

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)

01/01/19 24

AND ENDING (MM/DD/YY)

03/31/19 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

2019-04-23 05:03PM EDT  
Status: Accepted

BROKER OR DEALER

SUNTRUST ROBINSON HUMPHREY, INC.

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STATEMENT OF FINANCIAL CONDITION

as of (MM/DD/YY) 03/31/19 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	\$ 12,109,993	200	\$ 12,109,993	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"	22,079,713	220		
2. Other	1,227,685	230		770
B. Securities borrowed:				
1. Includable in "Formula for Reserve Requirements"	0	240		
2. Other	467,583,221	250		780
C. Omnibus accounts:				
1. Includable in "Formula for Reserve Requirements"	0	260		
2. Other	0	270		790
D. Clearing Organizations:				
1. Includable in "Formula for Reserve Requirements"	0	280		
2. Other	0	290		800
E. Other	353,759,409	300	\$ 0	810
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 )	820
5. Receivables from non-customers:				
A. Cash and fully secured accounts	0	340		
B. Partly secured and unsecured accounts	0	350	0	830
6. Securities purchased under agreements to resell	851,474,553	360	0	840
7. Securities and spot commodities owned, at market value:				
A. Banker's acceptances, certificates of deposit and commercial paper	282,430,897	370		
B. U.S. and Canadian government obligations	1,058,489,277	380		
C. State and municipal government obligations	33,345,897	390		
D. Corporate obligations	888,694,495	400		

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
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BROKER OR DEALER

as of 03/31/19

SUNTRUST ROBINSON HUMPHREY, INC.

STATEMENT OF FINANCIAL CONDITION

ASSETS (continued)

	<u>Allowable</u>	<u>Nonallowable</u>	<u>Total</u>
E. Stocks and warrants .....	\$ 17,531,723		410
F. Options .....	0		420
G. Arbitrage .....	0		422
H. Other securities .....	12,212,000		424
I. Spot Commodities .....	0		430
J. Total inventory - includes encumbered securities of ... \$	1,276,240,252		120
			\$ 2,292,704,289
			850
8. Securities owned not readily marketable:			
A. At Cost .....	\$ 0	\$ 0	0
	130	610	860
9. Other investments not readily marketable:			
..... \$	0		140
B. At estimated fair value .....	0	0	0
	450	620	870
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
	160	630	880
11. Secured demand notes-market value of collateral:			
A. Exempted securities .....	\$ 0		170
B. Other .....	\$ 0	\$ 0	0
	180	640	890
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
			900
13. Investment in and receivables from affiliates, subsidiaries and associated partnerships .....	0	1,482,059	1,482,059
	480	670	910
14. Property, furniture, equipment, leasehold improvements and rights under lease agreements:			
At cost (net of accumulated depreciation and amortization) .....	51,495,895	18,003,386	69,499,281
	490	680	920
15. Other Assets:			
A. Dividends and interest receivable .....	15,847,468	0	264,936,522
B. Free shipments .....	0	0	930
C. Loans and advances .....	0	0	700
D. Miscellaneous .....	35,639,466	213,449,588	710
E. Collateral accepted under SFAS 140 .....	0		536
F. SPE Assets .....	0		537
			940
16. TOTAL ASSETS .....	\$ 4,103,921,692	\$ 232,935,033	\$ 4,336,856,725
	540	740	940

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
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BROKER OR DEALER

SUNTRUST ROBINSON HUMPHREY, INC.

as of 03/31/19

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	0
18. Securities sold under repurchase agreements.		1260	1,670,684,544
19. Payable to brokers or dealers and clearing organizations:			
A. Failed to receive:			
1. Includable in "Formula for Reserve Requirements" .....	1050	1270	24,624,433
2. Other .....	1060	1280	11,566,245
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	8,727,988
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	1,286,974,825
23. Accounts payable and accrued liabilities and expenses:			
A. Drafts payable .....	1160		0
B. Accounts payable .....	1170		1,679,865
C. Income taxes payable .....	1180		554,445
D. Deferred income taxes .....		1370	0
E. Accrued expenses and other liabilities ..	1190		58,060,344
F. Other .....	1200	1380	68,086,794
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 03/31/19

STATEMENT OF FINANCIAL CONDITION  
LIABILITIES AND OWNERSHIP EQUITY (continued)

	<u>Liabilities</u>	<u>A.I. Liabilities</u> *	<u>Non-A.I. Liabilities</u> *	<u>Total</u>
24. Notes and mortgages payable:				
A. Unsecured .....	\$	1210		\$ 125,000,000 1690
B. Secured .....		1211	\$ 1390	0 1700
25. Liabilities subordinated to claims of general creditors:				
A. Cash borrowings: .....			1400	0 1710
1. from outsiders \$ .....	0 0970			
2. Includes equity subordination(15c3-1(d)) of .....	\$ 0 0980			
B. Securities borrowings, at market value: .....			1410	0 1720
from outsiders \$ .....	0 0990			
C. Pursuant to secured demand note collateral agreements: .....			1420	0 1730
1. from outsiders \$ .....	0 1000			
2. Includes equity subordination(15c3-1(d)) of .....	\$ 0 1010			
D. Exchange memberships contributed for use of company, at market value .....			1430	0 1740
E. Accounts and other borrowings not qualified for net capital purposes .....		1220	1440	0 1750
26. TOTAL LIABILITIES .....	\$	1230	\$ 1450	\$ 3,255,959,483 1760
<u>Ownership Equity</u>				
27. Sole proprietorship .....				\$ 0 1770
28. Partnership - limited partners .....	\$ 0 1020			0 1780
29. Corporation: .....				
A. Preferred stock .....				0 1791
B. Common stock .....			100,000	1792
C. Additional paid- in capital .....			596,370,223	1793
D. Retained Earnings .....			484,427,019	1794
E. Accumulated other comprehensive income .....			0	1797
F. Total .....			1,080,897,242	1795
G. Less capital stock in treasury .....			( 0)	1796
30. TOTAL OWNERSHIP EQUITY .....				\$ 1,080,897,242 1800
31. TOTAL LIABILITIES AND OWNERSHIP EQUITY .....				\$ 4,336,856,725 1810

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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 <u>03/31/19</u>
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COMPUTATION OF NET CAPITAL

1. Total ownership equity (from Statement of Financial Condition - Item 1800) .....	\$	1,080,897,242	3480
2. Deduct: Ownership equity not allowable for Net Capital .....		( 0 )	3490
3. Total ownership equity qualified for Net Capital .....		1,080,897,242	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 .....	\$	1,080,897,242	3530
6. Deductions and/or charges:			
A. Total non-allowable assets from			
Statement of Financial Condition (Notes B and C) .....	\$	232,935,033	3540
1. Additional charges for customers' and non-customers' security accounts .....		3,056	3550
2. Additional charges for customers' and non-customers' commodity accounts .....		0	3560
B. Aged fail-to-deliver: .....		58,907	3570
1. number of items .....	2	3450	
C. Aged short security differences-less reserve of .....	\$	3460	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 .....		27,748,373	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 .....		( 260,745,369 )	3620
7. Other additions and/or allowable credits (List) .....		0	3630
8. Net Capital before haircuts on securities positions .....	\$	820,151,873	3640
9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)):			
A. Contractual securities commitments .....	\$	21,004,523	3660
B. Subordinated securities borrowings .....		0	3670
C. Trading and investment securities:			
1. Bankers' acceptances, certificates of deposit and commercial paper .....		13,475,460	3680
2. U.S. and Canadian government obligations .....		18,170,028	3690
3. State and municipal government obligations .....		1,525,798	3700
4. Corporate obligations .....		236,887,968	3710
5. Stocks and warrants .....		3,971,367	3720
6. Options .....		0	3730
7. Arbitrage .....		0	3732
8. Other securities .....		1,831,800	3734
D. Undue concentration .....		0	3650
E. Other (List) .....		0	3736
( 296,866,944 )			3740
10. Net Capital .....	\$	523,284,929	3750

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BROKER OR DEALER

SUNTRUST ROBINSON HUMPHREY, INC.

as of 03/31/19

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	\$	331,410	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)	\$	1,000,000	3880
24. Net capital requirement (greater of line 22 or 23)	\$	1,000,000	3760
25. Excess net capital (line 10 less 24)	\$	522,284,929	3910
26. Percentage of Net Capital to Aggregate Debits (line 10 divided by line 18 page 8)	%	3157.94	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)	%	3157.94	3854
28. Net capital in excess of the greater of: 5% of combined aggregate debit items or 120% of minimum net capital requirement	\$	522,084,929	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  
PART II**

2019-04-23 05:03PM EDT  
Status: Accepted

BROKER OR DEALER	For the period (MMDDYY) from	01/01/19	3932	to	03/31/19	3933
SUNTRUST ROBINSON HUMPHREY, INC.	Number of months included in this statement				3	3931

**STATEMENT OF INCOME (LOSS) or STATEMENT OF COMPREHENSIVE INCOME**  
(as defined in §210.1-02 of Regulation S-X), as applicable

**REVENUE**

1. Commissions:			
a. Commissions on transactions in listed equity securities executed on an exchange	\$	3,994,733	3935
b. Commissions on transactions in exchange listed equity securities executed over-the-counter		6,200,477	3937
c. Commissions on listed option transactions		0	3938
d. All other securities commissions		1,947,165	3939
e. Total securities commissions		12,142,375	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		20,271,158	3944
c. From market making in options on a national securities exchange		0	3945
d. From all other trading		(594,135)	3949
e. Total gains or (losses)		19,677,023	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		41,334,458	3955
a. Includes underwriting income from corporate equity securities		8,445,160	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		23,976	3975
8. Revenue from research services		42,216	3980
9. Commodities revenue		0	3990
10. Other revenue related to securities business		84,148,304	3985
11. Other revenue		0	3995
12. Total revenue	\$	157,368,352	4030

**EXPENSES**

13. Registered representatives' compensation	\$	66,394,354	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		396,705	4060
20. Occupancy and equipment costs		5,667,807	4080
21. Promotional costs		1,838,399	4150
22. Interest expense		18,111,687	4075
a. Includes interest on accounts subject to subordination agreements		0	4070
23. Losses in error account and bad debts		15,894	4170
24. Data processing costs (including service bureau service charges)		9,358,586	4186
25. Non-recurring charges		0	4190
26. Regulatory fees and expenses		1,192,802	4195
27. Other expenses		42,770,459	4100
28. Total expenses	\$	145,746,693	4200

**NET INCOME/COMPREHENSIVE INCOME**

29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28)	\$	11,621,659	4210
30. Provision for Federal Income taxes (for parent only)		2,383,056	4220
31. Equity in earnings (losses) of unconsolidated subsidiaries not included above		0	4222
a. After Federal income taxes of		0	4238
32. [RESERVED]			
a. [RESERVED]			
33. [RESERVED]			
34. Net income (loss) after Federal income taxes	\$	9,238,603	4230
35. Other Comprehensive income (loss)		0	4226
a. After Federal income taxes of		0	4227
36. Comprehensive income (loss)	\$	9,238,603	4228

**MONTHLY INCOME**

37. Income (current month only) before provision for Federal income taxes	\$	(1,919,977)	4211
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BROKER OR DEALER

SUNTRUST ROBINSON HUMPHREY, INC.

as of 03/31/19

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)		25,199,843	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		1,662,901	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	\$		26,862,744 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		16,570,478	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	\$		16,570,478 4470
19. ** Less 3% (for alternative method only, - see Rule 15c3-1(a)(1)(ii))	(		497,114) 4471
20. ** TOTAL 15c3-3 DEBITS			16,073,364 4472

RESERVE COMPUTATION

21. Excess of total debits over total credits (line 20 less line 11)	\$	0	4480
22. Excess of total credits over total debits (line 11 less line 20)		10,789,380	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 \$ 30,200,400 4505 value of qualified securities, at end of reporting period		30,200,400	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 \$ 30,200,400 4525 value of qualified securities	\$	30,200,400	4530
27. Date of deposit (MMDDYY)		12/17/18	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 <u>03/31/19</u>
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**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>
<b>11. TOTAL PAB CREDITS</b>	\$	<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>
<b>18. TOTAL PAB DEBITS</b>	\$	<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 <u>03/31/19</u>
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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  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II

BROKER OR DEALER

SUNTRUST ROBINSON HUMPHREY, INC.

as of 03/31/19

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
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

2019-04-23 05:03PM EDT  
Status: Accepted

BROKER OR DEALER  SUNTRUST ROBINSON HUMPHREY, INC.	as of <u>03/31/19</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

SUPPLEMENT TO  
 FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
 PART II

2019-04-23 05:03PM EDT  
 Status: Accepted

BROKER OR DEALER SUNTRUST ROBINSON HUMPHREY, INC.	as of <u>03/31/19</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  
 FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
 PART II

BROKER OR DEALER  SUNTRUST ROBINSON HUMPHREY, INC.	as of <u>03/31/19</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	\$ _____	7500
B. Other banks qualified under Regulation 30.7		
Name(s): _____	7510	7520 \$ _____ 7530
2. Securities		
A. In safekeeping with banks located in the United States	\$ _____	7540
B. In safekeeping with other banks qualified under Regulation 30.7		
Name(s): _____	7550	7560 _____ 7570
3. Equities with registered futures commission merchants		
A. Cash	\$ _____	7580
B. Securities	_____	7590
C. Unrealized gain (loss) on open futures contracts	_____	7600
D. Value of long option contracts	_____	7610
E. Value of short option contracts	( _____ )	7615 _____ 7620
4. Amounts held by clearing organizations of foreign boards of trade		
Name(s): _____	7630	
A. Cash	\$ _____	7640
B. Securities	_____	7650
C. Amount due to (from) clearing organizations - daily variation	_____	7660
D. Value of long option contracts	_____	7670
E. Value of short option contracts	( _____ )	7675 _____ 7680
5. Amounts held by members of foreign boards of trade		
Name(s): _____	7690	
A. Cash	\$ _____	7700
B. Securities	_____	7710
C. Unrealized gain (loss) on open futures contracts	_____	7720
D. Value of long option contracts	_____	7730
E. Value of short option contracts	( _____ )	7735 _____ 7740
6. Amounts with other depositories designated by a foreign board of trade		
Name(s): _____	7750	_____ 7760
7. Segregated funds on hand (describe: _____ )		
		_____ 7765
8. Total funds in separate section 30.7 accounts		
	\$ _____	7770
9. Excess (deficiency) set Aside Funds for Secured Amount (subtract Line 7 Secured Statement page T10-3 from Line 8)		
	\$ _____	7380
10. Management Target Amount for Excess funds in separate section 30.7 accounts		
	\$ _____	7780
11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target		
	\$ _____	7785

SUPPLEMENT TO  
 FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
 PART II

BROKER OR DEALER SUNTRUST ROBINSON HUMPHREY, INC.	as of <u>03/31/19</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



SUPPLEMENT TO  
 FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
 PART II

BROKER OR DEALER

SUNTRUST ROBINSON HUMPHREY, INC.

as of 03/31/19

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).

PART II

BROKER OR DEALER  
SUNTRUST ROBINSON HUMPHREY, INC. as of 03/31/19

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		4602	4603	4604	4605
4610		4612	4613	4614	4615
4620		4622	4623	4624	4625
4630		4632	4633	4634	4635
4640		4642	4643	4644	4645
4650		4652	4653	4654	4655
4660		4662	4663	4664	4665
4670		4672	4673	4674	4675
4680		4682	4683	4684	4685
4690		4692	4693	4694	4695

TOTAL \$ 4699\*

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

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

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

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
Capital Withdrawals  
PART II

BROKER OR DEALER

SUNTRUST ROBINSON HUMPHREY, INC.

as of 03/31/19

RECAP

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

1. Equity Capital

A. Partnership Capital:

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

B. Corporation Capital:

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

2. Subordinated Liabilities

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

3. Other Anticipated Withdrawals

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

Total ..... \$ 4880

4. Description of Other

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

1. Balance, beginning of period	..... \$	1,071,658,639	<u>4240</u>
A. Net income (loss)	.....	9,238,603	<u>4250</u>
B. Additions (Includes non-conforming capital of	..... \$ <u>4262</u> )	0	<u>4260</u>
C. Deductions (Includes non-conforming capital of	..... \$ <u>4272</u> )	0	<u>4270</u>
2. Balance, end of period (From Item 1800)	..... \$	1,080,897,242	<u>4290</u>

STATEMENT OF CHANGES IN LIABILITIES SUBORDINATED  
TO CLAIMS OF GENERAL CREDITORS

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

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FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
 PART II

BROKER OR DEALER

SUNTRUST ROBINSON HUMPHREY, INC.

as of 03/31/19

FINANCIAL AND OPERATIONAL DATA

	Valuation		Number	
1. Month end total number of stock record breaks unresolved over three business days.				
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	<input checked="" type="checkbox"/> 4930	No	<input type="checkbox"/> 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			414	4950
B. Non-income producing personnel (all other)			199	4960
C. Total			613	4970
4. Actual number of tickets executed during current month of reporting period			988,921	4980
5. Number of corrected customer confirmations mailed after settlement date			132	4990
	No. of Items	Debit (Short Value)	No. of Items	Credit (Long Value)
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
11. Bank account reconciliations-unresolved amounts over 30 calendar days	0 5200	\$0 5210	0 5220	\$0 5230
12. Open transfers over 40 calendar days, not confirmed	5240	\$ 5250	5260	\$ 5270
13. Transactions in reorganization accounts-over 60 calendar days	5280	\$ 5290	5300	\$ 5310
14. Total	5320	\$ 5330	5340	\$ 5350
	No. of Items	Ledger Amount	Market Value	
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
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		\$	101,649,750	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		\$	12,414,349	5386
23. Aggregate lease and rental commitments payable for entire term of the lease				
A. Gross		\$	68,851,337	5388
B. Net		\$		5390

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