

INITIAL

End Date:7/4/2018

Firm Name:Rand Financial Services Inc.

Form:Daily Seg - 1-FR

Submit Date:7/5/2018

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>12,642,000</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>1,934,700</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>14,576,700</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>14,576,700</u> [5655]
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	<u>14,576,700</u> [5660]

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in Banks	
A. Banks located in the United States	<u>22,665,700</u> [5700]
B. Other banks qualified under Regulation 30.7	<u>2,261,800</u> [5720] <u>24,927,500</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>5,727,700</u> [5780]
B. Securities	<u>0</u> [5790]
C. Unrealized gain (loss) on open futures contracts	<u>336,600</u> [5800]
D. Value of long option contracts	<u>0</u> [5810]
E. Value of short option contracts	<u>0</u> [5815] <u>6,064,300</u> [5820]
4. Amounts held by clearing organizations of foreign boards of trade	
A. Cash	<u>2,684,000</u> [5840]
B. Securities	<u>0</u> [5850]
C. Amount due to (from) clearing organization - daily variation	<u>111,500</u> [5860]
D. Value of long option contracts	<u>0</u> [5870]
E. Value of short option contracts	<u>0</u> [5875] <u>2,795,500</u> [5880]
5. Amounts held by member of foreign boards of trade	
A. Cash	<u>4,019,200</u> [5900]
B. Securities	<u>0</u> [5910]
C. Unrealized gain (loss) on open futures contracts	<u>1,109,500</u> [5920]
D. Value of long option contracts	<u>0</u> [5930]
E. Value of short option contracts	<u>0</u> [5935] <u>5,128,700</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>38,916,000</u> [5970]
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)	<u>24,339,300</u> [5680]
10. Management Target Amount for Excess funds in separate section 30.7 accounts	<u>437,300</u> [5980]
11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target	<u>23,902,000</u> [5985]

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Daily Segregation - Segregation Statement

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

1.	Net ledger balance	
	A. Cash	<u>130,236,000</u> [5000]
	B. Securities (at market)	<u>3,674,700</u> [5010]
2.	Net unrealized profit (loss) in open futures contracts traded on a contract market	<u>-4,860,200</u> [5020]
3.	Exchange traded options	
	A. Market value of open option contracts purchased on a contract market	<u>6,187,000</u> [5030]
	B. Market value of open option contracts granted (sold) on a contract market	<u>-15,102,800</u> [5040]
4.	Net Equity (deficit) (add lines 1, 2, and 3)	<u>120,134,700</u> [5050]
5.	Accounts liquidating to a deficit and accounts with debit balances - gross amount	<u>0</u> [5060]
	Less: amount offset by customer owned securities	<u>0</u> [5070] <u>0</u> [5080]
6.	Amount required to be segregated (add lines 4 and 5)	<u>120,134,700</u> [5090]
	FUNDS IN SEGREGATED ACCOUNTS	
7.	Deposited in segregated funds bank accounts	
	A. Cash	<u>79,251,400</u> [5100]
	B. Securities representing investment of customers' funds (at market)	<u>668,600</u> [5110]
	C. Securities held for particular customers or option customers in lieu of cash (at market)	<u>790,000</u> [5120]
8.	Margins on deposit with derivatives clearing organizations of contract markets	
	A. Cash	<u>2,233,800</u> [5130]
	B. Securities representing investment of customers' funds (at market)	<u>77,945,900</u> [5140]
	C. Securities held for particular customers or option customers in lieu of cash (at market)	<u>0</u> [5150]
9.	Net settlement from (to) derivatives clearing organizations of contract markets	<u>854,600</u> [5160]
10.	Exchange traded options	
	A. Value of open long option contracts	<u>6,187,000</u> [5170]
	B. Value of open short option contracts	<u>-15,102,800</u> [5180]
11.	Net equities with other FCMs	
	A. Net liquidating equity	<u>4,611,400</u> [5190]
	B. Securities representing investment of customers' funds (at market)	<u>0</u> [5200]
	C. Securities held for particular customers or option customers in lieu of cash (at market)	<u>0</u> [5210]
12.	Segregated funds on hand	<u>2,884,700</u> [5215]
13.	Total amount in segregation (add lines 7 through 12)	<u>160,324,600</u> [5220]
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)	<u>40,189,900</u> [5230]
15.	Management Target Amount for Excess funds in segregation	<u>3,604,000</u> [5240]
16.	Excess (deficiency) funds in segregation over (under) Management Target Amount Excess	<u>36,585,900</u> [5250]

INITIAL**End Date:7/4/2018****Firm Name:Rand Financial Services Inc.****Form:Daily Seg - 1-FR****Submit Date:7/5/2018****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) Funds in Cleared Swaps Customer Segregated Accounts	<u>0</u> [8590]
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> <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]