| 10. | Exchange traded options   |   |
|     | A. Value of open long option contracts  | <b><u>6,129,100</u></b> [5170]                  |
|     | B. Value of open short option contracts   | <b><u>-11,550,800</u></b> [5180]                |
| 11. | Net equities with other FCMs  |   |
|     | A. Net liquidating equity   | <b><u>116,600</u></b> [5190]                    |
|     | B. Securities representing investment of customers' funds (at market)                       | <b><u>0</u></b> [5200]                          |
|     | C. Securities held for particular customers or option customers in lieu of cash (at market) | <b><u>0</u></b> [5210]                          |
| 12. | Segregated funds on hand  | <b><u>4,447,700</u></b> [5215]                  |
| 13. | Total amount in segregation (add lines 7 through 12)  | <b><u>229,108,400</u></b> [5220]                |
| 14. | Excess (deficiency) funds in segregation (subtract line 6 from line 13)                     | <b><u>42,030,200</u></b> [5230]                 |
| 15. | Management Target Amount for Excess funds in segregation                                    | <b><u>5,612,300</u></b> [5240]                  |
| 16. | Excess (deficiency) funds in segregation over (under) Management Target Amount Excess       | <b><u>36,417,900</u></b> [5250]                 |

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**Daily Segregation - Swaps Statement**

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 <u>0</u> [8500]   |
|                                     | B. Securities (at market) <u>0</u> [8510]   |
| 2.                                  | Net unrealized profit (loss) in open cleared swaps <u>0</u> [8520]  |
| 3.                                  | Cleared swaps options   |
|                                     | A. Market value of open cleared swaps option contracts purchased <u>0</u> [8530]  |
|                                     | B. Market value of open cleared swaps option contracts granted (sold) <u>0</u> [8540]   |
| 4.                                  | Net Equity (deficit) (add lines 1, 2, and 3) <u>0</u> [8550]  |
| 5.                                  | Accounts liquidating to a deficit and accounts with debit balances - gross amount <u>0</u> [8560]                             |
|                                     | Less: amount offset by customer owned securities <u>0</u> [8570] <u>0</u> [8580]  |
| 6.                                  | Amount required to be segregated for cleared swaps customers (add lines 4 and 5) <u>0</u> [8590]                              |
|                                     | Funds in Cleared Swaps Customer Segregated Accounts   |
| 7.                                  | Deposited in cleared swaps customer segregated accounts at banks  |
|                                     | A. Cash <u>0</u> [8600]   |
|                                     | B. Securities representing investments of cleared swaps customers' funds (at market) <u>0</u> [8610]                          |
|                                     | C. Securities held for particular cleared swaps customers in lieu of cash (at market) <u>0</u> [8620]                         |
| 8.                                  | Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts                      |
|                                     | A. Cash <u>0</u> [8630]   |
|                                     | B. Securities representing investments of cleared swaps customers' funds (at market) <u>0</u> [8640]                          |
|                                     | C. Securities held for particular cleared swaps customers in lieu of cash (at market) <u>0</u> [8650]                         |
| 9.                                  | Net settlement from (to) derivatives clearing organizations <u>0</u> [8660]   |
| 10.                                 | Cleared swaps options   |
|                                     | A. Value of open cleared swaps long option contracts <u>0</u> [8670]  |
|                                     | B. Value of open cleared swaps short option contracts <u>0</u> [8680]   |
| 11.                                 | Net equities with other FCMs  |
|                                     | A. Net liquidating equity <u>0</u> [8690]   |
|                                     | B. Securities representing investments of cleared swaps customers' funds (at market) <u>0</u> [8700]                          |
|                                     | C. Securities held for particular cleared swaps customers in lieu of cash (at market) <u>0</u> [8710]                         |
| 12.                                 | Cleared swaps customer funds on hand  |
|                                     | A. Cash <u>0</u>  |
|                                     | B. Securities representing investments of cleared swaps customers' funds (at market) <u>0</u>                                 |
|                                     | C. Securities held for particular cleared swaps customers in lieu of cash (at market) <u>0</u> [8715]                         |
| 13.                                 | Total amount in cleared swaps customer segregation (add lines 7 through 12) <u>0</u> [8720]                                   |
| 14.                                 | Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13) <u>0</u> [8730]                |
| 15.                                 | Management Target Amount for Excess funds in cleared swaps segregated accounts <u>0</u> [8760]                                |
| 16.                                 | Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management Target Excess <u>0</u> [8770] |