

Name of Company: Rand Financial Services Inc.	Employer ID No: 363849442	NFA ID No: 0244931
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CFTC FORM 1-FR-FCM
STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION
FOR CUSTOMERS TRADING ON U.S. COMMODITY EXCHANGES
AS OF 8/31/2018

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

1. Net ledger balance				
A. Cash		\$ 109,209,800	5000	
B. Securities (at market)		3,980,800	5010	
2. Net unrealized profit (loss) in open futures contracts traded on a contract market		25,558,300	5020	
3. Exchange traded options				
A. Market value of open option contracts purchased on a contract market		3,704,700	5030	
B. Market value of open option contracts granted (sold) on a contract market		(9,480,000)	5040	
4. Net equity (deficit) (add lines 1, 2, and 3)		\$ 132,973,600	5050	
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$ 5,000	5060		
Less: amount offset by customer owned securities	(5,000)	5070	0	5080
6. Amount required to be segregated (add lines 4 and 5)		\$ 132,973,600	5090	

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts				
A. Cash		\$ 78,415,700	5100	
B. Securities representing investments of customers' funds (at market)		372,500	5110	
C. Securities held for particular customers or option customers in lieu of cash (at market)		740,700	5120	
8. Margins on deposit with derivatives clearing organizations of contract markets				
A. Cash		3,071,300	5130	
B. Securities representing investments of customers' funds (at market)		89,553,700	5140	
C. Securities held for particular customers or option customers in lieu of cash (at market)		0	5150	
9. Net settlement from (to) derivatives clearing organizations of contract markets		641,700	5160	
10. Exchange traded options				
A. Value of open long option contracts		3,704,700	5170	
B. Value of open short option contracts		(9,480,000)	5180	
11. Net equities with other FCMs				
A. Net liquidating equity		3,022,300	5190	
B. Securities representing investments of customers' funds (at market)		0	5200	
C. Securities held for particular customers or option customers in lieu of cash (at market)		0	5210	
12. Segregated funds on hand (describe: See Attached)		3,240,100	5215	
13. Total amount in segregation (add lines 7 through 12)		\$ 173,282,700	5220	
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)		\$ 40,309,100	5230	
15. Management Target Amount Excess funds in segregation		\$ 3,989,400	5240	
16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess		\$ 36,319,700	5250	

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CFTC FORM 1-FR-FCM
STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS
IN SEGREGATION FOR CUSTOMERS' DEALER OPTIONS ACCOUNTS
AS OF 8/31/2018

1. Amount required to be segregated in accordance with Commission regulation 32.6		\$ 0	5400
2. Funds in segregated accounts			
A. Cash	\$ 0		5410
B. Securities (at market)	0		5420
C. Total		0	5430
3. Excess (deficiency) funds in segregation (subtract line 1. from line 2.C.)		\$ 0	5440

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CFTC FORM 1-FR-FCM
STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS
PURSUANT TO COMMISSION REGULATION 30.7
AS OF 8/31/2018

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

	\$ 0	5605
1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers		
A. Cash	\$ 14,332,100	5615
B. Securities (at market)	\$ 0	5617
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	\$ 4,203,300	5625
3. Exchange traded options		
A. Market value of open option contracts purchased on a foreign board of trade	\$ 0	5635
B. Market value of open option contracts granted (sold) on a foreign board of trade	\$ 0	5637
4. Net equity (deficit) (add lines 1, 2, and 3)	\$ 18,535,400	5645
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$ 0	5651
Less: amount offset by customer owned securities	\$ 0	5652
6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	\$ 18,535,400	5655
7. Greater of amount required to be set aside to a foreign jurisdiction (above) or line 6.	\$ 18,535,400	5660

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CFTC FORM 1-FR-FCM
STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS
PURSUANT TO COMMISSION REGULATION 30.7
AS OF 8/31/2018

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in Banks				
A. Banks located in the United States	\$ 23,590,700	5700		
B. Other banks qualified under Regulation 30.7				
Name(s): <u>See Attached</u>	2,152,500	5720	\$ 25,743,200	5730
2. Securities				
A. In safekeeping with banks located in the United States	\$ 0	5740		
B. In safekeeping with other banks qualified under Regulation 30.7				
Name(s): _	0	5760	0	5770
3. Equities with registered futures commission merchants				
A. Cash	\$ 4,261,600	5780		
B. Securities	0	5790		
C. Unrealized gain (loss) on open futures contracts	3,049,200	5800		
D. Value of long option contracts	0	5810		
E. Value of short option contracts	0	5815	7,310,800	5820
4. Amounts held by clearing organizations of foreign boards of trade				
Name(s): <u>See Attached</u>		5830		
A. Cash	\$ 3,837,900	5840		
B. Securities	0	5850		
C. Amount due to (from) clearing organization - daily variation	71,400	5860		
D. Value of long option contracts	0	5870		
E. Value of short option contracts	0	5875	3,909,300	5880
5. Amounts held by members of foreign boards of trade				
Name(s): <u>See Attached</u>		5890		
A. Cash	\$ 4,948,300	5900		
B. Securities	0	5910		
C. Unrealized gain (loss) on open futures contracts	1,085,600	5920		
D. Value of long option contracts	0	5930		
E. Value of short option contracts	0	5935	6,033,900	5940
6. Amounts with other depositories designated by a foreign board of trade				
Name(s): _		5950	0	5960
7. Segregated funds on hand (describe): _			0	5965
8. Total funds in separate section 30.7 accounts			\$ 42,997,200	5970
9. Excess (deficiency) Set Aside Funds for Secured Amount (Subtract line 7 Secured Statement Page 1 from line 8)			\$ 24,461,800	5980
10. Management Target Amount for Excess funds in separate 30.7 accounts			556,100	5985
11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target Excess			23,905,700	5990

SUPPLEMENT TO
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
PART II

BROKER OR DEALER:

as of: 08/31/2018

STATEMENT OF CLEARED SWAPS 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		\$ 0	8500
B. Securities (at market)		0	8510
2. Net unrealized profit (loss) in open cleared swaps		0	8520
3. Cleared swaps options			
A. Market value of open cleared swaps option contracts purchased		0	8530
B. Market value of open cleared swaps granted (sold)		0	8540
4. Net equity (deficit) (add lines 1, 2 and 3)		0	8550
5. Accounts liquidating to a deficit and accounts with debit balances			
- gross amount	\$ 0	8560	
Less: amount offset by customer securities	0	8570	0
6. Amount required to be segregated for cleared swaps customers (add lines 4 and 5)			0
			8590

Funds in Cleared Swaps Customer Segregated Accounts

7. Deposited in cleared swaps customer segregated accounts at banks			
A. Cash		\$ 0	8600
B. Securities representing investments of cleared swaps customers' funds (at market)		0	8610
C. Securities held for particular cleared swaps customers in lieu of cash (at market)		0	8620
8. Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts			
A. Cash		0	8630
B. Securities representing investments of cleared swaps customers' funds (at market)		0	8640
C. Securities held for particular cleared swaps customers in lieu of cash (at market)		0	8650
9. Net settlement from (to) derivatives clearing organizations		0	8660
10. Cleared swaps options			
A. Value of open cleared swaps long option contracts		0	8670
B. Value of open cleared swaps short option contracts		0	8680
11. Net equities with other FCMs			
A. Net liquidating equity		0	8690
B. Securities representing investments of cleared swaps customers' funds (at market)		0	8700
C. Securities held for particular cleared swaps customers in lieu of cash (at market)		0	8710
12. Cleared swaps customer funds on hand (describe:)		0	8715
13. Total amount in cleared swaps customer segregation (add lines 7 through 12)		0	8720
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)		\$ 0	8730
15. Management target Amount for Excess funds in cleared swaps segregated accounts		\$ 0	8760
16. Excess (deficiency) funds in cleared swaps customer segregation over (under) Management Target Excess		\$ 0	8770