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 0 7010 A. Cash 0 7020 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 0 7022 4. Add market value of open option contracts granted (sold) on a contract market 0 7033 5. Accounts liquidating to a deficit and accounts with debit balances 0 7045 Gross Amount 0 7045 0 70600 FUNDS IN SEGREGATED ACCOUNTS 7. Deposited in segregated (add lines 4 and 5) 0 70800 6. Amount required to be segregated (add lines 4 and 5) 0 70800 Cash 2,006,115 7070 8. Securities representing investments of customers' funds (at market) 0 70800 7. Deposited in segregated funds bank accounts 0 7100	BROKER OR DEALER DAIWA CAPITAL MARKETS AMERICA INC.		s of 04/30/2017						
SEGREGATION REQUIREMENTS (Section 4d(2) of the CEAct) 1. Net ledger balance A. Cash 0 B. Securities (at market) 0 2. Net unrealized profit (loss) in open futures contracts traded on a contract market 0 3. Exchange Traded Options A. Add market value of open option contracts purchased on a contract market 0 B. Deduct market value of open option contracts granted (sold) on a contract market 0 7033 Exchange Traded Options A. Add market value of open option contracts granted (sold) on a contract market 0 B. Deduct market value of open option contracts granted (sold) on a contract market 0 7033 Exchange Traded Options A. Add market value of open option contracts granted (sold) on a contract market 0 7045 0 7045 Less: amount offset by customer owned securities (0 7047 Cash 2.006,115 7070 B. Securities representing investments of customers' funds (at market) 0 7080 C. Securities neld for particular customers or option customers in lieu of cash (at market) 0 71030 B. Securities representing investments of customers' funds (at market) 0	STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION								
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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	11		0)	7155					
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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									
12. Segregating of funds on hand (describe:) 0 7150			0						
	12								
	13.	Total amount in segregation		7180					
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 2,100,304 7180									
15. Management Target Amount foir Excess funds in segregation 0 7190									
16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess 2,168,354 7198									

BROKER OR DEALER DAIWA CAPITAL MARKETS AMERICA INC.

as of 04/30/2017

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

FOREIGN FUTURES AND FOREIGN OPTIONS SECURED AMOUNTS

	nt required to be set aside pursuant to law, rule or regulation of a foreign government or a rule If-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		

BROKER OR DEALER DAIWA CAPITAL MARKETS AMERICA INC.

as of 04/30/2017

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

FUNDS DEPOSITED IN SEPERATE REGULATION 30.7 ACCOUNTS

1.	Cas	sh in Banks				
	Α.	Banks located in the United States	263,814	7500		
	В.	Other banks qualified under regulation 30.7				
		Name(s): 7510	0	7520	263,814	7530
2.	Sec	curities				
	Α.	In safekeeping with banks located in the United States	0	7540		
	В.	In safekeeping with other banks qualified under reg	gulation 30.7			
		Name(s): 7550	0	7560	0	7570
3.	Equities with registered futures commission merchants					
	Α.	Cash	290,497	7580		
	В.	Securities	0	7590		
	C.	Unrealized gain (loss) on open futures contracts	0	7600		
	D.	Value of long option contracts	0	7610		
	Ε.	Value of short option contracts (0)	7615	290,497	7620
4.	Am	ounts held by clearing corporations of foreign board	s of trade			
		Name(s): 7630				
	Α.	Cash	0	7640		
	В.	Securities	0	7650		
	C.	Amount due to (from) clearing organizations - daily variation	0	7660		
	D.	Value of long option contracts	0	7670		
	Ε.	Value of short option contracts	0	7675	0	7680
5.	Amounts held by members of foreign boards of trade					
		Name(s): 7690				
	Α.	Cash	0	7700		
	В.	Securities	0	7710		
	C.	Unrealized gain (loss) on open futures contracts	0	7720		
	D.	Value of long option contracts	0	7730		
	Ε.	Value of short option contracts (0)	7735	0	7740
6.	Am	ounts with other depositories designated by a foreig	n board of trade			
		Name(s): 7750			0	7760
7.	Seg	gregated funds on hand (describe:)	0	7765
8.	Tot	al funds in separate section 30.7 accounts			554,311	7770
9.	Excess (deficiency) set Aside Funds for Secured Amount (subtract line 7 Securied Statement page T10-3 from line 8)				554,311	7380
10.	Ма	nagement Target Amount for Excess funds in separ	0	7780		
11.	Exc	cess (deficiency) funds in separate 30.7 accounts ov	554,311	7785		

BROKER OR DEALER 04/30/2017 as of DAIWA CAPITAL MARKETS AMERICA INC. STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION FOR CUSTOMERS TRADING ON U.S. COMMODITY EXCHANGES CLEARED SWAPS CUSTOMER REQUIREMENTS 1. Net ledger balance A. Cash 0 8500 0 B. Securities (at market) 8510 Net unrealized profit (loss) in open cleared swaps 0 2. 8520 Cleared swaps options 3 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 Accounts liquidating to a deficit and accounts with debit balances 5 Gross amount 0 8560 Less: amount offset by customer owned securities (0) 8570 0 8580 0 6. Amount required to be segregated for cleared swaps customers (addlines 4 and 5) 8590 FUNDS IN CLEARED SWAPS CUSTOMER SEGREGATED ACCOUNTS 7. Deposited in cleared swaps customer segregated accounts at banks A. Cash 0 8600 0 Securities representing investments of customers' funds (at market) В. 8610 0 C. Securities held for particular customers or option customers in lieu of cash (at market) 8620 Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts 8. A. Cash 0 8630 0 B. Securities representing investments of customers' funds (at market) 8640 Securities held for particular customers or option customers in lieu of cash (at market) 0 C. 8650 9. Net settlement from (to) derivatives clearing organizations 0 8660 10. Cleared swaps options Α. Value of open cleared swaps long option contracts 0 8670 0) B. Value of open open cleared swaps short option contracts (8680 Net equities with other FCMs 11. A. Net liquidating equity 0 8690 0 B. Securities representing investments of cleared swaps customers' funds (at market) 8700 C. Securities held for particular cleared swaps customers in lieu of cash (at market) 0 8710 0 12. Cleared swaps customer funds on hand (describe: 8715 0 13. Total amount in cleared swaps customer segregation (add lines 7 through 12) 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 8770 0 Target Excess