

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

SUNTRUST ROBINSON HUMPHREY, INC. 13

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 20
(No. and Street)

ATLANTA 21 GA 22 30326 23
(City) (State) (Zip Code)

SEC. FILE NO.

8-17212 14

FIRM ID NO.

6271 15

FOR PERIOD BEGINNING (MM/DD/YY)

07/01/18 24

AND ENDING (MM/DD/YY)

09/30/18 25

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

30 31

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

OFFICIAL USE

32 33

34 35

36 37

38 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))

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
PART II

2018-10-24 04:44PM EDT
Status: Accepted

BROKER OR DEALER

SUNTRUST ROBINSON HUMPHREY, INC.

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STATEMENT OF FINANCIAL CONDITION

as of (MM/DD/YY) 09/30/18 99

SEC FILE NO. 8-17212 98

Consolidated 198

Unconsolidated 199

	<u>ASSETS</u>			
	<u>Allowable</u>		<u>Nonallowable</u>	<u>Total</u>
1. Cash	\$ 300,650	200	\$ 300,650	750
2. Cash segregated in compliance with federal and other regulations	0	210	0	760
3. Receivable from brokers or dealers and clearing organizations:				
A. Failed to deliver:				
1. Includable in "Formula for Reserve Requirements"	20,283,976	220		
2. Other	27,361,177	230		47,645,153 770
B. Securities borrowed:				
1. Includable in "Formula for Reserve Requirements"	0	240		
2. Other	428,708,196	250		428,708,196 780
C. Omnibus accounts:				
1. Includable in "Formula for Reserve Requirements"	0	260		
2. Other	0	270		0 790
D. Clearing Organizations:				
1. Includable in "Formula for Reserve Requirements"	0	280		
2. Other	0	290		0 800
E. Other	41,006,401	300	\$ 0	41,006,401 810 550
4. Receivables from customers:				
A. Securities accounts:				
1. Cash and fully secured accounts	0	310		
2. Partly secured accounts	0	320	0	560
3. Unsecured Accounts			0	570
B. Commodity accounts	0	330	0	580
C. Allowance for doubtful accounts	(0)	335	(0)	590 820
5. Receivables from non-customers:				
A. Cash and fully secured accounts	0	340		
B. Partly secured and unsecured accounts	0	350	0	600 830
6. Securities purchased under agreements to resell	839,389,238	360	0	839,389,238 840 605
7. Securities and spot commodities owned, at market value:				
A. Banker's acceptances, certificates of deposit and commercial paper	408,116,696	370		
B. U.S. and Canadian government obligations	931,008,332	380		
C. State and municipal government obligations	90,817,924	390		
D. Corporate obligations	819,862,764	400		

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SUNTRUST ROBINSON HUMPHREY, INC.

STATEMENT OF FINANCIAL CONDITION

ASSETS (continued)

	<u>Allowable</u>	<u>Nonallowable</u>	<u>Total</u>
E. Stocks and warrants	\$ 14,019,669		410
F. Options	0		420
G. Arbitrage	0		422
H. Other securities	8,458,000		424
I. Spot Commodities	0		430
J. Total inventory - includes encumbered securities of ... \$	1,220,801,463		120
			\$ 2,272,283,385
8. Securities owned not readily marketable:			
A. At Cost	\$ 0	\$ 0	0
9. Other investments not readily marketable:			
..... \$	0		140
B. At estimated fair value	0	0	0
10. Securities borrowed under subordination agreements and partners' individual and capital securities accounts, at market value:			
A. Exempted securities	\$ 0		150
B. Other	\$ 0	\$ 0	0
11. Secured demand notes-market value of collateral:			
A. Exempted securities	\$ 0		170
B. Other	\$ 0	\$ 0	0
12. Memberships in exchanges:			
A. Owned, at market value	\$ 0		190
B. Owned at cost		0	650
C. Contributed for use of company, at market value		0	660
13. Investment in and receivables from affiliates, subsidiaries and associated partnerships	0	0	0
14. Property, furniture, equipment, leasehold improvements and rights under lease agreements:			
At cost (net of accumulated depreciation and amortization)	0	12,889,791	12,889,791
15. Other Assets:			
A. Dividends and interest receivable	13,863,247	0	500
B. Free shipments	0	0	510
C. Loans and advances	0	0	520
D. Miscellaneous	27,655,672	243,244,786	530
E. Collateral accepted under SFAS 140	0		536
F. SPE Assets	0		537
16. TOTAL ASSETS	\$ 3,670,851,942	\$ 256,134,577	\$ 3,926,986,519

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
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BROKER OR DEALER

SUNTRUST ROBINSON HUMPHREY, INC.

as of 09/30/18

STATEMENT OF FINANCIAL CONDITION
LIABILITIES AND OWNERSHIP EQUITY

<u>Liabilities</u>	<u>A.I.</u> <u>Liabilities</u> *	<u>Non-A.I.</u> <u>Liabilities</u> *	<u>Total</u>
17. Bank loans payable:			
A. Includable in "Formula for Reserve Requirements"	\$ 1030	\$ 1240	\$ 0
B. Other	1040	1250	26,893,702
18. Securities sold under repurchase agreements.		1260	1,454,858,185
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
2. Other	1080	1290	0
C. Omnibus accounts:			
1. Includable in "Formula for Reserve Requirements"	1090		0
2. Other	1095	1300	0
D. Clearing organizations:			
1. Includable in "Formula for Reserve Requirements"	1100		0
2. Other	1105	1310	0
E. Other	1110	1320	7,880,117
20. Payable to customers:			
A. Securities accounts - including free credits of	\$ 0 950	1120	0
B. Commodities accounts	1130	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	1360	1,092,055,319
23. Accounts payable and accrued liabilities and expenses:			
A. Drafts payable	1160		0
B. Accounts payable	1170		548,158
C. Income taxes payable	1180		0
D. Deferred income taxes		1370	0
E. Accrued expenses and other liabilities ..	1190		106,898,696
F. Other	1200	1380	1,188,557
G. Obligation to return securities		1386	1686
H. SPE Liabilities		1387	1687

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*Brokers or Dealers electing the alternative net capital requirement method need not complete these columns.

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
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BROKER OR DEALER

SUNTRUST ROBINSON HUMPHREY, INC.

as of 09/30/18

STATEMENT OF FINANCIAL CONDITION
LIABILITIES AND OWNERSHIP EQUITY (continued)

	<u>Liabilities</u>	A.I. <u>Liabilities</u> *	Non-A.I. <u>Liabilities</u> *	<u>Total</u>
24. Notes and mortgages payable:				
A. Unsecured	\$ <u>1210</u>			\$ 125,000,000 <u>1690</u>
B. Secured	<u>1211</u>		\$ <u>1390</u>	<u>0</u> <u>1700</u>
25. Liabilities subordinated to claims of general creditors:				
A. Cash borrowings:			<u>1400</u>	<u>0</u> <u>1710</u>
1. from outsiders \$ <u>0</u> <u>0970</u>				
2. Includes equity subordination(15c3-1(d)) of	\$ <u>0</u> <u>0980</u>			
B. Securities borrowings, at market value:			<u>1410</u>	<u>0</u> <u>1720</u>
from outsiders \$ <u>0</u> <u>0990</u>				
C. Pursuant to secured demand note collateral agreements:			<u>1420</u>	<u>0</u> <u>1730</u>
1. from outsiders \$ <u>0</u> <u>1000</u>				
2. Includes equity subordination(15c3-1(d)) of	\$ <u>0</u> <u>1010</u>			
D. Exchange memberships contributed for use of company, at market value			<u>1430</u>	<u>0</u> <u>1740</u>
E. Accounts and other borrowings not qualified for net capital purposes	<u>1220</u>		<u>1440</u>	<u>0</u> <u>1750</u>
26. TOTAL LIABILITIES	\$ <u>1230</u>		\$ <u>1450</u>	\$ 2,849,208,266 <u>1760</u>
<u>Ownership Equity</u>				
27. Sole proprietorship				\$ <u>0</u> <u>1770</u>
28. Partnership - limited partners	\$ <u>0</u> <u>1020</u>			<u>0</u> <u>1780</u>
29. Corporation:				
A. Preferred stock				<u>0</u> <u>1791</u>
B. Common stock			100,000	<u>1792</u>
C. Additional paid- in capital			596,370,223	<u>1793</u>
D. Retained Earnings			481,308,030	<u>1794</u>
E. Total			1,077,778,253	<u>1795</u>
F. Less capital stock in treasury			(<u>0</u>)	<u>1796</u>
30. TOTAL OWNERSHIP EQUITY				\$ 1,077,778,253 <u>1800</u>
31. TOTAL LIABILITIES AND OWNERSHIP EQUITY				\$ 3,926,986,519 <u>1810</u>

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FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
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2018-10-24 04:44PM EDT
Status: Accepted

BROKER OR DEALER SUNTRUST ROBINSON HUMPHREY, INC.	as of <u>09/30/18</u>
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COMPUTATION OF NET CAPITAL

1. Total ownership equity (from Statement of Financial Condition - Item 1800)	\$	1,077,778,253	3480
2. Deduct: Ownership equity not allowable for Net Capital		(0)	3490
3. Total ownership equity qualified for Net Capital		1,077,778,253	3500
4. Add:			
A. Liabilities subordinated to claims of general creditors allowable in computation of net capital		0	3520
B. Other (deductions) or allowable credits (List)		0	3525
5. Total capital and allowable subordinated liabilities	\$	1,077,778,253	3530
6. Deductions and/or charges:			
A. Total non-allowable assets from			
Statement of Financial Condition (Notes B and C)	\$	256,134,577	3540
1. Additional charges for customers' and non-customers' security accounts		3,503	3550
2. Additional charges for customers' and non-customers' commodity accounts		0	3560
B. Aged fail-to-deliver:		8,526	3570
1. number of items	1		3450
C. Aged short security differences-less reserve of	\$	0	3580
number of items	0		3470
D. Secured demand note deficiency		0	3590
E. Commodity futures contracts and spot commodities - proprietary capital charges		0	3600
F. Other deductions and/or charges		25,994,370	3610
G. Deductions for accounts carried under Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x)		0	3615
H. Total deductions and/or charges		(282,140,976)	3620
7. Other additions and/or allowable credits (List)		0	3630
8. Net Capital before haircuts on securities positions	\$	795,637,277	3640
9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)):			
A. Contractual securities commitments	\$	23,793,801	3660
B. Subordinated securities borrowings		0	3670
C. Trading and investment securities:			
1. Bankers' acceptances, certificates of deposit and commercial paper		44,483,355	3680
2. U.S. and Canadian government obligations		21,899,819	3690
3. State and municipal government obligations		1,884,864	3700
4. Corporate obligations		218,460,733	3710
5. Stocks and warrants		3,417,101	3720
6. Options		0	3730
7. Arbitrage		0	3732
8. Other securities		1,268,700	3734
D. Undue concentration		0	3650
E. Other (List)		0	3736
(315,208,373)			3740
10. Net Capital	\$	480,428,904	3750

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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 or 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))	\$	3838
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	3870
23. Minimum dollar net capital requirement of reporting broker or dealer and minimum net capital requirement of subsidiaries computed in accordance with Note(A)	\$	1,029,402	3880
24. Net capital requirement (greater of line 22 or 23)	\$	1,029,402	3760
25. Excess net capital (line 10 less 24)	\$	479,399,502	3910
26. Percentage of Net Capital to Aggregate Debits (line 10 divided by line 18 page 8)	%	2369.51	3851
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	3854
28. Net capital in excess of the greater of: 5% of combined aggregate debit items or 120% of minimum net capital requirement	\$	479,193,622	3920

OTHER RATIOS

Part C

29. Percentage of debt to debt-equity total computed in accordance with Rule 15c3-1 (d)	%	0.00	3860
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.

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
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2018-10-24 04:44PM EDT
Status: Accepted

BROKER OR DEALER	For the period (MMDDYY) from	07/01/18	3932	to	09/30/18	3933
SUNTRUST ROBINSON HUMPHREY, INC.	Number of months included in this statement				3	3931

STATEMENT OF INCOME (LOSS)

REVENUE

1. Commissions:			
a. Commissions on transactions in listed equity securities executed on an exchange	\$	5,441,822	3935
b. Commissions on transactions in exchange listed equity securities executed over-the-counter		5,341,980	3937
c. Commissions on listed option transactions		0	3938
d. All other securities commissions		3,252,453	3939
e. Total securities commissions		14,036,255	3940
2. Gains or losses on firm securities trading accounts			
a. From market making in over-the-counter equity securities		0	3941
1. Includes gains or (losses) OTC market making in exchange listed equity securities		0	3943
b. From trading in debt securities		5,863,321	3944
c. From market making in options on a national securities exchange		0	3945
d. From all other trading		(909,116)	3949
e. Total gains or (losses)		4,954,205	3950
3. Gains or losses on firm securities investment accounts			
a. Includes realized gains (losses)		4235	
b. Includes unrealized gains (losses)		4236	
c. Total realized and unrealized gains (losses)			3952
4. Profits or losses from underwriting and selling groups			3955
a. Includes underwriting income from corporate equity securities		39,026,029	4237
5. Margin interest			3960
6. Revenue from sale of investment company shares			3970
7. Fees for account supervision, investment advisory and administrative services			3975
8. Revenue from research services			3980
9. Commodities revenue			3990
10. Other revenue related to securities business			3985
11. Other revenue			3995
12. Total revenue		\$	160,487,155
			4030

EXPENSES

13. Registered representatives' compensation		\$	60,529,590	4110
14. Clerical and administrative employees' expenses			0	4040
15. Salaries and other employment costs for general partners and voting stockholder officers			0	4120
a. Includes interest credited to General and Limited Partners capital accounts		0	4130	
16. Floor brokerage paid to certain brokers (see definition)			0	4055
17. Commissions and clearance paid to all other brokers (see definition)			0	4145
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
a. Includes interest on accounts subject to subordination agreements		0	4070	
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
a. After Federal income taxes of		0	4238	
32. Extraordinary gains (losses)			0	4224
a. After Federal income taxes of		0	4239	
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
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BROKER OR DEALER

SUNTRUST ROBINSON HUMPHREY, INC.

as of 09/30/18

**FORMULA FOR DETERMINATION OF CUSTOMER ACCOUNT RESERVE REQUIREMENTS
OF BROKERS AND DEALERS UNDER RULE 15c3-3**
(See Rule 15c3-3, Exhibit A and Related Notes)

CREDIT BALANCES

1. Free credit balances and other credit balances in customers' security accounts (See Note A)	\$	0	4340
2. Monies borrowed collateralized by securities carried for the accounts of customers (See Note B)		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 in firm accounts which are attributable to principal sales 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 make delivery 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)			4467
17. Other (List)		0	4469
18. ** Aggregate debit items	\$	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 total 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. Amount held on deposit in "Reserve Bank Account(s)", including \$ <u>29,881,500</u> 4505 value of qualified securities, at end of reporting period		29,881,500	4510
25. Amount of deposit (or withdrawal) including \$ <u>0</u> 4515 value of qualified securities		0	4520
26. New amount in Reserve Bank Account(s) after adding deposit or subtracting withdrawal including \$ <u>29,881,500</u> 4525 value of qualified securities	\$	29,881,500	4530
27. Date of deposit (MMDDYY)		10/10/17	4540

FREQUENCY OF COMPUTATION

28. Daily 4332 Weekly X 4333 Monthly 4334

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** 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.

BROKER OR DEALER

SUNTRUST ROBINSON HUMPHREY, INC.

as of 09/30/18

**FORMULA FOR DETERMINATION OF PAB ACCOUNT RESERVE REQUIREMENTS
OF BROKERS AND DEALERS UNDER RULE 15c3-3**
(See Rule 15c3-3, Exhibit A and Related Notes*)

CREDIT BALANCES

1. Free credit balances and other credit balances in PAB security accounts (See Note A)	\$	<u>2110</u>	
2. Monies borrowed collateralized by securities carried for the accounts of PAB (See Note B)		<u>2120</u>	
3. Monies payable against PAB securities loaned (See Note C)		<u>2130</u>	
4. PAB securities failed to receive (See Note D)		<u>2140</u>	
5. Credit balances in firm accounts which are attributable to principal sales to PAB		<u>2150</u>	
6. Market value of stock dividends, stock splits and similar distributions receivable outstanding over 30 calendar days		<u>2152</u>	
7. ** Market value of short security count differences over 30 calendar days old		<u>2154</u>	
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		<u>2156</u>	
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		<u>2158</u>	
10. Other (List)		<u>2160</u>	
11. TOTAL PAB CREDITS	\$		<u>2170</u>

DEBIT BALANCES

12. Debit balances in PAB cash and margin accounts excluding unsecured accounts and accounts doubtful of collection (See Note E)	\$	<u>2180</u>	
13. Securities borrowed to effectuate short sales by PAB and securities borrowed to make delivery on PAB securities failed to deliver		<u>2190</u>	
14. Failed to deliver of PAB securities not older than 30 calendar days		<u>2200</u>	
15. Margin required and on deposit with the Options Clearing Corporation for all option contracts written or purchased in PAB accounts (See Note F)		<u>2210</u>	
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)		<u>2215</u>	
17. Other (List)		<u>2220</u>	
18. TOTAL PAB DEBITS	\$		<u>2230</u>

RESERVE COMPUTATION

19. Excess of total PAB debits over total PAB credits (line 18, less line 11)	\$	<u>2240</u>	
20. Excess of total PAB credits over total PAB debits (line 11, less line 18)		<u>2250</u>	
21. Excess debits in customer reserve formula computation		<u>0</u>	<u>2260</u>
22. PAB Reserve Requirement (line 20 less line 21)		<u>0</u>	<u>2270</u>
23. Amount held on deposit in "Reserve Bank Account(s)", including \$ <u>2275</u> value of qualified securities, at end of reporting period			<u>2280</u>
24. Amount of deposit (or withdrawal) including \$ <u>2285</u> value of qualified securities			<u>2290</u>
25. New amount in Reserve Bank Account(s) after adding deposit or subtracting withdrawal including \$ <u>2295</u> value of qualified securities	\$		<u>2300</u>
26. Date of deposit (MMDDYY)			<u>2310</u>

FREQUENCY OF COMPUTATION

27. Daily 2315 Weekly 2320 Monthly 2330

OMIT PENNIES

* 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.

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
PART II

BROKER OR DEALER

SUNTRUST ROBINSON HUMPHREY, INC.

as of 09/30/18

COMPUTATION FOR DETERMINATION OF RESERVE REQUIREMENTS
FOR BROKER-DEALERS UNDER RULE 15c3-3 (continued)

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 Benefit of 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.	\$	4586
A. Number of items		4587
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		4588
A. Number of items	\$	4589
OMIT PENNIES		
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 <input checked="" type="checkbox"/> No <input type="checkbox"/>	4584	4585

NOTES

- A--Do not include in item one customers' fully paid and excess margin securities required by Rule 15c 3-3 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
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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		\$		7010
B. Securities (at market)				7020
2. Net unrealized profit (loss) in open futures contracts traded on a contract market				7030
3. Exchange traded options				
A. Add market value of open option contracts purchased on a contract market				7032
B. Deduct market value of open option contracts granted (sold) on a contract market		(7033
4. Net equity (deficit) (add lines 1, 2, and 3)				7040
5. Accounts liquidating to a deficit and accounts with debit balances				
- gross amount			7045	
Less: amount offset by customer owned securities	(7047	7050
6. Amount required to be segregated (add lines 4 and 5)		\$		7060

FUNDS IN SEGREGATED ACCOUNTS

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

SUPPLEMENT TO
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
PART II

2018-10-24 04:44PM EDT
Status: Accepted

BROKER OR DEALER SUNTRUST ROBINSON HUMPHREY, INC.	as of <u>09/30/18</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		\$ _____	7200
2. Funds in segregated accounts			
A. Cash	\$ _____		7210
B. Securities (at market)	_____		7220
C. Total		_____	7230
3. Excess (deficiency) funds in segregation (subtract line 2.C from line 1)		\$ _____	7240

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2018-10-24 04:44PM EDT
 Status: Accepted

BROKER OR DEALER SUNTRUST ROBINSON HUMPHREY, INC.	as of <u>09/30/18</u>
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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	\$	<u>7305</u>
1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers		
A. Cash	\$	<u>7315</u>
B. Securities (at market)		<u>7317</u>
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade		<u>7325</u>
3. Exchange traded options		
A. Market value of open option contracts purchased on a foreign board of trade		<u>7335</u>
B. Market value of open contracts granted (sold) on a foreign board of trade		<u>7337</u>
4. Net equity (deficit) (add lines 1. 2. and 3.)	\$	<u>7345</u>
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$	<u>7351</u>
Less: amount offset by customer owned securities	(<u>7352</u>)
6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	\$	<u>7355</u>
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	\$	<u>7360</u>

SUPPLEMENT TO
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PART II

BROKER OR DEALER SUNTRUST ROBINSON HUMPHREY, INC.	as of <u>09/30/18</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	\$	<u>7500</u>
B. Other banks qualified under Regulation 30.7		
Name(s):	<u>7510</u>	\$ <u>7520</u> <u>7530</u>
2. Securities		
A. In safekeeping with banks located in the United States	\$	<u>7540</u>
B. In safekeeping with other banks qualified under Regulation 30.7		
Name(s):	<u>7550</u>	<u>7560</u> <u>7570</u>
3. Equities with registered futures commission merchants		
A. Cash	\$	<u>7580</u>
B. Securities		<u>7590</u>
C. Unrealized gain (loss) on open futures contracts		<u>7600</u>
D. Value of long option contracts		<u>7610</u>
E. Value of short option contracts	(<u>7615</u> <u>7620</u>)
4. Amounts held by clearing organizations of foreign boards of trade		
Name(s):	<u>7630</u>	
A. Cash	\$	<u>7640</u>
B. Securities		<u>7650</u>
C. Amount due to (from) clearing organizations - daily variation		<u>7660</u>
D. Value of long option contracts		<u>7670</u>
E. Value of short option contracts	(<u>7675</u> <u>7680</u>)
5. Amounts held by members of foreign boards of trade		
Name(s):	<u>7690</u>	
A. Cash	\$	<u>7700</u>
B. Securities		<u>7710</u>
C. Unrealized gain (loss) on open futures contracts		<u>7720</u>
D. Value of long option contracts		<u>7730</u>
E. Value of short option contracts	(<u>7735</u> <u>7740</u>)
6. Amounts with other depositories designated by a foreign board of trade		
Name(s):	<u>7750</u>	<u>7760</u>
7. Segregated funds on hand (describe: _____)		
		<u>7765</u>
8. Total funds in separate section 30.7 accounts		
	\$	<u>7770</u>
9. Excess (deficiency) set Aside Funds for Secured Amount (subtract Line 7 Secured Statement page T10-3 from Line 8)		
	\$	<u>7380</u>
10. Management Target Amount for Excess funds in separate section 30.7 accounts		
	\$	<u>7780</u>
11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target		
	\$	<u>7785</u>

SUPPLEMENT TO
 FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT
 PART II

BROKER OR DEALER SUNTRUST ROBINSON HUMPHREY, INC.	as of <u>09/30/18</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	\$		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
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

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 PART II

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 7415

ii. Enter 8% of line A.i

7425

iii. Amount of Non-Customer Risk

Maintenance Margin requirement 7435

iv. Enter 8% of line A.iii

7445

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

7455

B. Minimum Dollar Amount Requirement

7465

C. Other NFA Requirement

7475

D. Minimum CFTC Net Capital Requirement.

Enter the greatest of lines A, B or C

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

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**

2018-10-24 04:44PM EDT
Status: Accepted

BROKER OR DEALER SUNTRUST ROBINSON HUMPHREY, INC.	as of <u>09/30/18</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)	
4600		4601		4603	4604	4605
4610		4611		4613	4614	4615
4620		4621		4623	4624	4625
4630		4631		4633	4634	4635
4640		4641		4643	4644	4645
4650		4651		4653	4654	4655
4660		4661		4663	4664	4665
4670		4671		4673	4674	4675
4680		4681		4683	4684	4685
4690		4691		4693	4694	4695

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 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

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 \$	4262	0 4260
C. Deductions (Includes non-conforming capital of \$	4272	0 4270
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 COMBINED UNIFORM SINGLE REPORT
PART II

BROKER OR DEALER

SUNTRUST ROBINSON HUMPHREY, INC.

as of 09/30/18

FINANCIAL AND OPERATIONAL DATA

1. Month end total number of stock record breaks unresolved over three business days.	<u>Valuation</u>	<u>Number</u>
A. breaks long	\$ 0 4890	0 4900
B. breaks short	\$ 0 4910	0 4920

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 4930 No 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:

A. Income producing personnel	418 4950
B. Non-income producing personnel (all other)	202 4960
C. Total	620 4970

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

728,421 4980

5. Number of corrected customer confirmations mailed after settlement date

54 4990

	<u>No. of Items</u>	<u>Debit (Short Value)</u>	<u>No. of Items</u>	<u>Credit (Long Value)</u>
6. Money differences	0 5000	\$ 0 5010	0 5020	\$ 0 5030
7. Security suspense accounts	5040	\$ 5050	5060	\$ 5070
8. Security difference accounts	5080	\$ 5090	5100	\$ 5110
9. Commodity suspense accounts	5120	\$ 5130	5140	\$ 5150

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

5160	\$ 5170	5180	\$ 5190
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11. Bank account reconciliations-unresolved amounts over 30 calendar days

0 5200	\$ 0 5210	0 5220	\$ 0 5230
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12. Open transfers over 40 calendar days, not confirmed

5240	\$ 5250	5260	\$ 5270
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13. Transactions in reorganization accounts-over 60 calendar days

5280	\$ 5290	5300	\$ 5310
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14. Total

5320	\$ 5330	5340	\$ 5350
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	<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)	5360	\$ 5361	5362

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

5363	\$ 5364	5365
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17. Security concentrations (See instructions in Part I):

A. Proprietary positions	\$ 0 5370
B. Customers' accounts under Rule 15c3-3	\$ 0 5374

18. Total of personal capital borrowings due within six months

\$ 5378

19. Maximum haircuts on underwriting commitments during the period

\$ 64,421,549 5380

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

\$ 5382

21. Liabilities of other individuals or organizations guaranteed by respondent

\$ 5384

22. Lease and rentals payable within one year

\$ 7,700,241 5386

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

A. Gross	\$ 42,203,743 5388
B. Net	\$ 5390

OMIT PENNIES

