

**INITIAL****End Date:1/15/2019****Firm Name:Rand Financial Services Inc.****Form:Daily Seg - 1-FR****Submit Date:1/16/2019****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>4,181,100</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>3,239,400</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>7,420,500</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>7,420,500</u> [5655]                          |
| 7.  | Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.  | <u>7,420,500</u> [5660]                          |
|     | <b>FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS</b>   |  |
| 1.  | Cash in Banks   |  |
|     | A. Banks located in the United States   | <u>23,513,600</u> [5700]                         |
|     | B. Other banks qualified under Regulation 30.7  | <u>2,313,900</u> [5720] <u>25,827,500</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>336,600</u> [5780]                            |
|     | B. Securities   | <u>0</u> [5790]                                  |
|     | C. Unrealized gain (loss) on open futures contracts   | <u>595,000</u> [5800]                            |
|     | D. Value of long option contracts   | <u>0</u> [5810]                                  |
|     | E. Value of short option contracts  | <u>0</u> [5815] <u>931,600</u> [5820]            |
| 4.  | Amounts held by clearing organizations of foreign boards of trade   |  |
|     | A. Cash   | <u>0</u> [5840]                                  |
|     | B. Securities   | <u>0</u> [5850]                                  |
|     | C. Amount due to (from) clearing organization - daily variation   | <u>0</u> [5860]                                  |
|     | D. Value of long option contracts   | <u>0</u> [5870]                                  |
|     | E. Value of short option contracts  | <u>0</u> [5875] <u>0</u> [5880]                  |
| 5.  | Amounts held by member of foreign boards of trade   |  |
|     | A. Cash   | <u>2,834,500</u> [5900]                          |
|     | B. Securities   | <u>0</u> [5910]                                  |
|     | C. Unrealized gain (loss) on open futures contracts   | <u>2,644,400</u> [5920]                          |
|     | D. Value of long option contracts   | <u>0</u> [5930]                                  |
|     | E. Value of short option contracts  | <u>0</u> [5935] <u>5,478,900</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>32,238,000</u> [5970]                         |
| 9.  | Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)   | <u>24,817,500</u> [5680]                         |
| 10. | Management Target Amount for Excess funds in separate section 30.7 accounts   | <u>222,600</u> [5980]                            |
| 11. | Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target  | <u>24,594,900</u> [5985]                         |

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

|     |   |   |
|-----|---|---|
| 1.  | Net ledger balance  |   |
|     | A. Cash   | <b><u>83,028,400</u></b> [5000]               |
|     | B. Securities (at market)   | <b><u>14,323,200</u></b> [5010]               |
| 2.  | Net unrealized profit (loss) in open futures contracts traded on a contract market          | <b><u>8,494,500</u></b> [5020]                |
| 3.  | Exchange traded options   |   |
|     | A. Market value of open option contracts purchased on a contract market                     | <b><u>3,556,300</u></b> [5030]                |
|     | B. Market value of open option contracts granted (sold) on a contract market                | <b><u>-6,619,700</u></b> [5040]               |
| 4.  | Net Equity (deficit) (add lines 1, 2, and 3)  | <b><u>102,782,700</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>102,782,700</u></b> [5090]              |
|     | FUNDS IN SEGREGATED ACCOUNTS  |   |
| 7.  | Deposited in segregated funds bank accounts   |   |
|     | A. Cash   | <b><u>29,063,800</u></b> [5100]               |
|     | B. Securities representing investment of customers' funds (at market)                       | <b><u>4,260,300</u></b> [5110]                |
|     | C. Securities held for particular customers or option customers in lieu of cash (at market) | <b><u>7,486,700</u></b> [5120]                |
| 8.  | Margins on deposit with derivatives clearing organizations of contract markets              |   |
|     | A. Cash   | <b><u>2,622,700</u></b> [5130]                |
|     | B. Securities representing investment of customers' funds (at market)                       | <b><u>90,784,100</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>320,000</u></b> [5160]                  |
| 10. | Exchange traded options   |   |
|     | A. Value of open long option contracts  | <b><u>3,556,300</u></b> [5170]                |
|     | B. Value of open short option contracts   | <b><u>-6,619,700</u></b> [5180]               |
| 11. | Net equities with other FCMs  |   |
|     | A. Net liquidating equity   | <b><u>1,658,000</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>6,836,500</u></b> [5215]                |
| 13. | Total amount in segregation (add lines 7 through 12)  | <b><u>139,968,700</u></b> [5220]              |
| 14. | Excess (deficiency) funds in segregation (subtract line 6 from line 13)                     | <b><u>37,186,000</u></b> [5230]               |
| 15. | Management Target Amount for Excess funds in segregation                                    | <b><u>3,083,500</u></b> [5240]                |
| 16. | Excess (deficiency) funds in segregation over (under) Management Target Amount Excess       | <b><u>34,102,500</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  | <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)<br>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]                 |