

**INITIAL**

**End Date:10/30/2017**

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

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

**Submit Date:10/31/2017**

**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>18,519,200</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>5,641,400</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>24,160,600</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>24,160,600</u> [5655]        |
| 7. | Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.  | <u>24,160,600</u> [5660]        |

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

|     |   |  |
|-----|---|--|
| 1.  | Cash in Banks   |  |
|     | A. Banks located in the United States   | <u>22,837,100</u> [5700]                         |
|     | B. Other banks qualified under Regulation 30.7  | <u>2,899,200</u> [5720] <u>25,736,300</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>4,829,000</u> [5780]                          |
|     | B. Securities   | <u>0</u> [5790]                                  |
|     | C. Unrealized gain (loss) on open futures contracts   | <u>1,067,000</u> [5800]                          |
|     | D. Value of long option contracts   | <u>0</u> [5810]                                  |
|     | E. Value of short option contracts  | <u>0</u> [5815] <u>5,896,000</u> [5820]          |
| 4.  | Amounts held by clearing organizations of foreign boards of trade                                       |  |
|     | A. Cash   | <u>4,927,900</u> [5840]                          |
|     | B. Securities   | <u>0</u> [5850]                                  |
|     | C. Amount due to (from) clearing organization - daily variation   | <u>-188,300</u> [5860]                           |
|     | D. Value of long option contracts   | <u>0</u> [5870]                                  |
|     | E. Value of short option contracts  | <u>0</u> [5875] <u>4,739,600</u> [5880]          |
| 5.  | Amounts held by member of foreign boards of trade   |  |
|     | A. Cash   | <u>8,527,800</u> [5900]                          |
|     | B. Securities   | <u>0</u> [5910]                                  |
|     | C. Unrealized gain (loss) on open futures contracts   | <u>3,178,600</u> [5920]                          |
|     | D. Value of long option contracts   | <u>0</u> [5930]                                  |
|     | E. Value of short option contracts  | <u>0</u> [5935] <u>11,706,400</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>48,078,300</u> [5970]                         |
| 9.  | Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) | <u>23,917,700</u> [5680]                         |
| 10. | Management Target Amount for Excess funds in separate section 30.7 accounts                             | <u>724,800</u> [5980]                            |
| 11. | Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target                      | <u>23,192,900</u> [5985]                         |

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**End Date:10/30/2017**

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

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**Daily Segregation - Segregation Statement**

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

|     |   |   |
|-----|---|---|
| 1.  | Net ledger balance  |   |
|     | A. Cash   | <b><u>161,160,100</u></b> [5000]                |
|     | B. Securities (at market)   | <b><u>5,152,400</u></b> [5010]                  |
| 2.  | Net unrealized profit (loss) in open futures contracts traded on a contract market          | <b><u>6,270,500</u></b> [5020]                  |
| 3.  | Exchange traded options   |   |
|     | A. Market value of open option contracts purchased on a contract market                     | <b><u>3,486,900</u></b> [5030]                  |
|     | B. Market value of open option contracts granted (sold) on a contract market                | <b><u>-4,008,900</u></b> [5040]                 |
| 4.  | Net Equity (deficit) (add lines 1, 2, and 3)  | <b><u>172,061,000</u></b> [5050]                |
| 5.  | Accounts liquidating to a deficit and accounts with debit balances - gross amount           | <b><u>100</u></b> [5060]                        |
|     | Less: amount offset by customer owned securities  | <b><u>0</u></b> [5070] <b><u>100</u></b> [5080] |
| 6.  | Amount required to be segregated (add lines 4 and 5)  | <b><u>172,061,100</u></b> [5090]                |
|     | FUNDS IN SEGREGATED ACCOUNTS  |   |
| 7.  | Deposited in segregated funds bank accounts   |   |
|     | A. Cash   | <b><u>106,215,200</u></b> [5100]                |
|     | B. Securities representing investment of customers' funds (at market)                       | <b><u>4,722,100</u></b> [5110]                  |
|     | C. Securities held for particular customers or option customers in lieu of cash (at market) | <b><u>993,800</u></b> [5120]                    |
| 8.  | Margins on deposit with derivatives clearing organizations of contract markets              |   |
|     | A. Cash   | <b><u>2,965,000</u></b> [5130]                  |
|     | B. Securities representing investment of customers' funds (at market)                       | <b><u>92,106,200</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>-1,013,500</u></b> [5160]                 |
| 10. | Exchange traded options   |   |
|     | A. Value of open long option contracts  | <b><u>3,486,900</u></b> [5170]                  |
|     | B. Value of open short option contracts   | <b><u>-4,008,900</u></b> [5180]                 |
| 11. | Net equities with other FCMs  |   |
|     | A. Net liquidating equity   | <b><u>4,070,200</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>4,158,600</u></b> [5215]                  |
| 13. | Total amount in segregation (add lines 7 through 12)  | <b><u>213,695,600</u></b> [5220]                |
| 14. | Excess (deficiency) funds in segregation (subtract line 6 from line 13)                     | <b><u>41,634,500</u></b> [5230]                 |
| 15. | Management Target Amount for Excess funds in segregation                                    | <b><u>5,161,800</u></b> [5240]                  |
| 16. | Excess (deficiency) funds in segregation over (under) Management Target Amount Excess       | <b><u>36,472,700</u></b> [5250]                 |

**INITIAL****End Date:10/30/2017****Firm Name:Rand Financial Services Inc.****Form:Daily Seg - 1-FR****Submit Date:10/31/2017****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 <span style="float:right"><u>0</u> [8500]</span>   |
|   | B. Securities (at market) <span style="float:right"><u>0</u> [8510]</span>   |
| 2.  | Net unrealized profit (loss) in open cleared swaps <span style="float:right"><u>0</u> [8520]</span>  |
| 3.  | Cleared swaps options  |
|   | A. Market value of open cleared swaps option contracts purchased <span style="float:right"><u>0</u> [8530]</span>  |
|   | B. Market value of open cleared swaps option contracts granted (sold) <span style="float:right"><u>0</u> [8540]</span>   |
| 4.  | Net Equity (deficit) (add lines 1, 2, and 3) <span style="float:right"><u>0</u> [8550]</span>  |
| 5.  | Accounts liquidating to a deficit and accounts with debit balances - gross amount <span style="float:right"><u>0</u> [8560]</span>                             |
|   | Less: amount offset by customer owned securities <span style="float:right"><u>0</u> [8570] <u>0</u> [8580]</span>  |
| 6.  | Amount required to be segregated for cleared swaps customers (add lines 4 and 5) <span style="float:right"><u>0</u> [8590]</span>                              |
| Funds in Cleared Swaps Customer Segregated Accounts |  |
| 7.  | Deposited in cleared swaps customer segregated accounts at banks   |
|   | A. Cash <span style="float:right"><u>0</u> [8600]</span>   |
|   | B. Securities representing investments of cleared swaps customers' funds (at market) <span style="float:right"><u>0</u> [8610]</span>                          |
|   | C. Securities held for particular cleared swaps customers in lieu of cash (at market) <span style="float:right"><u>0</u> [8620]</span>                         |
| 8.  | Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts   |
|   | A. Cash <span style="float:right"><u>0</u> [8630]</span>   |
|   | B. Securities representing investments of cleared swaps customers' funds (at market) <span style="float:right"><u>0</u> [8640]</span>                          |
|   | C. Securities held for particular cleared swaps customers in lieu of cash (at market) <span style="float:right"><u>0</u> [8650]</span>                         |
| 9.  | Net settlement from (to) derivatives clearing organizations <span style="float:right"><u>0</u> [8660]</span>   |
| 10.   | Cleared swaps options  |
|   | A. Value of open cleared swaps long option contracts <span style="float:right"><u>0</u> [8670]</span>  |
|   | B. Value of open cleared swaps short option contracts <span style="float:right"><u>0</u> [8680]</span>   |
| 11.   | Net equities with other FCMs   |
|   | A. Net liquidating equity <span style="float:right"><u>0</u> [8690]</span>   |
|   | B. Securities representing investments of cleared swaps customers' funds (at market) <span style="float:right"><u>0</u> [8700]</span>                          |
|   | C. Securities held for particular cleared swaps customers in lieu of cash (at market) <span style="float:right"><u>0</u> [8710]</span>                         |
| 12.   | Cleared swaps customer funds on hand   |
|   | A. Cash <span style="float:right"><u>0</u></span>  |
|   | B. Securities representing investments of cleared swaps customers' funds (at market) <span style="float:right"><u>0</u></span>                                 |
|   | C. Securities held for particular cleared swaps customers in lieu of cash (at market) <span style="float:right"><u>0</u> <u>0</u> [8715]</span>                |
| 13.   | Total amount in cleared swaps customer segregation (add lines 7 through 12) <span style="float:right"><u>0</u> [8720]</span>                                   |
| 14.   | Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13) <span style="float:right"><u>0</u> [8730]</span>                |
| 15.   | Management Target Amount for Excess funds in cleared swaps segregated accounts <span style="float:right"><u>0</u> [8760]</span>                                |
| 16.   | Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management Target Excess <span style="float:right"><u>0</u> [8770]</span> |