

**INITIAL**

**End Date:1/10/2018**

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

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

**Submit Date:1/11/2018**

**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>22,298,600</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>1,889,200</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>24,187,800</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>24,187,800</u> [5655]
7.	Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	<u>24,187,800</u> [5660]

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1.	Cash in Banks	
	A. Banks located in the United States	<u>23,092,700</u> [5700]
	B. Other banks qualified under Regulation 30.7	<u>2,973,400</u> [5720] <u>26,066,100</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>9,223,100</u> [5780]
	B. Securities	<u>0</u> [5790]
	C. Unrealized gain (loss) on open futures contracts	<u>1,924,900</u> [5800]
	D. Value of long option contracts	<u>0</u> [5810]
	E. Value of short option contracts	<u>0</u> [5815] <u>11,148,000</u> [5820]
4.	Amounts held by clearing organizations of foreign boards of trade	
	A. Cash	<u>4,437,900</u> [5840]
	B. Securities	<u>0</u> [5850]
	C. Amount due to (from) clearing organization - daily variation	<u>111,600</u> [5860]
	D. Value of long option contracts	<u>0</u> [5870]
	E. Value of short option contracts	<u>0</u> [5875] <u>4,549,500</u> [5880]
5.	Amounts held by member of foreign boards of trade	
	A. Cash	<u>7,388,600</u> [5900]
	B. Securities	<u>0</u> [5910]
	C. Unrealized gain (loss) on open futures contracts	<u>-845,400</u> [5920]
	D. Value of long option contracts	<u>0</u> [5930]
	E. Value of short option contracts	<u>0</u> [5935] <u>6,543,200</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>48,306,800</u> [5970]
9.	Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)	<u>24,119,000</u> [5680]
10.	Management Target Amount for Excess funds in separate section 30.7 accounts	<u>725,600</u> [5980]
11.	Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target	<u>23,393,400</u> [5985]

**INITIAL****End Date:1/10/2018****Firm Name:Rand Financial Services Inc.****Form:Daily Seg - 1-FR****Submit Date:1/11/2018****Daily Segregation - Segregation Statement**

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

1.	Net ledger balance	
	A. Cash	<b><u>113,260,500</u></b> [5000]
	B. Securities (at market)	<b><u>7,895,200</u></b> [5010]
2.	Net unrealized profit (loss) in open futures contracts traded on a contract market	<b><u>26,553,500</u></b> [5020]
3.	Exchange traded options	
	A. Market value of open option contracts purchased on a contract market	<b><u>3,330,300</u></b> [5030]
	B. Market value of open option contracts granted (sold) on a contract market	<b><u>-4,434,500</u></b> [5040]
4.	Net Equity (deficit) (add lines 1, 2, and 3)	<b><u>146,605,000</u></b> [5050]
5.	Accounts liquidating to a deficit and accounts with debit balances - gross amount	<b><u>0</u></b> [5060]
	Less: amount offset by customer owned securities	<b><u>0</u></b> [5070] <b><u>0</u></b> [5080]
6.	Amount required to be segregated (add lines 4 and 5)	<b><u>146,605,000</u></b> [5090]
	FUNDS IN SEGREGATED ACCOUNTS	
7.	Deposited in segregated funds bank accounts	
	A. Cash	<b><u>93,404,200</u></b> [5100]
	B. Securities representing investment of customers' funds (at market)	<b><u>0</u></b> [5110]
	C. Securities held for particular customers or option customers in lieu of cash (at market)	<b><u>995,900</u></b> [5120]
8.	Margins on deposit with derivatives clearing organizations of contract markets	
	A. Cash	<b><u>4,727,500</u></b> [5130]
	B. Securities representing investment of customers' funds (at market)	<b><u>76,841,500</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>-151,000</u></b> [5160]
10.	Exchange traded options	
	A. Value of open long option contracts	<b><u>3,330,300</u></b> [5170]
	B. Value of open short option contracts	<b><u>-4,434,500</u></b> [5180]
11.	Net equities with other FCMs	
	A. Net liquidating equity	<b><u>4,578,500</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>6,899,300</u></b> [5215]
13.	Total amount in segregation (add lines 7 through 12)	<b><u>186,191,700</u></b> [5220]
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)	<b><u>39,586,700</u></b> [5230]
15.	Management Target Amount for Excess funds in segregation	<b><u>4,398,200</u></b> [5240]
16.	Excess (deficiency) funds in segregation over (under) Management Target Amount Excess	<b><u>35,188,500</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 <span style="float:right">0 [8500]</span>
	B. Securities (at market) <span style="float:right">0 [8510]</span>
2.	Net unrealized profit (loss) in open cleared swaps <span style="float:right">0 [8520]</span>
3.	Cleared swaps options
	A. Market value of open cleared swaps option contracts purchased <span style="float:right">0 [8530]</span>
	B. Market value of open cleared swaps option contracts granted (sold) <span style="float:right">0 [8540]</span>
4.	Net Equity (deficit) (add lines 1, 2, and 3) <span style="float:right">0 [8550]</span>
5.	Accounts liquidating to a deficit and accounts with debit balances - gross amount <span style="float:right">0 [8560]</span>
	Less: amount offset by customer owned securities <span style="float:right">0 [8570] 0 [8580]</span>
6.	Amount required to be segregated for cleared swaps customers (add lines 4 and 5) <span style="float:right">0 [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">0 [8600]</span>
	B. Securities representing investments of cleared swaps customers' funds (at market) <span style="float:right">0 [8610]</span>
	C. Securities held for particular cleared swaps customers in lieu of cash (at market) <span style="float:right">0 [8620]</span>
8.	Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts
	A. Cash <span style="float:right">0 [8630]</span>
	B. Securities representing investments of cleared swaps customers' funds (at market) <span style="float:right">0 [8640]</span>
	C. Securities held for particular cleared swaps customers in lieu of cash (at market) <span style="float:right">0 [8650]</span>
9.	Net settlement from (to) derivatives clearing organizations <span style="float:right">0 [8660]</span>
10.	Cleared swaps options
	A. Value of open cleared swaps long option contracts <span style="float:right">0 [8670]</span>
	B. Value of open cleared swaps short option contracts <span style="float:right">0 [8680]</span>
11.	Net equities with other FCMs
	A. Net liquidating equity <span style="float:right">0 [8690]</span>
	B. Securities representing investments of cleared swaps customers' funds (at market) <span style="float:right">0 [8700]</span>
	C. Securities held for particular cleared swaps customers in lieu of cash (at market) <span style="float:right">0 [8710]</span>
12.	Cleared swaps customer funds on hand
	A. Cash <span style="float:right">0</span>
	B. Securities representing investments of cleared swaps customers' funds (at market) <span style="float:right">0</span>
	C. Securities held for particular cleared swaps customers in lieu of cash (at market) <span style="float:right">0 0 [8715]</span>
13.	Total amount in cleared swaps customer segregation (add lines 7 through 12) <span style="float:right">0 [8720]</span>
14.	Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13) <span style="float:right">0 [8730]</span>
15.	Management Target Amount for Excess funds in cleared swaps segregated accounts <span style="float:right">0 [8760]</span>
16.	Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management Target Excess <span style="float:right">0 [8770]</span>