

SUPPLEMENT TO
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
PART II

BROKER OR DEALER
DAIWA CAPITAL MARKETS AMERICA INC.

as of 08/31/2021

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	0
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	2,006,276		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	164,318		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	2,170,594		7180
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)	2,170,594		7190
15.	Management Target Amount fair Excess funds in segregation	0		7194
16.	Excess (deficiency) funds in segregation over (under) Management Target Amount Excess	2,170,594		7198

SUPPLEMENT TO
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
PART II

BROKER OR DEALER

DAIWA CAPITAL MARKETS AMERICA INC.

as of 08/31/2021

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

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

SUPPLEMENT TO
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
PART II

BROKER OR DEALER
DAIWA CAPITAL MARKETS AMERICA INC.

as of 08/31/2021

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.	Cash in Banks				
	A. Banks located in the United States	59,685	7500		
	B. Other banks qualified under regulation 30.7				
	Name(s): _____	111,202	7510	7520	170,887
					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	299,869	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	299,869	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			470,756	7770
9.	Excess (deficiency) set Aside Funds for Secured Amount (subtract line 7 Secured Statement page T10-3 from line 8)			470,756	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			470,756	7785

SUPPLEMENT TO
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
PART II

BROKER OR DEALER
DAIWA CAPITAL MARKETS AMERICA INC.

as of 08/31/2021

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	
	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	