

Name of Company: GH FINANCIALS LLC	Employer ID No: 45-2448979	NFA ID No: 0431801
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CFTC FORM 1-FR-FCM  
STATEMENT OF FINANCIAL CONDITION  
AS OF 8/31/2019

Assets

	<u>Current</u>		<u>Non-Current</u>		<u>Total</u>
1. Funds segregated or in separate accounts pursuant to the CEAct and the Regulations					
A. U.S. exchanges (page 11, line 13)	\$ 97,841,429	1000			\$ 97,841,429
B. Dealer options (page 12, line 2.C.)	0	1010			0
C. Foreign exchanges (page 14, line 8)	4,988,834	1020	\$ 0	1025	4,988,834
D. Cleared Swaps (page 15, line 13)	0	1022	0	1027	\$ 0
(Do not duplicate line 1. assets below)					
2. Cash	4,540,713	1040	50,741	1045	4,591,454
3. Securities, at market value					
A. Firm owned	0	1055	0	1060	0
B. Noncustomer-owned	0	1070			0
C. Individual partners' and member's security accounts	0	1090			0
D. Stock in clearing organizations	0	1100	0	1105	0
4. Securities purchased under resale agreements	0	1115	0	1120	0
5. Receivables from and deposits with U.S. derivatives clearing organizations					
A. Margins	17,927,243	1130			17,927,243
B. Settlement receivable	0	1140			0
C. Guarantee deposits	10,566,413	1150			10,566,413
D. Long options value	2,396,592	1157			2,396,592
6. Receivables from and deposits with foreign commodity clearing organizations					
A. Margins	0	1160	0	1165	0
B. Settlement receivable	0	1175			0
C. Guarantee deposits	0	1182	0	1185	0
D. Long options value	0	1191	0	1192	0
7. Receivables from registered FCMs					
A. Net liquidating equity	1,141,945	1195	0	1200	1,141,945
B. Security deposits	0	1220	0	1210	0
C. Other	0	1220	0	1225	0
8. Receivables from foreign commodity brokers					
A. Net liquidating equity	0	1235	0	1240	0
B. Security deposits	0	1260	0	1250	0
C. Other	0	1260	0	1265	0

9.	Receivables from traders on U.S. commodity exchanges						
A.	Customer debit and deficit accounts	0	1275	0	1280	0	1285
B.	Noncustomer and proprietary accounts	0	1290	0	1295	0	1300
C.	Other	0	1305	0	1310	0	1315
D.	Allowance for doubtful accounts			0	1320	0	1325
10.	Receivables from traders on foreign boards of trade						
A.	Customer debit and deficit accounts	0	1330	0	1335	0	1340
B.	Noncustomer and proprietary accounts	0	1345	0	1350	0	1355
C.	Other	0	1360	0	1365	0	1370
D.	Allowance for doubtful accounts			0	1375	0	1380
11.	Inventories of cash commodities, raw materials, work in progress and finished goods						
A.	Covered	0	1385	0	1390	0	1395
B.	Not covered	0	1400	0	1405	0	1410
12.	Secured demand notes (Value of collateral \$0 [1415] Safety factor \$0 [1420] )	0	1425	0	1430	0	1435
13.	Other receivables and advances						
A.	Merchandising accounts receivable	0	1440	0	1445	0	1450
B.	Notes receivable	0	1455	0	1460	0	1465
C.	Commissions and brokerage receivable	0	1470	178,219	1475	178,219	1480
D.	Receivables from employees and associated persons	0	1485	0	1490	0	1495
E.	Advances on cash commodities	0	1500	0	1505	0	1510
F.	Dividends and interest	0	1515	0	1520	0	1525
G.	Taxes receivable	0	1530	0	1535	0	1540
H.	Receivables from subsidiaries and affiliates	0	1545	0	1550	0	1555
I.	Other (Itemize on a separate page)	30,664	1560	0	1565	30,664	1570
J.	Allowance for doubtful accounts			0	1575	0	1580
14.	Unrealized gains on forward contracts and commitments	0	1585	0	1590	0	1595
15.	Exchange memberships, at cost (Market value \$1,484,003 [1600])			389,353	1605	389,353	1610
16.	Investments in subsidiaries	0	1612	0	1615	0	1620
17.	Plant, property, equipment and capitalized leases (cost net of accumulated depreciation and amortization of \$0 [1625] )	0	1630	134,506	1635	134,506	1640
18.	Prepaid expenses and deferred charges			30,067	1645	30,067	1650
19.	A. Other assets (itemize on separate page)	0	1655	139,000	1660	139,000	1665
	B. Retail Forex Aggregate Assets	0	1657	0	1662	0	1667
20.	Total Assets	\$ 139,433,833	1670	\$ 921,886	1675	\$ 140,355,719	1680

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AS OF 8/31/2019

Liabilities & Ownership Equity

Liabilities

21. Payables to banks		
A. Secured loans	\$ 0	2000
B. Unsecured loans	0	2010
C. Overdrafts	0	2020
22. Equities in commodity accounts		
A. Customers trading on U.S. commodity exchanges	76,967,601	2030
B. Customers trading on foreign exchanges	3,856,416	2040
C. Customers' dealer options accounts	0	2050
D. Noncustomers' accounts	19,521,718	2060
E. General partners' and member's trading accounts (not included in capital)	0	2070
F. Customers trading cleared swaps	0	2072
23. Payable to U.S. commodity clearing organizations Including short option value of \$1,472,492 [2075]	2,203,250	2080
24. Payable to foreign commodity clearing organizations Including short option value of \$0 [2085]	0	2090
25. Payable to registered futures commission merchants	0	2100
26. Payable to foreign commodity brokers	0	2110
27. Accounts payable, accrued expenses and other payables		
A. Accounts payable and accrued expenses	13,241,389	2120
B. Salaries, wages, commissions and bonuses payable	0	2130
C. Taxes payable	242,051	2140
D. Deferred income taxes	0	2150
E. Security deposits held	164,740	2160
F. Advances against commodities	0	2170
G. Unrealized losses on forward contracts and commitments	0	2180
H. Due to subsidiaries and affiliates	1,322,718	2190
I. Notes, mortgages and other payables due within twelve months	0	2200
J. Obligation to Retail FX Customers	0	2205
K. Other (itemize on a separate page)	0	2210
28. Notes, mortgages and other payables not due within twelve months of the date of this statement		
A. Unsecured	0	2220
B. Secured	0	2230

29. Securities sold under agreements to repurchase	0	2240
30. Securities sold not yet purchased, at market value	0	2250
31. Liabilities subordinated to claims of general creditors		
A. Subject to a satisfactory subordination agreement	4,000,000	2260
B. Not subject to a satisfactory subordination agreement	0	2270
32. Total liabilities	<u>\$ 121,519,883</u>	2280

Ownership Equity

33. Sole proprietorship	<u>\$ 0</u>	2500		
34. Partnership or Limited Liability Company				
A. Partnership or LLC contributed and retained capital	<u>\$ 18,835,836</u>	2510		
B. Additional capital per partnership or membership agreement (equities in partners' or members' trading accounts, etc.)	<u>0</u>	2515		
C. Total	<u>\$ 18,835,836</u>	2520		
35. Corporation				
A. Preferred stock	<u>\$ 0</u>	2530		
B. Common stock	<u>0</u>	2535		
C. Additional paid in capital	<u>0</u>	2540		
D. Retained earnings	<u>0</u>	2545		
E. Subtotal	<u>\$ 0</u>	2550		
F. Less: capital stock in treasury	<u>0</u>	2555		
G. Total	<u>\$ 0</u>	2560		
36. Total ownership equity (line 33, 34.C. or 35.G)			<u>\$ 18,835,836</u>	2570
37. Total liabilities and ownership equity (add lines 32 and 36)			<u>\$ 140,355,719</u>	2580

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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 8/31/2019

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

1. Net ledger balance			
A. Cash		\$ 81,407,603	5000
B. Securities (at market)		0	5010
2. Net unrealized profit (loss) in open futures contracts traded on a contract market		(5,622,889)	5020
3. Exchange traded options			
A. Market value of open option contracts purchased on a contract market		1,484,078	5030
B. Market value of open option contracts granted (sold) on a contract market		(301,191)	5040
4. Net equity (deficit) (add lines 1, 2, and 3)		\$ 76,967,601	5050
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount	\$ 0	5060	
Less: amount offset by customer owned securities	0	5070	5080
6. Amount required to be segregated (add lines 4 and 5)		\$ 76,967,601	5090

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts			
A. Cash		\$ 15,643,118	5100
B. Securities representing investments of customers' funds (at market)		0	5110
C. Securities held for particular customers or option customers in lieu of cash (at market)		0	5120
8. Margins on deposit with derivatives clearing organizations of contract markets			
A. Cash		81,154,722	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		(505,291)	5160
10. Exchange traded options			
A. Value of open long option contracts		1,484,078	5170
B. Value of open short option contracts		(301,191)	5180
11. Net equities with other FCMs			
A. Net liquidating equity		365,993	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: )		0	5215
13. Total amount in segregation (add lines 7 through 12)		\$ 97,841,429	5220
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)		\$ 20,873,828	5230
15. Management Target Amount Excess funds in segregation		\$ 3,250,000	5240
16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess		\$ 17,623,828	5250

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CFTC FORM 1-FR-FCM  
 STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS  
 IN SEGREGATION FOR CUSTOMERS' DEALER OPTIONS ACCOUNTS  
 AS OF 8/31/2019

1. Amount required to be segregated in accordance with Commission regulation 32.6		\$ 0	5400
2. Funds in segregated accounts			
A. Cash	\$ 0		5410
B. Securities (at market)	0		5420
C. Total		0	5430
3. Excess (deficiency) funds in segregation (subtract line 1. from line 2.C.)		\$ 0	5440

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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 8/31/2019

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		\$ 3,856,416	5615
B. Securities (at market)		\$ 0	5617
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade		\$ 0	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)		\$ 3,856,416	5645
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount		\$ 0	5651
Less: amount offset by customer owned securities		\$ 0	5652
6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)		\$ 3,856,416	5655
7. Greater of amount required to be set aside to a foreign jurisdiction (above) or line 6.		\$ 3,856,416	5660

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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 8/31/2019

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in Banks				
A. Banks located in the United States	\$ 3,917,699	5700		
B. Other banks qualified under Regulation 30.7				
Name(s): <u>See Attached</u>		5710		
	0	5720	\$ 3,917,699	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	\$ 0	5780		
B. Securities	0	5790		
C. Unrealized gain (loss) on open futures contracts	0	5800		
D. Value of long option contracts	0	5810		
E. Value of short option contracts	0	5815	0	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): <u>See Attached</u>		5890		
A. Cash	\$ 1,071,135	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	1,071,135	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			\$ 4,988,834	5970
9. Excess (deficiency) Set Aside Funds for Secured Amount (Subtract line 7 Secured Statement Page 1 from line 8)			\$ 1,132,418	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			732,418	5985

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

**BROKER OR DEALER:**

**as of: 08/31/2019**

**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	\$ 0	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	0	8530
	B. Market value of open cleared swaps granted (sold)	0	8540
4.	Net equity (deficit) (add lines 1, 2 and 3)	0	8550
5.	Accounts liquidating to a deficit and accounts with debit balances		
	- gross amount	\$ 0	8560
	Less: amount offset by customer securities	0	8570
6.	Amount required to be segregated for cleared swaps customers (add lines 4 and 5)	0	8590

**Funds in Cleared Swaps Customer Segregated Accounts**

7.	Deposited in cleared swaps customer segregated accounts at banks		
	A. Cash	\$ 0	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 segregated accounts		
	A. Cash	0	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)	0	8720
14.	Excess (deficiency) funds in segregation (subtract line 6 from line 13)	\$ 0	8730
15.	Management target Amount for Excess funds in cleared swaps segregated accounts	\$ 0	8760
16.	Excess (deficiency) funds in cleared swaps customer segregation over (under) Management Target Excess	\$ 0	8770