

# WINJAMMER FILING

INITIAL

End Date:5/16/2025

Firm Name:Daiwa Capital Markets America Inc.

Form:Daily Seg - FOCUS II - Daily

Submit Date:5/19/2025

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Daily Segregation - Cover Page

Name of Company	<u>Daiwa Capital Markets America Inc.</u>
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FCM's Customer Segregated Funds Residual Interest Target (choose one):	
a. Minimum dollar amount: ; or	<u>0</u>
b. Minimum percentage of customer segregated funds required:% ; or	<u>100</u>
c. Dollar amount range between:and; or	<u>0 0</u>
d. Percentage range of customer segregated funds required between:% and%.	<u>0 0</u>

FCM's Customer Secured Amount Funds Residual Interest Target (choose one):	
a. Minimum dollar amount: ; or	<u>0</u>
b. Minimum percentage of customer secured funds required:% ; or	<u>100</u>
c. Dollar amount range between:and; or	<u>0 0</u>
d. Percentage range of customer secured funds required between:% and%.	<u>0 0</u>

FCM's Cleared Swaps Customer Collateral Residual Interest Target (choose one):	
a. Minimum dollar amount: ; or	<u>0</u>
b. Minimum percentage of cleared swaps customer collateral required:% ; or	<u>0</u>
c. Dollar amount range between:and; or	<u>0 0</u>
d. Percentage range of cleared swaps customer collateral required between:% and%.	<u>0 0</u>

Attach supporting documents CH

**INITIAL****End Date:5/16/2025****Firm Name:Daiwa Capital Markets America Inc.****Form:Daily Seg - FOCUS II - Daily****Submit Date:5/19/2025****Daily Segregation - Secured Amounts**

## 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 traded 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. Account liquidating to a deficit and account with a 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 0 [7355]
- Method (add lines 4 and 5)
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. 0 [7360]

## FUNDS DEPOSITED IN SEPARATE 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 96,588 [7520] 156,273 [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 0 [7560] 0 [7570]
3. Equities with registered futures commission merchants
  - A. Cash 313,992 [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] 313,992 [7620]
4. Amounts held by clearing organizations of foreign boards of trade
  - A. Cash 0 [7640]
  - B. Securities 0 [7650]
  - C. Amount due to (from) clearing organization - 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
  - 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 0 [7760]
7. Segregated funds on hand 0 [7765]
8. Total funds in separate section 30.7 accounts 470,265 [7770]
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8) 470,265 [7380]
10. Management Target Amount for Excess funds in separate section 30.7 accounts 1 [7780]
11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target 470,264 [7785]

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

- |                              |   |                                 |
|------------------------------|---|---------------------------------|
| 1.                           | Net ledger balance  |                                 |
|                              | A. Cash   | <u>0</u> [7010]                 |
|                              | B. Securities (at market)   | <u>0</u> [7020]                 |
| 2.                           | Net unrealized profit (loss) in open futures contracts traded on a contract market          | <u>0</u> [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  | <u>0</u> [7047] <u>0</u> [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   | <u>13,657</u> [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 market) | <u>0</u> [7090]                 |
| 8.                           | Margins on deposit with derivatives clearing organizations of contract markets              |                                 |
|                              | A. Cash   | <u>123,895</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 market) | <u>0</u> [7120]                 |
| 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 market) | <u>0</u> [7170]                 |
| 12.                          | Segregated funds on hand  | <u>0</u> [7150]                 |
| 13.                          | Total amount in segregation (add lines 7 through 12)  | <u>137,552</u> [7180]           |
| 14.                          | Excess (deficiency) funds in segregation (subtract line 6 from line 13)                     | <u>137,552</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 Excess       | <u>137,551</u> [7198]           |

**INITIAL****End Date:5/16/2025****Firm Name:Daiwa Capital Markets America Inc.****Form:Daily Seg - FOCUS II - Daily****Submit Date:5/19/2025****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

1.	Net ledger balance	
	A. Cash	<u>0</u> [8500]
	B. Securities (at market)	<u>0</u> [8510]
2.	Net unrealized profit (loss) in open cleared swaps	<u>0</u> [8520]
3.	Cleared swaps options	
	A. Market value of open cleared swaps option contracts purchased	<u>0</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	<u>0</u> [8570] <u>0</u> [8580]
6.	Amount required to be segregated for cleared swaps customers (add lines 4 and 5)	<u>0</u> [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)	<u>0</u> [8610]
	C. Securities held for particular cleared swaps customers in lieu of cash (at market)	<u>0</u> [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)	<u>0</u> [8640]
	C. Securities held for particular cleared swaps customers in lieu of cash (at market)	<u>0</u> [8650]
9.	Net settlement from (to) derivatives clearing organizations	<u>0</u> [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>0</u> [8690]
	B. Securities representing investments of cleared swaps customers' funds (at market)	<u>0</u> [8700]
	C. Securities held for particular cleared swaps customers in lieu of cash (at market)	<u>0</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> <u>0</u> [8715]
13.	Total amount in cleared swaps customer segregation (add lines 7 through 12)	<u>0</u> [8720]
14.	Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13)	<u>0</u> [8730]
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) Management	<u>0</u> [8770]