	UNITED STATES SECURITIES AND EXCHANGE COMMISSION	2021-01-27 03:44PM EST Status: Accepted
FORM X-17A-5	FOCUS REPORT (FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGI	_E REPORT)
	(Please read instructions before preparing Form)	
	is being filed pursuant to (Check Applicable Block(s)): ule 17a-5(a) <u>16</u> 2) Rule 17a-5(b) <u>17</u> 4) Special request by designated examining authority <u>19</u> 5) Of	3) Rule 17a-11 <u>18</u> ther <u>26</u>
NAME OF BROI	KER-DEALER SEC	. FILE NO.
TRUIST SECURIT ADDRESS OF F	PRINCIPAL PLACE OF BUSINESS (Do not use P.O. Box No.)	M ID NO.
3333 PEACHTRE	E ROAD, N.E., ATLANTA FINANCIAL CENTER, SOUTH TOWER, 9TH FLO	1/20 24 D ENDING (MM/DD/YY)
ATLANTA	21 GA 22 30326 23 12/3 (City) (State) (Zip Code) 12/3	1/20 25
	it is executed represent hereby that all information contained therein It is understood that all required items, statements, and schedules a this Form and that the submisson of any amendment represents tha and schedules remain true, correct and complete as previously subr	OFFICIAL USE 33 35 37 39 YES X 40 NO 41 42 ents and the person(s) by whom a is true, correct and complete. A statements of at all unamended items, statements of at all unamended items, statements mitted.
	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 cons Criminal Violations. (See 18 U.S.C. 1001 and 15 U.S.C. 78:f (a))	 stitute Federal
L		FINRA

BROKER OR DEALER									ed
TRUIST SECURITIES, INC.			N2						100
STATEMENT OF FINANCIAL			as of (MM/	/DD/YY)	12/31	/20			99
				ILE NO.	8-172				98
					Cor	nsolidate	ed		198
					Uncor	nsolidate	ed X		199
	ASSETS								
	Allowable		Nonallo	owable	_	-	Total		
Cash\$	15,270,494	200			\$		15,270,	494	750
Cash segregated in compliance with									
federal and other regulations	0	210						0	760
Receivable from brokers or dealers	_					_	_		
and clearing organizations:									
A. Failed to deliver:									
1. Includable in "Formula for Reserve									
Requirements"	132,719								
2. Other	190,893	230					323,	612	770
B. Securities borrowed:									
1. Includable in "Formula for Reserve	0	240							
Requirements" 2. Other		250					E07 60E	700	780
C. Omnibus accounts:	567,025,720	200					587,625,	120	100
1. Includable in "Formula for Reserve									
Requirements"	0	260							
2. Other	0	270						0	790
D. Clearing Organizations:									<u> </u>
1.Includable in "Formula for Reserve									
Requirements"	0	280							
2. Other	3,393,621	290					3,393,	<u>621</u>	800
E. Other	0	300 \$		0	550			0	810
Receivables from customers:									
A. Securities accounts:									
1. Cash and fully secured accounts		310							
2. Partly secured accounts	0	320			560				
3. Unsecured Accounts		220			570				
B. Commodity accounts		330			580)590			0	820
Receivables from non-customers:	0)335 (0)[590]			0	020
A Coop and fully accurat accounts	0	340							
B. Partly secured and unsecured accounts		350		0	600			0	830
Securities purchased under agreements	0			0					
to resell	1,064,493,770	360		0	605		1,064,493,	770	840
Securities and spot commodities owned,							,,	-	
at market value:									
A. Banker's acceptances, certificates of									
deposit and commercial paper	1,999,938	370							
B. U.S. and Canadian government									
-		1380							
obligations	1,245,514,791	500							
obligations									
obligations	34,329,334	390							

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PART II BROKER OR DEALER ###################################	FINANCIAL AND OPERA	TIONAL COMBINED UNI	FORM SINGLE REPORT	2021-01-27 03:44PM EST Status: Accepted
Incust securities Inc. STATEMENT OF FINANCIAL CONDITION		PART II		
TRUIST SECURITIES, INC. Image: Continued in the control of FINANCIAL CONDITION ASSETS (continued) Nonallowable Total E. Stocks and warrants \$ 3,156,425 410 C. Arbitrage 0 (420) 0 (420) A. Arbitrage 0 (420) 0 (420) J. Total Inventory - Includes encumbered securities of \$ 1,121,55,561(20) \$ 1,855,533,407 (890) Securities owned not readily marketable: 0 (430) 0 (400) O. Other investments not readily marketable: 0 (450) 0 (620) 0 (870) O. Stocurities accounties, at market value: 0 (450) 0 (620) 0 (870) B. A estimated air value 0 (450) 0 (620) 0 (870) I. Securities accounties, at market value: 0 (450) 0 (620) 0 (870) B. A estimated air value 0 (450) 0 (620) 0 (870) I. Securities accounties, at market value: 0 (450) 0 (620) 0 (870) B. Other \$ 0(150) 0 (450) 0 (860) 0 (880) A. Exempted 0 (150) 0 (470) 0 (860) 0 (880) A. Owned, a	BROKER OR DEALER			
	TRUIST SECURITIES, INC.		as of <u>12/31/20</u>	
Allowable Nonallowable Total E. Stocks and warrants \$ 3,155,426 [410] -	STATEM	ENT OF FINANCIAL COM	NDITION	
Allowable Nonallowable Total E. Stocks and warrants \$ 3,155,426 [410] -		ACCETC (continued)		
E. Stocks and warrants \$ 3,135,426 410 F. Optons 0 420 G. Arbitrage 0 422 H. Other securities 28,227,568 424 J. Total inventory includes encumbered 0 420 Securities owned not readily marketable: 0 420 A. I Cost \$ 1,112,136,536 (120) \$ 1,855,533,407 859 S. Securities owned not readily marketable: 0 440 \$ 0 (100) 0 860 O. Other investments not readily marketable: 0 450 0 (100) 0 860 B. At estimets in which value: 0 450 0 (150) 0 870 10. Securities accounts, at market value: 0 450 0 (150) 0 820 0 820 11. Secured demand notes- 0 150 0 650 0 820 0 820 12. Memberships in exchanges: A. One (150) 0 650 0 650 0 820 13. Investment in and reacitables from affiltates, subsidiaries and associated patherships in exchanges: 0 10,864,676 910 <				
F. Options 0 420 G. Arbitrage 0 422 H. Other securities 0 422 I. Spot Commodities 0 0 J. Total inventory - includes encumbered securities of \$ 1.112.136.366 [20] \$ 1.855.533.407 [850] 8. Securities owned not readily marketable: 0 440 \$ 0 610 0 680 9. Other investments not readily marketable: 0 450 0 620 0 620 0 680 9. Other investments not readily marketable: 0 450 0 620 0 680 9. Other investments and partners' individual and capital securities \$ 0 150 0 680 0 680 0 680 10. Securities borrowed unders 0 150 0 680 0 680 0 680 0 680 0 680 0 680 0 680 0 680 0 680 0 680 0 680 0 680 0 680 0 680 0 680 0 68		_Allowable	Nonallowable	_Total_
F. Options 0 420 G. Arbitrage 0 422 H. Other securities 0 422 I. Spot Commodities 0 0 J. Total inventory - includes encumbered securities of \$ 1.112.136.366 [20] \$ 1.855.533.407 [850] 8. Securities owned not readily marketable: 0 440 \$ 0 610 0 680 9. Other investments not readily marketable: 0 450 0 620 0 620 0 680 9. Other investments not readily marketable: 0 450 0 620 0 680 9. Other investments and partners' individual and capital securities \$ 0 150 0 680 0 680 0 680 10. Securities borrowed unders 0 150 0 680 0 680 0 680 0 680 0 680 0 680 0 680 0 680 0 680 0 680 0 680 0 680 0 680 0 680 0 680 0 68	E Stocks and warrants	0.405.400 410		
G. Arbitrage 0 422 H. Other securities 28,227,668 420 J. Total inventory - includes encumbered 0 430 securities owned not readily marketable: 0 610 0 680 A. At Cost 112,136,556,33,407 850 0 680 0 6800 0	E Ontions	3,135,426 410		
H. Other securities 28.227,568 424 I. Spot Commodities 0 0 J. Total inventory - includes encumbered 0 6 securities of \$ 1.112,136,336[12] \$ 1.855,533,407 8. Securities owned not readily marketable: 0 0 0 0 0 9. Other investments not readily marketable: 0 </td <td>G Arbitrage</td> <td>0 422</td> <td></td> <td></td>	G Arbitrage	0 422		
1. Spot Commodilies 0 430 J. Total inventory - includes encumbered securities of\$ 1112,136,336 [20] \$ 1.655,533.407 [850] 8. Securities owned not readily marketable: 0 1400 \$ 0 [610] 0 [860] 9. Other investments not readily marketable: 0 140 0 0 [620] 0 [870] 9. Other investments not readily marketable: 0 140 0 0 [620] 0 [870] 10. Socurities borrowed under subordination agree- ments and partners 'individual and capital escurities accounts, at market value: 0 1650 0 0 [630] 0 [630] 0 [680] 11. Socured demand notes- market value 0 1600 0 [630] 0 [680]				
J. Total inventory - includes encumbered securities of \$				
securities of \$ 1,112,136,536 [120] \$ 1,855,533,407 [850] 8. Securities owned not readily marketable: 0		0 [430]		
8. Securities owned not readily marketable: 0 (30) 0 (440) \$ 0 (610) 0 (620) 0 (680) 9. Other investments not readily marketable: 0 (450) 0 (620) 0 (620) 0 (620) 10. Securities borrowed under subordination agree- ments and partners' individual and capital securities accounts, at market value: 0 (460) 0 (620)	•		¢	
A. At Cost 0 130 0 140 0 0 610 0 886 9. Other investments not readily marketable: 0 0 620 10 620 10 620 10 620 10 620 10 620 10 620 10 620 10 620			Φ_	1,855,533,407 [630]
9. Other investments not readily marketable: 0				
\$ 0 [40] B. At estimated fair value 0 450 0 620 0 870 10. Securities borrowed under subordination agree- ments and partners' individual and capital securities accounts, at market value: 0 150 0 800 B. Other \$ 0 150 0 (460 0 630 0 880 11. Secured demand notes- market value of collateral: 0 150 0 (460 0 830 0 880 12. Memberships in exchanges: \$ 0 1100 0 470 0 840 0 890 2. Memberships in exchanges: \$ 0 1100 0 470 0 850 0 800 3. Owned at cost	A. Al COSt \$	0 440 \$	0 [610]	0 [860]
B. At estimated fair value 0 460 0 620 0 870 10. Securities borrowed under subordination agree- ments and partners' individual and capital securities accounts, at market value: 0 100 100 100 100				
10. Securities borrowed under subordination agree- ments and partners' individual and capital securities accounts, at market value: A. Exempted B. Other S 0 160 0 10.864.676 0 10.864.676 0 10.864.676 0 10.864.676 0 10.864.676 0 10.864.676 10 10.864.676		450		
ments and partners' individual and capital securities accounts, at market value: A. Exempted securities \$		0 [450]	0 620	0 870
securities accounts, at market value: A. Exempted securities \$ 0 150 B. Other \$ 0 160 0 630 0 880 11. Secured demand notes- market value of collateral: A. \$ 0 170 0 640 0 890 12. Memberships in exchanges: A. Owned, at market \$ 0 190 0 650 0 690 0 900 12. Memberships in exchanges: A. Owned, at market 0 660 0 900 0 90	•			
A. Exempted securities \$ 0 [150] 0 460 0 630 0 880 11. Secured demand notes- market value of collateral: A. Exempted 0 640 0 630 0 880 11. Secured demand notes- market value of collateral: A. Exempted 0 0 640 0 890 12. Memberships in exchanges: A. Owned, at market value 0 100 0 660 0 890 13. Investment in and receivables from affiliates, subsidiaries and associated partnerships 0 100 10.864.876 670 10.864.876 910 14. Property, furniture, equipment, leasehold improvements and rights under lease agreements: At cost (net of accumulated depreciation and amortization) 31.717.205 490 12.080.420 680 43.797.825 920 15. Other Assets: 9.041.281 500 0 690 690 690 B. Free shipments 0 510 0 700 0 630 289.213.712 720 E. Collateral accepted under SFAS 140 0 533 289.213.712 315.739.295 930				
securities 0 150 B. Other \$ 0 160 0 630 0 880 11. Secured demand notes- market value of collateral: A. Exempted 0 <td< td=""><td></td><td></td><td></td><td></td></td<>				
B. Other \$ 0 160 0 630 0 800 11. Secured demand notes- market value of collateral: A. Exempted A. Exempted 0 170 0 640 0 890 12. Memberships in exchanges: 0 180 0 470 0 640 0 890 12. Memberships in exchanges: 0 190 0 0 650 0 0 900 B. Owned at cost				
11. Secured demand notes- market value of collateral: A. Exempted A. Exempted 0 [170] B. Other 0 [170] B. Other 0 [180] O (170) 0 [640] 0 [890] 12. Memberships in exchanges: 0 [190] A. Owned, at market 0 [650] C. Contributed for use of company, 0 [660] 0 [900] B. Owned at cost 0 [660] 0 [900] S. Investment in and receivables from 0 [660] 0 [900] 13. Investment in and receivables from 0 [480] 10,864,676 [670] 10,864,676 [910] 14. Property, furniture, equipment, leasehold 0 [480] 10,864,676 [670] 10,864,676 [910] 14. Property, furniture, equipment, leasehold 0 [480] 12,080,420 [680] 43,797,625 [920] 15. Other Assets: 0 [480] 12,080,420 [680] 43,797,625 [920] A. Dividends and interest receivable 9,041,281 [500] 0 [690] 660] 43,797,625 [920] 15. Other Assets: 0 [510] 0 [700] 0 [700] 0 [700] 0 [700] 0 [700] 0 [700] 0 [700] 0 [700] 0 [700] 0 [530] 289,213,712	B Other \$ 0[150]	0 460	0 630	0 880
market value of collateral: A. Exempted securities \$ 0 [170] B. Other \$ 0 [180] Properties 0 [190] 12. Memberships in exchanges: 0 [190] A. Owned, at market 0 [650] value 0 [650] C. Contributed for use of company, 0 [660] at market value 0 [660] 13. Investment in and receivables from affiliates, subsidiaries and associated partnerships 0 480] 10,864,676 14. Property, furniture, equipment, leasehold 10,864,676 improvements and rights under 9,041,281 lease agreements: At cost (net of accumulated At cost (net of accumulated 9,041,281 depreciation and amortization) 31,717,205 490 12,080,420 680 43,797,625 920 15. Other Assets: 0 510 0 690 0 700 0 700 0 700 0 700 0 700 0 700 0 700 0 700 0 700 0 700 0 700 0 700 0 700 0 700 0 510 0 510 0 510 0 510 0 700 0 510 0 510		0 400	0 030	0 880
A. Exempted securities \$ 0 170 0 640 0 890 12. Memberships in exchanges: A. Owned, at market 0 190 0 650 0 890 12. Memberships in exchanges: A. Owned, at market 0 190 0 650 0 900 B. Owned at cost				
securities \$ 0170 B. Other \$ 0180 0470 0640 0890 12. Memberships in exchanges: A. Owned, at market 0190 0 0 0 A. Owned, at market 0190 0 0 0 0 0 0 B. Owned at cost				
B. Other \$ 0 180 0 470 0 640 0 890 12. Memberships in exchanges: 0 190 0 640 0 890 12. Memberships in exchanges: 0 190 0 650 0 650 A. Owned, at market value 0 650 0 900 B. Owned at cost 0 660 0 900 13. Investment in and receivables from affiliates, subsidiaries and associated partnerships 0 480 10,864,676 670 10,864,676 910 14. Property, furniture, equipment, leasehold improvements and rights under lease agreements: 0 480 10,864,676 670 10,864,676 910 15. Other Assets: 9,041,281 500 0 680 43,797,625 920 15. Other Assets: 9,041,281 500 0 690 43,797,625 920 15. Other Assets: 0 510 0 700 0 700 0 700 0 700 0 710 D. Miscellaneous 17,484,302 530 289,213,712 720 315,739,295 930 F. SPE Assets 0 537 315,739,295 930 315,739,295 930				
12. Memberships in exchanges: 0 <t< td=""><td></td><td>0 470</td><td>0 640</td><td>0 890</td></t<>		0 470	0 640	0 890
A. Owned, at market 0 190 B. Owned at cost 0 650 C. Contributed for use of company, 0 660 at market value 0 660 13. Investment in and receivables from 0 480 affiliates, subsidiaries and 0 480 associated partnerships 0 480 14. Property, furniture, equipment, leasehold 10,864,676 improvements and rights under 12,080,420 lease agreements: 4t cost (net of accumulated depreciation and amortization) 31,717,205 490 12,080,420 680 43,797,625 920 15. Other Assets: 0 A. Dividends and interest receivable 9,041,281 500 0 510 0 700 C. Loans and advances 0 510 0 700 D. Miscellaneous 17,484,302 530 289,213,712 720 E. Collateral accepted under SFAS 140 0 536 315,739,295 930	· · · · · · · · · · · · · · · · · · ·			0000
value 0 190 B. Owned at cost 0 650 C. Contributed for use of company, at market value 0 660 0 900 13. Investment in and receivables from affiliates, subsidiaries and associated partnerships 0 480 10,864,676 670 10,864,676 910 14. Property, furniture, equipment, leasehold improvements and rights under lease agreements: At cost (net of accumulated depreciation and amortization) 31,717,205 490 12,080,420 680 43,797,625 920 15. Other Assets: 9,041,281 500 0 690 6				
B. Owned at cost				
C. Contributed for use of company, at market value013. Investment in and receivables from affiliates, subsidiaries and associated partnerships048010,864,67667010,864,67691014. Property, furniture, equipment, leasehold improvements and rights under lease agreements: At cost (net of accumulated depreciation and amortization)31,717,20549012,080,42068043,797,62592015. Other Assets: A. Dividends and interest receivable9,041,281500 5000680 60043,797,62592015. Other Assets: A. Dividends and interest receivable9,041,281500 5000680 60043,797,62592015. Other Assets: A. Dividends and interest receivable9,041,281500 5000690 60043,797,62592016. Collateral accepted under SFAS 1400536 537315,739,295930315,739,295930			0 650	
13. Investment in and receivables from affiliates, subsidiaries and associated partnerships 0 14. Property, furniture, equipment, leasehold improvements and rights under lease agreements: At cost (net of accumulated depreciation and amortization) 31,717,205 490 12,080,420 680 43,797,625 920 15. Other Assets: A. Dividends and interest receivable 9,041,281 500 0 690 B. Free shipments 0 0 510 0 700 C. Loans and advances 0 0 530 289,213,712 720 E. Collateral accepted under SFAS 140 0 536 315,739,295 F. SPE Assets 0	C. Contributed for use of company,	-		
13. Investment in and receivables from affiliates, subsidiaries and associated partnerships 0 14. Property, furniture, equipment, leasehold improvements and rights under lease agreements: At cost (net of accumulated depreciation and amortization) 31,717,205 490 12,080,420 680 43,797,625 920 15. Other Assets: A. Dividends and interest receivable 9,041,281 500 0 690 B. Free shipments 0 0 510 0 700 C. Loans and advances 0 0 530 289,213,712 720 E. Collateral accepted under SFAS 140 0 536 315,739,295 F. SPE Assets 0	at market value		0 660	0 900
associated partnerships 0 480 10,864,676 670 10,864,676 910 14. Property, furniture, equipment, leasehold improvements and rights under 10,864,676 670 10,864,676 910 14. Property, furniture, equipment, leasehold improvements and rights under 10,864,676 670 10,864,676 910 14. Property, furniture, equipment, leasehold improvements and rights under 10,864,676 670 10,864,676 910 14. Property, furniture, equipment, leasehold improvements and rights under 10,864,676 670 10,864,676 910 14. Cost (net of accumulated depreciation and amortization) 31,717,205 490 12,080,420 680 43,797,625 920 15. Other Assets: 9,041,281 500 0 690 <td>13. Investment in and receivables from</td> <td>-</td> <td><u> </u></td> <td><u> </u></td>	13. Investment in and receivables from	-	<u> </u>	<u> </u>
14. Property, furniture, equipment, leasehold improvements and rights under lease agreements: At cost (net of accumulated depreciation and amortization) 31,717,205 490 12,080,420 680 43,797,625 920 15. Other Assets: 9,041,281 500 0 690 690 690 B. Free shipments 9,041,281 500 0 690 690 690 C. Loans and advances 0 510 0 700 690	affiliates, subsidiaries and			
14. Property, furniture, equipment, leasehold improvements and rights under lease agreements: At cost (net of accumulated depreciation and amortization) 31,717,205 490 12,080,420 680 43,797,625 920 15. Other Assets: 9,041,281 500 0 690 690 690 B. Free shipments 9,041,281 500 0 690 690 690 C. Loans and advances 0 510 0 700 690	associated partnerships	0 480	10,864,676 670	10,864,676 910
lease agreements: At cost (net of accumulated depreciation and amortization) 31,717,205 15. Other Assets: A. Dividends and interest receivable 9,041,281 500 0 B. Free shipments 0 C. Loans and advances 0 D. Miscellaneous 17,484,302 F. Collateral accepted under SFAS 140 0 530 315,739,295 930	14. Property, furniture, equipment, leasehold			
At cost (net of accumulated depreciation and amortization) 31,717,205 490 12,080,420 680 43,797,625 920 15. Other Assets: 9,041,281 500 0 69	improvements and rights under			
depreciation and amortization) 31,717,205 490 12,080,420 680 43,797,625 920 15. Other Assets: 9,041,281 500 0 690 690 B. Free shipments 0 510 0 700 C. Loans and advances 0 520 0 710 D. Miscellaneous 17,484,302 530 289,213,712 720 E. Collateral accepted under SFAS 140 0 536 315,739,295 930				
15. Other Assets: 9,041,281 500 0 690 B. Free shipments 0 510 0 700 C. Loans and advances 0 520 0 710 D. Miscellaneous 17,484,302 530 289,213,712 720 E. Collateral accepted under SFAS 140 0 536 315,739,295 930	•			
A. Dividends and interest receivable 9,041,281 500 0 690 B. Free shipments 0 510 0 700 C. Loans and advances 0 520 0 710 D. Miscellaneous 17,484,302 530 289,213,712 720 E. Collateral accepted under SFAS 140 0 536 315,739,295 930		31,717,205 490	12,080,420 680	43,797,625 920
B. Free shipments 0 510 0 700 C. Loans and advances 0 520 0 710 D. Miscellaneous 17,484,302 530 289,213,712 720 E. Collateral accepted under SFAS 140 0 536 315,739,295 930				
C. Loans and advances 0 520 0 710 D. Miscellaneous 17,484,302 530 289,213,712 720 E. Collateral accepted under SFAS 140 0 536 315,739,295 930 F. SPE Assets 0 537 315,739,295 930				
D. Miscellaneous 17,484,302 530 289,213,712 720 E. Collateral accepted under SFAS 140 0 536 315,739,295 930 F. SPE Assets 0 537 315,739,295 930				
E. Collateral accepted under SFAS 140 0 536 F. SPE Assets 0 537 315,739,295 930				
F. SPE Assets			289,213,712 [720]	
	· · · · · · · · · · · · · · · · · · ·			
16. TOTAL ASSETS \$ 3,584,883,412 540 \$ 312,158,808 740 \$ 3,897,042,220 940	F. SPE Assets		_	315,739,295 930
	16. TOTAL ASSETS \$	3,584,883,412 540 \$	312,158,808 740 \$	3,897,042,220 940

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FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT PART II

2021-01-27 03:44PM EST Status: Accepted

BROKER OR DEALER						
TRUIST SECURITIES, INC.			as of	1.	2/31/20	
STATEME	NT OF FINANCIAL	СОИDIT	ΓΙΟΝ			
	ES AND OWNERSH					
	A.I.		Non-A.I.			
Liabilities	Liabilities *		Liabilities *		Total	
17. Bank loans payable:						-
A. Includable in "Formula for Reserve						
Requirements" \$	1	130 \$	1	240 \$	(0 1460
B. Other		040 040		250 ¢		0 1470
18. Securities sold under repurchase agreements.				260	1,089,391,814	
19. Payable to brokers or dealers and				200	1,089,391,814	1 1400
-						
clearing organizations: A. Failed to receive:						
1. Includable in "Formula for Reserve						
Requirements"	1	050	1	270	404,960	0 1490
2. Other		060		280		0 1500
B. Securities loaned:	[.					<u>-</u>
1. Includable in "Formula for Reserve						
Requirements"	1	070			(0 1510
2. Other		080	1	290		0 1520
C. Omnibus accounts:						<u>-</u>
1. Includable in "Formula for Reserve						
Requirements"	1	090			(0 1530
2. Other		095		300		0 1540
D. Clearing organizations:				300	(<u></u>
1. Includable in "Formula for Reserve						
Requirements"	L.	100				0 1550
		100				0 1560
2. Other		105		310		_
E. Other	1	110	[1	320	43,920,023	3 1570
20. Payable to customers:						
A. Securities accounts - including free credits	_					
of \$0 950		120	Г			0 1580
B. Commodities accounts	1	130	[1	330	(0 1590
21. Payable to non customers:	_		-			
A. Securities accounts	1	140	[1	340		0 1600
B. Commodities accounts	1	150	[1	350	(0 1610
22. Securities sold not yet purchased at market						
value - including arbitrage			_			
of \$ 0 960			1	360	1,023,721,085	5 1620
23. Accounts payable and accrued liabilities						
and expenses:						
A. Drafts payable	1	160			(0 1630
B. Accounts payable	1	170			3,041,799	9 1640
C. Income taxes payable	1	180			23,734,576	
D. Deferred income taxes			1	370		0 1660
E. Accrued expenses and other liabilities	1	190			102,744,438	-
F. Other		200		380	42,503,610	
G. Obligation to return securities				386	42,503,610	1686
-						
H. SPE Liabilities			[1	387		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

PART II

2021-01-27 03:44PM EST Status: Accepted

BROKER OR DEALER

TRUIST SECURITIES, INC.

as of 12/31/20

STATEMENT OF FINANCIAL CONDITION LIABILITIES AND OWNERSHIP EQUITY (continued)

	Liabilities	A.I. Liabilities	*	Non-A.I. Liabilities	*	Total
24. Notes and mortgages payable:						
A. Unsecured			1210		\$_	125,000,000 1690
			1211 \$		1390	0 1700
25. Liabilities subordinated to claims of	of					
general creditors:						
A. Cash borrowings:					1400	0 1710
2. Includes equity subordination						
1 5	0 0980					
B. Securities borrowings, at marke					1410	0 1720
3 ·	0 0990				_ 1410 _	0 1120
C. Pursuant to secured demand no						
collateral agreements:					1420	0 1730
1. from outsiders \$	0 1000				_ [
2. Includes equity subordinatior	n(15c3-1(d))					
	0 1010					
D. Exchange memberships contrib	outed for					
use of company, at market valu	le				1430	0 1740
E. Accounts and other borrowings	not				-	
qualified for net capital purpose	es		1220		1440	0 1750
26. TOTAL LIABILITIES	\$ _		1230 \$		1450 \$	2,454,462,305 1760
Ownership Equity						
27. Sole proprietorship					\$	0 1770
28. Partnership - limited						0
partners\$	0 1020					0 1780
						0
						0 1791
B. Common stock					••••	100,000 1792
						1,200,657,135 1793
						241,822,780 1794
E. Accumulated other comprehens						0 1797
F. Total						1,442,579,915 1795
G. Less capital stock in treasury						0)1796
source of the content of the equilibrium of the equ		•••••			Ψ	1,442,579,915 1800
31. TOTAL LIABILITIES AND OWNER	RSHIP EQUITY				\$	3,897,042,220 1810
						OMIT PENNIES

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

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT

PART II

2021-01-27 03:44PM EST Status: Accepted

BROKER OR DEALER	as of 12/31/20	
TRUIST SECURITIES, INC.		
COMPUTATION OF NET CAP	ITAL	
Fotal ownership equity (from Statement of Financial Condition - Item 1800)	\$	1,442,579,915 3
Deduct: Ownership equity not allowable for Net Capital		0)3
Fotal ownership equity qualified for Net Capital		1,442,579,915 3
Add:		
A. Liabilities subordinated to claims of general creditors allowable in computation		
B. Other (deductions) or allowable credits (List)	· · · · · · · · · · · · · · · · · · ·	0 3
Total capital and allowable subordinated liabilities	\$	1,442,579,915 3
Deductions and/or charges:		
A. Total non-allowable assets from		
Statement of Financial Condition (Notes B and C)\$	312,158,808 3540	
1. Additional charges for customers' and		
non-customers' security accounts	22,881 3550	
2. Additional charges for customers' and		
non-customers' commodity accounts	0 3560	
B. Aged fail-to-deliver:	31,688 3570	
1. number of items		
C. Aged short security differences-less		
reserve of\$3460	0 3580	
number of items		
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	38,679,547 3610	
G. Deductions for accounts carried under		
Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x)		
H. Total deductions and/or charges		
Other additions and/or allowable credits (List)		0 3
Net Capital before haircuts on securities positions	\$	1,091,686,991 3
Haircuts on securities: (computed, where applicable,		
pursuant to 15c3-1(f)):		
A. Contractual securities commitments		
B. Subordinated securities borrowings	0 3670	
C. Trading and investment securities:		
1. Bankers' acceptances, certificates of deposit		
and commercial paper		
2. U.S. and Canadian government obligations		
3. State and municipal government obligations		
4. Corporate obligations		
5. Stocks and warrants		
6. Options		
7. Arbitrage		
8. Other securities		
	0 3650	
D. Undue concentration E. Other (List)		258,727,711)

OMIT PENNIES

Page 5

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT

Part II

TRUIST SECURITIES, INC.

BROKER OR DEALER

as of

12/31/20

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
A. Drafts for immediate credit 380 B. Market value of securities borrowed for which no	0	
equivalent value is paid or credited 381	0	
C. Other unrecorded amounts (List) 382	0 \$	3830
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
COMPLITATION OF ALTERNATE NET CAPITAL REQUIREMENT		

Part B

COMPUTATION OF ALTERNATE NET CAPITAL REQUIREMENT

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	2,654 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) \$	831,959,280 3910
26. Percentage of Net Capital to Aggregate Debits (line 10 divided by line 18 page 8)%	627611.18 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)%	627611.18 3854
28. Net capital in excess of the greater of:	
5% of combined aggregate debit items or 120% of minimum net $$ capital requirement $$ $$ $^{+}$	831,759,280 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 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

2021-01-27 03:44PM EST

Status: Accepted

BROKER OR DEALER	For the period (MMDDYY) from <u>10/01/20</u>	3932	to 12/31/20	3933
TRUIST SECURITIES, 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:

1. Commissions:		
a. Commissions on transactions in listed equity securities executed on an exchange	· · · · · · · · · · · · · · · \$	5,279,554 3935
b. Commissions on transactions in exchange listed equity securities executed over-the-counter		4,791,655 3937
c. Commissions on listed option transactions		0 3938
d. All other securities commissions		4,559,955 3939
e. Total securities commissions		14,631,164 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		26,798,529 3944
c. From market making in options on a national securities exchange		0 3945
d. From all other trading		(826,352) 3949
e. Total gains or (losses)		25,972,177 3950
3. Gains or losses on firm securities investment accounts		25,972,177 0000
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		78,235,280 3955
a. Includes underwriting income from corporate equity securities		78,235,280 3955
	30,287,501 4237	0 3960
5. Margin interest		0 3970
6. Revenue from sale of investment company shares		
	·····	11,962 3975
8. Revenue from research services		63,538 3980
9. Commodities revenue	· · · · · · · · · · · · · · · · · · ·	0 3990
10. Other revenue related to securities business		114,379,909 3985
11. Other revenue		0 3995
12. Total revenue	\$	233,294,030 4030
EXPENSES		
13. Registered representatives' compensation	\$	68,415,195 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		18,491 4060
20. Occupancy and equipment costs		
21. Promotional costs		(7,636,457) 4080
22. Interest expense		(821,999) 4150
a. Includes interest on accounts subject to subordination agreements	0 4070	5,253,481 4075
23. Losses in error account and bad debts		13,883 4170
24. Data processing costs (including service bureau service charges)		13,039,643 4186
25. Non-recurring charges 26. Regulatory fees and expenses		0 4190
27 Other expenses		1,122,361 4195
27. Other expenses	·····	27,417,747 4100
28. Total expenses	·····	
28. Total expenses NET INCOME/COMPREHENSIVE INCOME	\$	27,417,747 4100 106,822,345 4200
28. Total expenses NET INCOME/COMPREHENSIVE INCOME 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28)	\$\$	27,417,747 4100 106,822,345 4200 126,471,685 4210
28. Total expenses NET INCOME/COMPREHENSIVE INCOME 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) 30. Provision for Federal Income taxes (for parent only)	\$\$	27,417,747 4100 106,822,345 4200 126,471,685 4210 25,651,841 4220
28. Total expenses NET INCOME/COMPREHENSIVE INCOME 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) 30. Provision for Federal Income taxes (for parent only) 31. Equity in earnings (losses) of unconsolidated subsidiaries not included above	\$\$	27,417,747 4100 106,822,345 4200 126,471,685 4210
28. Total expenses NET INCOME/COMPREHENSIVE INCOME 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) 30. Provision for Federal Income taxes (for parent only) 31. Equity in earnings (losses) of unconsolidated subsidiaries not included above a. After Federal income taxes of	\$\$	27,417,747 4100 106,822,345 4200 126,471,685 4210 25,651,841 4220
28. Total expenses	\$\$	27,417,747 4100 106,822,345 4200 126,471,685 4210 25,651,841 4220
28. Total expenses NET INCOME/COMPREHENSIVE INCOME 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28)	\$\$	27,417,747 4100 106,822,345 4200 126,471,685 4210 25,651,841 4220
28. Total expenses	\$\$ \$ 0 [4238]	27,417,747 4100 106,822,345 4200 126,471,685 4210 25,651,841 4220 0 4222
28. Total expenses NET INCOME/COMPREHENSIVE INCOME 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28)	\$\$ \$ 0 [4238]	27,417,747 4100 106,822,345 4200 126,471,685 4210 25,651,841 4220
28. Total expenses NET INCOME/COMPREHENSIVE INCOME 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) 30. Provision for Federal Income taxes (for parent only) 31. Equity in earnings (losses) of unconsolidated subsidiaries not included above a. After Federal income taxes of 32. [RESERVED] a. [RESERVED] 33. [RESERVED] 34. Net income (loss) after Federal income taxes	\$	27,417,747 4100 106,822,345 4200 126,471,685 4210 25,651,841 4220 0 4222 100,819,844 4230
28. Total expenses NET INCOME/COMPREHENSIVE INCOME 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) 30. Provision for Federal Income taxes (for parent only) 31. Equity in earnings (losses) of unconsolidated subsidiaries not included above a. After Federal income taxes of 32. [RESERVED] a. [RESERVED] 33. [RESERVED] 34. Net income (loss) after Federal income taxes 35. Other Comprehensive income (loss)	\$	27,417,747 4100 106,822,345 4200 126,471,685 4210 25,651,841 4220 0 4222
28. Total expenses	\$ \$ 0 [4238] 0 [4227]	27,417,747 4100 106,822,345 4200 126,471,685 4210 25,651,841 4220 0 4222 100,819,844 4230 0 4226
28. Total expenses NET INCOME/COMPREHENSIVE INCOME 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) 30. Provision for Federal Income taxes (for parent only) 31. Equity in earnings (losses) of unconsolidated subsidiaries not included above a. After Federal income taxes of 32. [RESERVED] a. [RESERVED] 33. [RESERVED] 33. [RESERVED] 34. Net income (loss) after Federal income taxes 55. Other Comprehensive income (loss)	\$ \$ 0 [4238] 0 [4227]	27,417,747 4100 106,822,345 4200 126,471,685 4210 25,651,841 4220 0 4222 100,819,844 4230
28. Total expenses NET INCOME/COMPREHENSIVE INCOME 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) 30. Provision for Federal Income taxes (for parent only) 31. Equity in earnings (losses) of unconsolidated subsidiaries not included above a. After Federal income taxes of 32. [RESERVED] a. [RESERVED] 33. [RESERVED] 33. [RESERVED] 34. Net income (loss) after Federal income taxes 35. Other Comprehensive income (loss) a. After Federal income taxes of	\$ \$ \$ 0 4238	27,417,747 4100 106,822,345 4200 126,471,685 4210 25,651,841 4220 0 4222 100,819,844 4230 0 4226 100,819,844 4228
28. Total expenses NET INCOME/COMPREHENSIVE INCOME 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) 30. Provision for Federal Income taxes (for parent only) 31. Equity in earnings (losses) of unconsolidated subsidiaries not included above a. After Federal income taxes of 32. [RESERVED] a. [RESERVED] 33. [RESERVED] 33. [RESERVED] 34. Net income (loss) after Federal income taxes 35. Other Comprehensive income (loss) a. After Federal income taxes of	\$ \$ 0 [4238] 0 [4227]	27,417,747 4100 106,822,345 4200 126,471,685 4210 25,651,841 4220 0 4222 100,819,844 4230 0 4226 100,819,844 4228

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT PART II

2021-01-27 03:44PM EST Status: Accepted

BROKER OR DEALER	_			
TRUIST SECURITIES, INC.	as of	12/31/20		
FORMULA FOR DETERMINATION OF CUSTOMER ACCOU OF BROKERS AND DEALERS UNDER I (See Rule 15c3-3, Exhibit A and Related N	RULE 15		 S	
CREDIT BALANCES				
1. Free credit balances and other credit balances in customers'	ė	0 4240		
security accounts (See Note A)		0 4340		
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)		458,500 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 8. ** Market value of short securities and credits (not to be offset by longs or by 		0 4400		
debits) in all suspense accounts over 30 calendar days		12 880 4410		
9. Market value of securities which are in transfer in excess of 40 calendar days		12,009		
and have not been confirmed to be in transfer by the transfer agent or				
the issuer_during the 40 days				
10. Other (List)				1400
		^{\$}	471,389 4	430
DEBIT BALANCES 12. ** Debit balances in customers' cash and margin accounts excluding unsecured accounts and accounts doubtful of collection (See Note E)	¢	04440		
 Securities borrowed to effectuate short sales by customers and securities borrowed to make delivery on customers' securities failed to deliver 				
14. Failed to deliver of customers' securities not older than 30 calendar days		132,719 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)				
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 Commexchange 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)	modity			
17. Other (List)				
18.** Aggregate debit items		\$	132,719 4	470
19. ** Less 3% (for alternative method only - see Rule 15c3-1(a)(1)(ii))		(3,982) 4	471
20.** ȚOȚAL 15c3-3 DEBITS			128,737 4	472
RESERVE COMPUTATION				
21. Excess of total debits over total credits (line 20 less line 11)				
 22. Excess of total credits over total debits (line 11 less line 20) 23. If computation is made monthly as permitted, enter 105% of 		· · · · · ·	342,652 4	490
excess of total credits over total debits			4	1500
24. Amount held on deposit in "Reserve Bank Account(s)", including				
\$ 30,004,800 4505 value of qualified securities, at end of reporting period			30,004,800 4	1510
25. Amount of deposit (or withdrawal) including				
\$0 4515 value of qualified securities			0 4	1520
26. New amount in Reserve Bank Account(s) after adding deposit or subtracting withdrawal			_	
\$.30,004,800 4525 value of qualified securities				1530
27. Date of deposit (MMDDYY)			11/09/20 4	1540
FREQUENCY OF COMPUTATION		OMIT	PENNIES	
28. Daily 4332 Weekly K 4333 Monthly	4334			

** 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

2021-01-27 03:44PM EST Status: Accepted

	BROKER OR DEALER				
	TRUIST SECURITIES, INC.	as of	12/31/20	-	
	FORMULA FOR DETERMINATION OF PAB ACCOUNT RES OF BROKERS AND DEALERS UNDER RUL (See Rule 15c3-3, Exhibit A and Related No	E 15c3-3	UIREMENTS	3	
CF	REDIT BALANCES	/			
1. F	ree credit balances and other credit balances in PAB security accounts				
2. 1	See Note A) \$		2110		
	See Ņote Ŗ) Ionies payable against PAB securities loaned (See Ņote Ç)		2120		
	AB securities failed to receive (See Note D)		2140		
	Credit balances in firm accounts which are attributable to principal sales to PAB		2150		
6. N	Market value of stock dividends, stock splits and similar distributions receivable putstanding over 30 calendar days		2152		
	* Market value of short security count differences over 30 calendar days old		2154		
	* Market value of short securities and credits (not to be offset by longs or by lebits) in all suspense accounts over 30 calendar days		2156		
	Aarket value of securities which are in transfer in excess of 40 calendar				
	lays and have not been confirmed to be in transfer by the transfer agent				
	r the issuer during the 40 days		2158		
	Other (List)		2160		
			· · · · ^{\$} _		2170
	EBIT BALANCES Debit balances in PAB cash and margin accounts excluding unsecured				
	accounts and accounts doubtful of collection (See Note E)	\$	2180		
13.	Securities borrowed to effectuate short sales by PAB and securities				
	porrowed to make delivery on PAB securities failed to deliver		2190		
	Failed to deliver of PAB securities not older than 30 calendar days		2200		
	Margin required and on deposit with the Options Clearing Corporation for Il option contracts written or purchased in PAB accounts (See Note F)		2210		
	Margin required and on deposit with a clearing agency registered with		2210		
	he Commission under section 17A of the Act (15 U.S.C. 78q-1) or a				
	lerivatives clearing organization registered with the Commodity Futures				
	rading Commission under section 5b of the Commodity Exchange Act				
	7 U.S.C. 7a-1) related to the following types of positions written,				
•	purchased or sold in PAB accounts: (1) security futures products and 2) futures contracts (and options thereon) carried in a securities				
``	account pursuant to an SRO portfolio margining rule (See Note G)		2215		
	Other (List)		2220		
	TOTAL PAB DEBITS		 \$		2230
	SERVE COMPUTATION				
19.	Excess of total PAB debits over total PAB credits (line 18 less line 11)		^{\$} _		2240
20.	Excess of total PAB credits over total PAB debits (line 11 less line 18)				2250
21.	Excess debits in customer reserve formula computation				0 2260
22.	PAB Reserve Requirement (line 20 less line 21)				0 2270
23.	Amount held on deposit in "Reserve Bank Account(s)", including				
\$	2275 value of qualified securities, at end of reporting period				2280
24. \$	Amount of deposit (or withdrawal) including				2290
25.	New amount in Reserve Bank Account(s) after adding deposit or subtracting withdrawal inc		_		
\$		-	\$		2300
			· · · · · <u>–</u>		2310
			· · · · _		
				OMIT PENNIE	ES
27.	Daily 2315 Weekly 2320 Monthly	2330			

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

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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.

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT PART II

	BROKER OR DEALER			
-	TRUIST SECURITIES, INC. as of <u>12/31/</u>	20		
	COMPUTATION FOR DETERMINATION OF RESERVE REQUIRI FOR BROKER-DEALERS UNDER RULE 15c3-3 (continue		S	
ΕX	(EMPTIVE PROVISIONS	,		
A	If an exemption from Rule 15c3-3 is claimed, identify below the section upon which such exempti A. (k) (1)-Limited business (mutual funds and/or variable annuities only) B. (k) (2)(i)-"Special Account for the Exclusive Benefit of customers" maintained	\$		4550 4560
C	C. (k) (2)(ii)-All customer transactions cleared through another broker-dealer on a fully disclosed be	asis.		
	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	3	
Sta	ate the market valuation and the number of items of:			
	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 responde within the time frames specified under Rule 15c3-3. Notes A and B	\$		4586
2. (Customers' fully paid securities and excess margin securities for which instructions to reduce to possession or control had not been issued as of the report date, excluding items arising from "temporary lags which result from normal business operations" as permitted under Rule 15c3-3. Notes B,C and D			4588
A	A. Number of items	\$	OMIT PENNIES	4589
3.1	The system and procedures utilized in complying with the requirement to maintain physical posses control of customers' fully paid and excess margin securities have been tested and are function manner adequate to fulfill the requirements of Rule 15c3-3 Yes <u>X</u> 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 annual audit of financial statements, whether or not such date two should be filed within 60 calendar days after such date, information may be required on a more frequent basis by the in accordance with Rule 17a-5(a)(2)(iv).

SUPPLEMENT TO FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT

PART II

BROKER OR DEALER

TRUIST SECURITIES, INC.

12/31/20

as of

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

BROKER OR DEA	BROKER OR DEALER		40/04/00
TRUIST SECURIT	IES, INC.	as of	12/31/20
	STATEMENT OF SEGREGATION REQUIREMENTS AND FOR CUSTOMERS' DEALER OPTIONS		

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

2021-01-27 03:44PM EST

SUPPLEMENT TO FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT Status: Accepted

PART II

BROKER OR DEALER
TRUIST SECURITIES, INC.

12/31/20	

as of

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 fore or a rule of a self-regulatory organization authorized thereunder	ign government	\$	 7305
 Net ledger balance - Foreign Futures and Foreign Option Trading - All Cus A. Cash B. Securities (at market) 	stomers	\$	 7315 7317
2. Net unrealized profit (loss) in open futures contracts traded on a foreign	board of trade	-	 7325
 3. Exchange traded options A. Market value of open option contracts purchased on a foreign board of B. Market value of open contracts granted (sold) on a foreign board of trade 		-	 7335 7337
4. Net equity (deficit) (add lines 1. 2. and 3.)		\$	 7345
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount Less: amount offset by customer owned securities	\$7351 ()7352]	 7354
6. Amount required to be set aside as the secured amount - Net Liquidating	Equity Method (add lines 4 and 5)	\$	 7355
7. Greater of amount required to be set aside pursuant to foreign jurisdiction	(above) or line 6.	\$	 7360

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SUPPLEMENT TO FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT

PART II

BROKER OR DEALER	,	
TRUIST SECURITIES, INC.	as of <u>12/31/20</u>	
STATEMENT OF SECURED AMOUNTS AND PURSUANT TO COMMISS		}
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 trac Name(s): [7750]	de	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 Lir	ne 7 Secured	
Statement page T10-3 from Line 8)	\$	7380
10. Management Target Amount for Excess funds in separate section 30	0.7 accounts	7780
11. Excess (deficiency) funds in separate 30.7 accounts over (under) Ma	anagement Target \$\$	7785

SUPPLEMENT TO FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT

PART II

BROKER OR DEALER TRUIST SECURITIES, INC. as of

12/31/20

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	8580
6. Amount required to be segregated for cleared swaps customers (add lines 4 and 5)	\$	8590
Funds in Cleared Swaps Customer Segregated Accounts		
7. Deposited in cleared swaps customer segregated accounts at banks		
A. Cash	\$	8600
B. Securities representing investments of cleared swaps customers' funds (at market)		8610
C. Securities held for particular cleared swaps customers in lieu of cash (at market)		8620
8. Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated	accounts	
A. Cash		8630
B. Securities representing investments of cleared swaps customers' funds (at market)		8640
C. Securities held for particular cleared swaps customers in lieu of cash (at market)		8650
9. Net settlement from (to) derivatives clearing organizations		8660
10. Cleared swaps options		
A. Value of open cleared swaps long option contracts		8670
B. Value of open cleared swaps short option contracts	() 8680
11. Net equities with other FCMs		
A. Net liquidating equity		8690
B. Securities representing investments of cleared swaps customers' funds (at market) C. Securities held for particular cleared swaps customers in lieu of cash (at market)		8700 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

BF	ROKER OR DEALER		
TF	RUIST SECURITIES, INC.	as of	2/31/20
	COMPUTATION OF CFTC MINIMUM NET CAPITAL REQU	IREMENT	
Capi	pital required		
Risk-	Based Requirement		
i. An	mount of Customer Risk		
M	laintenance Margin requirement 7415		
ii. Er	inter 8% of line A.i	7425	
iii. A	Amount of Non-Customer Risk		
М	Aaintenance Margin requirement 7435		
iv. E	Enter 8% of line A.iii	7445	
v. A	Add lines A.ii and A.iv.	7455	
Vinim	num Dollar Amount Requirement	7465	
Other	r NFA Requirement	7475	
Minim	num CFTC Net Capital Requirement.		ſ
Enter	the greatest of lines A, B or C		
te:	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.		
TC Ea	arly Warning Level		[
te:	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		
	(E) Other NEA Dequirement enter 1500/ of Line C (7475)		

(5) Other NFA Requirement, enter 150% of Line C (7475).

BROKER OR DEALER	
TRUIST SECURITIES, INC.	

as of

12/31/20

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 with- drawn (cash amount and/or Net Capital Value of Securities)	(MMDDYY) Withdrawal or Maturity Date	Expect to Renew (Yes or No)
4600		4601	4602	4603	4604	4605
4610		4611	4612	4613	4614	4615
4620		4621	4622	4623	4624	4625
4630		4631	4632	4633	4634	4635
4640		4641	4642	4643	4644	4645
4650		4651	4652	4653	4654	4655
4660		4661	4662	4663	4664	4665
4670		4671	4672	4673	4674	4675
4680		4681	4682	4683	4684	4685
4690		4691	4692	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	
TRUIST SECURITIES, INC.	as of <u>12/31/20</u>
RECAP	
Ownership Equity and Subordinated Liabilities maturing or propose be withdrawn within the next six months and accruals, which have not been deducted in the computation of Net Capital.	d to
1. Equity Capital	
A. Partnership Capital:	
1. General Partners	
2. Limited	
3. Undistributed Profits 4720	
4. Other (describe below)	
5. Sole Proprietorship 4735	
B. Corporation Capital:	
1. Common Stock 4740	
2. Preferred Stock	
3. Retained Earnings (Dividends and Other)	
4. Other (describe below)	
2. Subordinated Liabilities	
A. Secured Demand Notes 4780	
B. Cash Subordinations 4790	
C. Debentures 4800	
D. Other (describe below)	
3. Other Anticipated Withdrawals	
A. Bonuses 4820	
B. Voluntary Contributions to Pension or Profit Sharing Plans	
C. Other (describe below) 4870	
Total	\$ 4880

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

1. Balance, beginning of period	\$1,337,641,430 4240
A. Net income (loss)	100,819,844 4250
B. Additions (Includes non-conforming capital of	9,118,261 4260
C. Deductions (Includes non-conforming capital of \$ 4272)	4,999,620 4270
2. Balance, end of period (From Item 1800)	\$ 1,442,579,915 4290

STATEMENT OF CHANGES IN LIABILITIES SUBORDINATED TO CLAIMS OF GENERAL CREDITORS

3. Balance, beginning of p	veriod\$	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					
	TRUIST SECURITIES, INC.			as of	12/31/20	-
		FINANCIAL A	ND OPERATIONAL DA			
1 1	fonth end total number of stock record breaks ur			Valuation	ı	Number
	A. breaks long				0 4890	0 4900
	B breaks short		·		0 4910	0 4920
2. ls	s the firm in compliance with Rule 17a-13 regard verification of securities positions and locations a	it least once in e	each	Yes X	4930	No 4940
	ersonnel employed at end of reporting period:					
A	A. Income producing personnel					354 4950
	3. Non-income producing personnel (all other) C. Total					182 4960 536 4970
4. A	ctual number of tickets executed during current	month of reporti	ng period			1,530,575 4980
5. N	lumber of corrected customer confirmations mail	led after settlem	ent date		· · · · · · · · · · · · · · · · · · ·	52 4990
		lo. of Items	Debit (Short Value)	No. of Items		Credit (Long Value)
	loney differences	5000 \$		0	<u>5020</u> \$ <u>0</u>	5030
	ecurity suspense accounts				5060 \$	5070
	ecurity difference accounts				5100 \$	5110
	Commodity suspense accounts	5120 \$	5130		5140 \$	5150
11.	other brokers, clearing organizations, depositories and interoffice and intercompany accounts which could result in a charge-unresolved amounts over 30 calendar days Bank account reconciliations-unresolved amounts over 30 calendar days	5160 \$		0	<u>5180</u> \$ 5220 \$ 0	5190
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
45			No. of Items	Ledger Amo	ount	Market Value
	Failed to deliver 5 business days or longer (21 b days or longer in the case of Municipal Securitie	es)	5360 \$		5361	5362
16.	Failed to receive 5 business days or longer (21 b days or longer in the case of Municipal Securitie		5363 \$		5364 \$	5365
17.	Security concentrations (See instructions in Part	· · · · · · · · · · · · · · · · · · ·			0001]\$	
		-			\$	0 5370
E	. Customers' accounts under Rule 15c3-3				\$	0 5374
18.	Total of personal capital borrowings due within s	ix months			\$	5378
19.	Maximum haircuts on underwriting commitments	s during the peri	od		\$	227,248,950 5380
20.	Planned capital expenditures for business expar	sion during nex	t six months		\$	5382
21.	Liabilities of other individuals or organizations	guaranteed by res	spondent		\$	5384
22.	Lease and rentals payable within one year				\$	14,575,356 5386
	Aggregate lease and rental commitments payab	le for entire term	n of the lease			
					\$	40,532,123 5388
E	3. Net				\$	5390

OMIT PENNIES

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

BROKER OR DEALER as of 12/31/20 TRUIST SECURITIES, INC FINANCIAL AND OPERATIONAL DATA Operational Deductions From Capital (Note A) ш I 1\/ П Deductions Credits No. of Debits In Computing Items (Short Value) (Long Value) Net Capital 0 5610 \$ 5810 \$ 6010 \$ 6012 1. Money suspense and balancing differences 2. Security suspense and differences with related money balances 0 5620 5820 6020 6022 L 0 5625 5825 6025 6027 3. Market value of short and long security suspense and differences without related money (other than reported in line 4., below) 0 5630 5830 6030 6032 4. Market value of security record breaks 6040 0 5640 5840 6042 5. Unresolved reconciling differences with others: 0 5650 5850 6050 6052 A. Correspondents and Broker/Dealers 0 0 0 0 5655 5855 6055 6057 S 0 0 0 **B.** Depositories 0 5660 5860 6060 6062 0 0 0 0 5670 C. Clearing Organizations 6072 L 5870 6070 0 0 0 6077 5675 5875 6075 S 0 0 0 0 **D.** Inter-company Accounts 5680 5880 6080 0 6082 0 0 0 0 5690 E. Bank Accounts and Loans 5890 6090 6092 0 0 0 F. Other 5700 5900 6100 6102 0 0 0 0 G. (Offsetting) Items A. through F. 0 5720 0)5920 0)6120 TOTAL Line 5 0 5730 5930 6130 6132 0 0 0

7. Open transfers and reorganization account items over 40 days not confirmed or

6. Commodity Differences

items over 40 days not confirmed or				
verified	5760	5960	6160	6162
8. TOTAL (Line 17.)	0 5770 \$	0 5970 \$	0 6170 \$	0 6172
9. Lines 16. resolved subsequent to report				
date	5775 \$	5975 \$	6175 \$	6177
10. Aged Failsto deliver	1 5780 \$	0 5980 \$	187 6180 \$	32 6182
to receive	0 5785 \$	0 5985 \$	0 6185 \$	0 6187
		(Omit 000's)	(Omit 000's)	(Omit Pennies)

5740

5940

6140

6142

NOTE A - This section must be completed as follows:

1. All member organizations must complete column IV, lines 1. through 8. and 10., reporting deductions from capital

as of the report date whether resolved subsequently or not (see instructions relative to each line item).

2. a. Columns I, II and III of lines 1. through 8. and 10. must be completed when a Part II filing is required.

 b. Columns I, II and III of lines 1. through 8. must be completed with a Part I filing, only if the total deduction on line 8 column IV equals or exceeds 25% of excess net capital as of the prior month end reporting date. All columns of line 10. require completion.

3. A response to line 9., cols. I through IV and the "Potential Operational Charges Not Deducted From Capital" schedule on p. 3 are required only if:

a. the parameters cited in 2.b. above exist, and

b. the total deduction, line 8. column IV, for the current month exceeds the total deductions for the prior month by 50% or more.

4. All columns and line items (1. through 10.) must be answered if required. If respondent has nothing to report enter -0-.

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

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

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPO Status: Accepted PART I (OR PART II)

as of

12/31/20

BROKER OR DEALER TRUIST SECURITIES, INC

FINANCIAL AND OPERATIONAL DATA Potential Operational Charges Not Deducted From Capital (Note B)

	alional Charges I		Tom Capital (Note	D)	
	I	II	III	IV	
				Deductions	
	No. of	Debits	Credits	In Computing	
	Items	(Short Value)	(Long Value) Net Capital	
1. Money suspense and balancing differences	6210	\$	6410 \$	6610 \$	6612
2. Security suspense and differences with related			· · · · · · · · · · · · · · · · · · ·	·····	
money balances	6220		6420	6620	6622
,					
s_	6225		6425	6625	6627
Market value of short and long security sus-					
pense and differences without related money					
(other than reported in line 4., below)	6230		6430	6630	6632
4. Market value of security record breaks	6240		6440	6640	6642
5. Unresolved reconciling differences with others:					
A. Correspondents and Broker/Dealers	6250		6450	6650	6652
s	6255		6455	6655	6657
B. Depositories	6260		6460	6660	6662
C. Clearing Organizations	6270		6470	6670	6672
SS	6275		6475	6675	6677
D. Inter-company Accounts	6280		6480	6680	6682
E. Bank Accounts and Loans	6290		6490	6690	6692
F. Other	6300		6500	6700	6702
G. (Offsetting) Items A. through F.	6310	()	6510 (6710	
TOTAL (Line 5.)	6330		6530	6730	6732
6. Commodity Differences	6340		6540	6740	6742
	6370	\$	6570 \$	6770 \$	6772
-		(Omit 000's)	(Omit 000's)	(Omit Pennies)	

NOTE B - This section must be completed as follows:

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