

**INITIAL****End Date:8/1/2018****Firm Name:Rand Financial Services Inc.****Form:Daily Seg - 1-FR****Submit Date:8/2/2018****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

1.	Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers	<u>0</u> [5605]
	A. Cash	<u>16,588,600</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>-2,277,400</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>14,311,200</u> [5645]
5.	Account liquidating to a deficit and account with a debit balances - gross amount	<u>800</u> [5651]
	Less: amount offset by customer owned securities	<u>0</u> [5652] <u>800</u> [5654]
6.	Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	<u>14,312,000</u> [5655]
7.	Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	<u>14,312,000</u> [5660]

## FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1.	Cash in Banks	
	A. Banks located in the United States	<u>24,748,700</u> [5700]
	B. Other banks qualified under Regulation 30.7	<u>1,771,800</u> [5720] <u>26,520,500</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>4,579,000</u> [5780]
	B. Securities	<u>0</u> [5790]
	C. Unrealized gain (loss) on open futures contracts	<u>1,241,400</u> [5800]
	D. Value of long option contracts	<u>0</u> [5810]
	E. Value of short option contracts	<u>0</u> [5815] <u>5,820,400</u> [5820]
4.	Amounts held by clearing organizations of foreign boards of trade	
	A. Cash	<u>2,007,500</u> [5840]
	B. Securities	<u>0</u> [5850]
	C. Amount due to (from) clearing organization - daily variation	<u>-341,200</u> [5860]
	D. Value of long option contracts	<u>0</u> [5870]
	E. Value of short option contracts	<u>0</u> [5875] <u>1,666,300</u> [5880]
5.	Amounts held by member of foreign boards of trade	
	A. Cash	<u>7,225,400</u> [5900]
	B. Securities	<u>0</u> [5910]
	C. Unrealized gain (loss) on open futures contracts	<u>-2,487,400</u> [5920]
	D. Value of long option contracts	<u>0</u> [5930]
	E. Value of short option contracts	<u>0</u> [5935] <u>4,738,000</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>38,745,200</u> [5970]
9.	Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)	<u>24,433,200</u> [5680]
10.	Management Target Amount for Excess funds in separate section 30.7 accounts	<u>429,400</u> [5980]
11.	Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target	<u>24,003,800</u> [5985]

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

1.	Net ledger balance	
	A. Cash	<b><u>125,421,000</u></b> [5000]
	B. Securities (at market)	<b><u>3,439,000</u></b> [5010]
2.	Net unrealized profit (loss) in open futures contracts traded on a contract market	<b><u>11,431,400</u></b> [5020]
3.	Exchange traded options	
	A. Market value of open option contracts purchased on a contract market	<b><u>9,746,500</u></b> [5030]
	B. Market value of open option contracts granted (sold) on a contract market	<b><u>-16,593,900</u></b> [5040]
4.	Net Equity (deficit) (add lines 1, 2, and 3)	<b><u>133,444,000</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>133,444,000</u></b> [5090]
	FUNDS IN SEGREGATED ACCOUNTS	
7.	Deposited in segregated funds bank accounts	
	A. Cash	<b><u>84,158,600</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>791,100</u></b> [5120]
8.	Margins on deposit with derivatives clearing organizations of contract markets	
	A. Cash	<b><u>1,730,000</u></b> [5130]
	B. Securities representing investment of customers' funds (at market)	<b><u>84,285,300</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>497,100</u></b> [5160]
10.	Exchange traded options	
	A. Value of open long option contracts	<b><u>9,746,500</u></b> [5170]
	B. Value of open short option contracts	<b><u>-16,593,900</u></b> [5180]
11.	Net equities with other FCMs	
	A. Net liquidating equity	<b><u>6,151,400</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>2,647,900</u></b> [5215]
13.	Total amount in segregation (add lines 7 through 12)	<b><u>173,414,000</u></b> [5220]
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)	<b><u>39,970,000</u></b> [5230]
15.	Management Target Amount for Excess funds in segregation	<b><u>4,003,300</u></b> [5240]
16.	Excess (deficiency) funds in segregation over (under) Management Target Amount Excess	<b><u>35,966,700</u></b> [5250]

**INITIAL**

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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) 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]