WINJAMMER FILING

INITIAL

End Date:2/24/2025

Firm Name:Daiwa Capital Markets America Inc.

Form:Daily Seg - FOCUS II - Daily

Submit Date:2/25/2025

End Date:2/24/2025

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Submit Date:2/25/2025

Daily Segregation - Cover Page

| Name of Company Contact Name | <u>Daiwa Capital Markets America</u> <u>Inc.</u> <u>Michael Carlson</u> |
|--|---|
| Contact Phone Number | <u>212-612-6376</u> |
| Contact Email Address | michael.carlson@us.daiwacm.c om |
| FCM's Customer Segregated Funds Residual Interest Target (choose one): a. Minimum dollar amount: ; or b. Minimum percentage of customer segregated funds required:%; or c. Dollar amount range between:and; or d. Percentage range of customer segregated funds required between:% and%. | 0 100 0 0 0 0 |
| FCM's Customer Secured Amount Funds Residual Interest Target (choose one): a. Minimum dollar amount: ; or b. Minimum percentage of customer secured funds required:%; or c. Dollar amount range between:and; or d. Percentage range of customer secured funds required between:% and%. | 0 100 0 0 0 0 |
| FCM's Cleared Swaps Customer Collateral Residual Interest Target (choose one): a. Minimum dollar amount: ; or b. Minimum percentage of cleared swaps customer collateral required:%; or c. Dollar amount range between:and; or d. Percentage range of cleared swaps customer collateral required between:% and%. | 0 0 0 0 0 0 |

Attach supporting documents CH

End Date:2/24/2025

Firm Name:Daiwa Capital Markets America Inc.

Form: Daily Seg - FOCUS II - Daily

Submit Date:2/25/2025

Daily Segregation - Secured Amounts

| Foreign Fultures 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 belaince - Foreign Futures and Foreign Option Trading - All Customers A. Cash B. Securities (at market) C. Net unrealized profit (toss) in open futures contracts traded on a foreign board of trade C. Net unrealized profit (toss) in open futures contracts traded on a foreign board of trade D. Market value of open contracts granted (sold) on a foreign board of trade D. Market value of open contracts granted (sold) on a foreign board of trade D. Market value of open contracts granted (sold) on a foreign board of trade D. Market value of open contracts granted (sold) on a foreign board of trade D. Market value of open contracts granted (sold) on a foreign board of trade D. Market value of open contracts granted (sold) on a foreign board of trade D. Market value of open contracts granted (sold) on a foreign board of trade D. Market value of open contracts granted (sold) on a foreign board of trade D. Market value of open contracts granted (sold) on a foreign board of trade D. Market value of open contracts granted (sold) on a foreign board of trade D. Market value of open contracts granted (sold) on a foreign board of trade D. Walter of amount required to be set aside pursuant to foreign jurisdiction (above) or line C. Cash in banks D. Walter of amount required to be set aside pursuant to foreign jurisdiction (above) or line C. Cash in banks D. Cash qualified under Regulation 30.7 D. Value of line politic in the United States D. Cash qualified under Regulation 30.7 D. Value of line politic in the United States D. Value of line politic in the United States D. Value of line politic in the United States D. Value of line politic in the United States D. Value of line politic in the United States D. Value of line po | Dai | Daily Segregation - Secured Amounts | | | | | |
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| E. Value of short option contracts 4. Amounts held by clearing organizations of foreign boards of trade 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 D. Value of long option contracts D. Value of short option contracts D. Value | | | | | | | |
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| 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 D. Yamounts held by members of foreign boards of trade A. Cash A. Cash B. Securities C. Unrealized gain (loss) on open futures contracts D. Value of long option contracts D. Value of short option contracts D. Value of long option contracts D. Value of short option contracts D. Value of short option contracts D. Value of short option contracts D. Value of long option contracts D. Value of l | 4 | · | <u>0</u> [7013] <u>300,030</u> [7020] | | | | |
| B. Securities C. Amount due to (from) clearing organization - daily variation D. Value of long option contracts E. Value of short option contracts D [7670] E. Value of short option contracts D [7670] E. Value of short option contracts D [7675] D [7680] 5. Amounts held by members of foreign boards of trade A. Cash B. Securities C. Unrealized gain (loss) on open futures contracts D. Value of long option contracts D. Value of long option contracts E. Value of short option contracts D [7730] E. Value of short option contracts D [7760] 6. Amounts with other depositories designated by a foreign board of trade D [7765] E. Value of lunds in separate section 30.7 accounts D [7770] Excess (deficiency) Set Aside 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 D [7780] | | | 0 [7640] | | | | |
| C. Amount due to (from) clearing organization - daily variation D. Value of long option contracts E. Value of short option contracts O [7670] E. Value of short option contracts O [7675] O [7680] 5. Amounts held by members of foreign boards of trade A. Cash B. Securities C. Unrealized gain (loss) on open futures contracts D. Value of long option contracts E. Value of short option contracts E. Value of short option contracts O [7730] E. Value of short option contracts O [7770] Amounts with other depositories designated by a foreign board of trade D [7760] Segregated funds on hand O [7765] Total funds in separate section 30.7 accounts D [7770] Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) Management Target Amount for Excess funds in separate section 30.7 accounts 1 [7780] | | | | | | | |
| D. Value of long option contracts E. Value of short option contracts A. Cash A. Cash B. Securities C. Unrealized gain (loss) on open futures contracts D. Value of long option contracts D. Value of short option contracts D. Value of short option contracts D. Value of short option contracts D. Value of long option contracts D. Value of short option contracts D. Value of long option contracts D. Value of l | | | | | | | |
| E. Value of short option contracts Amounts held by members of foreign boards of trade A. Cash B. Securities C. Unrealized gain (loss) on open futures contracts D. Value of long option contracts E. Value of short option contracts E. Value of short option contracts D. Value of long option contracts E. Value of short option contracts D. Variable of short option contracts E. Value of short option contracts D. Variable of long option contr | | , | | | | | |
| 5. Amounts held by members of foreign boards of trade A. Cash B. Securities C. Unrealized gain (loss) on open futures contracts D. Value of long option contracts E. Value of short option contracts D. Amounts with other depositories designated by a foreign board of trade 7. Segregated funds on hand D [7765] 8. Total funds in separate section 30.7 accounts D. Excess (deficiency) Set Aside 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 1 [7780] | | · · | | | | | |
| A. Cash B. Securities C. Unrealized gain (loss) on open futures contracts D. Value of long option contracts E. Value of short option contracts C. Amounts with other depositories designated by a foreign board of trade Segregated funds on hand Description Total funds in separate section 30.7 accounts Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) Management Target Amount for Excess funds in separate section 30.7 accounts Description Desc | 5. | · | ₹[. 0. 0] ₹[. 000] | | | | |
| B. Securities C. Unrealized gain (loss) on open futures contracts D. Value of long option contracts E. Value of short option contracts D. Value of short option contracts E. Value of short option contracts D. (7730) D. (7730) D. (7735) D. (7740) D. (7755) D. (7740) D. (7760) D. (7760) D. (7760) D. (7760) D. (7760) D. (7765) D. (7760) D. (7760) D. (7765) D. (7760) D. (7760) D. (7765) D. (7760) D | | · · · · · · · · · · · · · · · · · · · | 0 [7700] | | | | |
| C. Unrealized gain (loss) on open futures contracts D. Value of long option contracts E. Value of short option contracts D. Value of long option contracts D. Value of lon | | | | | | | |
| D. Value of long option contracts E. Value of short option contracts 6. Amounts with other depositories designated by a foreign board of trade 7. Segregated funds on hand 8. Total funds in separate section 30.7 accounts 9. Excess (deficiency) Set Aside 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 9 [7735] 0 [7740] 9 [7765] 1,499,107 [7770] 1,499,107 [7380] 1 [7780] | | | | | | | |
| E. Value of short option contracts 6. Amounts with other depositories designated by a foreign board of trade 7. Segregated funds on hand 8. Total funds in separate section 30.7 accounts 9. Excess (deficiency) Set Aside 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 9 [7735] 0 [7740] 1 [7760] 1 [7770] 1 [7770] 1 [7780] | | | | | | | |
| 6. Amounts with other depositories designated by a foreign board of trade 7. Segregated funds on hand 9. Total funds in separate section 30.7 accounts 9. Excess (deficiency) Set Aside 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 1 [7780] | | | | | | | |
| 8. Total funds in separate section 30.7 accounts 9. Excess (deficiency) Set Aside 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 1.499,107 [7770] 1.499,107 [7780] | 6. | | | | | | |
| 9. Excess (deficiency) Set Aside 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 1 [7780] | 7. | Segregated funds on hand | <u>0</u> [7765] | | | | |
| Page 1 from Line 8) 10. Management Target Amount for Excess funds in separate section 30.7 accounts 1 [7780] | 8. | Total funds in separate section 30.7 accounts | 1,499,107 [7770] | | | | |
| Page 1 from Line 8) 10. Management Target Amount for Excess funds in separate section 30.7 accounts 1 [7780] | 9. | · | | | | | |
| · · · · · · · · · · · · · · · · · · · | | Page 1 from Line 8) | | | | | |
| 11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target 1,499,106 [7785] | | | <u>1</u> [7780] | | | | |
| | 11. | Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target | <u>1,499,106</u> [7785] | | | | |

End Date:2/24/2025

Firm Name:Daiwa Capital Markets America Inc.

Form:Daily Seg - FOCUS II - Daily

Submit Date:2/25/2025

Daily Segregation - Segregation Statement

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

| 1. | Net ledger balance | |
|-----|---|---------------------------------|
| | A. Cash | <u>0</u> [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 | <u>0</u> [7032] |
| | B. Deduct market value of open option contracts granted (sold) on a contract market | <u>0</u> [7033] |
| 4. | Net equity (deficit) (add lines 1, 2 and 3) | <u>0</u> [7040] |
| 5. | Accounts liquidating to a deficit and accounts with | |
| | debit balances - gross amount | <u>0</u> [7045] |
| | Less: amount offset by customer securities | 0 [7047] 0 [7050] |
| 6. | Amount required to be segregated (add lines 4 and 5) | <u>0</u> [7060] |
| | FUNDS IN SEGREGATED ACCOUNTS | |
| 7. | Deposited in segregated funds bank accounts | |
| | A. Cash | 3,413,592 [7070] |
| | B. Securities representing investments of customers' funds (at market) | <u>0</u> [7080] |
| | C. Securities held for particular customers or option customers in lieu of cash (at | <u>0</u> [7090] |
| | market) | |
| 8. | Margins on deposit with derivatives clearing organizations of contract markets | |
| | A. Cash | <u>120,766</u> [7100] |
| | B. Securities representing investments of customers' funds (at market) | <u>0</u> [7110] |
| | C. Securities held for particular customers or option customers in lieu of cash (at | <u>0</u> [7120] |
| | market) | |
| 9. | Net settlement from (to) derivatives clearing organizations of contract markets | <u>0</u> [7130] |
| 10. | Exchange traded options | |
| | A. Value of open long option contracts | <u>0</u> [7132] |
| | B. Value of open short option contracts | <u>0</u> [7133] |
| 11. | Net equities with other FCMs | |
| | A. Net liquidating equity | <u>0</u> [7140] |
| | B. Securities representing investments of customers' funds (at market) | <u>0</u> [7160] |
| | C. Securities held for particular customers or option customers in lieu of cash (at | <u>0</u> [7170] |
| | market) | |
| 12. | Segregated funds on hand | <u>0</u> [7150] |
| 13. | Total amount in segregation (add lines 7 through 12) | <u>3,534,358</u> [7180] |
| 14. | Excess (deficiency) funds in segregation (subtract line 6 from line 13) | <u>3,534,358</u> [7190] |
| 15. | Management Target Amount for Excess funds in segregation | <u>1</u> [7194] |
| 16. | Excess (deficiency) funds in segregation over (under) Management Target Amount | <u>3,534,357</u> [7198] |
| | Excess | |

End Date:2/24/2025

Firm Name: Daiwa Capital Markets America Inc.

Form:Daily Seg - FOCUS II - Daily

Submit Date: 2/25/2025

Daily Segregation - Swaps Statement

STATEMENT OF CLEARED SWAPS CUSTOMER SEGREGATION REQUIREMENTS AND

FUNDS IN CLEARED SWAPS CUSTOMER ACCOUNTS UNDER 4D(F) OF THE CEA

Cleared Swaps Customer Requirements

| | Cleared Gwaps Customer Requirements | |
|-----|---|---------------------------------|
| 1. | Net ledger balance | |
| | A. Cash | <u>o</u> [8500] |
| | B. Securities (at market) | <u>o</u> [8510] |
| 2. | Net unrealized profit (loss) in open cleared swaps | <u>o</u> [8520] |
| 3. | Cleared swaps options | |
| | A. Market value of open cleared swaps option contracts purchased | <u>o</u> [8530] |
| | B. Market value of open cleared swaps option contracts granted (sold) | <u>0</u> [8540] |
| 4. | Net Equity (deficit) (add lines 1, 2, and 3) | <u>0</u> [8550] |
| 5. | Accounts liquidating to a deficit and accounts with | |
| | debit balances - gross amount | <u>0</u> [8560] |
| | Less: amount offset by customer owned securities | 0 [8570] 0 [8580] |
| 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 | <u>0</u> [8600] |
| | B. Securities representing investments of cleared swaps customers' funds (at market) | 0 [8610] |
| | C. Securities held for particular cleared swaps 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 | <u>0</u> [8630] |
| | B. Securities representing investments of cleared swaps customers' funds (at market) | 0 [8640] |
| | C. Securities held for particular cleared swaps 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 | <u>0</u> [8670] |
| | B. Value of open cleared swaps short option contracts | <u>0</u> [8680] |
| 11. | Net equities with other FCMs | |
| | A. Net liquidating equity | <u>o</u> [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) | <u>o</u> [8710] |
| 12. | Cleared swaps customer funds on hand | |
| | A. Cash | <u>0</u> |
| | B. Securities representing investments of cleared swaps customers' funds (at market) | <u>0</u> |
| | C. Securities held for particular cleared swaps customers in lieu of cash (at market) | <u>0 </u> |
| 13. | Total amount in cleared swaps customer segregation (add lines 7 through 12) | <u>o</u> [8720] |
| 14. | Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from | <u>0</u> [8730] |
| | line 13) | |
| 15. | Management Target Amount for Excess funds in cleared swaps segregated accounts | <u>0</u> [8760] |
| 16. | Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) | <u>0</u> [8770] |
| | Management | |
| | | |