

SUPPLEMENT TO
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
PART II

BROKER OR DEALER
DAIWA CAPITAL MARKETS AMERICA INC.

as of 01/31/2018

STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION
FOR CUSTOMERS TRADING ON U.S. COMMODITY EXCHANGES

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

1.	Net ledger balance			
	A. Cash		0	7010
	B. Securities (at market)		0	7020
2.	Net unrealized profit (loss) in open futures contracts traded on a contract market		0	7030
3.	Exchange Traded Options			
	A. Add market value of open option contracts purchased on a contract market		0	7032
	B. Deduct market value of open option contracts granted (sold) on a contract market	(0	7033
4.	Net equity (deficit) (add lines 1, 2, and 3)		0	7040
5.	Accounts liquidating to a deficit and accounts with debit balances			
	Gross Amount		0	7045
	Less: amount offset by customer owned securities	(0	7047
6.	Amount required to be segregated (add lines 4 and 5)		0	7060

FUNDS IN SEGREGATED ACCOUNTS

7.	Deposited in segregated funds bank accounts			
	A. Cash		2,006,182	7070
	B. Securities representing investments of customers' funds (at market)		0	7080
	C. Securities held for particular customers or option customers in lieu of cash (at market)		0	7090
8.	Margins on deposit with derivatives clearing organizations of contract markets			
	A. Cash		165,688	7100
	B. Securities representing investments of customers' funds (at market)		0	7110
	C. Securities held for particular customers or option customers in lieu of cash (at market)		0	7120
9.	Net settlement from (to) derivatives clearing organizations of contract markets		0	7130
10.	Exchange traded options			
	A. Value of open long option contracts		0	7132
	B. Value of open short option contracts	(0	7133
11.	Net equities with other FCMs			
	A. Net liquidating equity		0	7140
	B. Securities representing investments of customers' funds (at market)		0	7160
	C. Securities held for particular customers or option customers in lieu of cash (at market)		0	7170
12.	Segregating of funds on hand (describe: _____)		0	7150
13.	Total amount in segregation		2,171,870	7180
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)		2,171,870	7190
15.	Management Target Amount for Excess funds in segregation		0	7194
16.	Excess (deficiency) funds in segregation over (under) Management Target Amount Excess		2,171,870	7198

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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	7305
1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers		
A. Cash	0	7315
B. Securities (at market)	0	7317
2. Net unrealized profit (loss) in open futures contracts purchased on a foreign board of trade	0	7325
3. Exchange Traded Options		
A. Market value of open option contracts purchased on a foreign board of trade	0	7335
B. Market value of open contracts granted (sold) on a foreign board of trade	0	7337
4. Net equity (deficit) (add lines 1, 2, and 3)	0	7345
5. Accounts liquidating to a deficit and accounts with debit balances		
Gross amount	0	7351
Less: amount offset by customer owned securities (0)	7352
	0	7354
6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	0	7355
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6	0	7360

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FUNDS DEPOSITED IN SEPERATE REGULATION 30.7 ACCOUNTS

1.	Cash in Banks				
	A. Banks located in the United States	272,415	7500		
	B. Other banks qualified under regulation 30.7				
	Name(s): _____	0	7510	7520	272,415
					7530
2.	Securities				
	A. In safekeeping with banks located in the United States	0	7540		
	B. In safekeeping with other banks qualified under regulation 30.7				
	Name(s): _____	0	7550	7560	0
					7570
3.	Equities with registered futures commission merchants				
	A. Cash	316,387	7580		
	B. Securities	0	7590		
	C. Unrealized gain (loss) on open futures contracts	0	7600		
	D. Value of long option contracts	0	7610		
	E. Value of short option contracts (_____)	0	7615		
					316,387
					7620
4.	Amounts held by clearing corporations of foreign boards of trade				
	Name(s): _____		7630		
	A. Cash	0	7640		
	B. Securities	0	7650		
	C. Amount due to (from) clearing organizations - daily variation	0	7660		
	D. Value of long option contracts	0	7670		
	E. Value of short option contracts	0	7675		
					0
					7680
5.	Amounts held by members of foreign boards of trade				
	Name(s): _____		7690		
	A. Cash	0	7700		
	B. Securities	0	7710		
	C. Unrealized gain (loss) on open futures contracts	0	7720		
	D. Value of long option contracts	0	7730		
	E. Value of short option contracts (_____)	0	7735		
					0
					7740
6.	Amounts with other depositories designated by a foreign board of trade				
	Name(s): _____		7750		
					0
					7760
7.	Segregated funds on hand (describe: _____)				0
					7765
8.	Total funds in separate section 30.7 accounts				588,802
					7770
9.	Excess (deficiency) set Aside Funds for Secured Amount (subtract line 7 Secured Statement page T10-3 from line 8)				588,802
					7380
10.	Management Target Amount for Excess funds in separate section 30.7 accounts				0
					7780
11.	Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target				588,802
					7785

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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 option contracts 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 owned securities ()	0		8570
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 customers' funds (at market)	0		8610
	C. Securities held for particular customers or option 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 customers' funds (at market)	0		8640
	C. Securities held for particular customers or option 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 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 cleared swaps customer 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