

Name of Company: NinjaTrader Clearing LLC	Employer ID No: 36-4208643	NFA ID No: 0309379
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CFTC FORM 1-FR-FCM  
STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION  
FOR CUSTOMERS TRADING ON U.S. COMMODITY EXCHANGES  
AS OF 7/31/2021

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

1. Net ledger balance				
A. Cash		\$ 35,031,934	5000	
B. Securities (at market)		0	5010	
2. Net unrealized profit (loss) in open futures contracts traded on a contract market		(39,595)	5020	
3. Exchange traded options				
A. Market value of open option contracts purchased on a contract market		0	5030	
B. Market value of open option contracts granted (sold) on a contract market		0	5040	
4. Net equity (deficit) (add lines 1, 2, and 3)		\$ 34,992,339	5050	
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$ 397,317	5060		
Less: amount offset by customer owned securities	0	5070	397,317	5080
6. Amount required to be segregated (add lines 4 and 5)		\$ 35,389,656	5090	

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts				
A. Cash		\$ 36,897,132	5100	
B. Securities representing investments of customers' funds (at market)		0	5110	
C. Securities held for particular customers or option customers in lieu of cash (at market)		0	5120	
8. Margins on deposit with derivatives clearing organizations of contract markets				
A. Cash		0	5130	
B. Securities representing investments of customers' funds (at market)		0	5140	
C. Securities held for particular customers or option customers in lieu of cash (at market)		0	5150	
9. Net settlement from (to) derivatives clearing organizations of contract markets		0	5160	
10. Exchange traded options				
A. Value of open long option contracts		0	5170	
B. Value of open short option contracts		0	5180	
11. Net equities with other FCMs				
A. Net liquidating equity		2,497,362	5190	
B. Securities representing investments of customers' funds (at market)		0	5200	
C. Securities held for particular customers or option customers in lieu of cash (at market)		0	5210	
12. Segregated funds on hand (describe: )		0	5215	
13. Total amount in segregation (add lines 7 through 12)		\$ 39,394,494	5220	
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)		\$ 4,004,838	5230	
15. Management Target Amount Excess funds in segregation		\$ 2,000,000	5240	
16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess		\$ 2,004,838	5250	

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CFTC FORM 1-FR-FCM  
STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS  
PURSUANT TO COMMISSION REGULATION 30.7  
AS OF 7/31/2021

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	5605
1.	Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers		
	A. Cash	\$ 1,082,208	5615
	B. Securities (at market)	\$ 0	5617
2.	Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	\$ 4,388	5625
3.	Exchange traded options		
	A. Market value of open option contracts purchased on a foreign board of trade	\$ 0	5635
	B. Market value of open option contracts granted (sold) on a foreign board of trade	\$ 0	5637
4.	Net equity (deficit) (add lines 1, 2, and 3)	\$ 1,086,596	5645
5.	Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$ 29	5651
	Less: amount offset by customer owned securities	\$ 0	5652
		\$ 29	5654
6.	Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	\$ 1,086,625	5655
7.	Greater of amount required to be set aside to a foreign jurisdiction (above) or line 6.	\$ 1,086,625	5660

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CFTC FORM 1-FR-FCM  
STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS  
PURSUANT TO COMMISSION REGULATION 30.7  
AS OF 7/31/2021

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in Banks				
A. Banks located in the United States	\$ 1,243,928	5700		
B. Other banks qualified under Regulation 30.7				
Name(s): <u>See Attached</u>		5710		
	0	5720	\$ 1,243,928	5730
2. Securities				
A. In safekeeping with banks located in the United States	\$ 0	5740		
B. In safekeeping with other banks qualified under Regulation 30.7				
Name(s): _		5750		
	0	5760	0	5770
3. Equities with registered futures commission merchants				
A. Cash	\$ 318,469	5780		
B. Securities	0	5790		
C. Unrealized gain (loss) on open futures contracts	4,388	5800		
D. Value of long option contracts	0	5810		
E. Value of short option contracts	0	5815	322,857	5820
4. Amounts held by clearing organizations of foreign boards of trade				
Name(s): _		5830		
A. Cash	\$ 0	5840		
B. Securities	0	5850		
C. Amount due to (from) clearing organization - daily variation	0	5860		
D. Value of long option contracts	0	5870		
E. Value of short option contracts	0	5875	0	5880
5. Amounts held by members of foreign boards of trade				
Name(s): _		5890		
A. Cash	\$ 0	5900		
B. Securities	0	5910		
C. Unrealized gain (loss) on open futures contracts	0	5920		
D. Value of long option contracts	0	5930		
E. Value of short option contracts	0	5935	0	5940
6. Amounts with other depositories designated by a foreign board of trade				
Name(s): _		5950	0	5960
7. Segregated funds on hand (describe): _			0	5965
8. Total funds in separate section 30.7 accounts			\$ 1,566,785	5970
9. Excess (deficiency) Set Aside Funds for Secured Amount (Subtract line 7 Secured Statement Page 1 from line 8)			\$ 480,160	5680
10. Management Target Amount for Excess funds in separate 30.7 accounts			200,000	5980
11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target Excess			280,160	5985

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

**BROKER OR DEALER:**

**as of: 07/31/2021**

**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	
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	