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| Name of Company:<br>NinjaTrader Clearing LLC | Employer ID No:<br>36-4208643 | NFA ID No:<br>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 5/31/2024

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

|   |            |                |      |
|---|------------|----------------|------|
| 1. Net ledger balance   |            |                |      |
| A. Cash   |            | \$ 240,213,395 | 5000 |
| B. Securities (at market)   |            | 0              | 5010 |
| 2. Net unrealized profit (loss) in open futures contracts traded on a contract market |            | (676,099)      | 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)                                       |            | \$ 239,537,296 | 5050 |
| 5. Accounts liquidating to a deficit and accounts with debit balances - gross amount  | \$ 377,595 | 5060           |      |
| Less: amount offset by customer owned securities                                      | 0          | 5070           |      |
|   |            | 377,595        | 5080 |
| 6. Amount required to be segregated (add lines 4 and 5)                               |            | \$ 239,914,891 | 5090 |

FUNDS IN SEGREGATED ACCOUNTS

|   |  |                |      |
|---|--|----------------|------|
| 7. Deposited in segregated funds bank accounts  |  |                |      |
| A. Cash   |  | \$ 35,393,706  | 5100 |
| B. Securities representing investments of customers' funds (at market)                      |  | 194,706,920    | 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   |  | 7,718,196      | 5190 |
| B. Securities representing investments of customers' funds (at market)                      |  | 27,220,230     | 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)                                    |  | \$ 265,039,052 | 5220 |
| 14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)                 |  | \$ 25,124,161  | 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   |  | \$ 21,124,161  | 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 5/31/2024

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   | \$ 1,290,283 | 5615 |
|   | B. Securities (at market)   | \$ 0         | 5617 |
| 2.  | Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade                 | \$(1,673)    | 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)  | \$ 1,288,610 | 5645 |
| 5.  | Accounts liquidating to a deficit and accounts with debit balances - gross amount                         | \$ 70,431    | 5651 |
|   | Less: amount offset by customer owned securities  | \$ 0         | 5652 |
| 6.  | Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5) | \$ 1,359,041 | 5655 |
| 7.  | Greater of amount required to be set aside to a foreign jurisdiction (above) or line 6.                   | \$ 1,359,041 | 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 5/31/2024

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

|  |              |      |              |      |
|--|--------------|------|--------------|------|
| 1. Cash in Banks   |              |      |              |      |
| A. Banks located in the United States  | \$ 2,239,575 | 5700 |              |      |
| B. Other banks qualified under Regulation 30.7   |              |      |              |      |
| Name(s): <u>See Attached</u>   |              | 5710 |              |      |
|  | 0            | 5720 | \$ 2,239,575 | 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  | \$ 694,078   | 5780 |              |      |
| B. Securities  | 0            | 5790 |              |      |
| C. Unrealized gain (loss) on open futures contracts  | (1,673)      | 5800 |              |      |
| D. Value of long option contracts  | 0            | 5810 |              |      |
| E. Value of short option contracts   | 0            | 5815 | 692,405      | 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   |              |      | \$ 2,931,980 | 5970 |
| 9. Excess (deficiency) Set Aside Funds for Secured Amount (Subtract line 7 Secured Statement Page 1 from line 8) |              |      | \$ 1,572,939 | 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                    |              |      | 1,172,939    | 5985 |

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

**BROKER OR DEALER:**

**as of: 05/31/2024**

**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 |