

**SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

**BROKER OR DEALER:** TRADESTATION SECURITIES INC.

**as of:** 12/31/2020

**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			\$ 733,347,671	7010
B. Securities (at market)			12,097,761	7020
2. Net unrealized profit (loss) in open futures contracts traded on a contract market			10,139,357	7030
3. Exchange traded options				
A. Add market value of open option contracts purchased on a contract market			3,688,369	7032
B. Deduct market value of open option contracts granted (sold) on a contract market			(2,581,185)	7033
4. Net equity (deficit) (add lines 1, 2 and 3)			756,691,973	7040
5. Accounts liquidating to a deficit and accounts with debit balances				
- gross amount	260,906	7045		
Less: amount offset by customer securities	0	7047	260,906	7050
6. Amount required to be segregated (add lines 4 and 5)			\$ 756,952,879	7060

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts				
A. Cash			616,396,583	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)			12,097,761	7090
8. Margins on deposit with derivatives clearing organizations of contract markets				
A. Cash			64,078,280	7100
B. Securities representing investments of customers' funds (at market)			69,972,525	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			3,230,814	7130
10. Exchange traded options				
A. Value of open long option contracts			3,688,369	7132
B. Value of open short option contracts			(2,581,185)	7133
11. Net equities with other FCMs				
A. Net liquidating equity			6,891,041	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. Segregated funds on hand (describe: )			0	7150
13. Total amount in segregation (add lines 7 through 12)			773,774,188	7180
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)			\$ 16,821,309	7190
15. Management Target Amount for Excess funds in segregation			9,000,000	7194
16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess			7,821,309	7198

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**STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS  
PURSUANT TO COMMISSION REGULATION 30.7**

**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 Options Trading - All Customers			
A. Cash	\$ 15,288,883	7315	
B. Securities (at market)	\$ 0	7317	
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	\$ 8,266	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 option contracts granted (sold) on a foreign board of trade	\$ 0	7337	
4. Net equity (deficit) (add lines 1, 2, and 3)	\$ 15,297,149	7345	
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$ 37,541	7351	
Less: amount offset by customer owned securities	\$ 0	7352	
6. Amount to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	\$ 15,334,690	7355	
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	\$ 15,334,690	7360	

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**STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS  
PURSUANT TO COMMISSION REGULATION 30.7**

**FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS**

1. Cash in banks				
A. Banks located in the United States		\$ 5,731,212	7500	
B. Other banks qualified under Regulation 30.7				
Name(s): <u>See Attached</u>	7510	9,674,194	7520	\$ 15,405,406
				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): <u>_</u>	7550	0	7560	0
				7570
3. Equities with registered futures commission merchants				
A. Cash		\$ 3,015,595	7580	
B. Securities		0	7590	
C. Unrealized gain (loss) on open futures contracts		8,266	7600	
D. Value of long option contracts		0	7610	
E. Value of short option contracts		0	7615	3,023,861
				7620
4. Amounts held by clearing organizations of foreign boards of trade				
Name(s): <u>_</u>	7630			
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				
Name(s): <u>_</u>	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): <u>_</u>	7750			0
				7760
7. Segregated funds on hand (describe): <u>_</u>				0
				7765
8. Total funds in separate section 30.7 accounts				\$ 18,429,267
				7770
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)				3,094,577
				7380
10. Management Target Amount for Excess funds in separate section 30.7 accounts				800,000
				7780
11. Excess (deficiency) funds in separate section 30.7 accounts over (under) Management Target Amount				2,294,577
				7785

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as of: 12/31/2020

STATEMENT OF CLEARED SWAPS 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		\$ 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 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 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		\$ 0	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		0	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		0	8670	
B. Value of 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 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	