

FORM
X-17A-5

FOCUS REPORT
(FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT)
PART II 11

(Please read instructions before preparing Form)

This report is being filed pursuant to (Check Applicable Block(s)):

- 1) Rule 17a-5(a) 16
- 2) Rule 17a-5(b) 17
- 3) Rule 17a-11 18
- 4) Special request by designated examining authority 19
- 5) Other 26

NAME OF BROKER-DEALER

SEC. FILE NO.

APEX CLEARING CORPORATION 13

8-23522 14

ADDRESS OF PRINCIPAL PLACE OF BUSINESS (Do not use P.O. Box No.)

FIRM ID NO.

13071 15

ONE DALLAS CENTER, 350 N. ST. PAUL, SUITE 1300 20

FOR PERIOD BEGINNING (MM/DD/YY)

(No. and Street)

04/01/18 24

AND ENDING (MM/DD/YY)

DALLAS 21 TX 22 75201 23

04/30/18 25

(City)

(State)

(Zip Code)

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT(Area code) - Telephone No.

RALPH D'AUGE 214-765-1132 30

31

NAME(S) OF SUBSIDIARIES OR AFFILIATES CONSOLIDATED IN THIS REPORT

OFFICIAL USE

32

33

34

35

36

37

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39

DOES RESPONDENT CARRY ITS OWN CUSTOMER ACCOUNTS ? YES 40 NO 41

CHECK HERE IF RESPONDENT IS FILING AN AUDITED REPORT 42

EXECUTION:

The registrant/broker or dealer submitting this Form and its attachments and the person(s) by whom it is executed represent hereby that all information contained therein is true, correct and complete. It is understood that all required items, statements, and schedules are considered integral parts of this Form and that the submission of any amendment represents that all unamended items, statements and schedules remain true, correct and complete as previously submitted.

Dated the _____ day of _____ 20 _____

Manual Signatures of:

1) _____
Principal Executive Officer or Managing Partner

2) _____
Principal Financial Officer or Partner

3) _____
Principal Operations Officer or Partner

ATTENTION - Intentional misstatements or omissions of facts constitute Federal Criminal Violations. (See 18 U.S.C. 1001 and 15 U.S.C. 78:f (a))

SUPPLEMENT TO
 FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
 PART II

BROKER OR DEALER
 APEX CLEARING CORPORATION

as of 04/30/18

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		\$	<u>3,617,688</u> 7010
B. Securities (at market)			<u>0</u> 7020
2. Net unrealized profit (loss) in open futures contracts traded on a contract market			<u>(662,812)</u> 7030
3. Exchange traded options			
A. Add market value of open option contracts purchased on a contract market			<u>0</u> 7032
B. Deduct market value of open option contracts granted (sold) on a contract market		(<u>0</u>) 7033
4. Net equity (deficit) (add lines 1, 2, and 3)			<u>2,954,876</u> 7040
5. Accounts liquidating to a deficit and accounts with debit balances			
- gross amount	<u>104,786</u>		7045
Less: amount offset by customer owned securities	(<u>0</u>)		7047
6. Amount required to be segregated (add lines 4 and 5)		\$	<u>3,059,662</u> 7060

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts			
A. Cash			<u>3,037,385</u> 7070
B. Securities representing investments of customers' funds (at market)			<u>0</u> 7080
C. Securities held for particular customers or option customers in lieu of cash (at market)			<u>0</u> 7090
8. Margins on deposit with derivatives clearing organizations of contract markets			
A. Cash		\$	<u>0</u> 7100
B. Securities representing investments of customers' funds (at market)			<u>0</u> 7110
C. Securities held for particular customers or option customers in lieu of cash (at market)			<u>0</u> 7120
9. Net settlement from (to) derivatives clearing organizations of contract markets			<u>0</u> 7130
10. Exchange traded options			
A. Value of open long option contracts			<u>0</u> 7132
B. Value of open short option contracts		(<u>0</u>) 7133
11. Net equities with other FCMs			
A. Net liquidating equity			<u>5,647,106</u> 7140
B. Securities representing investments of customers' funds (at market)			<u>0</u> 7160
C. Securities held for particular customers or option customers in lieu of cash (at market)			<u>0</u> 7170
12. Segregated funds on hand (describe: _____)			<u>0</u> 7150
13. Total amount in segregation (add lines 7 through 12)			<u>8,684,491</u> 7180
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)		\$	<u>5,624,829</u> 7190
15. Management Target Amount for Excess funds in segregation		\$	<u>2,500,000</u> 7194
16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess		\$	<u>3,124,829</u> 7198

SUPPLEMENT TO
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
PART II

2018-05-23 10:47AM EDT
Status: Accepted

BROKER OR DEALER APEX CLEARING CORPORATION	as of <u>04/30/18</u>
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STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION
FOR CUSTOMERS' DEALER OPTIONS ACCOUNTS

1. Amount required to be segregated in accordance with Commission regulation 32.6		\$ _____ 0	7200
2. Funds in segregated accounts			
A. Cash	\$ _____ 0		7210
B. Securities (at market)	_____ 0		7220
C. Total		_____ 0	7230
3. Excess (deficiency) funds in segregation (subtract line 2.C from line 1)		\$ _____ 0	7240

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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 Option Trading - All Customers			
A. Cash	\$	0	7315
B. Securities (at market)		0	7317
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade		0	7325
3. Exchange traded options			
A. Market value of open option contracts purchased on a foreign board of trade			7335
B. Market value of open contracts granted (sold) on a foreign board of trade		0	7337
4. Net equity (deficit) (add lines 1, 2, and 3.)	\$	0	7345
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$	0	7351
Less: amount offset by customer owned securities		(0)	7352
6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	\$	0	7355
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	\$	0	7360

SUPPLEMENT TO
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 PART II

BROKER OR DEALER APEX CLEARING CORPORATION	as of <u>04/30/18</u>
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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	\$	0	7500
B. Other banks qualified under Regulation 30.7			
Name(s): 0		7510	7520
		0	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): 0		7550	7560
		0	7570
3. Equities with registered futures commission merchants			
A. Cash	\$	0	7580
B. Securities		0	7590
C. Unrealized gain (loss) on open futures contracts		0	7600
D. Value of long option contracts		0	7610
E. Value of short option contracts		(0)	7615
			0
4. Amounts held by clearing organizations of foreign boards of trade			
Name(s): 0		7630	
A. Cash	\$	0	7640
B. Securities		0	7650
C. Amount due to (from) clearing organizations - daily variation		0	7660
D. Value of long option contracts		0	7670
E. Value of short option contracts		(0)	7675
			0
5. Amounts held by members of foreign boards of trade			
Name(s): 0		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
6. Amounts with other depositories designated by a foreign board of trade			
Name(s): 0		7750	7760
7. Segregated funds on hand (describe: _____)			0
8. Total funds in separate section 30.7 accounts			0
9. Excess (deficiency) set Aside Funds for Secured Amount (subtract Line 7 Secured Statement page T10-3 from Line 8)		\$	0
10. Management Target Amount for Excess funds in separate section 30.7 accounts		\$	7780
11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target		\$	0
			7785

SUPPLEMENT TO
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BROKER OR DEALER APEX CLEARING CORPORATION	as of <u>04/30/18</u>
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STATEMENT OF CLEARED SWAPS CUSTOMER 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 option contracts 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 owned 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 cleared swaps customer 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 segregated accounts over (under) Management Target Excess		\$ 0 8770

SUPPLEMENT TO
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 PART II

BROKER OR DEALER

APEX CLEARING CORPORATION

as of 04/30/18

COMPUTATION OF CFTC MINIMUM NET CAPITAL REQUIREMENT

Net Capital required

A. Risk-Based Requirement

i. Amount of Customer Risk

Maintenance Margin requirement 3,480,003 7415

ii. Enter 8% of line A.i

278,400 7425

iii. Amount of Non-Customer Risk

Maintenance Margin requirement 0 7435

iv. Enter 8% of line A.iii

0 7445

v. Add lines A.ii and A.iv.

278,400 7455

B. Minimum Dollar Amount Requirement

1,000,000 7465

C. Other NFA Requirement

0 7475

D. Minimum CFTC Net Capital Requirement.

Enter the greatest of lines A, B or C

1,000,000 7490

Note: If amount on Line D (7490) is greater than minimum net capital requirement computed on Line 3760 (Page 6) then enter this greater amount on Line 3760. The greater of the amount required by SEC or CFTC is the minimum net capital requirement.

CFTC Early Warning Level

1,500,000 7495

Note: If the Minimum Net Capital Requirement computed on Line D (7490) is:

- (1) Risk Based Requirement, enter 110% of Line A (7455), or
- (2) Minimum Dollar Requirement of \$1,000,000 enter 150% of Line B (7465), or
- (3) Minimum Dollar Requirement of \$20,000,000 for FCMs offering or engaging in retail forex transactions or Retail Foreign Exchange Dealers ("RFED"), enter 110% of Line B (7465), or
- (4) Other NFA Requirement of \$20,000,000 plus five percent of the FCM's offering or engaging in retail forex transactions or Retail Foreign Exchange Dealers ("RFED") total retail forex obligations in excess of \$10,000,000 enter 110% of Line C (7475), or
- (5) Other NFA Requirement, enter 150% of Line C (7475).

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

2018-05-23 10:47AM EDT
Status: Accepted

BROKER OR DEALER APEX CLEARING CORPORATION	as of <u>04/30/18</u>
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Ownership Equity and Subordinated Liabilities maturing or proposed to be withdrawn within the next six months and accruals, (as defined below), which have not been deducted in the computation of Net Capital.

Type of Proposed withdrawal or Accrual (See below for code to enter)	Name of Lender or Contributor	Insider or Outsider ? (In or Out)	Amount to be withdrawn (cash amount and/or Net Capital Value of Securities)	(MMDDYY) Withdrawal or Maturity Date	Expect to Renew (Yes or No)
2 <input type="text" value="4600"/>	Peak 6 Investment LP <input type="text" value="4601"/>	IN <input type="text" value="4602"/>	35,750,000 <input type="text" value="4603"/>	06/05/18 <input type="text" value="4604"/>	YES <input type="text" value="4605"/>
2 <input type="text" value="4610"/>	Quivet Neck Capital LLC <input type="text" value="4611"/>	IN <input type="text" value="4612"/>	1,625,000 <input type="text" value="4613"/>	06/05/18 <input type="text" value="4614"/>	NO <input type="text" value="4615"/>
2 <input type="text" value="4620"/>	Woodland and West <input type="text" value="4621"/>	IN <input type="text" value="4622"/>	1,625,000 <input type="text" value="4623"/>	07/15/18 <input type="text" value="4624"/>	YES <input type="text" value="4625"/>
<input type="text" value="4630"/>	<input type="text" value="4631"/>	<input type="text" value="4632"/>	<input type="text" value="4633"/>	<input type="text" value="4634"/>	<input type="text" value="4635"/>
<input type="text" value="4640"/>	<input type="text" value="4641"/>	<input type="text" value="4642"/>	<input type="text" value="4643"/>	<input type="text" value="4644"/>	<input type="text" value="4645"/>
<input type="text" value="4650"/>	<input type="text" value="4651"/>	<input type="text" value="4652"/>	<input type="text" value="4653"/>	<input type="text" value="4654"/>	<input type="text" value="4655"/>
<input type="text" value="4660"/>	<input type="text" value="4661"/>	<input type="text" value="4662"/>	<input type="text" value="4663"/>	<input type="text" value="4664"/>	<input type="text" value="4665"/>
<input type="text" value="4670"/>	<input type="text" value="4671"/>	<input type="text" value="4672"/>	<input type="text" value="4673"/>	<input type="text" value="4674"/>	<input type="text" value="4675"/>
<input type="text" value="4680"/>	<input type="text" value="4681"/>	<input type="text" value="4682"/>	<input type="text" value="4683"/>	<input type="text" value="4684"/>	<input type="text" value="4685"/>
<input type="text" value="4690"/>	<input type="text" value="4691"/>	<input type="text" value="4692"/>	<input type="text" value="4693"/>	<input type="text" value="4694"/>	<input type="text" value="4695"/>
TOTAL			\$ <u>39,000,000</u> <input type="text" value="4699*"/>		

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* To agree with the total on Recap (Item No. 4880)

Instructions: Detail listing must include the total of items maturing during the six month period following the report date, regardless of whether or not the capital contribution is expected to be renewed. The schedule must also include proposed capital withdrawals scheduled within the six month period following the report date including the proposed redemption of stock and payments of liabilities secured by fixed assets (which are considered allowable assets in the capital computation pursuant to Rule 15c3-1(c) (2) (iv)), which could be required by the lender on demand or in less than six months.

WITHDRAWAL CODE:	DESCRIPTION
1	Equity Capital
2.	Subordinated Liabilities
3.	Accruals
4.	15c3-1(c) (2) (iv) Liabilities

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
Capital Withdrawals
PART II

BROKER OR DEALER

APEX CLEARING CORPORATION

as of 04/30/18

RECAP

Ownership Equity and Subordinated Liabilities maturing or proposed to be withdrawn within the next six months and accruals, which have not been deducted in the computation of Net Capital.

1. Equity Capital

A. Partnership Capital:

1. General Partners \$	<u>4700</u>
2. Limited	<u>4710</u>
3. Undistributed Profits	<u>4720</u>
4. Other (describe below)	<u>4730</u>
5. Sole Proprietorship	<u>4735</u>

B. Corporation Capital:

1. Common Stock	<u>4740</u>
2. Preferred Stock	<u>4750</u>
3. Retained Earnings (Dividends and Other)	<u>4760</u>
4. Other (describe below)	<u>4770</u>

2. Subordinated Liabilities

A. Secured Demand Notes	<u>4780</u>
B. Cash Subordinations 39,000,000	<u>4790</u>
C. Debentures	<u>4800</u>
D. Other (describe below)	<u>4810</u>

3. Other Anticipated Withdrawals

A. Bonuses	<u>4820</u>
B. Voluntary Contributions to Pension or Profit Sharing Plans	<u>4860</u>
C. Other (describe below)	<u>4870</u>

Total \$ 39,000,000 4880

4. Description of Other

STATEMENT OF CHANGES IN OWNERSHIP EQUITY
(SOLE PROPRIETORSHIP, PARTNERSHIP OR CORPORATION)

1. Balance, beginning of period \$	<u>131,390,611</u>	<u>4240</u>
A. Net income (loss)	<u>2,022,311</u>	<u>4250</u>
B. Additions (Includes non-conforming capital of \$ <u>4262</u>)	<u>0</u>	<u>4260</u>
C. Deductions (Includes non-conforming capital of \$ <u>4272</u>)	<u>0</u>	<u>4270</u>
2. Balance, end of period (From Item 1800) \$	<u>133,412,922</u>	<u>4290</u>

STATEMENT OF CHANGES IN LIABILITIES SUBORDINATED
TO CLAIMS OF GENERAL CREDITORS

3. Balance, beginning of period \$	<u>64,000,000</u>	<u>4300</u>
A. Increases	<u>4310</u>	<u>4310</u>
B. Decreases (<u>4320</u>	<u>4320</u>
4. Balance, end of period (From item 3520) \$	<u>64,000,000</u>	<u>4330</u>

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FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
 PART II

BROKER OR DEALER

APEX CLEARING CORPORATION

as of 04/30/18

FINANCIAL AND OPERATIONAL DATA

	<u>Valuation</u>	<u>Number</u>
1. Month end total number of stock record breaks unresolved over three business days.		
A. breaks long	\$ <u>4890</u>	<u>4900</u>
B. breaks short	\$ <u>4910</u>	<u>4920</u>
2. Is the firm in compliance with Rule 17a-13 regarding periodic count and verification of securities positions and locations at least once in each calendar quarter? (Check one)	Yes <input checked="" type="checkbox"/> <u>4930</u>	No <input type="checkbox"/> <u>4940</u>
A) If response is negative attach explanation of steps being taken to comply with Rule 17a-13.		
3. Personnel employed at end of reporting period:		
A. Income producing personnel		<u>4950</u>
B. Non-income producing personnel (all other)		212 <u>4960</u>
C. Total		212 <u>4970</u>
4. Actual number of tickets executed during current month of reporting period		8,977,819 <u>4980</u>
5. Number of corrected customer confirmations mailed after settlement date		<u>4990</u>

	<u>No. of Items</u>	<u>Debit (Short Value)</u>	<u>No. of Items</u>	<u>Credit (Long Value)</u>
6. Money differences	<u>5000</u>	\$ <u>5010</u>	<u>5020</u>	\$ <u>5030</u>
7. Security suspense accounts	<u>5040</u>	\$ <u>5050</u>	<u>5060</u>	\$ <u>5070</u>
8. Security difference accounts	<u>5080</u>	\$ <u>5090</u>	<u>5100</u>	\$ <u>5110</u>
9. Commodity suspense accounts	<u>5120</u>	\$ <u>5130</u>	<u>5140</u>	\$ <u>5150</u>

10. Open transactions with correspondents, other brokers, clearing organizations, depositories and interoffice and intercompany accounts which could result in a charge-unresolved amounts over 30 calendar days	<u>5160</u>	\$ <u>5170</u>	<u>5180</u>	\$ <u>5190</u>
11. Bank account reconciliations-unresolved amounts over 30 calendar days	<u>5200</u>	\$ <u>5210</u>	<u>5220</u>	\$ <u>5230</u>
12. Open transfers over 40 calendar days, not confirmed	<u>5240</u>	\$ <u>5250</u>	<u>5260</u>	\$ <u>5270</u>
13. Transactions in reorganization accounts-over 60 calendar days	<u>5280</u>	\$ <u>5290</u>	<u>5300</u>	\$ <u>5310</u>
14. Total	<u>5320</u>	\$ <u>5330</u>	<u>5340</u>	\$ <u>5350</u>

	<u>No. of Items</u>	<u>Ledger Amount</u>	<u>Market Value</u>
15. Failed to deliver 5 business days or longer (21 business days or longer in the case of Municipal Securities)	<u>5360</u>	\$ <u>5361</u>	<u>5362</u>
16. Failed to receive 5 business days or longer (21 business days or longer in the case of Municipal Securities)	<u>5363</u>	\$ <u>5364</u>	<u>5365</u>
17. Security concentrations (See instructions in Part I):			
A. Proprietary positions		\$	<u>5370</u>
B. Customers' accounts under Rule 15c3-3		\$	<u>5374</u>
18. Total of personal capital borrowings due within six months		\$	<u>5378</u>
19. Maximum haircuts on underwriting commitments during the period		\$	<u>5380</u>
20. Planned capital expenditures for business expansion during next six months		\$	<u>5382</u>
21. Liabilities of other individuals or organizations guaranteed by respondent		\$	<u>5384</u>
22. Lease and rentals payable within one year		\$	<u>5386</u>
23. Aggregate lease and rental commitments payable for entire term of the lease			
A. Gross		\$	<u>5388</u>
B. Net		\$	<u>5390</u>

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**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
PART I (OR PART II)**

2018-05-23 10:47AM EDT
Status: Accepted

BROKER OR DEALER APEX CLEARING CORPORATION	as of <u>04/30/18</u>
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**FINANCIAL AND OPERATIONAL DATA
Operational Deductions From Capital (Note A)**

	I	II	III	IV
	No. of Items	Debits (Short Value)	Credits (Long Value)	Deductions In Computing Net Capital
1. Money suspense and balancing differences	0	\$ 5610	\$ 5810	\$ 6010
2. Security suspense and differences with related money balances	0	\$ 5620	\$ 5820	\$ 6020
	L			
	S	\$ 5625	\$ 5825	\$ 6025
3. Market value of short and long security suspense and differences without related money (other than reported in line 4., below)	10	(5630)	5830	6030
4. Market value of security record breaks		5640	5840	6040
5. Unresolved reconciling differences with others:				
A. Correspondents and Broker/Dealers		5650	5850	6050
	L			
	S	5655	5855	6055
B. Depositories		5660	5860	6060
C. Clearing Organizations		5670	5870	6070
	L			
	S	5675	5875	6075
D. Inter-company Accounts		5680	5880	6080
E. Bank Accounts and Loans		5690	5890	6090
F. Other		5700	5900	6100
G. (Offsetting) Items A. through F.		(5720)	(5920)	(6120)
TOTAL Line 5		5730	5930	6130
6. Commodity Differences		5740	5940	6140
7. Open transfers and reorganization account items over 40 days not confirmed or verified		5760	5960	6160
8. TOTAL (Line 1.-7.)	10	\$ 5770	\$ 5970	\$ 6170
9. Lines 1.-6. resolved subsequent to report date		5775	5975	6175
10. Aged Fails		5780	5980	6180
--to deliver	47	\$ 5780	\$ 5980	\$ 6180
--to receive	47	\$ 5785	\$ 5985	\$ 6185
		(Omit 000's)	(Omit 000's)	(Omit Pennies)

NOTE A - This section must be completed as follows:

1. All member organizations must complete column IV, lines 1. through 8. and 10., reporting deductions from capital as of the report date whether resolved subsequently or not (see instructions relative to each line item).
2. a. Columns I, II and III of lines 1. through 8. and 10. must be completed when a Part II filing is required.
b. Columns I, II and III of lines 1. through 8. must be completed with a Part I filing, only if the total deduction on line 8 column IV equals or exceeds 25% of excess net capital as of the prior month end reporting date. All columns of line 10. require completion.
3. A response to line 9., cols. I through IV and the "Potential Operational Charges Not Deducted From Capital" schedule on p. 3 are required only if:
a. the parameters cited in 2.b. above exist, and
b. the total deduction, line 8. column IV, for the current month exceeds the total deductions for the prior month by 50% or more.
4. All columns and line items (1. through 10.) must be answered if required. If respondent has nothing to report enter -0-.

Other Operational Data (Items 1., 2. and 3. below require an answer)

- Item 1. Have the accounts enumerated on line 5.A. through F. above been reconciled with statements received from others within 35 days for lines 5.A. through D. and 65 days for lines 5.E. and F. prior to the report date and have all reconciling difference been appropriately comprehended in the computation of net capital at the report date? If this has not been done in all respects, answer No.
- | | | | |
|--|-----|---|------|
| | Yes | X | 5600 |
| | No | | 5601 |
- Item 2. Do the respondent's books reflect a concentrated position (See Instruction) in commodities? If yes report the totals (\$000 omitted) in accordance with the specific instructions; If No answer -0- for:
- | | | |
|---|----|------|
| A. Firm Trading and Investment Accounts | A. | 5602 |
| B. Customers' and Non-Customers' and Other Accounts | B. | 5603 |
- Item 3. Does respondent have any planned operational changes? (Answer Yes or No based on specific instructions.)
- | | | |
|--|-----|--------|
| | Yes | 5604 |
| | No | X 5605 |

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
PART I (OR PART II)

2018-05-23 10:47AM EDT
Status: Accepted

BROKER OR DEALER APEX CLEARING CORPORATION	as of <u>04/30/18</u>
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FINANCIAL AND OPERATIONAL DATA
Potential Operational Charges Not Deducted From Capital (Note B)

	I		II		III		IV
	No. of Items		Debits (Short Value)		Credits (Long Value)		Deductions In Computing Net Capital
1. Money suspense and balancing differences	6210	\$	6410	\$	6610	\$	6612
2. Security suspense and differences with related money balances	6220		6420		6620		6622
	L		6225		6425		6625
	S						6627
3. Market value of short and long security sus- pense and differences without related money (other than reported in line 4., below)	6230		6430		6630		6632
4. Market value of security record breaks	6240		6440		6640		6642
5. Unresolved reconciling differences with others:							
A. Correspondents and Broker/Dealers	6250		6450		6650		6652
	L		6255		6455		6655
	S						6657
B. Depositories	6260		6460		6660		6662
C. Clearing Organizations	6270		6470		6670		6672
	L		6275		6475		6675
	S						6677
D. Inter-company Accounts	6280		6480		6680		6682
E. Bank Accounts and Loans	6290		6490		6690		6692
F. Other	6300		6500		6700		6702
G. (Offsetting) Items A. through F.	6310	(6510	(6710		
TOTAL (Line 5.)	6330		6530		6730		6732
6. Commodity Differences	6340		6540		6740		6742
TOTAL (Line 1.-6.)	6370	\$	6570	\$	6770	\$	6772

(Omit 000's) (Omit 000's) (Omit Pennies)

NOTE B - This section must be completed as follows:

1. All line items (1. through 6.) and columns (I through IV) must be completed only if:
 - a. the total deductions on line 8., column IV, of the "Operational Deductions From Capital" schedule equal or exceed 25% of excess net capital as of the prior month end reporting date; and
 - b. the total deduction on line 8., column IV, for the current month exceeds the total deductions for the prior month by 50% or more. If respondent has nothing to report enter -0-.
2. Include only suspense and difference items open at the report date which were NOT required to be deducted in the computation of net capital AND which were not resolved seven (7) business days subsequent to the report date.
3. Include in column IV only additional deductions not comprehended in the computation of net capital at the report date.
4. Include on line 5. A. through F. unfavorable differences offset by favorable differences (see instructions for line 5) at the report date if resolution of the favorable items resulted in additional deductions in the computation of net capital subsequent to the report date.
5. Exclude from lines 5. A. through F. new reconciling differences disclosed as a result of reconciling with the books of account statements received subsequent to the report date.
6. Line items 1. through 5. above correspond to similar line items in the "Operational Deductions From Capital" schedule (page 2) and the same instructions should be followed except as stated in Note (B-1 through 5.) above.