DAIWA CAPITAL MARKETS AMERICA INC.	BRO	KER OR DEALER	of 04/30/2021	
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 0 A. Add market value of open option contracts purchased on a contract market 0 7033 3. 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 0 7050 Gross Amount 0 7045 0 7060 6. Amount required to be segregated (add lines 4 and 5) 0 7060 FUNDS IN SEGREGATED ACCOUNTS 7. Deposited in segregated funds bank accounts 2,005,300 7070 6. Acash 2,005,300 7070 7080 7. Deposited in segregated funds bank accounts 0 7080 7120 8. Securities representing investements of customers' funds (at market) <td< td=""><td>DAIW</td><td>IA CAPITAL MARKETS AMERICA INC.</td><td>0104/30/2021</td><td></td></td<>	DAIW	IA CAPITAL MARKETS AMERICA INC.	0104/30/2021	
1. Net ledger balance 0 7010 B. Securities (at market) 0 7020 2. Net unrealized profit (loss) in open futures contracts traded on a contract market 0 7032 3. Exchange Traded Options A. Add market value of open option contracts purchased on a contract market 0 7032 3. Exchange Traded Options A. Add market value of open option contracts granted (sold) on a contract market 0 7032 4. Net equity (deficit) (add lines 1, 2, and 3) 0 7040 7040 5. Accounts liquidating to a deficit and accounts with debit balances 0 7045 0 7050 6. Amount required to be segregated (add lines 4 and 5) 0 7060 7060 7060 FUNDS IN SEGREGATED ACCOUNTS 7. Deposited in segregated funds bank accounts 2,006,300 7070 7050 8. Securities representing investments of customers' funds (at market) 0 7080 0 7080 8. Securities representing investments of customers' funds (at market) 0 7110 0 7120 9. Net settlement from (to) derivatives clearing organizations of contract markets 0 7110 0 7130 10. Exchange traded options <td></td> <td></td> <td></td> <td></td>				
A. Cash 0 7010 B. Securities (at market) 0 7020 2. Net unrealized profit (toss) in open futures contracts traded on a contract market 0 7032 3. Exchange Traded Options 0 7032 A. Add market value of open option contracts granted (sold) on a contract market 0 7032 B. Deduct market value of open option contracts granted (sold) on a contract market 0 7040 C. Accounts liquidating to a deficit and accounts with debit balances 0 7045 Gross Amount 0 7045 0 7050 Less: amount offset by customer owned securities 0 7047 0 7050 FUNDS IN SEGREGATED ACCOUNTS 7046 7080 7070 7080 7. Deposited in segregated funds bank accounts 2,006,300 7070 7080 8. Margins on deposit with derivatives clearing organizations of costh (at market) 0 7080 8. Securities representing investments of customers' funds (at market) 0 7130 9. Net settlement from (to) derivatives clearing organizations of contract markets 0 7130 9. Net settlement from (to) derivatives clearing organizations of contract markets 0 7130	SEGF	REGATION REQUIREMENTS (Section 4d(2) of the CEAct)		
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 7032 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 0 7045 Gross Amount 0 7045 0 7050 6. Amount required to be segregated (add lines 4 and 5) 0 7060 7060 FUNDS IN SEGREGATED ACCOUNTS 7. Deposited in segregated funds bank accounts 2.006,300 7070 7080 6. Amount required to be assergated funds bank accounts 2.006,300 7070 7080 7. Deposited in segregated funds bank accounts 0 7080 7080 7090 7080 7080 7010 7080 7080 7010 7080 7080 7010 7080 7080 7110 7110 71100 71100 71100	1.	Net ledger balance		
2. Net unrealized profit (loss) in open futures contracts traded on a contract market 0 7030 3. Exchange Traded Options 0 7032 4. Add market value of open option contracts purchased on a contract market 0 7032 4. Net equity (deficit) (add lines 1, 2, and 3) 0 7040 5. Accounts liquidating to a deficit and accounts with debit balances 0 7045 Gross Amount		A. Cash	0	7010
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 7045 5. Accounts liquidating to a deficit and accounts with debit balances 0 7045 Gross Amount 0 7047 0 7050 Less: amount offset by customer owned securities (0) 7047 0 7050 FUNDS IN SEGREGATED ACCOUNTS 0 7060 7060 7090 8. Securities representing investments of customers' funds (at market) 0 7090 7090 8. Margins on deposit with derivatives clearing organizations of contract markets 0 7110 7120 9. Net settlement from (to) derivatives clearing organizations of contract markets 0 7110 7120 9. Net settlement from (to) derivatives clearing organizations of contract markets 0 71120 9. Net settlement from (to) derivatives clearing organizations of contract markets 0 71120 9. Net settlement from (to) derivatives clearing organizations of contract markets 0 7132		B. Securities (at market)	0	7020
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 7045 5. Accounts liquidating to a deficit and accounts with debit balances 0 7045 Gross Amount	2.	Net unrealized profit (loss) in open futures contracts traded on a contract market	0	7030
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 6. Amount required to be segregated (add lines 4 and 5) 0 7050 7. Deposited in segregated funds bank accounts 0 7070 7050 7. Deposited in segregated funds bank accounts 0 7080 7070 7. Deposited in segregated funds bank accounts 0 7080 7090 8. Margins on deposit with derivatives clearing organizations of contract markets 0 7090 8. Securities representing investments of customers' funds (at market) 0 7080 7. Securities held for particular customers or option customers in lieu of cash (at market) 0 7100 8. Acash 165,356 7100 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 0 7132 0 7140 11. Net equities with othe	3.	Exchange Traded Options		
4. Net equity (deficit) (add lines 1, 2, and 3) 0 7040 5. Accounts liquidating to a deficit and accounts with debit balances 0 7045 Gross Amount 0 7045 0 7050 Less: amount offset by customer owned securities 0 7047 0 7050 6. Amount required to be segregated (add lines 4 and 5) 0 7060 7060 FUNDS IN SEGREGATED ACCOUNTS 7. Deposited in segregated funds bank accounts 2,006,300 7070 0 7080 R. Securities representing investments of customers' funds (at market) 0 7080 7090 8. Margins on deposit with derivatives clearing organizations of contract markets 165,356 7100 8. Securities representing investments of customers' funds (at market) 0 7120 9. Net settlement from (to) derivatives clearing organizations of contract markets 0 7130 10. Exchange traded options 0 7132 A. Value of open long option contracts 0 7140 11. Net equities with other FCMs 0 7140 <		A. Add market value of open option contracts purchased on a contract market	0	7032
5. Accounts liquidating to a deficit and accounts with debit balances Gross Amount 0 7045 Less: amount offset by customer owned securities 0 7047 0 7050 6. Amount required to be segregated (add lines 4 and 5) 0 7060 7060 FUNDS IN SEGREGATED ACCOUNTS 7. Deposited in segregated funds bank accounts 2,006,300 7070 0 7080 8. Securities representing investments of customers funds (at market) 0 7090 7080 8. Securities representing investments of customers in lieu of cash (at market) 0 7100 7120 9. Net settlement from (to) derivatives clearing organizations of contract markets 0 7120 9. Net settlement from (to) derivatives clearing organizations of contract markets 0 7130 10. Exchange traded options 0 7132 A. Net settlement from (to) derivatives clearing organizations of customers in lieu of cash (at market) 0 7132 10. Exchange traded options 0 7132 0 7140 A. Value of open long option contracts 0 <td< td=""><td></td><td>B. Deduct market value of open option contracts granted (sold) on a contract market (_</td><td>0)</td><td>7033</td></td<>		B. Deduct market value of open option contracts granted (sold) on a contract market (_	0)	7033
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 2,006,300 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 165,356 7100 R. Cash 165,356 7100 B. Securities representing investments of customers' funds (at market) 0 7120 9. Net settlement from (to) derivatives clearing organizations of contract markets 0 7130 10. Exchange traded options 0 7132 A. Value of open short option contracts 0 7140 B. Value of open short option contracts 0 7140 C. Securities with other FCMs 0 7140 A. Net liquidating eq	4.	Net equity (deficit) (add lines 1, 2, and 3)	0	7040
Less: amount offset by customer owned securities (0) 0 7050 6. Amount required to be segregated (add lines 4 and 5) 0 7060 FUNDS IN SEGREGATED ACCOUNTS 0 7060 7. Deposited in segregated funds bank accounts 2,006,300 7070 A. Cash 2,006,300 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 165,356 7100 B. Securities representing investments of customers' funds (at market) 0 7120 C. Securities held for particular customers or option customers in lieu of cash (at market) 0 7120 Securities held for particular customers or option customers in lieu of cash (at market) 0 7130 10. Exchange traded options 0 7132 0 7140 A. Value of open long option contracts 0 7140 0 7140 B. Securities representing investments of customers' funds (at market) 0 7140 0 7140 B. Value of open short option contracts	5.	Accounts liquidating to a deficit and accounts with debit balances		
6. Amount required to be segregated (add lines 4 and 5) 0 7060 FUNDS IN SEGREGATED ACCOUNTS 7. Deposited in segregated funds bank accounts 2,006,300 7070 B. Securities representing investments of customers' funds (at market) 0 7080 C. Securities representing investments of customers in lieu of cash (at market) 0 7090 8. Margins on deposit with derivatives clearing organizations of contract markets 0 7100 B. Securities representing investments of customers' funds (at market) 0 7120 9. Net settlement from (to) derivatives clearing organizations of contract markets 0 7130 10. Exchange traded options 0 7132 A. Value of open long option contracts 0 7132 B. Value of open short option contracts 0 7132 11. Net equities with other FCMs 0 7140 A. Securities nepresenting investments of customers' funds (at market) 0 7140 12. Segregating of funds on hand (describe: 0 7140 13. Total amount in segregation		Gross Amount 0 7045		
FUNDS IN SEGREGATED ACCOUNTS 7. Deposited in segregated funds bank accounts A. Cash 2,006,300 B. Securities representing investments of customers' funds (at market) 0 C. Securities held for particular customers or option customers in lieu of cash (at market) 0 8. Margins on deposit with derivatives clearing organizations of contract markets A. Cash 165,356 B. Securities representing investments of customers' funds (at market) 0 C. Securities held for particular customers or option customers in lieu of cash (at market) 0 B. Securities representing investments of customers' funds (at market) 0 C. Securities held for particular customers or option customers in lieu of cash (at market) 0 9. Net settlement from (to) derivatives clearing organizations of contract markets 0 10. Exchange traded options 4 A. Value of open long option contracts 0 7132 B. Value of open long option contracts 0 7132 I1. Net equities with other FCMs 0 7140 A. Net liquidating equity 0 7140 C. Securities held for particular customers or option customers in lieu of cash (at market) 0		Less: amount offset by customer owned securities (0) 7047 _	0	7050
7. Deposited in segregated funds bank accounts A. Cash	6.	Amount required to be segregated (add lines 4 and 5)	0	7060
7. Deposited in segregated funds bank accounts A. Cash				
A. Cash 2,006,300 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 0 7090 8. Margins on deposit with derivatives clearing organizations of contract markets 0 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 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 0 71132 A. Value of open long option contracts 0 71132 B. Value of open short option contracts 0 71140 B. Securities with other FCMs 0 71160 C. Securities held for particular customers or option customers in lieu of cash (at market) 0 71100 12. Segregating of funds on hand (describe:) 0 7116				
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 0 7100 A. Cash 165,356 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 0 7132 B. Value of open long option contracts 0 7140 B. Value of open short option contracts 0 7140 B. Securities representing investments of customers' funds (at market) 0 7140 B. Securities with other FCMs 0 7140 B. Securities representing investments of customers in lieu of cash (at market) 0 7160 C. Securities held for particular customers or option customers in lieu of cash (at market) 0 7140 B. Securities representing investments of customers' funds (at market) 0 7160	7.		2 006 300	7070
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 165,356 7100 A. Cash 165,356 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 0 7132 B. Value of open long option contracts 0 7132 B. Value of open short option contracts 0 7140 Securities with other FCMs 0 7140 C. Securities held for particular customers or option customers in lieu of cash (at market) 0 7132 11. Net equities with other FCMs 0 7140 0 7140 B. Securities representing investments of customers' funds (at market) 0 7170 0 7160 C. Securities held for particular customers or option customers in lieu of cash (at market) 0 7170 0 7150 12. Segregating of funds on hand		-		
8. Margins on deposit with derivatives clearing organizations of contract markets A. Cash 165,356 B. Securities representing investments of customers' funds (at market) 0 C. Securities held for particular customers or option customers in lieu of cash (at market) 0 9. Net settlement from (to) derivatives clearing organizations of contract markets 0 10. Exchange traded options 0 A. Value of open long option contracts 0 7132 B. Value of open short option contracts 0 7133 11. Net equities with other FCMs 0 7140 B. Securities representing investments of customers' funds (at market) 0 7140 B. Securities representing investments of customers' funds (at market) 0 7170 I. Securities held for particular customers or option customers in lieu of cash (at market) 0 7140 B. Securities held for particular customers or option customers in lieu of cash (at market) 0 7140 I. Securities held for particular customers or option customers in lieu of cash (at market) 0 7170 I2. Segregating of funds on hand (describe:) 0 7150 I3. Total amount in segregation 2,171,656 </td <td></td> <td></td> <td></td> <td></td>				
A. Cash 165,356 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 0 7132 B. Value of open long option contracts 0 7132 B. Value of open short option contracts 0 7133 11. Net equities with other FCMs 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 7140 B. Securities representing investments of customers in lieu of cash (at market) 0 7170 12. Segregating of funds on hand (describe:) 0 7150 13. Total amount in segregation 2,171,656 7180 14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 2,171,656 7190	0		0	7090
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 0 7132 B. Value of open long option contracts 0 7132 B. Value of open short option contracts 0 7133 11. Net equities with other FCMs 0 7140 B. Securities representing investments of customers' funds (at market) 0 7140 C. Securities held for particular customers or option customers in lieu of cash (at market) 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 2,171,656 7180 14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 2,171,656 7190	0.		165 356	7100
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 0 7132 B. Value of open long option contracts 0 7132 B. Value of open short option contracts 0 7132 11. Net equities with other FCMs 0 7140 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 2,171,656 7180 14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 2,171,656 7190		-		
9. Net settlement from (to) derivatives clearing organizations of contract markets 0 7130 10. Exchange traded options 0 7132 A. Value of open long option contracts 0 7132 B. Value of open short option contracts 0 7133 11. Net equities with other FCMs 0 7140 A. Net liquidating equity 0 7160 C. Securities representing investments of customers' funds (at market) 0 7170 12. Segregating of funds on hand (describe:) 0 7150 13. Total amount in segregation 2,171,656 7180 14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 2,171,656 7190				
10. Exchange traded options 0 7132 A. Value of open long option contracts 0 7132 B. Value of open short option contracts (0 7133 11. Net equities with other FCMs 0 7140 A. Net liquidating equity 0 7160 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 2,171,656 7180 14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 2,171,656 7190	٥			
A. Value of open long option contracts 0 7132 B. Value of open short option contracts 0 7132 11. Net equities with other FCMs 0 7140 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 2,171,656 7180 14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 2,171,656 7190			0	7130
B. Value of open short option contracts (0) 7133 11. Net equities with other FCMs 0 7140 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 2,171,656 7180 14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 2,171,656 7190	10.		0	7132
11. Net equities with other FCMs 0 7140 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 2,171,656 7180 14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 2,171,656 7190				
A. Net liquidating equity0B. Securities representing investments of customers' funds (at market)0C. Securities held for particular customers or option customers in lieu of cash (at market)012. Segregating of funds on hand(describe:)13. Total amount in segregation2,171,65614. Excess (deficiency) funds in segregation (subtract line 6 from line 13)2,171,656	11	· · · · · · · · · · · · · · · · · · ·		/100
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 2,171,656 7180 14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 2,171,656 7190	11.		0	7140
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 2,171,656 7180 14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 2,171,656 7190				
12. Segregating of funds on hand (describe:) 0 7150 13. Total amount in segregation 2,171,656 7180 14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 2,171,656 7190				
13. Total amount in segregation 2,171,656 7180 14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 2,171,656 7190	12			
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13) 2,171,656				
		-		
16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess 2,171,656 7198	16.			

BROKER OR DEALER DAIWA CAPITAL MARKETS AMERICA INC.

as of 04/30/2021

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

FOREIGN FUTURES AND FOREIGN OPTIONS SECURED AMOUNTS

3. Exchange Traded Options 0 A. Market value of open option contracts purchased on a foreign board of trade 0 B. Market value of open contracts granted (sold) on a foreign board of trade 0		unt required to be set aside pursuant to law, rule or regulation of a foreign government or a rule self-regulatory organization authorized thereunder	0	7305		
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 0 7335 B. Market value of open option contracts purchased on a foreign board of trade 0 7337 4. 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 0 7351 Gross amount 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	1.	Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers				
 2. Net unrealized profit (loss) in open futures contracts purchased on a foreign board of trade 3. Exchange Traded Options A. Market value of open option contracts purchased on a foreign board of trade B. Market value of open contracts granted (sold) on a foreign board of trade C. Met equity (deficit) (add lines 1, 2, and 3) C. Accounts liquidating to a deficit and accounts with debit balances Gross amount C. Market by customer owned securities C. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5 		A. Cash	0	7315		
 3. Exchange Traded Options A. Market value of open option contracts purchased on a foreign board of trade B. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of open contracts granted (sold) on a foreign board of trade C. Market value of op		B. Securities (at market)	0	7317		
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 0 7351 Gross amount 0 7352 0 6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5 0 7355	2.	Net unrealized profit (loss) in open futures contracts purchased on a foreign board of trade	0	7325		
 B. Market value of open contracts granted (sold) on a foreign board of trade 4. Net equity (deficit) (add lines 1, 2, and 3) 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 set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5 	3.	Exchange Traded Options				
 4. Net equity (deficit) (add lines 1, 2, and 3) 5. Accounts liquidating to a deficit and accounts with debit balances Gross amount 0 7345 5. Accounts liquidating to a deficit and accounts with debit balances Gross amount 0 7351 7352 0 7354 		A. Market value of open option contracts purchased on a foreign board of trade	0	7335		
 5. Accounts liquidating to a deficit and accounts with debit balances Gross amount Less: amount offset by customer owned securities Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5 		B. Market value of open contracts granted (sold) on a foreign board of trade	0	7337		
Gross amount Less: amount offset by customer owned securities (0) 73520 7354 6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 50 7355	4.	Net equity (deficit) (add lines 1, 2, and 3)	0	7345		
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	5.	Accounts liquidating to a deficit and accounts with debit balances				
6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5 0 7355		Gross amount0 7351				
lines 4 and 50 7355		Less: amount offset by customer owned securities (0) 7352	0	7354		
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6 0 7360	6.		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 04/30/2021

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	59,685	7500			
	В.	Other banks qualified under regulation 30.7					
		Name(s): 7510	112,593	7520	172,278	7530	
2.	Sec	curities					
	Α.	In safekeeping with banks located in the United States	0	7540			
	В.	In safekeeping with other banks qualified under regu	ulation 30.7				
		Name(s): 7550	0	7560	0	7570	
3.	Εqι	uities with registered futures commission merchants					
	Α.	Cash	304,014	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	304,014	7620	
4.	Am	ounts held by clearing corporations of foreign boards	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			
	E.	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 foreign	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			476,292	7770	
9.	Excess (deficiency) set Aside Funds for Secured Amount (subtract line 7 Securied Statement page T10-3 from line 8)476,29					7380	
10.	Ma	nagement Target Amount for Excess funds in separa	0	7780			
11.	Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target				476,292	7785	

BROKER OR DEALER 04/30/2021 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