

Statement of Financial Condition

(Expressed in U.S. dollars in thousands)

ASSETS

As of December 31, 2017

Assets:

Cash	\$	19,614
Cash segregated under federal regulation		1
Receivable from brokers, dealers, and custodian		14,132
Receivable from affiliate		1,081
Other assets		813
Total assets	\$	35,641

LIABILITIES AND MEMBER'S CAPITAL

Liabilities:

Payable to customer	\$	6,746
Commissions, clearance, and regulatory fees payable		1,109
Payable to affiliate		793
Other liabilities		594
Total liabilities		9,242

Member's capital		26,399
Total liabilities and member's capital	\$	35,641

See notes to statement of financial condition.