

Name of Company:

Employer ID No:

NFA ID No:

**CFTC FORM 1-FR-FCM
STATEMENT OF FINANCIAL CONDITION
AS OF __/__/__**

Assets

	Current	Non-Current	Total
1. Funds segregated or in separate accounts pursuant to the CEAct and the Regulations			
A. U.S. exchanges (page 11, line 13)	\$ 0 1000		\$ 0 1005
B. Dealer options (page 12, line 2.C.)	0 1010		0 1015
C. Foreign exchanges (page 14, line 8)	0 1020	\$ 0 1025	0 1030
D. Cleared Swaps (page XX, line X)	0 XXX	0 XXX	0 XXX
<i>(Do not Duplicate line 1, assets below)</i>			
2. Cash	0 1040	0 1045	0 1050
3. Securities, at market value			
A. Firm owned	0 1055	0 1060	0 1065
B. Noncustomer-owned	0 1070		0 1075
C. Individual partners' and members' security accounts	0 1080		0 1085
D. Stock in clearing organizations	0 1100	0 1105	0 1110
4. Securities purchased under resale agreements	0 1115	0 1120	0 1125
5. Receivables from and deposits with U.S. derivatives clearing organizations			
A. Margins	0 1130		0 1135
B. Settlement receivable	0 1140		0 1145
C. Guarantee deposits	0 1150		0 1155
D. Net long options value	0 1167		0 1168
6. Receivables from and deposits with foreign commodity clearing organizations			
A. Margins	0 1180	0 1185	0 1170
B. Settlement receivable	0 1176		0 1180
C. Guarantee deposits	0 1182	0 1185	0 1190
D. Net long options value	0 1191	0 1192	0 1193
7. Receivables from registered FCMs			
A. Net liquidating equity	0 1195	0 1200	0 1205
B. Security deposits		0 1210	0 1215
C. Other	0 1220	0 1225	0 1230
8. Receivables from foreign commodity brokers			
A. Net liquidating equity	0 1235	0 1240	0 1245
B. Security deposits		0 1250	0 1255
C. Other	0 1260	0 1265	0 1270

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AS OF / /**

Liabilities & Ownership Equity

Liabilities

21. Payables to banks		2000
A. Secured loans		2010
B. Unsecured loans		2020
C. Overdrafts		
22. Equities in commodity accounts and cleared swaps accounts		2030
A. Customers trading on U.S. commodity exchanges		2040
B. Customers trading on foreign exchanges		2050
C. Customers' dealer option accounts		2060
D. Noncustomers' accounts		2070
E. General partners' and members' trading accounts (not included in capital)		XXXX
F. Customers trading cleared swaps		
23. Payable to U.S. derivatives clearing organizations		2080
Including short option value \$	0	
24. Payable to foreign commodity clearing organizations		2090
Including short option value \$	0	
25. Payable to registered futures commission merchants		2100
26. Payable to foreign commodity brokers		2110
27. Accounts payable, accrued expenses and other payables		2120
A. Accounts payable and accrued expenses		2130
B. Salaries, wages, commissions and bonuses payable		2140
C. Taxes payable		2150
D. Deferred income taxes		2160
E. Security deposits held		2170
F. Advances against commodities		2180
G. Unrealized losses on forward contracts and commitments		2190
H. Due to subsidiaries and affiliates		2200
I. Notes, mortgages and other payables due within twelve months		XXXX
J. Obligation to Retail FX Customers		XXXX
K. Other (itemize on a separate page)		2210
28. Notes, mortgages and other payables not due within twelve months of the date of this statement		2220
A. Unsecured		2230
B. Secured		

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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 xx/xx/xxxx

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

Table with 3 columns: Description, Amount, and Box Number. Rows include: 1. Net ledger balance (A. Cash, B. Securities), 2. Net unrealized profit (loss) in open futures contracts, 3. Exchange traded options (A. Market value of open option contracts purchased, B. Market value of open option contracts granted), 4. Net equity (deficit), 5. Accounts liquidating to a deficit and accounts with debit balances - gross amount, Less: amount offset by customer owned securities, 6. Amount required to be segregated.

FUNDS IN SEGREGATED ACCOUNTS

Table with 3 columns: Description, Amount, and Box Number. Rows include: 7. Deposited in segregated funds bank accounts (A. Cash, B. Securities representing investment of customers' funds, C. Securities held for particular customers), 8. Margins on deposit with derivatives clearing organizations of contract markets (A. Cash, B. Securities representing investments of customers' funds, C. Securities held for particular customers), 9. Net settlement from (to) derivatives clearing organizations, 10. Value of open long/short option contracts, 11. Net equities with other FCMs (A. Net liquidating equity, B. Securities representing investments of customers' funds, C. Securities held for particular customers), 12. Segregated funds on hand, 13. Total amount in segregation, 14. Excess (deficiency) funds in segregation, 15. Management Target Amount for Excess funds, 16. Excess (deficiency) funds in segregation over (under) Management Target Amount, 17. Sum of Margin Deficits for futures customers, 18. Excess (Deficiency) of Residual Interest over Sum of Margin Deficits.

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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 xx/xx/xxxx

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 Options Trading - All Customers

A. Cash

\$ 0

B. Securities (at market)

0

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade

0

3. Exchange traded options

A. Market value of open option contracts purchased on a foreign board of trade

0

B. Market value of open option contracts granted (sold) on a foreign board of trade

0

4. Net equity (deficit) (add lines 1, 2, and 3)

\$ 0

5. Accounts liquidating to a deficit and accounts with
debit balances - gross amount

\$ 0

Less: amount offset by customer owned securities

0

0

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method
(add lines 4 and 5)

\$ 0

7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.

\$ 0

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PURSUANT TO COMMISSION REGULATION 30.7
AS OF xx/xx/xxxx

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in Banks
A. Banks located in the United States
B. Other Banks qualified under Regulation 30.7
Name(s):
2. Securities
A. In safekeeping with banks located in the United States
B. In safekeeping with other banks qualified under Regulation 30.7
Name(s):
3. Equities with registered futures commission merchants
A. Cash
B. Securities
C. Unrealized gain (loss) on open futures contracts
D. Value of long option contracts
E. Value of short option contracts
4. Amounts held by clearing organizations of foreign boards of trade
Name(s):
A. Cash
B. Securities
C. Amount due to (from) clearing organization - daily variation
D. Value of long option contracts
E. Value of short option contracts
5. Amounts held by members of foreign boards of trade
Name(s):
A. Cash
B. Securities
C. Unrealized gain (loss) on open futures contracts
D. Value of long option contracts
E. Value of short option contracts
6. Amounts with other depositories designated by a foreign board of trade
Name(s):
7. Segregated funds on hand (describe:)
8. Total funds in separate section 30.7 accounts (to page 13, line 2)
9. Excess (deficiency) Set Aside Funds for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)
10. Management Target Amount for Excess funds in separate section 30.7 accounts
11. Excess (deficiency) funds in separate section 30.7 accounts over (under) Management Target Excess
12. Sum of Margin Deficits for 30.7 customers
13. Excess (Deficiency) of Residual Interest (Line 9) over Sum of Margin Deficits (Line 12)