

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 8/31/2023

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

1. Net ledger balance			
A. Cash		\$ 235,763,743	5000
B. Securities (at market)		0	5010
2. Net unrealized profit (loss) in open futures contracts traded on a contract market		(824,335)	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)		\$ 234,939,408	5050
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$ 354,151	5060	
Less: amount offset by customer owned securities	0	5070	
		354,151	5080
6. Amount required to be segregated (add lines 4 and 5)		\$ 235,293,559	5090

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts			
A. Cash		\$ 28,333,588	5100
B. Securities representing investments of customers' funds (at market)		194,177,740	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		5,777,700	5190
B. Securities representing investments of customers' funds (at market)		32,720,810	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)		\$ 261,009,838	5220
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)		\$ 25,716,279	5230
15. Management Target Amount Excess funds in segregation		\$ 4,000,000	5240
16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess		\$ 21,716,279	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 8/31/2023

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	\$ 2,396,341	5615
	B. Securities (at market)	\$ 0	5617
2.	Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	\$(8,618)	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)	\$ 2,387,723	5645
5.	Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$ 15,202	5651
	Less: amount offset by customer owned securities	\$ 0	5652
		\$ 15,202	5654
6.	Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	\$ 2,402,925	5655
7.	Greater of amount required to be set aside to a foreign jurisdiction (above) or line 6.	\$ 2,402,925	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 8/31/2023

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in Banks				
A. Banks located in the United States	\$ 3,356,707	5700		
B. Other banks qualified under Regulation 30.7				
Name(s): <u>See Attached</u>		5710		
	0	5720	\$ 3,356,707	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): <u>_</u>		5750		
	0	5760	0	5770
3. Equities with registered futures commission merchants				
A. Cash	\$ 294,979	5780		
B. Securities	0	5790		
C. Unrealized gain (loss) on open futures contracts	(8,618)	5800		
D. Value of long option contracts	0	5810		
E. Value of short option contracts	0	5815	286,361	5820
4. Amounts held by clearing organizations of foreign boards of trade				
Name(s): <u>_</u>		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): <u>_</u>		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): <u>_</u>		5950	0	5960
7. Segregated funds on hand (describe): <u>_</u>			0	5965
8. Total funds in separate section 30.7 accounts			\$ 3,643,068	5970
9. Excess (deficiency) Set Aside Funds for Secured Amount (Subtract line 7 Secured Statement Page 1 from line 8)			\$ 1,240,143	5680
10. Management Target Amount for Excess funds in separate 30.7 accounts			400,000	5980
11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target Excess			840,143	5985

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

BROKER OR DEALER:

as of: 08/31/2023

**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	