| Name of Company: | Employer ID No: | NFA ID No: |
|---|---|---|
| NinjaTrader Clearing LLC | 36-4208643 | 0309379 |

CFTC FORM 1-FR-FCM
STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION
FOR CUSTOMERS TRADING ON U.S. COMMODITY EXCHANGES
AS OF 8/31/2026

SEGREGATION REQUIREMENTS (Section 4d(2) of the CEAct)

| | | | | | |
|---|---|---|---|---|---|
| 1. | Net ledger balance | | | | |
| | A. Cash | | | $ 409,226,938 | 5000 |
| | B. Securities (at market) | | | 47,215,434 | 5010 |
| 2. | Net unrealized profit (loss) in open futures contracts traded on a contract market | | | (314,681) | 5020 |
| 3. | Exchange traded options | | | | |
| | A. Market value of open option contracts purchased on a contract market | | | 489 | 5030 |
| | B. Market value of open option contracts granted (sold) on a contract market | | | 0 | 5040 |
| 4. | Net equity (deficit) (add lines 1, 2, and 3) | | | $ 456,128,180 | 5050 |
| 5. | Accounts liquidating to a deficit and accounts with debit balances - gross amount | $ 1,341,494 | 5060 | | |
| | Less: amount offset by customer owned securities | 0 | 5070 | 1,341,494 | 5080 |
| 6. | Amount required to be segregated (add lines 4 and 5) | | | $ 457,469,674 | 5090 |

FUNDS IN SEGREGATED ACCOUNTS

| | | | |
|---|---|---|---|
| 7. | Deposited in segregated funds bank accounts | | |
| | A. Cash | $ 291,457,459 | 5100 |
| | B. Securities representing investments of customers' funds (at market) | 225,652,130 | 5110 |
| | C. Securities held for particular customers or option customers in lieu of cash (at market) | 47,215,434 | 5120 |
| 8. | Margins on deposit with derivatives clearing organizations of contract markets | | |
| | A. Cash | 171,283 | 5130 |
| | B. Securities representing investments of customers' funds (at market) | 0 | 5140 |
| | C. Securities held for particular customers or option customers in lieu of cash (at market) | 0 | 5150 |
| 9. | Net settlement from (to) derivatives clearing organizations of contract markets | 372 | 5160 |
| 10. | Exchange traded options | | |
| | A. Value of open long option contracts | 0 | 5170 |
| | B. Value of open short option contracts | 0 | 5180 |
| 11. | Net equities with other FCMs | | |
| | A. Net liquidating equity | 2,088,753 | 5190 |
| | B. Securities representing investments of customers' funds (at market) | 19,879,200 | 5200 |
| | C. Securities held for particular customers or option customers in lieu of cash (at market) | 0 | 5210 |
| 12. | Segregated funds on hand (describe: ) | 0 | 5215 |
| 13. | Total amount in segregation (add lines 7 through 12) | $ 586,464,631 | 5220 |
| 14. | Excess (deficiency) funds in segregation (subtract line 6 from line 13) | $ 128,994,957 | 5230 |
| 15. | Management Target Amount Excess funds in segregation | $ 4,000,000 | 5240 |
| 16. | Excess (deficiency) funds in segregation over (under) Management Target Amount Excess | $ 124,994,957 | 5250 |

| Name of Company: | Employer ID No: | NFA ID No: |
| --- | --- | --- |
| NinjaTrader Clearing LLC | 36-4208643 | 0309379 |

CFTC FORM 1-FR-FCM

STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS

PURSUANT TO COMMISSION REGULATION 30.7

AS OF 8/31/2026

FOREIGN FUTURES AND FOREIGN OPTIONS SECURED AMOUNTS

| | | | | | |
| --- | --- | --- | --- | --- | --- |
| | Amount required to be set aside pursuant to law, rule or regulation of a foreign government or a rule of a self-regulatory organization authorized thereunder | | | $ 0 | 5605 |
| 1. | Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers | | | | |
| | A. Cash | | | $ 2,122,940 | 5615 |
| | B. Securities (at market) | | | $ 0 | 5617 |
| 2. | Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade | | | $ 38,777 | 5625 |
| 3. | Exchange traded options | | | | |
| | A. Market value of open option contracts purchased on a foreign board of trade | | | $ 0 | 5635 |
| | B. Market value of open option contracts granted (sold) on a foreign board of trade | | | $ 0 | 5637 |
| 4. | Net equity (deficit) (add lines 1, 2, and 3) | | | $ 2,161,717 | 5645 |
| 5. | Accounts liquidating to a deficit and accounts with debit balances - gross amount | $ 6,920 | 5651 | | |
| | Less: amount offset by customer owned securities | $ 0 | 5652 | $ 6,920 | 5654 |
| 6. | Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5) | | | $ 2,168,637 | 5655 |
| 7. | Greater of amount required to be set aside to a foreign jurisdiction (above) or line 6. | | | $ 2,168,637 | 5660 |

| Name of Company: NinjaTrader Clearing LLC | Employer ID No: 36-4208643 | NFA ID No: 0309379 |
|---|---|---|

CFTC FORM 1-FR-FCM
STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS
PURSUANT TO COMMISSION REGULATION 30.7
AS OF 8/31/2026

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

| | | | | | | |
|---|---|---|---|---|---|---|
| 1. | Cash in Banks | | | | | |
| | A. Banks located in the United States | | $ 2,256,859 | 5700 | | |
| | B. Other banks qualified under Regulation 30.7 Name(s): See Attached | 5710 | 0 | 5720 | $ 2,256,859 | 5730 |
| 2. | Securities | | | | | |
| | A. In safekeeping with banks located in the United States | | $ 0 | 5740 | | |
| | B. In safekeeping with other banks qualified under Regulation 30.7 Name(s): _ | 5750 | 0 | 5760 | 0 | 5770 |
| 3. | Equities with registered futures commission merchants | | | | | |
| | A. Cash | | $ 1,000,296 | 5780 | | |
| | B. Securities | | 0 | 5790 | | |
| | C. Unrealized gain (loss) on open futures contracts | | 38,777 | 5800 | | |
| | D. Value of long option contracts | | 0 | 5810 | | |
| | E. Value of short option contracts | | 0 | 5815 | 1,039,073 | 5820 |
| 4. | Amounts held by clearing organizations of foreign boards of trade Name(s): _ | 5830 | | | | |
| | A. Cash | | $ 0 | 5840 | | |
| | B Securities | | 0 | 5850 | | |
| | C. Amount due to (from) clearing organization - daily variation | | 0 | 5860 | | |
| | D. Value of long option contracts | | 0 | 5870 | | |
| | E. Value of short option contracts | | 0 | 5875 | 0 | 5880 |
| 5. | Amounts held by members of foreign boards of trade Name(s): _ | 5890 | | | | |
| | A. Cash | | $ 0 | 5900 | | |
| | B. Securities | | 0 | 5910 | | |
| | C. Unrealized gain (loss) on open futures contracts | | 0 | 5920 | | |
| | D. Value of long option contracts | | 0 | 5930 | | |
| | E. Value of short option contracts | | 0 | 5935 | 0 | 5940 |
| 6. | Amounts with other depositories designated by a foreign board of trade Name(s): _ | 5950 | | | 0 | 5960 |
| 7. | Segregated funds on hand (describe): _ | | | | 0 | 5965 |
| 8. | Total funds in separate section 30.7 accounts | | | | $ 3,295,932 | 5970 |
| 9. | Excess (deficiency) Set Aside Funds for Secured Amount (Subtract line 7 Secured Statement Page 1 from line 8) | | | | $ 1,127,295 | 5680 |
| 10. | Management Target Amount for Excess funds in separate 30.7 accounts | | | | 400,000 | 5980 |
| 11. | Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target Excess | | | | 727,295 | 5985 |

**SUPPLEMENT TO**

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT**

**PART II**

| **BROKER OR DEALER:** | **as of:** 08/31/2026 |
|---|---|

**STATEMENT OF CLEARED SWAPS 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 | | | $(1,308) | 8500 |
| | B. Securities (at market) | | | 0 | 8510 |
| 2. | Net unrealized profit (loss) in open cleared swaps | | | 0 | 8520 |
| 3. | Cleared swaps options | | | | |
| | A. Market value of open cleared swaps option contracts purchased | | | 8 | 8530 |
| | B. Market value of open cleared swaps granted (sold) | | | 0 | 8540 |
| 4. | Net equity (deficit) (add lines 1, 2 and 3) | | | (1,300) | 8550 |
| 5. | Accounts liquidating to a deficit and accounts with debit balances | | | | |
| | - gross amount | $ 1,716 | 8560 | | |
| | Less: amount offset by customer securities | 0 | 8570 | 1,716 | 8580 |
| 6. | Amount required to be segregated for cleared swaps customers (add lines 4 and 5) | | | 416 | 8590 |

**Funds in Cleared Swaps Customer Segregated Accounts**

| | | | |
|---|---|---|---|
| 7. | Deposited in cleared swaps customer segregated accounts at banks | | |
| | A. Cash | $ 3,634,961 | 8600 |
| | B. Securities representing investments of cleared swaps customers' funds (at market) | 0 | 8610 |
| | C. Securities held for particular cleared swaps customers in lieu of cash (at market) | 0 | 8620 |
| 8. | Margins on deposit with derivatives clearing organizations in cleared swaps customer segreated accounts | | |
| | A. Cash | 374,654 | 8630 |
| | B. Securities representing investments of cleared swaps customers' funds (at market) | 0 | 8640 |
| | C. Securities held for particular cleared swaps customers in lieu of cash (at market) | 0 | 8650 |
| 9. | Net settlement from (to) derivatives clearing organizations | 0 | 8660 |
| 10. | Cleared swaps options | | |
| | A. Value of open cleared swaps long option contracts | 0 | 8670 |
| | B. Value of open cleared swaps short option contracts | 0 | 8680 |
| 11. | Net equities with other FCMs | | |
| | A. Net liquidating equity | 0 | 8690 |
| | B. Securities representing investments of cleared swaps customers' funds (at market) | 0 | 8700 |
| | C. Securities held for particular cleared swaps customers in lieu of cash (at market) | 0 | 8710 |
| 12. | Cleared swaps customer funds on hand (describe: ) | 0 | 8715 |
| 13. | Total amount in cleared swaps customer segregation (add lines 7 through 12) | 4,009,615 | 8720 |
| 14. | Excess (deficiency) funds in segregation (subtract line 6 from line 13) | $ 4,009,199 | 8730 |
| 15. | Management target Amount for Excess funds in cleared swaps segregated accounts | $ 2,000,000 | 8760 |
| 16. | Excess (deficiency) funds in cleared swaps customer segregation over (under) Management Target Excess | $ 2,009,199 | 8770 |