This report is being filed pursuant to (Check Applicable Block(s)):
1) Rule 17a-5(a)  
2) Rule 17a-5(b)  
3) Rule 17a-11  
4) Special request by designated examining authority
5) Other

NAME OF BROKER-DEALER: SUNTRUST ROBINSON HUMPHREY, INC.
SEC. FILE NO. 8-17212
ADDRESS OF PRINCIPAL PLACE OF BUSINESS (Do not use P.O. Box No.) 3333 PEACHTREE ROAD, N.E., ATLANTA FINANCIAL CENTER, SOUTH TOWER, 9TH FLOOR
FIRM ID NO. 6271
FOR PERIOD BEGINNING (MM/DD/YY) 07/01/18
AND ENDING (MM/DD/YY) 09/30/18
(City) ATLANTA  (State) GA  (Zip Code) 30326

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT

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

DOES RESPONDENT CARRY ITS OWN CUSTOMER ACCOUNTS? Yes X  NO
CHECK HERE IF RESPONDENT IS FILING AN AUDITED REPORT

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

FINRA
**BROKER OR DEALER**
SUNTRUST ROBINSON HUMPHREY, INC.

**STATEMENT OF FINANCIAL CONDITION**
as of (MM/DD/YY) 09/30/18
SEC FILE NO. 8-17212

<table>
<thead>
<tr>
<th>ASSETS</th>
<th>Allowable</th>
<th>Nonallowable</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Cash</td>
<td>$300,650</td>
<td></td>
<td>$300,650</td>
</tr>
<tr>
<td>2. Cash segregated in compliance with federal and other regulations</td>
<td>0</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>3. Receivable from brokers or dealers and clearing organizations:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Failed to deliver:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Includable in &quot;Formula for Reserve Requirements&quot;</td>
<td>20,283,976</td>
<td></td>
<td>20,283,976</td>
</tr>
<tr>
<td>2. Other</td>
<td>27,361,177</td>
<td></td>
<td>47,645,153</td>
</tr>
<tr>
<td>B. Securities borrowed:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Includable in &quot;Formula for Reserve Requirements&quot;</td>
<td>0</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>2. Other</td>
<td>428,708,196</td>
<td></td>
<td>428,708,196</td>
</tr>
<tr>
<td>C. Omnibus accounts:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Includable in &quot;Formula for Reserve Requirements&quot;</td>
<td>0</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>2. Other</td>
<td>0</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>D. Clearing Organizations:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Includable in &quot;Formula for Reserve Requirements&quot;</td>
<td>0</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>2. Other</td>
<td>0</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>E. Other</td>
<td>41,006,401</td>
<td></td>
<td>41,006,401</td>
</tr>
<tr>
<td>4. Receivables from customers:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Securities accounts:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Cash and fully secured accounts</td>
<td>0</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>2. Partly secured accounts</td>
<td>0</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>3. Unsecured Accounts</td>
<td>0</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>B. Commodity accounts</td>
<td>0</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>C. Allowance for doubtful accounts</td>
<td>0</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>5. Receivables from non-customers:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Cash and fully secured accounts</td>
<td>0</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>B. Partly secured and unsecured accounts</td>
<td>0</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>6. Securities purchased under agreements to resell</td>
<td>839,389,238</td>
<td></td>
<td>839,389,238</td>
</tr>
<tr>
<td>7. Securities and spot commodities owned, at market value:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Banker's acceptances, certificates of deposit and commercial paper</td>
<td>408,116,696</td>
<td></td>
<td>408,116,696</td>
</tr>
<tr>
<td>B. U.S. and Canadian government obligations</td>
<td>931,008,332</td>
<td></td>
<td>931,008,332</td>
</tr>
<tr>
<td>C. State and municipal government obligations</td>
<td>90,817,924</td>
<td></td>
<td>90,817,924</td>
</tr>
<tr>
<td>D. Corporate obligations</td>
<td>819,862,764</td>
<td></td>
<td>819,862,764</td>
</tr>
</tbody>
</table>
## Statement of Financial Condition

### Assets (continued)

<table>
<thead>
<tr>
<th>Allowable</th>
<th>Nonallowable</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>E. Stocks and warrants</td>
<td>$14,019,669</td>
<td>$14,019,669</td>
</tr>
<tr>
<td>F. Options</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>G. Arbitrage</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>H. Other securities</td>
<td>$8,458,000</td>
<td>$8,458,000</td>
</tr>
<tr>
<td>I. Spot Commodities</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>J. Total inventory (includes encumbered securities of $1,220,801,463)</td>
<td>$850,120,272,283,385</td>
<td></td>
</tr>
<tr>
<td>8. Securities owned not readily marketable:</td>
<td></td>
<td>$2,272,283,385</td>
</tr>
<tr>
<td>A. At cost</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>B. At estimated fair value</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>10. Securities borrowed under subordination agreements and partners' individual and capital securities accounts, at market value:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Exempted securities</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>B. Other</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>11. Secured demand notes (market value of collateral):</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Exempted securities</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>B. Other</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>12. Memberships in exchanges:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Owned, at market value</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>B. Owned at cost</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>C. Contributed for use of company, at market value</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>13. Investment in and receivables from affiliates, subsidiaries and associated partnerships</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>14. Property, furniture, equipment, leasehold improvements and rights under lease agreements:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>At cost (net of accumulated depreciation and amortization)</td>
<td>$0</td>
<td>$12,889,791</td>
</tr>
<tr>
<td>15. Other Assets:</td>
<td>$12,889,791</td>
<td>$12,889,791</td>
</tr>
<tr>
<td>A. Dividends and interest receivable</td>
<td>$13,863,247</td>
<td>$13,863,247</td>
</tr>
<tr>
<td>B. Free shipments</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>C. Loans and advances</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>D. Miscellaneous</td>
<td>$27,655,672</td>
<td>$27,655,672</td>
</tr>
<tr>
<td>E. Collateral accepted under SFAS 140</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>F. SPE Assets</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>16. TOTAL ASSETS</td>
<td>$3,670,851,942</td>
<td>$3,670,851,942</td>
</tr>
</tbody>
</table>

Omit pennies
## STATEMENT OF FINANCIAL CONDITION

**LIABILITIES AND OWNERSHIP EQUITY**

<table>
<thead>
<tr>
<th>Liabilities</th>
<th>A.I. Liabilities</th>
<th>Non-A.I. Liabilities</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>17. Bank loans payable:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Includable in &quot;Formula for Reserve Requirements&quot;</td>
<td>1030 $</td>
<td>1240 $</td>
<td>1460</td>
</tr>
<tr>
<td>B. Other</td>
<td>1040</td>
<td>1250</td>
<td>25,893,702</td>
</tr>
</tbody>
</table>

| | | | |

| 19. Payable to brokers or dealers and clearing organizations: | | | |
| A. Failed to receive: | | | |
| 1. Includable in "Formula for Reserve Requirements" | 1050 | 1270 | 8,323,683 |
| 2. Other | 1060 | 1280 | 25,561,849 |

| B. Securities loaned: | | | |
| 1. Includable in "Formula for Reserve Requirements" | 1070 | 0 | 1510 |
| 2. Other | 1080 | 1290 | 0 |

| C. Omnibus accounts: | | | |
| 1. Includable in "Formula for Reserve Requirements" | 1090 | 1300 | 0 |
| 2. Other | 1095 | 1300 | 0 |

| D. Clearing organizations: | | | |
| 1. Includable in "Formula for Reserve Requirements" | 1100 | 0 | 1550 |
| 2. Other | 1105 | 1310 | 0 |
| E. Other | 1110 | 1320 | 7,860,117 |

| 20. Payable to customers: | | | |
| A. Securities accounts - including free credits of | 0 | 950 | 0 |
| B. Commodities accounts | 1120 | 1330 | 0 |

| 21. Payable to non customers: | | | |
| A. Securities accounts | 1140 | 1340 | 0 |
| B. Commodities accounts | 1150 | 1350 | 0 |

| 22. Securities sold not yet purchased at market value - including arbitrage of | 0 | 960 | 0 |
| | 1360 | 1,092,055,319 | 1620 |

| 23. Accounts payable and accrued liabilities and expenses: | | | |
| A. Drafts payable | 1160 | 0 | 1630 |
| B. Accounts payable | 1170 | 548,158 | 1640 |
| C. Income taxes payable | 1180 | 0 | 1650 |
| D. Deferred income taxes | 1370 | 0 | 1660 |
| E. Accrued expenses and other liabilities | 1190 | 106,898,696 | 1670 |
| F. Other | 1200 | 1,188,557 | 1680 |
| G. Obligation to return securities | 1386 | 1686 |
| H. SPE Liabilities | 1387 | 1687 |

*Brokers or Dealers electing the alternative net capital requirement method need not complete these columns.*
<table>
<thead>
<tr>
<th>Liabilities</th>
<th>Non-A.I. Liabilities</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.I.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Notes and mortgages payable:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Unsecured</td>
<td>$1210</td>
<td>$125,000,000</td>
</tr>
<tr>
<td>B. Secured</td>
<td>$1211</td>
<td>$0</td>
</tr>
<tr>
<td>Liabilities subordinated to claims of general creditors:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Cash borrowings:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. from outsiders</td>
<td>$0970</td>
<td>$0</td>
</tr>
<tr>
<td>2. Includes equity subordination(15c3-1(d))</td>
<td></td>
<td></td>
</tr>
<tr>
<td>B. Securities borrowings, at market value:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. from outsiders</td>
<td>$0980</td>
<td>$0</td>
</tr>
<tr>
<td>C. Pursuant to secured demand note collateral agreements:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. from outsiders</td>
<td>$0100</td>
<td>$0</td>
</tr>
<tr>
<td>2. Includes equity subordination(15c3-1(d))</td>
<td></td>
<td></td>
</tr>
<tr>
<td>D. Exchange memberships contributed for use of company, at market value</td>
<td></td>
<td></td>
</tr>
<tr>
<td>E. Accounts and other borrowings not qualified for net capital purposes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>26. TOTAL LIABILITIES</td>
<td>$1230</td>
<td>$2,849,208,266</td>
</tr>
<tr>
<td>Ownership Equity</td>
<td></td>
<td></td>
</tr>
<tr>
<td>F. Less capital stock in treasury</td>
<td></td>
<td></td>
</tr>
<tr>
<td>30. TOTAL OWNERSHIP EQUITY</td>
<td>$1,077,778,253</td>
<td>$1,077,778,253</td>
</tr>
<tr>
<td>31. TOTAL LIABILITIES AND OWNERSHIP EQUITY</td>
<td>$3,926,986,519</td>
<td>$3,926,986,519</td>
</tr>
</tbody>
</table>

* Brokers or Dealers electing the alternative net capital requirement method need not complete these columns.
### COMPUTATION OF NET CAPITAL

1. **Total ownership equity (from Statement of Financial Condition - Item 1800)**  
   $1,077,778,253

2. **Deduct: Ownership equity not allowable for Net Capital**  
   0

3. **Total ownership equity qualified for Net Capital**  
   $1,077,778,253

4. **Add:**  
   
   - A. Liabilities subordinated to claims of general creditors allowable in computation of net capital  
     0
   
   - B. Other (deductions) or allowable credits (List)  
     0

5. **Total capital and allowable subordinated liabilities**  
   $1,077,778,253

6. **Deductions and/or charges:**  
   
   - A. Total non-allowable assets from Statement of Financial Condition (Notes B and C)  
     $256,134,577

   - 1. Additional charges for customers’ and non-customers’ security accounts  
     3,503

   - 2. Additional charges for customers’ and non-customers’ commodity accounts  
     0

   - B. Aged fail-to-deliver:  
     8,526

   - 1. Number of items  
     1

   - C. Aged short security differences-less reserve of  
     $44,483,355

   - 1. Bankers’ acceptances, certificates of deposit and commercial paper  
     44,483,355

   - 2. U.S. and Canadian government obligations  
     21,899,819

   - 3. State and municipal government obligations  
     1,884,864

   - 4. Corporate obligations  
     218,460,733

   - 5. Stocks and warrants  
     3,417,101

   - 6. Options  
     0

   - 7. Arbitrage  
     0

   - 8. Other securities  
     1,268,700

   - D. Undue concentration  
     0

   - E. Other (List)  
     0

   - F. Other deductions and/or charges  
     25,994,370

   - G. Deductions for accounts carried under Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x)  
     0

   - H. Total deductions and/or charges  
     $(282,140,976)

7. **Other additions and/or allowable credits (List)**  
   0

8. **Net Capital before haircuts on securities positions**  
   $795,637,277

9. **Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)):**  
   
   - A. Contractual securities commitments  
     23,793,801

   - B. Subordinated securities borrowings  
     0

   - C. Trading and investment securities:  
     
     - 1. Bankers’ acceptances, certificates of deposit and commercial paper  
       44,483,355

     - 2. U.S. and Canadian government obligations  
       21,899,819

     - 3. State and municipal government obligations  
       1,884,864

     - 4. Corporate obligations  
       218,460,733

     - 5. Stocks and warrants  
       3,417,101

     - 6. Options  
       0

     - 7. Arbitrage  
       0

     - 8. Other securities  
       1,268,700

     - D. Undue concentration  
       0

     - E. Other (List)  
       0

     - F. Other securities  
       1,268,700

   - D. Undue concentration  
     0

   - E. Other (List)  
     0

   - F. Other securities  
     1,268,700

   - G. Total deductions and/or charges  
     $(315,208,373)

10. **Net Capital**  
    $480,428,904
# FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT

## PART II

### BROKER OR DEALER

**SUNTRUST ROBINSON HUMPHREY, INC.**

**as of 09/30/18**

#### COMPUTATION OF BASIC NET CAPITAL REQUIREMENT

**Part A**

11. Minimal net capital required (6-2/3% of line 19) ........................................... $ 3756

12. Minimum dollar net capital requirement of reporting broker dealer and minimum net capital requirement of subsidiaries computed in accordance with Note (A) .................................................. $ 3758

13. Net capital requirement (greater of line 11 or 12) ........................................... $ 3760

14. Excess net capital (line 10 less 13) ................................................................. $ 3770

15. Net capital less greater of 10% of line 19 or 120% of line 12 .......................... $ 3780

#### COMPUTATION OF AGGREGATE INDEBTEDNESS

16. Total A.I. liabilities from Statement of Financial Condition ....................................... $ 3790

17. Add:

   A. Drafts for immediate credit ................................................................. $ 3800

   B. Market value of securities borrowed for which no equivalent value is paid or credited .............................. $ 3810

   C. Other unrecorded amounts (List) .......................................................... $ 3820

18. Deduct: Adjustment based on deposits in Special Reserve Bank Accounts(15c3-1(c)(1)(vii)) ........................................... $ 3830

19. Total aggregate indebtedness ................................................................. $ 3840

20. Percentage of aggregate indebtedness to net capital (line 19 divided by line 10) ....................... % 3850

21. Percentage of aggregate indebtedness to net capital after anticipated capital withdrawals (line 19 divided by line 10 less item 4880 page 12) ................................................................. % 3853

#### COMPUTATION OF ALTERNATE NET CAPITAL REQUIREMENT

**Part B**

22. 2% of combined aggregate debit items as shown in Formula for Reserve Requirements pursuant to Rule 15c3-3 prepared as of the date of net capital computation including both brokers or dealers and consolidated subsidiaries' debits ................................................................. $ 405,509

23. Minimum dollar net capital requirement of reporting broker dealer and minimum net capital requirement of subsidiaries computed in accordance with Note (A) .................................................. $ 1,029,402

24. Net capital requirement (greater of line 22 or 23) ........................................... $ 1,029,402

25. Excess net capital (line 10 less 24) ................................................................. $ 479,399,502

26. Percentage of Net Capital to Aggregate Debits (line 10 divided by line 18 page 8) ....................... % 2369.51

27. Percentage of Net Capital, after anticipated capital withdrawals, to Aggregate Debits item 10 less Item 4880 page 12 divided by line 17 page 8) ................................................................. % 2369.51

28. Net capital in excess of the greater of:

   5% of combined aggregate debit items or 120% of minimum netcapital requirement ........................................... $ 479,193,622

#### OTHER RATIOS

**Part C**

29. Percentage of debt to debt-equity total computed in accordance with Rule 15c3-1 (d) ....................... % 0.00

30. Options deductions/Net Capital ratio (1000% test) total deductions exclusive of liquidating equity under Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x) divided by Net Capital ....................... % 3852

### NOTES:

(A) The minimum net capital requirement should be computed by adding the minimum dollar net capital requirement of the reporting broker dealer and, for each subsidiary to be consolidated, the greater of:

1. Minimum dollar net capital requirement, or

2. 6-2/3% of aggregate indebtedness or 2% of aggregate debits if alternate method is used.

(B) Do not deduct the value of securities borrowed under subordination agreements or secured demand notes covered by subordination agreements not in satisfactory form and the market values of memberships in exchanges contributed for use of company (contra to item 1740) and partners’ securities which were included in non-allowable assets.

(C) For reports filed pursuant to paragraph (d) of Rule 17a-5, respondent should provide a list of material non-allowable assets.

10/85
# FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
## PART II

**BROKER OR DEALER**

SUNTRUST ROBINSON HUMPHREY, INC.

**For the period (MMDDYY) from 07/01/18 to 09/30/18**

**Number of months included in this statement**

**Status: Accepted**

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT**

**2018-10-24 04:44PM EDT**

## STATEMENT OF INCOME (LOSS)

### REVENUE

1. Commissions:
   - a. Commissions on transactions in listed equity securities executed on an exchange
   - b. Commissions on transactions in exchange listed equity securities executed over-the-counter
   - c. Commissions on listed option transactions
   - d. All other securities commissions
   - e. Total securities commissions
      - 0 (3943) 3935

2. Gains or losses on firm securities trading accounts
   - a. From market making in over-the-counter equity securities
   - b. From trading in debt securities
   - c. From market making in exchange listed equity securities
   - d. From all other trading
   - e. Total gains or (losses)
      - 5,863,321 (3944) 3945

3. Gains or losses on firm securities investment accounts
   - a. Includes realized gains (losses)
   - b. Includes unrealized gains (losses)
   - c. Total realized and unrealized gains (losses)
      - 4,954,205 (3950)

4. Profits or losses from underwriting and selling groups
   - a. Includes underwriting income from corporate equity securities
      - 39,026,029 (4237)

5. Margin interest
   - 0 (3960)

6. Revenue from sale of investment company shares
   - 0 (3970)

7. Fees for account supervision, investment advisory and administrative services
   - 196,746 (3975)

8. Revenue from research services
   - 22,449 (3980)

9. Commodities revenue
   - 0 (3990)

10. Other revenue related to securities business
    - 81,249,823 (3985)

11. Other revenue
    - 0 (3995)

12. Total revenue
    - $160,487,155 (4030)

### EXPENSES

13. Registered representatives’ compensation
    - 60,529,590 (4110)

14. Clerical and administrative employees’ expenses
    - 0 (4120)

15. Salaries and other employment costs for general partners and voting stockholder officers
    - 0 (4130)

16. Floor brokerage paid to certain brokers (see definition)
    - 0 (4145)

17. Commissions and clearance paid to all other brokers (see definition)
    - 0 (4135)

18. Clearance paid to non-brokers (see definition)
    - 0 (4135)

19. Communications
    - 416,540 (4060)

20. Occupancy and equipment costs
    - 3,380,130 (4080)

21. Promotional costs
    - 2,071,541 (4150)

22. Interest expense
    - 18,261,793 (4075)

23. Losses in error account and bad debts
    - 8,943 (4170)

24. Data processing costs (including service bureau service charges)
    - 9,493,685 (4186)

25. Non-recurring charges
    - 0 (4190)

26. Regulatory fees and expenses
    - 994,924 (4195)

27. Other expenses
    - 48,025,545 (4100)

28. Total expenses
    - $143,182,691 (4200)

### NET INCOME

29. Income (loss) before Federal income taxes and items below(Item 12 less Item 28)
    - 17,304,464 (4210)

30. Provision for Federal Income taxes (for parent only)
    - 3,287,245 (4220)

31. Equity in earnings (losses) of unconsolidated subsidiaries not included above
    - 0 (4222)

32. Extraordinary gains (losses)
    - 0 (4224)

33. Cumulative effect of changes in accounting principles
    - 0 (4225)

34. Net income (loss) after Federal Income taxes and extraordinary Items
    - $14,017,219 (4230)

### MONTHLY INCOME

35. Income (current month only) before provision for Federal income taxes and extraordinary items
    - $10,363,746 (4211)

---

Page 7
### CREDIT BALANCES

1. Free credit balances and other credit balances in customers’ security accounts (See Note A) $ 0 4340
2. Monies borrowed or collateralized by securities carried for the accounts of customers (See NoteB) $ 0 4350
3. Monies payable against customers’ securities loaned (See Note C) $ 0 4360
4. Customers’ securities failed to receive (See Note D) $ 10,005,709 4370
5. Credit balances infirm accounts which are attributable to principalsales to customers $ 0 4380
6. Market value of stock dividends, stock splits and similar distributions receivable outstanding over 30 calendar days $ 0 4390
7. ** Market value of short security count differences over 30 calendar days old $ 0 4400
8. ** Market value of short securities and credits (not to be offset by longs or by debits) in all suspense accounts over 30 calendar days $ 0 4410
9. Market value of securities which are in transfer in excess of 40 calendar days and have not been confirmed to be in transfer by the transfer agent or the issuer during the 40 days $ 0 4420
10. Other (List) $ 0 4425
11. TOTAL CREDITS $ 10,005,709 4430

### DEBIT BALANCES

12. ** Debit balances in customers’ cash and margin accounts excluding unsecured accounts and accounts doubtful of collection (See Note E) $ 0 4440
13. Securities borrowed to effectuate short sales by customers and securities borrowed to makedelivery on customers’ securities failed to deliver $ 0 4450
14. Failed to deliver of customers’ securities not older than 30 calendar days $ 20,275,450 4460
15. Margin required and on deposit with the Options Clearing Corporation for all option contracts written or purchased in customer accounts (See Note F) $ 0 4465
16. Margin required and on deposit with a clearing agency registered with the Commission under section 17A of the Act (15 U.S.C. 78q-1) or a derivatives clearing organization registered with the Commodity Futures Trading Commission under section 5b of the Commodity Exchange Act (7 U.S.C. 7a-1) related to the following types of positions written, purchased or sold in customer accounts: (1) security futures products and (2) futures contracts (and options thereon) carried in a securities account pursuant to an SRO portfolio margining rule (See Note G) $ 0 4467
17. Other (List) $ 0 4469
18. ** Aggregate debits $ 20,275,450 4470
19. ** Less 3% for alternative method only - see Rule 15c3-1(a)(1)(ii) ) 608,264 4471
20. ** TOTAL 15c3-3 DEBITS $ 19,667,186 4472

### RESERVE COMPUTATION

21. Excess of debits over total credits (line 20 less line 11) $ 9,661,477 4480
22. Excess of total credits over total debits (line 11 less line 20) 0 4490
23. If computation is made monthly as permitted, enter 105% of excess of total credits over total debits $ 4500
24. Amountheld on deposit in "Reserve Bank Account(s)" including $ 29,881,500 4505 value of qualified securities, at end of reporting period 29,881,500 4510
25. Amount of deposit (or withdrawal) including $ 0 4515 value of qualified securities 0 4520
26. New amount in Reserve Bank Account(s) after adding deposit or subtracting withdrawal including $ 29,881,500 4525 value of qualified securities $ 29,881,500 4530
27. Date of deposit (MM/DD/YY) 10/10/17 4540

### FREQUENCY OF COMPUTATION


** In the event the NetCapital Requirement is computed under the alternative method, this "Reserve Formula" shall be prepared in accordance with the requirements of paragraph (a)(1)(ii) of Rule 15c3-1.
## CREDIT BALANCES

1. Free credit balances and other credit balances in PAB security accounts (See Note A).......................... \$ 2110

2. Monies borrowed collateralized by securities carried for the accounts of PAB (See Note B).......................... 2120

3. Monies payable against PAB securities loaned (See Note C)............................................................... 2130

4. PAB securities failed to receive (See Note D)................................................................................. 2140

5. Credit balances in firm accounts which are attributable to principal sales to PAB (See Note D)................. 2150

6. Market value of stock dividends, stock splits and similar distributions receivable outstanding over 30 calendar days ................................................................. 2152

7. ** Market value of short security count differences over 30 calendar days old ........................................ 2154

8. ** Market value of short securities and credits (not to be offset by longs or by debits) in all suspense accounts over 30 calendar days ................................................................. 2156

9. Market value of securities which are in transfer in excess of 40 calendar days and have not been confirmed to be in transfer by the transfer agent or the issuer during the 40 days ................................................................. 2158

10. Other (List)......................................................................................................................................... 2160

11. TOTAL PAB CREDITS......................................................................................................................... \$ 2170

## DEBIT BALANCES

12. Debit balances in PAB cash and margin accounts excluding unsecured accounts and accounts doubtful of collection (See Note E)................................................................. \$ 2180

13. Securities borrowed to effectuate short sales by PAB and securities borrowed to make delivery on PAB securities failed to deliver ........................................................................... 2190

14. Failed to deliver of PAB securities not older than 30 calendar days ........................................................... 2200

15. Margin required and on deposit with the Options Clearing Corporation for all option contracts written or purchased in PAB accounts (See Note F)................................................................. 2210

16. Margin required and on deposit with a clearing agency registered with the Commission under section 17A of the Act (15 U.S.C. 78q-1) or a derivatives clearing organization registered with the Commodity Futures Trading Commission under section 5b of the Commodity Exchange Act (7 U.S.C. 7a-1) related to the following types of positions written, purchased or sold in PAB accounts: (1) security futures products and (2) futures contracts (and options thereon) carried in a securities account pursuant to an SRO portfolio margining rule (See Note G)................................................................. 2215

17. Other (List)......................................................................................................................................... 2220

18. TOTAL PAB DEBITS.......................................................................................................................... \$ 2230

## RESERVE COMPUTATION

19. Excess of total PAB debits over total PAB credits (line 18 less line 1.1)..................................................... \$ 2240

20. Excess of total PAB credits over total PAB debits (line 11 less line 18)..................................................... 2250

21. Excess debits in customer reserve formula computation .............................................................................. 0 2260

22. PAB Reserve Requirement (line 20 less line 21).................................................................................... 0 2270

23. Amount held on deposit in "Reserve Bank Account(s)", including $ 2275 value of qualified securities, at end of reporting period .................................................................................................................. 2280

24. Amount on deposit (or withdrawal) including \$ 2285 value of qualified securities ........................................................................................................................................................................... 2290

25. New amount in Reserve Bank Account(s) after adding deposit or subtracting withdrawal including \$ 2295 value of qualified securities ........................................................................................................... \$ 2300

26. Date of deposit (MMDDYY).................................................................................................................. \$ 2310

## FREQUENCY OF COMPUTATION

- Daily 2315
- Weekly 2320
- Monthly 2330

* See Notes regarding the PAB Reserve Bank Account Computation (Notes 1 through 10).

** In the event the Net Capital Requirement is computed under the alternative method, this "Reserve Formula" shall be prepared in accordance with the requirements of paragraph (a)(1)(ii) of Rule 15c3-1.
## Exemptive Provisions

26. If an exemption from Rule 15c3-3 is claimed, identify below the section upon which such exemption is based:

| A. (k) (1)-Limited business (mutual funds and/or variable annuities only) | $4550 |
| B. (k) (2)(i)-“Special Account for the Exclusive Benefitof customers” maintained | 4560 |
| C. (k) (2)(ii)-All customer transactions cleared through another broker-dealer on a fully disclosed basis. Name(s) of Clearing Firm(s) - Please separate multiple names with a semi-colon | 4335 4570 |
| D. (k) (3)-Exempted by order of the Commission | 4580 |

### Information for Possession or Control Requirements Under Rule 15c3-3

State the market valuation and the number of items of:

1. Customers’ fully paid securities and excess margin securities not in the respondent’s possession or control as of the report date (for which instructions to reduce to possession or control had been issued as of the report date) but for which the required action was not taken by respondent within the time frames specified under Rule 15c3-3. Notes A and B

   - A. Number of items
   - $4586

2. Customers’ fully paid securities and excess margin securities for which instructions to reduce to possession or control had not been issued as of the report date, excluding items arising from "temporary lags which result from normal business operations" as permitted under Rule 15c3-3. Notes B, C and D

   - A. Number of items
   - $4588

3. The system and procedures utilized in complying with the requirement to maintain physical possession or control of customers’ fully paid and excess margin securities have been tested and are functioning in a manner adequate to fulfill the requirements of Rule 15c3-3. Yes X No

   - 4584

### Notes

A. Do not include in item one customers’ fully paid and excess margin securities required by Rule 15c3-3 to be in possession or control but for which no action was required by the respondent as of the report date or required action was taken by respondent within the time frames specified under Rule 15c3-3.

B. State separately in response to items one and two whether the securities reported in response thereto were subsequently reduced to possession or control by the respondent.

C. Be sure to include in item two only items not arising from "temporary lags which result from normal business operations" as permitted under Rule 15c3-3.

D. Item two must be responded to only with report which is filed as of the date selected for the broker’s or dealer’s annual audit of financial statements, whether or not such date is the end of a calendar quarter. The response to item two should be filed within 60 calendar days after such date, rather than with the remainder of this report. This information may be required on a more frequent basis by the Commission or the designated examining authority in accordance with Rule 17a-5(a)(2)(iv).
## SUPPLEMENT TO
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
PART II

BROKER OR DEALER
SUNTRUST ROBINSON HUMPHREY, INC.
as of 09/30/18

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
   - B. Securities (at market)

2. Net unrealized profit (loss) in open futures contracts traded on a contract market

3. Exchange traded options
   - A. Add market value of open option contracts purchased on a contract market
   - B. Deduct market value of open option contracts granted (sold) on a contract market

4. Net equity (deficit) (add lines 1, 2, and 3)

5. Accounts liquidating to a deficit and accounts with debit balances
   - gross amount

   Less: amount offset by customer owned securities

6. Amount required to be segregated (add lines 4 and 5)

### FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts
   - A. Cash
   - B. Securities representing investments of customers' funds (at market)
   - C. Securities held for particular customers or option customers in lieu of cash (at market)

8. Margins on deposit with derivatives clearing organizations of contract markets
   - A. Cash
   - B. Securities representing investments of customers' funds (at market)
   - C. Securities held for particular customers or option customers in lieu of cash (at market)

9. Net settlement from (to) derivatives clearing organizations of contract markets

10. Exchange traded options
    - A. Value of open long option contracts
    - B. Value of open short option contracts

11. Net equities with other FCMs
    - A. Net liquidating equity
    - B. Securities representing investments of customers' funds (at market)
    - C. Securities held for particular customers or option customers in lieu of cash (at market)

12. Segregated funds on hand (describe:)

13. Total amount in segregation (add lines 7 through 12)

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)

15. Management Target Amount for Excess funds in segregation

16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess

---

Page T10-1
**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
   - $ \[ \text{7200} \]

2. **Funds in segregated accounts**
   - A. **Cash**
     - $ \[ \text{7210} \]
   - B. **Securities (at market)**
     - $ \[ \text{7220} \]
   - C. **Total**
     - $ \[ \text{7230} \]

3. **Excess (deficiency) funds in segregation**
   - (subtract line 2.C from line 1)
   - $ \[ \text{7240} \]
### 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: $7305

#### 1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers

- **A. Cash**: $7315
- **B. Securities (at market)**: $7317

#### 2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade: $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**: $7337

#### 4. Net equity (deficit) (add lines 1, 2, and 3): $7345

#### 5. Accounts liquidating to a deficit and accounts with debit balances - gross amount: $7351

Less: amount offset by customer owned securities: ($7352)

#### 6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5): $7355

#### 7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6: $7360
<table>
<thead>
<tr>
<th>Funds Deposited in Separate Regulation 30.7 Accounts</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Cash in banks</td>
</tr>
<tr>
<td>A. Banks located in the United States $ 7500</td>
</tr>
<tr>
<td>B. Other banks qualified under Regulation 30.7</td>
</tr>
<tr>
<td>Name(s): 7510 $ 7520 $ 7530 $ 7540 $ 7550 $ 7560 $ 7570</td>
</tr>
<tr>
<td>2. Securities</td>
</tr>
<tr>
<td>A. In safekeeping with banks located in the United States $ 7540</td>
</tr>
<tr>
<td>B. In safekeeping with other banks qualified under Regulation 30.7</td>
</tr>
<tr>
<td>Name(s): 7550 $ 7560 $ 7570 $ 7580 $ 7590 $ 7600 $ 7610 $ 7615 $ 7620</td>
</tr>
<tr>
<td>3. Equities with registered futures commission merchants</td>
</tr>
<tr>
<td>A. Cash $ 7580 $ 7590</td>
</tr>
<tr>
<td>B. Securities $ 7600 $ 7610 $ 7620</td>
</tr>
<tr>
<td>C. Unrealized gain (loss) on open futures contracts $ 7630</td>
</tr>
<tr>
<td>D. Value of long option contracts $ 7640 $ 7650</td>
</tr>
<tr>
<td>E. Value of short option contracts $ 7660 $ 7670 $ 7680 $ 7690 $ 7700 $ 7710 $ 7720 $ 7730 $ 7735 $ 7740</td>
</tr>
<tr>
<td>5. Amounts held by members of foreign boards of trade</td>
</tr>
<tr>
<td>Name(s): 7690 $ 7700 $ 7710 $ 7720 $ 7730 $ 7740 $ 7750 $ 7760 $ 7765</td>
</tr>
<tr>
<td>6. Amounts with other depositories designated by a foreign board of trade</td>
</tr>
<tr>
<td>Name(s): 7750 $ 7760 $ 7770 $ 7780 $ 7785</td>
</tr>
<tr>
<td>7. Segregated funds on hand (describe: $ 7790)</td>
</tr>
<tr>
<td>8. Total funds in separate section 30.7 accounts $ 7770</td>
</tr>
<tr>
<td>9. Excess (deficiency) set aside funds for Secured Amount (subtract Line 7 Secured Statement page T10-3 from Line 8) $ 7380</td>
</tr>
<tr>
<td>10. Management Target Amount for Excess funds in separate section 30.7 accounts $ 7780</td>
</tr>
<tr>
<td>11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target $ 7785</td>
</tr>
</tbody>
</table>

Page T10-4
STATEMENT OF CLEARED SWAPS CUSTOMER SEGREGATION REQUIREMENTS AND FUND IN CLEARED SWAPSCUSTOMER ACCOUNTS UNDER 4D(F) OF THE CEA

Cleared Swaps Customer Requirements

1. Net ledger balance
   A. Cash $ 8500
   B. Securities (at market) 8510

2. Net unrealized profit (loss) in open cleared swaps 8520

3. Cleared swaps options
   A. Market value of open cleared swaps option contracts purchased 8530
   B. Market value of open cleared swaps option contracts granted (sold) ( ) 8540

4. Net equity (deficit) (add lines 1, 2, and 3) $ 8550

5. Accounts liquidating to a deficit and accounts with
debit balances - gross amount $ 8560
   Less: amount offset by customer owned securities ( ) 8570 8580

6. Amount required to be segregated for cleared swaps customers (add lines 4 and 5) $ 8590

Funds in Cleared Swaps Customer Segregated Accounts

7. Deposited in cleared swaps customer segregated accounts at banks
   A. Cash $ 8600
   B. Securities representing investments of cleared swaps customers' funds (at market) 8610
   C. Securities held for particular cleared swaps customers in lieu of cash (at market) 8620

8. Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts
   A. Cash 8630
   B. Securities representing investments of cleared swaps customers' funds (at market) 8640
   C. Securities held for particular cleared swaps customers in lieu of cash (at market) 8650

9. Net settlement from (to) derivatives clearing organizations 8660

10. Cleared swaps options
    A. Value of open cleared swaps long option contracts 8670
    B. Value of open cleared swaps short option contracts ( ) 8680

11. Net equities with other FCMs
    A. Net liquidating equity 8690
    B. Securities representing investments of cleared swaps customers' funds (at market) 8700
    C. Securities held for particular cleared swaps customers in lieu of cash (at market) 8710

12. Cleared swaps customer funds on hand (describe: ) 8715

13. Total amount in cleared swaps customer segregation (add lines 7 through 12) $ 8720

14. Excess (deficiency) funds in cleared swaps customer segregation (subtract line 6 from line 13) $ 8730

15. Management Target Amount for Excess funds in cleared swaps segregated accounts $ 8760

16. Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) Management Target Excess $ 8770
BROKER OR DEALER
SUNTRUST ROBINSON HUMPHREY, INC. as of 09/30/18

COMPUTATION OF CFTC MINIMUM NET CAPITAL REQUIREMENT

Net Capital required

A. Risk-Based Requirement

i. Amount of Customer Risk
   Maintenance Margin requirement

ii. Enter 8% of line A.i

iii. Amount of Non-Customer Risk
   Maintenance Margin requirement

iv. Enter 8% of line A.iii

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

B. Minimum Dollar Amount Requirement

C. Other NFA Requirement

D. Minimum CFTC Net Capital Requirement.
Enter the greatest of lines A, B or C

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

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).
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.

<table>
<thead>
<tr>
<th>Type of Proposed withdrawal or Accrual</th>
<th>Name of Lender or Contributor</th>
<th>Amount to be withdrawn or proposed to be accrued (cash amount and/or Net Capital and/or Mark to Market Value of Securities)</th>
<th>(MMDDYY) Withdrawal or Maturity Date</th>
<th>Expect to Renew (Yes or No)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

TOTAL $ 4699*

Omit pennies

* 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 withdrawal and accruals 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
SUNTRUST ROBINSON HUMPHREY, INC.

as of 09/30/18

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 ........................................ $ 4700
      2. Limited ........................................ 4710
      3. Undistributed Profits .................................. 4720
      4. Other (describe below) ................................ 4730
      5. Sole Proprietorship .................................. 4735
   B. Corporation Capital:
      1. Common Stock ........................................ 4740
      2. Preferred Stock ....................................... 4750
      3. Retained Earnings (Dividends and Other) ............ 4760
      4. Other (describe below) ............................... 4770

2. Subordinated Liabilities
   A. Secured Demand Notes ..................................... 4780
   B. Cash Subordinations ..................................... 4790
   C. Debentures ............................................. 4800
   D. Other (describe below) ................................ 4810

3. Other Anticipated Withdrawals
   A. Bonuses ................................................. 4820
   B. Voluntary Contributions to Pension or Profit Sharing Plans 4860
   C. Other (describe below) ................................ 4870
   Total ................................................................ $ 4880

4. Description of Other

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

1. Balance, beginning of period ........................................ $ 1,063,761,034 4240
   A. Net income (loss) ........................................... $ 14,017,219 4250
   B. Additions (Includes non-conforming capital of ............. $ 4260
      4262 )
   C. Deductions (Includes non-conforming capital of .......... $ 4270
      4272 )
2. Balance, end of period (From Item 1800) .................. $ 1,077,778,253 4290

STATEMENT OF CHANGES IN LIABILITIES SUBORDINATED TO CLAIMS OF GENERAL CREDITORS

3. Balance, beginning of period ........................................ $ 0 4300
   A. Increases ................................................. 0 4310
   B. Decreases .................................................. 0 4320
4. Balance, end of period (From item 3520) .................. $ 0 4330

OMIT PENNIES
## FINANCIAL AND OPERATIONAL DATA

### 1. Month end total number of stock record breaks unresolved over three business days.

<table>
<thead>
<tr>
<th>Valuation</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. breaks long</td>
<td>$0</td>
</tr>
<tr>
<td>B. breaks short</td>
<td>$0</td>
</tr>
</tbody>
</table>

### 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) | 4930 | 4940 |

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:

| Income producing personnel | 418 |
| Non-income producing personnel (all other) | 202 |
| Total | 620 |

### 4. Actual number of tickets executed during current month of reporting period |

| 728,421 |

### 5. Number of corrected customer confirmations mailed after settlement date |

| 54 |

### 6. Money differences

<table>
<thead>
<tr>
<th>No. of Items</th>
<th>Debit (Short Value)</th>
<th>No. of Items</th>
<th>Credit (Long Value)</th>
</tr>
</thead>
<tbody>
<tr>
<td>5000</td>
<td>$0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5010</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5020</td>
<td>$0</td>
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</tr>
<tr>
<td>5080</td>
<td>$0</td>
<td>5090</td>
<td>5100</td>
</tr>
<tr>
<td>5120</td>
<td>$0</td>
<td>5130</td>
<td>5140</td>
</tr>
</tbody>
</table>

### 7. Security suspense accounts

| 5160 | $0 | 5170 | 5180 | $0 | 5190 |

### 8. Security difference accounts

| 5200 | $0 | 5210 | 5220 | $0 | 5230 |

### 9. Commodity suspense accounts

| 5240 | $0 | 5250 | 5260 | $0 | 5270 |

### 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

| 5280 | $0 | 5290 | 5300 | $0 | 5310 |

### 11. Bank account reconciliations-unresolved amounts over 30 calendar days

| 5320 | $0 | 5330 | 5340 | $0 | 5350 |

### 12. Open transfers over 40 calendar days, not confirmed

| 5360 | $0 | 5361 | 5362 |

### 13. Transactions in reorganization accounts-over 60 calendar days

| 5363 | $0 | 5364 | 5365 |

### 14. Total

| 5370 |

### 15. Failed to deliver 5 business days or longer (21 business days or longer in the case of Municipal Securities)

| 5374 |

### 16. Failed to receive 5 business days or longer (21 business days or longer in the case of Municipal Securities)

| 5376 |

### 17. Security concentrations (See instructions in Part I):

| Proprietary positions | 0 |
| Customers' accounts under Rule 15c3-3 | 0 |

### 18. Total of personal capital borrowings due within six months

| 5378 |

### 19. Maximum haircuts on underwriting commitments during the period

| 64,421,549 |

### 20. Planned capital expenditures for business expansion during next six months

| 5380 |

### 21. Liabilities of other individuals or organizations guaranteed by respondent

| 5382 |

### 22. Lease and rentals payable within one year

| 7,700,241 |

### 23. Aggregate lease and rental commitments payable for entire term of the lease

| 42,203,743 | 5388 |

OMIT PENNIES
## FINANCIAL AND OPERATIONAL DATA

### Operational Deductions From Capital (Note A)

<table>
<thead>
<tr>
<th>No. of Debits (Short Value)</th>
<th>Credits (Long Value)</th>
<th>Deductions In Computing Net Capital</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Money suspense and balancing differences</td>
<td>0 5610 $</td>
<td>5810 $</td>
</tr>
<tr>
<td>2. Security suspense and differences with related money balances</td>
<td>0 5620</td>
<td>5820</td>
</tr>
<tr>
<td>3. Market value of short and long security suspense and differences without related money (other than reported in line 4., below)</td>
<td>0 5630</td>
<td>5830</td>
</tr>
<tr>
<td>4. Market value of security record breaks</td>
<td>0 5640</td>
<td>5840</td>
</tr>
<tr>
<td>5. Unresolved reconciling differences with others:</td>
<td>0 5650</td>
<td>5850</td>
</tr>
<tr>
<td>A. Correspondents and Broker/Dealers</td>
<td>0 5660</td>
<td>5860</td>
</tr>
<tr>
<td>B. Depositories</td>
<td>0 5670</td>
<td>5870</td>
</tr>
<tr>
<td>C. Clearing Organizations</td>
<td>0 5680</td>
<td>5880</td>
</tr>
<tr>
<td>D. Inter-company Accounts</td>
<td>0 5690</td>
<td>5890</td>
</tr>
<tr>
<td>E. Bank Accounts and Loans</td>
<td>0 5700</td>
<td>5900</td>
</tr>
<tr>
<td>F. Other</td>
<td>0 5720</td>
<td>5920</td>
</tr>
<tr>
<td>G. (Offsetting) Items A. through F.</td>
<td>0 5730</td>
<td>5930</td>
</tr>
<tr>
<td>TOTAL Line 5</td>
<td>0 5740</td>
<td>5940</td>
</tr>
</tbody>
</table>

### 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 differences been appropriately comprehended in the computation of netcapital at the report date? If this has not been done in all respects, answer No.

| Yes | 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 | 0 5602 |
| B. Customers’ and Non-Customers’ and Other Accounts | 0 5603 |

**Item 3.** Does respondent have any planned operational changes? (Answer Yes or No based on specific instructions.)

<p>| Yes | 5604 |
| No | 5605 |</p>
<table>
<thead>
<tr>
<th>No. of Items</th>
<th>Deductions in Computing Net Capital</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>I</td>
</tr>
<tr>
<td></td>
<td>Debits</td>
</tr>
<tr>
<td></td>
<td>(Short Value)</td>
</tr>
<tr>
<td>1. Money suspense and balancing differences</td>
<td>$6210</td>
</tr>
<tr>
<td>2. Security suspense and differences with related money balances</td>
<td>$6220</td>
</tr>
<tr>
<td>3. Market value of short and long security suspense and differences without related money (other than reported in line 4., below)</td>
<td>$6230</td>
</tr>
<tr>
<td>4. Market value of security record breaks</td>
<td>$6240</td>
</tr>
<tr>
<td>5. Unresolved reconciling differences with others:</td>
<td></td>
</tr>
<tr>
<td>A. Correspondents and Broker/Dealers</td>
<td>$6250</td>
</tr>
<tr>
<td>B. Depositories</td>
<td>$6260</td>
</tr>
<tr>
<td>C. Clearing Organizations</td>
<td>$6270</td>
</tr>
<tr>
<td>D. Inter-company Accounts</td>
<td>$6280</td>
</tr>
<tr>
<td>E. Bank Accounts and Loans</td>
<td>$6290</td>
</tr>
<tr>
<td>F. Other</td>
<td>$6300</td>
</tr>
<tr>
<td>G. (Offsetting) Items A. through F.</td>
<td>$6310</td>
</tr>
<tr>
<td>TOTAL (Line 5.)</td>
<td>$6330</td>
</tr>
<tr>
<td>6. Commodity Differences</td>
<td>$6340</td>
</tr>
<tr>
<td>TOTAL (Line 1.-6.)</td>
<td>$6370</td>
</tr>
</tbody>
</table>

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.