

**INITIAL**

**End Date:1/30/2020**

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

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

**Submit Date:1/31/2020**

**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>9,204,000</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>471,100</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>9,675,100</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>9,675,100</u> [5655]         |
| 7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.   | <u>9,675,100</u> [5660]         |

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

|  |  |
|--|--|
| 1. Cash in Banks   |  |
| A. Banks located in the United States  | <u>27,569,700</u> [5700]                       |
| B. Other banks qualified under Regulation 30.7   | <u>853,000</u> [5720] <u>28,422,700</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>3,222,900</u> [5780]                        |
| B. Securities  | <u>0</u> [5790]                                |
| C. Unrealized gain (loss) on open futures contracts  | <u>361,100</u> [5800]                          |
| D. Value of long option contracts  | <u>0</u> [5810]                                |
| E. Value of short option contracts   | <u>0</u> [5815] <u>3,584,000</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>3,030,100</u> [5900]                        |
| B. Securities  | <u>0</u> [5910]                                |
| C. Unrealized gain (loss) on open futures contracts  | <u>110,000</u> [5920]                          |
| D. Value of long option contracts  | <u>0</u> [5930]                                |
| E. Value of short option contracts   | <u>0</u> [5935] <u>3,140,100</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>35,146,800</u> [5970]                       |
| 9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) | <u>25,471,700</u> [5680]                       |
| 10. Management Target Amount for Excess funds in separate section 30.7 accounts                            | <u>290,300</u> [5980]                          |
| 11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target                     | <u>25,181,400</u> [5985]                       |

**INITIAL****End Date:1/30/2020****Firm Name:Rand Financial Services Inc.****Form:Daily Seg - 1-FR****Submit Date:1/31/2020****Daily Segregation - Segregation Statement**

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

|     |   |   |
|-----|---|---|
| 1.  | Net ledger balance  |   |
|     | A. Cash   | <b><u>91,833,400</u></b> [5000]                 |
|     | B. Securities (at market)   | <b><u>12,114,600</u></b> [5010]                 |
| 2.  | Net unrealized profit (loss) in open futures contracts traded on a contract market          | <b><u>16,222,100</u></b> [5020]                 |
| 3.  | Exchange traded options   |   |
|     | A. Market value of open option contracts purchased on a contract market                     | <b><u>1,231,300</u></b> [5030]                  |
|     | B. Market value of open option contracts granted (sold) on a contract market                | <b><u>-13,201,800</u></b> [5040]                |
| 4.  | Net Equity (deficit) (add lines 1, 2, and 3)  | <b><u>108,199,600</u></b> [5050]                |
| 5.  | Accounts liquidating to a deficit and accounts with debit balances - gross amount           | <b><u>300</u></b> [5060]                        |
|     | Less: amount offset by customer owned securities  | <b><u>0</u></b> [5070] <b><u>300</u></b> [5080] |
| 6.  | Amount required to be segregated (add lines 4 and 5)  | <b><u>108,199,900</u></b> [5090]                |
|     | FUNDS IN SEGREGATED ACCOUNTS  |   |
| 7.  | Deposited in segregated funds bank accounts   |   |
|     | A. Cash   | <b><u>66,436,200</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>6,454,200</u></b> [5120]                  |
| 8.  | Margins on deposit with derivatives clearing organizations of contract markets              |   |
|     | A. Cash   | <b><u>12,684,200</u></b> [5130]                 |
|     | B. Securities representing investment of customers' funds (at market)                       | <b><u>59,175,600</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>2,562,600</u></b> [5160]                  |
| 10. | Exchange traded options   |   |
|     | A. Value of open long option contracts  | <b><u>1,231,300</u></b> [5170]                  |
|     | B. Value of open short option contracts   | <b><u>-13,201,800</u></b> [5180]                |
| 11. | Net equities with other FCMs  |   |
|     | A. Net liquidating equity   | <b><u>3,636,800</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>5,660,400</u></b> [5215]                  |
| 13. | Total amount in segregation (add lines 7 through 12)  | <b><u>144,639,500</u></b> [5220]                |
| 14. | Excess (deficiency) funds in segregation (subtract line 6 from line 13)                     | <b><u>36,439,600</u></b> [5230]                 |
| 15. | Management Target Amount for Excess funds in segregation                                    | <b><u>3,246,000</u></b> [5240]                  |
| 16. | Excess (deficiency) funds in segregation over (under) Management Target Amount              | <b><u>33,193,600</u></b> [5250]                 |
|     | Excess  |   |

**INITIAL****End Date:1/30/2020****Firm Name:Rand Financial Services Inc.****Form:Daily Seg - 1-FR****Submit Date:1/31/2020****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]                 |