

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 5/31/2021

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

1. Net ledger balance			
A. Cash		\$ 34,912,515	5000
B. Securities (at market)		0	5010
2. Net unrealized profit (loss) in open futures contracts traded on a contract market		121,697	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)		\$ 35,034,212	5050
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$ 397,767	5060	
Less: amount offset by customer owned securities	0	5070	
		397,767	5080
6. Amount required to be segregated (add lines 4 and 5)		\$ 35,431,979	5090

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts			
A. Cash		\$ 19,573,316	5100
B. Securities representing investments of customers' funds (at market)		17,000,050	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		2,771,019	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)		\$ 39,344,385	5220
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)		\$ 3,912,406	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		\$ 1,912,406	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 5/31/2021

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		\$ 796,669	5615
B. Securities (at market)		\$ 0	5617
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade		\$ 1,428	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)		\$ 798,097	5645
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$ 7,518		5651
Less: amount offset by customer owned securities	\$ 0		5652
		\$ 7,518	5654
6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)		\$ 805,615	5655
7. Greater of amount required to be set aside to a foreign jurisdiction (above) or line 6.		\$ 805,615	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 5/31/2021

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in Banks				
A. Banks located in the United States	\$ 1,085,187	5700		
B. Other banks qualified under Regulation 30.7				
Name(s): <u>See Attached</u>		5710		
	0	5720	\$ 1,085,187	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	\$ 238,254	5780		
B. Securities	0	5790		
C. Unrealized gain (loss) on open futures contracts	1,428	5800		
D. Value of long option contracts	0	5810		
E. Value of short option contracts	0	5815	239,682	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			\$ 1,324,869	5970
9. Excess (deficiency) Set Aside Funds for Secured Amount (Subtract line 7 Secured Statement Page 1 from line 8)			\$ 519,254	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			319,254	5985

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

BROKER OR DEALER:

as of: 05/31/2021

**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