

Name of Company: ADM Investor Services Inc.	Employer ID No: 371075552	NFA ID No: 0000360
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CFTC FORM 1-FR-FCM  
STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION  
FOR CUSTOMERS TRADING ON U.S. COMMODITY EXCHANGES  
AS OF 11/30/2018

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

1. Net ledger balance			
A. Cash		\$ 3,509,858,218	5000
B. Securities (at market)		541,255,928	5010
2. Net unrealized profit (loss) in open futures contracts traded on a contract market		120,504,673	5020
3. Exchange traded options			
A. Market value of open option contracts purchased on a contract market		369,997,739	5030
B. Market value of open option contracts granted (sold) on a contract market		(312,580,194)	5040
4. Net equity (deficit) (add lines 1, 2, and 3)		\$ 4,229,036,364	5050
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$ 4,469,291	5060	
Less: amount offset by customer owned securities	(4,362,387)	5070	106,904 5080
6. Amount required to be segregated (add lines 4 and 5)		\$ 4,229,143,268	5090

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts			
A. Cash		\$ 1,461,141,050	5100
B. Securities representing investments of customers' funds (at market)		75,752,386	5110
C. Securities held for particular customers or option customers in lieu of cash (at market)		515,404,071	5120
8. Margins on deposit with derivatives clearing organizations of contract markets			
A. Cash		20,891,700	5130
B. Securities representing investments of customers' funds (at market)		2,248,184,950	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		46,181,149	5160
10. Exchange traded options			
A. Value of open long option contracts		369,997,739	5170
B. Value of open short option contracts		(312,580,194)	5180
11. Net equities with other FCMs			
A. Net liquidating equity		0	5190
B. Securities representing investments of customers' funds (at market)		0	5200
C. Securities held for particular customers or option customers in lieu of cash (at market)		0	5210
12. Segregated funds on hand (describe: See Attached )		25,851,857	5215
13. Total amount in segregation (add lines 7 through 12)		\$ 4,450,824,708	5220
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)		\$ 221,681,440	5230
15. Management Target Amount Excess funds in segregation		\$ 120,000,000	5240
16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess		\$ 101,681,440	5250

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CFTC FORM 1-FR-FCM  
STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS  
PURSUANT TO COMMISSION REGULATION 30.7  
AS OF 11/30/2018

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	\$ 272,028,987	5615
	B. Securities (at market)	\$ 21,171,688	5617
2.	Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	\$(7,521,247)	5625
3.	Exchange traded options		
	A. Market value of open option contracts purchased on a foreign board of trade	\$ 3,742,306	5635
	B. Market value of open option contracts granted (sold) on a foreign board of trade	\$(3,081,715)	5637
4.	Net equity (deficit) (add lines 1, 2, and 3)	\$ 286,340,019	5645
5.	Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$ 198,829	5651
	Less: amount offset by customer owned securities	\$(197,771)	5652
		\$ 1,058	5654
6.	Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	\$ 286,341,077	5655
7.	Greater of amount required to be set aside to a foreign jurisdiction (above) or line 6.	\$ 286,341,077	5660

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STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS  
PURSUANT TO COMMISSION REGULATION 30.7  
AS OF 11/30/2018

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in Banks				
A. Banks located in the United States	\$ 145,556,166	5700		
B. Other banks qualified under Regulation 30.7				
Name(s): <u>See Attached</u>	9,648,513	5720	\$ 155,204,679	5730
				5710
2. Securities				
A. In safekeeping with banks located in the United States	\$ 63,106,817	5740		
B. In safekeeping with other banks qualified under Regulation 30.7				
Name(s): <u>See Attached</u>	0	5760	63,106,817	5770
				5750
3. Equities with registered futures commission merchants				
A. Cash	\$(305,417)	5780		
B. Securities	37,911,791	5790		
C. Unrealized gain (loss) on open futures contracts	8,013,992	5800		
D. Value of long option contracts	0	5810		
E. Value of short option contracts	0	5815	45,620,366	5820
4. Amounts held by clearing organizations of foreign boards of trade				
Name(s): <u>See Attached</u>		5830		
A. Cash	\$ 3,392,076	5840		
B. Securities	0	5850		
C. Amount due to (from) clearing organization - daily variation	(12,345)	5860		
D. Value of long option contracts	0	5870		
E. Value of short option contracts	0	5875	3,379,731	5880
5. Amounts held by members of foreign boards of trade				
Name(s): <u>See Attached</u>		5890		
A. Cash	\$ 37,874,823	5900		
B. Securities	44,924,980	5910		
C. Unrealized gain (loss) on open futures contracts	(17,099,147)	5920		
D. Value of long option contracts	3,742,306	5930		
E. Value of short option contracts	(3,081,715)	5935	66,361,247	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			\$ 333,672,840	5970
9. Excess (deficiency) Set Aside Funds for Secured Amount (Subtract line 7 Secured Statement Page 1 from line 8)			\$ 47,331,763	5680
10. Management Target Amount for Excess funds in separate 30.7 accounts			20,000,000	5980
11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target Excess			27,331,763	5985

**SUPPLEMENT TO  
FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART II**

**BROKER OR DEALER:**

as of: 11/30/2018

**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	\$(1,119,104)	8500
	B. Securities (at market)	0	8510
		6,121,425	8520
2.	Net unrealized profit (loss) in open cleared swaps		
3.	Cleared swaps options		
	A. Market value of open cleared swaps option contracts purchased	0	8530
	B. Market value of open cleared swaps granted (sold)	0	8540
		5,002,321	8550
4.	Net equity (deficit) (add lines 1, 2 and 3)		
5.	Accounts liquidating to a deficit and accounts with debit balances		
	- gross amount	\$ 0	8560
	Less: amount offset by customer securities	0	8570
		0	8580
6.	Amount required to be segregated for cleared swaps customers (add lines 4 and 5)	5,002,321	8590

**Funds in Cleared Swaps Customer Segregated Accounts**

7.	Deposited in cleared swaps customer segregated accounts at banks		
	A. Cash	\$ 393,732	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
		14,431,982	8630
8.	Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts		
	A. Cash	14,431,982	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
		(285,225)	8660
9.	Net settlement from (to) derivatives clearing organizations		
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
		0	8690
11.	Net equities with other FCMs		
	A. Net liquidating equity	0	8700
	B. Securities representing investments of cleared swaps customers' funds (at market)	0	8710
	C. Securities held for particular cleared swaps customers in lieu of cash (at market)	0	8715
		0	8715
12.	Cleared swaps customer funds on hand (describe: )		
13.	Total amount in cleared swaps customer segregation (add lines 7 through 12)	14,540,489	8720
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)	\$ 9,538,168	8730
15.	Management target Amount for Excess funds in cleared swaps segregated accounts	\$ 8,000,000	8760
16.	Excess (deficiency) funds in cleared swaps customer segregation over (under) Management Target Excess	\$ 1,538,168	8770