	UNITED STATES SECURITIES AND EXCHANGE COMMISSION	2020-10-26 05:08PM EDT Status: Accepted
FORM X-17A-5	FOCUS REPORT (FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE 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> 3) Rule 17a-11 4) Special request by designated examining authority <u>19</u> 5) Other	26
NAME OF BRO	KER-DEALER SEC. FILE NO.	
	PRINCIPAL PLACE OF BUSINESS (Do not use P.O. Box No.) E ROAD, N.E., ATLANTA FINANCIAL CENTER, SOUTH TOWER, 9TH FLO	14 15 GINNING (MM/DD/YY) 24
	(No. and Street) 07/01/20 AND ENDING (MM	
ATLANTA	[21]         GA         [22]         30326         [23]         09/30/20           (City)         (State)         (Zip Code)         09/30/20	25
NAME(S) OF SU	CHECK HERE IF RESPONDENT IS FILING AN AUDITED REPORT EXECUTION: The registrant/broker or dealer submitting this Form and its attachments and the perit is executed represent hereby that all information contained therein is true, correct It is understood that all required items, statements, and schedules are considered in this Form and that the submisson of any amendment represents that all unamender and schedules remain true, correct and complete as previously submitted.	33 35 37 39 40 NO 41 42 erson(s) by whom t and complete.
	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 constitute Federal Criminal Violations. (See 18 U.S.C. 1001 and 15 U.S.C. 78:f (a))	
		FINRA

FINANCIAL AND OPERA	PART II					2	2020-10-26 05 Status: Accepte	
BROKER OR DEALER								
TRUIST SECURITIES, INC.			N2					100
STATEMENT OF FINANCIAL	CONDITION		as of (N	MM/DD/YY)	09/30	/20		99
				C FILE NO.				98
					<u>o 112</u>			
					Cor	nsolidate	d	198
					Uncor	nsolidate	d X	199
	ASSETS							
	Allowable		Non	allowable		_	Total	
.Cash\$	29,863,840	200			Ś	;	29,863,840	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"	21,564,179	220						_
2. Other		230					23,316,334	770
B. Securities borrowed:								
1. Includable in "Formula for Reserve								
Requirements"	0	240						
2. Other	454,085,090	250					454,085,090	780
C. Omnibus accounts:								
1. Includable in "Formula for Reserve								
Requirements"	0	260						
2. Other	0	270					0	790
D. Clearing Organizations:								
1.Includable in "Formula for Reserve								
Requirements"		280						
2. Other	2,094,184	290					2,094,184	800
E. Other	0	300 \$		(	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					570			
B. Commodity accounts		330			580			000
C. Allowance for doubtful accounts (	0	)335 (		(	)590		0	820
Receivables from non-customers:	-	240						
A. Cash and fully secured accounts		340			600		^	830
B. Partly secured and unsecured accounts Securities purchased under agreements	0	350		(			0	030
to resell	770,048,907	360		,	605		770,048,907	840
Securities and spot commodities owned,	110,048,907			(	000		110,040,907	0+0
at market value:								
A. Banker's acceptances, certificates of								
deposit and commercial paper	86,001,986	370						
B. U.S. and Canadian government		<u> </u>						
obligations	1,613,635,605	380						
C. State and municipal government	1,010,000,000	<u> </u>						
obligations	29,059,634	390						
D. Corporate obligations								
		<u> </u>						

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FINANCIAL AND OPER	ATIONAL COMBINED UN PART II	FORM SINGLE REPORT	2020-10-26 05:08PM EDT Status: Accepted
BROKER OR DEALER			
BROKER OR BEALER		as of 09/30/20	
TRUIST SECURITIES, INC.			
STATEN	IENT OF FINANCIAL COM	NDITION	
	ASSETS (continued)		
	Allowable	Nonallowable	_Total_
E. Stocks and warrants	728,479 410		
F. Options	0 420		
G. Arbitrage			
H. Other securities			
I. Spot Commodities	<u> </u>		
	0 430		
J.Total inventory - includes encumbered		<u>,</u>	
securities of \$ <u>1,047,185,515</u> 120		\$ _	2,383,070,142 850
8. Securities owned not readily marketable:			
A. At Cost \$0130	0 440 \$	0 610	0 860
9. Other investments not readily marketable:			
\$0140			
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:			
A. Exempted			
securities \$0 150			
B. Other \$ 0 160	0 460	0 630	0 880
11. Secured demand notes-			<u>_</u>
market value of collateral:			
A. Exempted			
securities \$0 170			
B. Other \$ 0 180	0 470	0 640	0 890
12. Memberships in exchanges:			0
A. Owned, at market			
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	-	0	0
affiliates, subsidiaries and			
associated partnerships	0 480	665,627 670	665,627 910
14. Property, furniture, equipment, leasehold			000,027
improvements and rights under			
lease agreements:			
At cost (net of accumulated			
depreciation and amortization)	44,491,266 490	14,192,549 680	58,683,815 920
15. Other Assets:		14,102,040	30,003,013 020
A. Dividends and interest receivable	8,225,405 500	0 690	
B. Free shipments		0 700	
C. Loans and advances	0 520	0 710	
D. Miscellaneous	18,107,140 530	325,990,192 720	
E. Collateral accepted under SFAS 140	0 536	525,330,192 120	
F. SPE Assets	0 537		352,322,737 930
16. TOTAL ASSETS \$	3,733,302,308 540 \$	340,848,368 740 \$	4,074,150,676 940

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FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT PART II

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BROKER OR DEALER			
TRUIST SECURITIES, INC.		as of	09/30/20
STATEMEN	NT OF FINANCIAL CON		
	ES AND OWNERSHIP E		
	A.I.	Non-A.I.	
Liabilities	Liabilities *	Liabilities *	Total
17. Bank loans payable:			
A. Includable in "Formula for Reserve			
Requirements"	1030 \$	1240	\$ 0 1460
B. Other		1250	0 1470
18. Securities sold under repurchase agreements.		1260	1,111,468,414 1480
19. Payable to brokers or dealers and			1,111,400,414
clearing organizations:			
A. Failed to receive:			
1. Includable in "Formula for Reserve			
Requirements"	1050	1270	1,110,045 1490
2. Other		1280	556,509 1500
B. Securities loaned:			
1. Includable in "Formula for Reserve			
Requirements"	1070		0 1510
2. Other	1080	1290	0 1520
C. Omnibus accounts:			
1. Includable in "Formula for Reserve			
Requirements"	1090		0 1530
2. Other		1300	0 1540
D. Clearing organizations:			
1. Includable in "Formula for Reserve			
Requirements"	1100		0 1550
2. Other		1310	0 1560
E. Other		1320	345,701,391 1570
20. Payable to customers:			
A. Securities accounts - including free credits			
of \$ 0 950	1120		0 1580
B. Commodities accounts		1330	0 1590
21. Payable to non customers:			0
A. Securities accounts	1140	1340	0 1600
B. Commodities accounts	1150	1350	0 1610
22. Securities sold not yet purchased at market			0
value - including arbitrage			
of\$ 0 960		1360	967,174,216 1620
23. Accounts payable and accrued liabilities			307,174,210
and expenses:			
A. Drafts payable	1160		0 1630
B. Accounts payable	1170		2,211,270 1640
C. Income taxes payable	1180		50,798,237 1650
D. Deferred income taxes	1180	1370	0 1660
E. Accrued expenses and other liabilities	1190	1370	76,552,384 1670
	1190	1380	55,936,780 1680
F. Other G. Obligation to return securities	1200		55,936,780 1666
		1386	
H. SPE Liabilities		1387	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

STATEMENT OF FINANCIAL CONDITION LIABILITIES AND OWNERSHIP EQUITY (continued)

A.I.

Liabilities

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125,000,000 1690

0 1700

0 1710

0 1720

Total

\$

1390

1400

1410

**BROKER OR DEALER** 

Non-A.I.

Liabilities

as of

09/30/20

TRUIST SECURITIES, INC.

24. Notes and mortgages payable:

general creditors:

25. Liabilities subordinated to claims of

A. Unsecured \$

B. Secured .....

A. Cash borrowings: .....

1. from outsiders \$ 0 0970 2. Includes equity subordination(15c3-1(d)) of ..... \$\_\_\_\_ 0 0980 B. Securities borrowings, at market value: .... \$ 0 0990

Liabilities

from outsiders	\$	0 0990		
C. Pursuant to secured of	demand note			
collateral agreements	s:		 1420	0 1730
1. from outsiders	\$	0 1000		
<ol><li>Includes equity sub</li></ol>	pordination(15	ic3-1(d))		

1210

1211 \$

of \$0[1010		
D. Exchange memberships contributed for		
use of company, at market value		1430 0 <b>1740</b>
E. Accounts and other borrowings not		
qualified for net capital purposes	1220	440 <sub>0</sub> 1750
26. TOTAL LIABILITIES \$	1230 \$	450 \$ 2,736,509,246 1760
Ownership Equity		

27. Sole proprietorship	0 1770
28. Partnership - limited	4700
partners	0 1780
29. Corporation:	
A. Preferred stock	0 1791
B. Common stock	100,000 1792
C. Additional paid- in capital	1,196,538,493 1793
D. Retained Earnings	141,002,937 1794
E. Accumulated other comprehensive income	0 1797
F. Total	1,337,641,430 1795
G. Less capital stock in treasury	0 )1796
30. TOTAL OWNERSHIP EQUITY \$	1,337,641,430 1800
31. TOTAL LIABILITIES AND OWNERSHIP EQUITY	4,074,150,676 1810
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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

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RUIST SECURITIES. INC.         as of         09//30/20           COMPUTATION OF NET CAPITAL           1. Total ownership equity (from Statement of Financial Condition - Item 1800)         \$             1.337.641.430         5460           2. Deduct: Ownership equity not allowable for Net Capital         (1)337.641.430         5350           3. Total ownership equity not allowable for Net Capital         (1)337.641.430         5350           4. Add:         (1)337.641.430         5350           5. Total contraship equity qualified for Net Capital         (1)337.641.430         5352           6. Cher (deductions) or allowable corefits [List)         (1)337.641.430         5352           5. Total capital and allowable subortinated liabilities         (1)337.641.430         5352           6. Deductions and/or charges:         (1)337.641.430         5352           6. Deductions and/or charges:         (1)337.641.430         5550           7. Total admentation allowable sobortion (Notes B and C)         \$             340.948.388         5560           9. Additional charges for customers' and         (1)337.641.430         5530           1. Additional charges for customers' and         (1)337.641.430         5530           1. Additional charges for customers' and         (1)337.641.430         5530           1. Additional charges for customers' and	BROKER OR DEALER					ך	
COMPUTATION OF NET CAPITAL         1. Total ownership equity (from Statement of Financial Condition - Item 1800)       \$             1.337.641.430       3480         2. Deduct: Ownership equity qualified for Net Capital       (0)19490       1.337.641.630       3600         3. Total ownership equity qualified for Net Capital       (0)19490       1.337.641.630       35000         A. Liabilities subordinated to claims of general creditors       allowable in computation of net capital       (0)1920         B. Other (reductions) or allowable credits (List)       (0)1920       (0)1920       (0)1920         5. Total capital and allowable subordinated liabilities       (0)1920       (0)1920       (0)1920         5. Total capital and allowable subordinated inabilities       (0)1920       (0)1920       (0)1920         6. Deductions and/or charges       (0)1920       (0)1920       (0)1920       (0)1920         7. Additional charges for customers' and non-customers' security accounts       (0)19200       (0)1920       (0)1920         8. Aged fail-to-deliver       (0)1920       (0)1920       (0)1920       (0)1920         1. And into-additive securities (1)       (0)1920       (0)1920       (0)1920       (0)1920         9. Aged fail-to-deliver       (0)1920       (0)1920       (0)1920       (0)1920       (0)1920				as of09/30/20			
1. Total ownership equity (from Statement of Financial Condition - Item 1800)       \$             1.337,641.430       \$             4.343             (0)3490             1.337,641.430       \$             (0)3490             1.337,641.430       \$             (0)3490             1.337,641.430       \$             (0)3490             1.337,641.430       \$             5000             1.337,641.430       \$             1.337,641.430       \$             (3520             1.337,641.430       \$             (3520             1.337,641.430       \$             5000             1.337,641.430       \$             5000             1.337,641.430       \$             5000             1.337,641.430       \$             5000             1.337,641.430       \$             5300             1.337,641.430       \$             5300             1.337,641.430       \$             5300             1.337,641.430       \$             5330             1.337,641.430       \$             5330             1.337,641.430       \$             5330             1.337,641.430       \$             5330             1.337,641.430       \$             5330             1.337,641.430       \$             5330             1.337,641.430       \$             5330             1.337,641.430       \$             5330             1.337,641.430       \$             5330             1.337,641.430       \$             5330             1.337,641.430       \$             5330             1.337,641.430       \$             5330             1.337,641.430       \$             5330             1.337,641.430       \$             5330             1.337,641.430       \$             5330             1.337,641.430       \$             1.337,641.430       \$             1.337,6				νται			
2. Deduct: Ownership equity not allowable for Net Capital       () [3900]         3. Total ownership equity not allowable of general creditors       allowable in computation of net capital       0         A. Liabilities subordinated to claims of general creditors       allowable in computation of net capital       0         B. Other (deductions) or allowable subordinated liabilities       0       35223         S. Total capital and allowable subordinated liabilities       1.337,641,430       35300         A. Total non-allowable subordinated liabilities       1.337,641,430       35300         S. Total capital and allowable subordinated liabilities       1.337,641,430       35300         A. Total non-allowable subordinated notes band C)       \$       340,846,368       35500         1. Additional charges for customers' and       105,389       3550         1. number of items       11       3640       0       35800         1. number of items       0       3470       0       35800         2. Additional charges       0       36300       0       35800         3. Subtement of titems       0       3460       0       35800         1. number of items       0       3470       0       35800         2. Additional charges       0       35800       0       3580	1 Total ownership equity (fre				¢ 1.00		2490
3. Total ownership equity qualified for Net Capital       1.337.641.430       3500         4. Add:       0       3520         A. Liabilities subordinated to claims of general creditors       allowable in computation of net capital       0       3522         B. Other (deductions) or allowable credits (List)       0       3523       0       3523         5. Total conalized condition (Notes B and C)       \$       1.337.641.430       3539         Calad non-allowable sasets from       \$       1.340.048.308       3540         1. Additional charges for customers' and       105.389       3550         2. Additional charges for customers' and       0       3550         2. Additional charges for customers' and       0       3580         1. number of items       11       3460       0       3580         2. Additional charges for customers' and       0       3580       0       3580         1. number of items       0       3470       0       3580       0       3580         2. Additional charges       0       3460       0       3580       0       3580         3. Contracture of items       0       3470       0       3580       0       3580       0       3580       3680       0       3580 <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td>							
4. Add:							
A. Liabilities subordinated to claims of general creditors       allowable in computation of net capital       0       3522         B. Other (deductions) or allowable credits (List)       0       3528       0       3528         S. Total capital and allowable subordinated liabilities       \$       1,337,641,430       3539         S. Deductions and/or charges:       A. Total non-allowable assets from       \$       340,848,368       3549         A. Total non-allowable assets from       \$       340,848,368       3559       3559         2. Additional charges for customers' and       0       3560       0       3560         2. Additional charges for customers' and       0       3560       0       3580         1. number of items       11       3450       0       3580         2. Aged fail-to-deliver:       272,570       3570       0       3600         number of items       0       3460       0       3580         D. Secured demand note deficiency       0       3600       0       3590         D. Secured demand note deficiency       0       3610       0       36300         F. Other deductions and/or charges       0       3610       0       36300         F. Other deductions and/or charges       0		lified for Net Capital	•••••		1,337	7,641,430	3500
B. Other (deductions) or allowable credits (List)		to claims of general creditors	allowable in computati	on of net canital		0	3520
5. Total capital and allowable subordinated liabilities       \$ <ul> <li>1.337,641,430</li> <li>3630</li> </ul> <li>6. Deductions and/or charges:         <ul> <li>A. Total non-allowable assets from</li> <li>Statement of Financial Condition (Notes B and C)</li> <li>\$</li></ul></li>							
6. Deductions and/or charges:							
A. Total non-allowable assets from Statement of Financial Condition (Notes B and C)			•••••		··· \$1,33	7,641,430	3330
Statement of Financial Condition (Notes B and C)       \$ 340,848,368 (3549)         1. Additional charges for customers' and       105,389 (3559)         2. Additional charges for customers' and       0 (3560)         anon-customers' security accounts       0 (3560)         2. Additional charges for customers' and       0 (3560)         non-customers' commodity accounts       0 (3560)         2. Additional charges for customers' and       0 (3560)         1. number of items       11 (3450)         C. Aged fail-to-deliver:       11 (3450)         D. Secured demand note deficiency       0 (3590)         E. Commodity futures contracts and spot commodities -       0 (3590)         proprietary capital charges       0 (3590)         G. Deductions for accounts carried under       27,451,954 (3810)         G. Deductions for accounts carried under       27,451,954 (3810)         Rue 15C3-1(a)(6), (a)(7) and (c)(2)(x)       0 (3615)         H. Total deductions and/or charges       (3680)         7. Other additions and/or allowable positions       \$ (986,963,149) (3640)         9. Haircuts on securities positions       \$ (986,963,149) (3640)         9. Haircuts on securities commitments       \$ (189,952,392) (3660)         9. Subordinated securities commitments       \$ (986,963,149) (3640)         9. Subo	•						
1. Additional charges for customers' and non-customers' security accounts       105.389 [3550]         2. Additional charges for customers' and non-customers' commodity accounts       0 [3560]         B. Aged fail-to-deliver:       272.570 [3570]         1. number of items       11 [3450]         C. Aged short security differences-less       0 [3580]         reserve of       0 [3590]         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       27,451,954 [3610]         G. Deductions for accounts carried under Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x)       0 [3630]         H. Total deductions and/or allowable credits (List)       0 [3630]         8. Net Capital before haircuts on securities positions       9 [3660]         9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)):       A Contractual securities: (computed, where applicable, pursuant to 15c3-1(f)):         A. Contractual securities commitments       189.952.392 [3660]         B. Subordinated securities commitments       25.817.153 [3690]         2. U.S. and Canadian government obligations       25.817.153 [3690]         3. State and municipal government obligations       22.94.04 [3720]         4. Corporate obligations       229.404 [3720]			\$	240 949 269 35	40		
non-customers' security accounts       105,389       3550         2. Additional charges for customers' and non-customers' commodity accounts       0       3560         B. Aged fail-to-deliver:       272,570       3570         1. number of items       11       3450         C. Aged short security differences-less reserve of       0       3580         reserve of       0       3580         D. Secured demand note deficiency       0       3460         D. Secured demand note deficiency       0       3590         E. Commodity futures contracts and spot commodities - proprietary capital charges       27,451,954       3610         G. Deductions and/or charges       27,451,954       3610       (         G. Deductions and/or charges       (       368,678,281       3620         7. Other additions and/or allowable credits (List)       0       3630       (       368,678,281       3620         9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)):       (       368,678,281       3640         9. Baircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)):       \$       189,952,392       3660         9. Subordinated securities commitments       \$       189,952,392       3660         9. Stocks and warrities:       0       3			····Ψ	340,040,300	+0		
2. Additional charges for customers' and non-customers' commodity accounts       0         B. Aged fail-to-deliver:       272,570         1. number of items       11         2. Aged short security differences-less reserve of       11         2. Aged short security differences-less reserve of       0         3590       0         2. Commodity futures contracts and spot commodities - proprietary capital charges       0         9       0         8. Obdetions for accounts carried under Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x)       0         9. Haircuts on securities positions       27,451,954         9. Haircuts on securities positions       0         9. Haircuts on securities positions       968,963,149         9. Haircuts on securities:       0         1. Bankers' acceptances, certificates of deposit and commercial paper       0         1. Bankers' acceptances, certificates of deposit and commercial paper       0         2. U.S. and Canadian government obligations       24,35,116         3. State and municipal government obligations       24,35,116         3. Stocks and warrants       <	-			105 380 35	50		
non-customers' commodity accounts       03560         B. Aged fail-to-deliver:       272,570         1. number of items       113450         C. Aged short security differences-less       03580         reserve of       03590         D. Secured demand note deficiency       03590         E. Commodity futures contracts and spot commodities -       03600         proprietary capital charges       03600         F. Other deductions and/or charges       27,451,954         G. Deductions for accounts carried under       03615         H. Total deductions and/or charges       0         7. Other additions and/or charges       0         9. Haircuts on securities positions       9         9. Haircuts on securities (computed, where applicable,       0         pursuant to 15c3-1(f)):       A. Contractual securities commitments       \$         1. Bankers' acceptances, certificates of deposit       and commercial paper       0         2. U.S. and Canadian government obligations       2435,116       3690         2. U.S. and Canadian government obligations       2435,116       3690         3. State and municipal government obligations       2435,116       3690         3. State and municipal government obligations       22,435,116       3700         4. Corporate o				103,389	50		
B. Aged fail-to-deliver:       272,570         1. number of items       11         3450       0         C. Aged short security differences-less       0         reserve of       \$       3460       0         D. Secured demand note deficiency       0       3550         E. Commodity futures contracts and spot commodities -       0       36800         proprietary capital charges       0       36800         G. Deductions and/or charges       27,451,954       3610         G. Deductions for accounts carried under       0       368,678,281       3620         Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x)       0       3615       0       368,678,281       3620         7. Other additions and/or charges       (       368,678,281       3620       0       36330         9. Haircuts on securities positions       \$       968,963,149       36400       9         9. Haircuts on securities:       (computed, where applicable,       0       3650       3660       3660         9. Haircuts on securities:       0       3670       3660       3670       3680       3680       3680       3680       3680       3680       3680       3680       3680       3680       3680       3680 <td< td=""><td></td><td></td><td></td><td>0 35</td><td>60</td><td></td><td></td></td<>				0 35	60		
1. number of items       11       3450         C. Aged short security differences-less       9460       0       3580         reserve of       \$       0       3470       0       3590         D. Secured demand note deficiency       0       0       3590       0       3590         E. Commodity futures contracts and spot commodities -       0       0       3600       0       3600         F. Other deductions and/or charges       27.451,954       3610       0       368,678,281       3820         G. Deductions for accounts carried under       0       3615       0       36615         H. Total deductions and/or charges       0       3620       0       3630         7. Other additions and/or allowable credits (List)       0       3630       0       3630         9. Haircuts on securities positions       968,963,149       3640       968,963,149       3640         9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)):       0       36570       0       36570         C. Trading and investment securities:       0       3670       0       3680       2,351,118       3700         1. Bankers' acceptances, certificates of deposit and commercial paper       0       368070       2,5817,153	B. Aged fail-to-deliver:			272 570 35			
C. Aged short security differences-less reserve of	1 number of items		11 3450	212,510			
reserve of							
number of items       0       3470       0         D. Secured demand note deficiency       0       3590         E. Commodity futures contracts and spot commodities -       0       3600         proprietary capital charges       0       3600         F. Other deductions and/or charges       27,451,954       3610         G. Deductions for accounts carried under       0       36810         Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x)       0       3615         H. Total deductions and/or charges       (       368,676,281)         7. Other additions and/or allowable credits (List)       0       3630         8. Net Capital before haircuts on securities positions       9       968,963,149       3640         9. Haircuts on securities: (computed, where applicable,       9       968,963,149       3640         9. Haircuts on securities: commitments       \$       189,952,392       3660         B. Subordinated securities commitments       \$       0       3670         C. Trading and investment securities:       0       3670       0       3680         2. U.S. and Canadian government obligations       2,817,153       36800       2,817,153       36800         3. State and municipal government obligations       2,435,118       3700       4. Corporate o			3460	0 35	80		
D. Secured demand note deficiency       0         proprietary capital charges       0         proprietary capital charges       0         Secured demand note deficiency       0         F. Other deductions and/or charges       27,451,954         G. Deductions for accounts carried under       0         Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x)       0         7. Other additions and/or charges       0         8. Net Capital before haircuts on securities positions       968,963,149         968,963,149       3640         9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)):       189,952,392         A. Contractual securities commitments       \$         B. Subordinated securities commitments       \$         B. Subordinated securities:       0         1. Bankers' acceptances, certificates of deposit and commercial paper       0         3. State and municipal government obligations       25,817,153         3. State and municipal government obligations       24,35,118         3. State and warrants       229,404         3. Stocks and warrants       229,404         3620				0			
E. Commodity futures contracts and spot commodities -       0         proprietary capital charges       0         F. Other deductions and/or charges       27,451,954         G. Deductions for accounts carried under       0         Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x)       0         H. Total deductions and/or charges       0         7. Other additions and/or allowable credits (List)       0         8. Net Capital before haircuts on securities positions       968,963,149         9. Haircuts on securities commitments       \$         pursuant to 15c3-1(f)):       4. Contractual securities commitments         A. Contractual securities borrowings       0         0. Trading and investment securities:       0         1. Bankers' acceptances, certificates of deposit       0         3. State and municipal government obligations       2,435,118         3. State and municipal government obligations       2,435,118         3. Stocks and warrants       229,404         3. Stocks and warrants       229,404				0 35	90		
proprietary capital charges0F. Other deductions and/or charges27,451,954G. Deductions for accounts carried under27,451,954Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x)0I. Total deductions and/or charges(368,678,281H. Total deductions and/or charges(368,678,281J. Other additions and/or allowable credits (List)08. Net Capital before haircuts on securities positions968,963,1499. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)):189,952,392A. Contractual securities commitments\$1. Bankers' acceptances, certificates of deposit and commercial paper03. State and municipal government obligations2,435,1183. State and municipal government obligations2,435,1183. Stocks and warrants229,40437206. Options0. Options0			·····	0 0	50		
F. Other deductions and/or charges       27,451,954       3610         G. Deductions for accounts carried under       0       3615         Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x)       0       3615         H. Total deductions and/or charges       0       3630         7. Other additions and/or allowable credits (List)       0       3630         8. Net Capital before haircuts on securities positions       968,963,149       3640         9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)):       189,952,392       3660         B. Subordinated securities borrowings       0       3670         C. Trading and investment securities:       0       3680         1. Bankers' acceptances, certificates of deposit and commercial paper       0       3680         2. U.S. and Canadian government obligations       2435,118       3700         3. State and municipal government obligations       2435,118       3700         4. Corporate obligations       171,899,942       3710         5. Stocks and warrants       229,404       3720         6. Options       0       3730	-	-		036	00		
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)         8. Net Capital before haircuts on securities positions         9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)):         A. Contractual securities commitments         9. Subordinated securities commitments         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         2. Options							
Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x)       0 3615         H. Total deductions and/or charges       ( 368,678,281)3620         7. Other additions and/or allowable credits (List)       0 3630         8. Net Capital before haircuts on securities positions       968,963,149         9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)):       189,952,392         A. Contractual securities commitments       0 3670         C. Trading and investment securities:       0 3680         2. U.S. and Canadian government obligations       25,817,153         3. State and municipal government obligations       24,35,118         3. Stocks and warrants       229,404         5. Stocks and warrants       229,404         6. Options       0 3730				27,451,954			
H. Total deductions and/or charges       (       368,678,281)       3620         7. Other additions and/or allowable credits (List)       0       3630         8. Net Capital before haircuts on securities positions       968,963,149       3640         9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)):       968,963,149       3640         A. Contractual securities commitments       \$       189,952,392       3660         B. Subordinated securities borrowings       0       3670       0       3670         C. Trading and investment securities:       0       3680       0       3670         2. U.S. and Canadian government obligations       25,817,153       3690       3. State and municipal government obligations       2435,118       3700         4. Corporate obligations       171,899,942       3710       3720       3730	-			0 36	15		
7. Other additions and/or allowable credits (List)						0.070.004	3620
8. Net Capital before haircuts on securities positions       \$ 968,963,149       3640         9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)):       \$ 189,952,392       3660         B. Subordinated securities commitments       \$ 0       3670         C. Trading and investment securities:       0       3680         1. Bankers' acceptances, certificates of deposit and commercial paper       0       3680         2. U.S. and Canadian government obligations       25,817,153       3690         3. State and municipal government obligations       21,435,118       3700         4. Corporate obligations       171,899,942       3710         5. Stocks and warrants       229,404       3720         6. Options       0       3730							
9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)):         A. Contractual securities commitments       \$ 189,952,392         B. Subordinated securities borrowings       0         C. Trading and investment securities:       0         1. Bankers' acceptances, certificates of deposit       0         and commercial paper       0         2. U.S. and Canadian government obligations       25,817,153         3. State and municipal government obligations       2,435,118         4. Corporate obligations       171,899,942         5. Stocks and warrants       229,404         6. Options       0							
pursuant to 15c3-1(f)):A. Contractual securities commitmentsB. Subordinated securities borrowings00C. Trading and investment securities:1. Bankers' acceptances, certificates of depositand commercial paper036802. U.S. and Canadian government obligations3. State and municipal government obligations2.435,11837004. Corporate obligations5. Stocks and warrants6. Options0						5,905,149	0040
A. Contractual securities commitments\$ 189,952,3923660B. Subordinated securities borrowings003670C. Trading and investment securities:036701. Bankers' acceptances, certificates of deposit036802. U.S. and Canadian government obligations25,817,15336903. State and municipal government obligations2,435,11837004. Corporate obligations171,899,94237105. Stocks and warrants03730		inputed, where applicable,					
B. Subordinated securities borrowings       0         C. Trading and investment securities:       0         1. Bankers' acceptances, certificates of deposit       0         and commercial paper       0         2. U.S. and Canadian government obligations       25,817,153         3. State and municipal government obligations       2,435,118         4. Corporate obligations       171,899,942         5. Stocks and warrants       229,404         6. Options       0		commitments	\$	180 052 302 36	60		
C. Trading and investment securities:         1. Bankers' acceptances, certificates of deposit         and commercial paper       0 3680         2. U.S. and Canadian government obligations       25,817,153 3690         3. State and municipal government obligations       2,435,118 3700         4. Corporate obligations       171,899,942 3710         5. Stocks and warrants       229,404 3720         6. Options       0 3730				· · · · · ·			
1. Bankers' acceptances, certificates of deposit and commercial paper02. U.S. and Canadian government obligations25,817,1533. State and municipal government obligations2,435,1184. Corporate obligations171,899,9425. Stocks and warrants229,4046. Options03. State and municipal government				0 0			
and commercial paper02. U.S. and Canadian government obligations25,817,1533. State and municipal government obligations2,435,1184. Corporate obligations171,899,9425. Stocks and warrants229,4046. Options0	-						
2. U.S. and Canadian government obligations       25,817,153       3690         3. State and municipal government obligations       2,435,118       3700         4. Corporate obligations       171,899,942       3710         5. Stocks and warrants       229,404       3720         6. Options       0       3730	•	· ·		0 36	80		
3. State and municipal government obligations       2,435,118       3700         4. Corporate obligations       171,899,942       3710         5. Stocks and warrants       229,404       3720         6. Options       0       3730							
4. Corporate obligations       171,899,942       3710         5. Stocks and warrants       229,404       3720         6. Options       0       3730							
5. Stocks and warrants       229,404       3720         6. Options       0       3730							
6. Options0 3730							
8. Other securities							
D. Undue concentration0 3650							
E. Other (List)						8,537,127	) 3740

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3756

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3780

0700

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT

PART II

TRUIST SECURITIES, INC.

**BROKER OR DEALER** 

Part A

Part B

as of

09/30/20

11. Minimal net capital required (6-2/3% of line 19)	\$
12. Minimum dollar net capital requirement of reporting broker or dealer and minimum net capital requirement	
of subsidiaries computed in accordance with Note (A)	\$
13. Net capital requirement (greater of line 11 or 12)	\$
14. Excess net capital (line 10 less 13)	\$
15. Net capital less greater of 10% of line 19 or 120% of line 12	\$
COMPUTATION OF AGGREGATE INDEBTEDNESS	

COMPUTATION OF BASIC NET CAPITAL REQUIREMENT

16. Total A.I. liabilities from Statement of Financial Condition \$	3790
17. Add:	
A. Drafts for immediate credit 3800	
B. Market value of securities borrowed for which no	
equivalent value is paid or credited 3810	
C. Other unrecorded amounts (List) 3820 \$	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)	
21. Percentage of aggregate indebtedness to net capital after anticipated capital withdrawals	
(line 19 divided by line 10 less item 4880 page 12) %	3853

### 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	395,258 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) \$	569,426,022 3910
26. Percentage of Net Capital to Aggregate Debits (line 10 divided by line 18 page 8)	2886.35 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)%	2886.35 3854
28. Net capital in excess of the greater of:	
5% of combined aggregate debit items or 120% of minimum net capital requirement	569,226,022 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	
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

2020-10-26 05:08PM EDT

Status: Accepted

PART II

BROKER OR DEALERFor the period (MMDDYY) from07/01/203932to09/30/203933TRUIST SECURITIES, INC.Number of months included in this statement3333

# 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:		
	\$	4,842,563 3935
b. Commissions on transactions in exchange listed equity securities executed over-the-counter	· · · · · · · · · · · · · · · · · · ·	3,861,018 3937
c. Commissions on listed option transactions		0 3938
d. All other securities commissions		3,017,767 3939
e. Total securities commissions		11,721,348 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	· · · · · · · · · · · · · · · · · · ·	16,045,276 3944
c. From market making in options on a national securities exchange		0 3945
d. From all other trading		(950,602) 3949
e. Total gains or (losses)		15,094,674 3950
3. Gains or losses on firm securities investment accounts		
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		126,271,776 3955
a. Includes underwriting income from corporate equity securities	40,762,768 4237	120,211,110 0000
5. Margin interest		0 3960
6. Revenue from sale of investment company shares		0 3970
	····· · · · · · · · · · · · · · · · ·	18,184 3975
8. Revenue from research services		53,922 3980
		0 3990
		51,535,077 3985
11. Other revenue	·	0 3995
12. Total revenue	····· \$	204,694,981 4030
EXPENSES	•	
13. Registered representatives' compensation		70,714,952 4110
14. Clerical and administrative employees' expenses	· · · · · · · · · · · · · · · · · · ·	0 4040
	· · · · · · · · · · · · · · · · · · ·	0 4120
a. Includes interest credited to General and Limited Partners capital accounts		
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		83,784 4060
20. Occupancy and equipment costs		10,312,055 4080
21. Promotional costs		(466,986) 4150
22. Interest expense		4,543,824 4075
a. Includes interest on accounts subject to subordination agreements	0 4070	4,545,624 4070
23. Losses in error account and bad debts		68,266 4170
24. Data processing costs (including service bureau service charges)		10,596,306 4186
25. Non-recurring charges		0 4190
26. Regulatory fees and expenses		1,250,335 4195
27. Other expenses		
28. Total expenses		30,098,542 4100
NET INCOME/COMPREHENSIVE INCOME	φ	127,201,078 4200
29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28)	\$	77,493,903 4210
30. Provision for Federal Income taxes (for parent only)		
31. Equity in earnings (losses) of unconsolidated subsidiaries not included above		0 4222
a. After Federal income taxes of		0 4222
32. [RESERVED]	0 4230	
a. [RESERVED]		
33. [RESERVED]		
34. Net income (loss) after Federal income taxes	· · · · · · · · · · · · · · · \$	62,460,968 4230
35. Other Comprehensive income (loss)		0 4226
a. After Federal income taxes of	0 4227	
36. Comprehensive income (loss)	\$	62,460,968 4228
		, , <del></del>
MONTHLY INCOME		·
37. Income (current month only) before provision for Federal income taxes		33,958,491 4211

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT PART II

2020-10-26 05:08PM EDT Status: Accepted

		PARTI			L	
Ī	BROKER OR DEALER		_			
	TRUIST SECURITIES, INC.		as of	09/30/20	-	
L	FORMULA FOR	DETERMINATION OF CUSTOME OF BROKERS AND DEALERS (See Rule 15c3-3, Exhibit A ar	UNDER RULE 15		MENTS	
CF	EDIT BALANCES		,			
	ree credit balances and other credit					
	ecurity accounts (See Note A)		<sup>\$</sup>	0 4340		
				0 4350		
3. N	Ionies payable against customers	' securities loaned (See Note C)	· · · · · ·	0 4360		
		re (See Note D)				
5. C . p	redit balances in firm accounts w rincipal sales to customers	hich are attributable to		0 4380		
re	larket value of stock dividends, stoc eceivable outstanding over 30 calen	dar days		0 4390		
7. *	* Market value of short security co	ount differences over 30 calendar days old		0 4400		
8. *	* Market value of short securities an	nd credits (not to be offset by longs or by				
9. N		r 30 calendar days in transfer in excess of 40 calendar days		2,428,690 4410		
				0 4420		
11.					3,542,479	4430
12.		h and margin accounts excluding unsecured collection (See Note E)		0 4440		
	to make delivery on customers' sec	nort sales by customers and securities born urities failed to deliver				
		rities not older than 30 calendar days		19,762,883 4460		
15.	Margin required and on deposit with option contracts written or purchase	n the Options Clearing Corporation for all ed in customer accounts (See Note F)		0 4465		
	under section 17A of the Act (15 U. registered with the Commodity Futu Exchange Act (7 U.S.C. 7a-1) relate or sold in customer accounts: (1) se (and options thereon) carried in a s	n a clearing agency registered with the Comr S.C. 78q-1) or a derivatives clearing organiz- ures Trading Commission under section 5b or ed to the following types of positions written, ecurity futures products and (2) futures contra- ecurities account pursuant to an SRO portfo	ation f the Commodity purchased acts lio mar-	4467		
17.	Other (List)			0 4469		
		only - şee Rule 15c3-1(a)(1)(ii))				
	SERVE COMPUTATION			· · · · · · _	19,169,997	4472
		redits (line 20 less line 11)				
		bits (line 11 less line 20)		· · · · · · _	0	4490
	If computation is made monthly as percess of total credits over total det	bits				4500
24.	Amount held on deposit in "Reser \$ 30 129 900 4505 val	ve Bank Account(s)", including lue of qualified securities, at end of repor	ting period		30,129,900	4510
25.	Amount of deposit (or withdrawal) ir			· · · · · · _	00,120,000	
	\$ <u>0</u> [4515] val	ue of qualified securities			0	4520
26.	New amount in Reserve Bank Acc	count(s) after adding deposit or subtracting				
		lue of qualified securities			· · · · · · · · · · · · · · · · · · ·	
27.	Date of deposit (MMDDYY)			· · · · · · _	03/16/20	4540
FR	EQUENCY OF COMPUTAT	ION			OMIT PENNIES	
28.	Daily 4332 Week	kly χ 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

2020-10-26 05:08PM EDT Status: Accepted

BROKER OR DEALER			
TRUIST SECURITIES, INC.	as of	09/30/20	
FORMULA FOR DETERMINATION OF PAB ACCOUN OF BROKERS AND DEALERS UNDE (See Rule 15c3-3, Exhibit A and R	ER RULE 15c3-3	QUIREMENTS	
CREDIT BALANCES			
1. Free credit balances and other credit balances in PAB security accounts			
(See Note A)         2. Monies borrowed       collateralized by securities carried for the accounts of PAB         (See Note B)		2110	
3. Monies payable against PAB securities loaned (See Note C)		2130	
4. PAB securities failed to receive (See Note D)		2140	
5. Credit balances in firm accounts which are attributable to principal sales to PAB		2150	
6. Market value of stock dividends, stock splits and similar distributions receivable outstanding over 30 calendar days		2152	
7. ** Market value of short security count differences over 30 calendar days old		2154	
8. ** Market value of short securities and credits (not to be offset by longs or by debits) in all suspense accounts over 30 calendar days		2156	
9. Market value of securities which are in transfer in excess of 40 calendar			
days and have not been confirmed to be in transfer by the transfer agent			
or the issuer during the 40 days		2158	
10. Other (List)		2160	
11. TOTAL PAB CREDITS DEBIT BALANCES 12. Dabit balances in DAB cach and matrix accounts evaluating unsequend		· · · · · <sup>\$</sup>	2170
12. Debit balances in PAB cash and margin accounts excluding unsecured accounts and accounts doubtful of collection (See Note E)	Ś	2180	
13. Securities borrowed to effectuate short sales by PAB and securities	'		
borrowed to make delivery on PAB securities failed to deliver		2190	
14. Failed to deliver of PAB securities not older than 30 calendar days		2200	
15. Margin required and on deposit with the Options Clearing Corporation for			
all option contracts written or purchased in PAB accounts (See Note F)		2210	
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 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	
17. Other (List)		2220	
18. TOTAL PAB DEBITS			2230
RESERVE COMPUTATION		· · · · · · <u> </u>	
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)			
21. Excess debits in customer reserve formula computation			
22. PAB Reserve Requirement (line 20 less line 21)			
23. Amount held on deposit in "Reserve Bank Account(s)", including			
\$ 2275 value of qualified securities, at end of reporting period	1		2280
24. Amount of deposit       (or withdrawal) including         \$			2290
25. New amount in Reserve Bank Account(s) after adding deposit or subtracting withd		· · · · -	
\$	-	Ś	2300
26. Date of deposit (MMDDYY)			2310
FREQUENCY OF COMPUTATION		O	MIT PENNIES
27. Daily         2315         Weekly         2320         Monthly	2330		

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

.

\*\* 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

Г				
	BROKER OR DEALER			
-	TRUIST SECURITIES, INC. as of	09/30/20		
_	COMPUTATION FOR DETERMINATION OF RESERVE R FOR BROKER-DEALERS UNDER RULE 15c3-3 (c		S	
ΕX	EMPTIVE PROVISIONS			
A E	If an exemption from Rule 15c3-3 is claimed, identify below the section upon which such 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 C. (k) (2)(ii)-All customer transactions cleared through another broker-dealer on a fully disc	· · · · · · · · · · · · · \$		4550 4560
	Name(s) of Clearing Firm(s) - Please separate multiple names with a semi-colon			
		4335		4570
0	D. (k) (3)-Exempted by order of the Commission	 		4580
Sta	Information for Possession or Control Requirements Unden the market valuation and the number of items of:	er Rule 15c3-3	<u>}</u>	
	Customers' fully paid securities and excess margin securities not in the respondent's poss or control as of the report date (for which instructions to reduce to possession or contro been issued as of the report date) but for which the required action was not taken by re within the time frames specified under Rule 15c3-3. Notes A and B	ol had espondent \$_		4586
	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 arise from "temporary lags which result from normal business operations" as permitted under Rule 15c3-3. Notes B,C and D	uce sing er		4588
ļ	A. Number of items	\$_	OMIT PENNIES	4589
3.1	The system and procedures utilized in complying with the requirement to maintain physica control of customers' fully paid and excess margin securities have been tested and are manner adequate to fulfill the requirements of Rule 15c3-3 YesX	•		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.

09/30/20

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 DEALER	as of	00/20/20
TRUIST SECURITIES, INC.	as or	09/30/20
STATEMENT OF SEGREGATION REQUIREMENTS AND F		

#### IALEMENT GREGATIC FOR CUSTOMERS' DEALER OPTIONS ACCOUNTS

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

2020-10-26 05:08PM EDT

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

as of

PART II

BROKER OR DEALER	
TRUIST SECURITIES, INC.	

09/30/20

STATEMENT OF SECURED	AMOUNTS AND FU	NDS HELD IN SEPARATE ACC	COUNTS
PURSUAN	T 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 forei or a rule of a self-regulatory organization authorized thereunder	gn government	\$ 7305
1. Net ledger balance - Foreign Futures and Foreign Option Trading - All Cus	tomers	
A. Cash		\$ 7315
B. Securities (at market)		 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	trade	 7335
B. Market value of open contracts granted (sold) on a foreign board of trad	le	 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	\$7351	
Less: amount offset by customer owned securities	()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

SUPPLEMENT TO FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT

Part II

BROKER OR DEALER		
TRUIST SECURITIES, INC.	as of09/30/20	
STATEMENT OF SECURED AMOUNTS AND PURSUANT TO COMMISSI		
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 \$7	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
		1570
3. Equities with registered futures commission merchants A. Cash	\$ 7580	
B. Securities		
	7590	
C. Unrealized gain (loss) on open futures contracts D. Value of long option contracts	7610	
E. Value of short option contracts		7620
4. Amounts held by clearing organizations of foreign boards of trade	()[1015][1	1020
Name(s):7630		
A. Cash	\$ 7640	
B. Securities	* <u>7640</u> 7650	
C. Amount due to (from) clearing organizations - daily variation	7660	
D. Value of long option contracts	7670	
E. Value of short option contracts		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 trade Name(s): 7750	_	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 Line		·
Statement page T10-3 from Line 8)	_	7380
10. Management Target Amount for Excess funds in separate section 30.7		7780
11. Excess (deficiency) funds in separate 30.7 accounts over (under) Mana		7785

Page T10-4

SUPPLEMENT TO FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT

PART II

BROKER OR DEALER TRUIST SECURITIES, INC. as of

09/30/20

# 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)			8700
C. Securities held for particular cleared swaps customers in lieu of cash (at market)			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
<ul> <li>15. Management Target Amount for Excess funds in cleared swaps segregated accounts</li> <li>16. Excess (deficiency) funds in cleared swaps customer segregated accounts over</li> </ul>		\$	8760

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

В	ROKER OR DEALER		
	RUIST SECURITIES, INC.	as of	09/30/20
Ľ			
	COMPUTATION OF CFTC MINIMUM NET CAPITAL REQUIRE	MENT	
et Cap	ital required		
Risk-	Based Requirement		
i A	mount of Customer Risk		
	laintenance Margin requirement 7415		
ii. E	inter 8% of line A.i	7425	
iii. A	Amount of Non-Customer Risk		
Ν	laintenance Margin requirement 7435		
iv.	Enter 8% of line A.iii	7445	
v. <i>A</i>	Add lines A.ii and A.iv.	7455	
Minim	num Dollar Amount Requirement	7465	
. Other	· NFA Requirement	7475	
Minim	num CFTC Net Capital Requirement.		
	the greatest of lines A, B or C		
ote:	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.		
FTC E	arly Warning Level		[
ote:	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		

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

# FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT

2020-10-26 05:08PM EDT Status: Accepted

PART II

BROKER OR DEALER		
TRUIST SECURITIES, INC.	as of	09/30/20
,		

#### 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

PARTI	
BROKER OR DEALER	
TRUIST SECURITIES, INC.	as of09/30/20
RECAP	
Ownership Equity and Subordinated Liabilities maturing or proposed to be withdrawn within the next six months and accruals, which have not been deducted in the computation of Net Capital.	)
1. Equity Capital	
A. Partnership Capital:       1. General Partners       4700         2. Limited       4700	
2. Limited       4710         3. Undistributed Profits       4720	
4. Other (describe below)       4730         5. Sole Proprietorship       4735         B. Corporation Capital:       4735	
1. Common Stock       4740         2. Preferred Stock       4750	
3. Retained Earnings (Dividends and Other)         4760           4. Other (describe below)         4770	
2. Subordinated Liabilities	
A. Secured Demand Notes       4780         B. Cash Subordinations       4790         C. Debentures       4800         D. Other (describe below)       4810	
3. Other Anticipated Withdrawals_	
A. Bonuses       4820         B. Voluntary Contributions to Pension or Profit Sharing Plans       4860         C. Other (describe below)       4870	4880
Total         \$           4. Description of Other	[4880]

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

1. Balance, beginning of period	\$ 1,237,386,260 4240
A. Net income (loss)	 62,460,968 4250
B. Additions (Includes non-conforming capital of	37,853,917 4260
C. Deductions (Includes non-conforming capital of \$ 4272)	59,715 4270
2. Balance, end of period (From Item 1800)	\$ 1.337.641.430 4290

## STATEMENT OF CHANGES IN LIABILITIES SUBORDINATED TO CLAIMS OF GENERAL CREDITORS

3. Balance, beginning of	period\$	0 4300
A. Increases		0 4310
B. Decreases		0) 4320
4. Balance, end of period	(From item 3520) \$	0 4330
	-	

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FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT

	PART	I		
BROKER OR DEALER				
TRUIST SECURITIES, INC.		as of	09/30/20	
FI	NANCIAL AND OPE	RATIONAL DATA		
1. Month end total number of stock record breaks unres	olved over three busine	ess days. Val	uation	Number
A. breaks long		\$	0 4890	0 4900
B. breaks short		\$	0 4910	0 4920
2. Is the firm in compliance with Rule 17a-13 regarding	periodic count and			
verification of securities positions and locations at le calendar quarter ? (Check one)A) If response is negative attach explanation of steps			4930	No 4940
3. Personnel employed at end of reporting period:				
A. Income producing personnel				330 4950
B. Non-income producing personnel (all other) C. Total				217 4960 547 4970
4. Actual number of tickets executed during current mor				1,304,434 4980
5. Number of corrected customer confirmations mailed				119 4990
<u>No. c</u>	of Items Debit (S	hort Value) No. o	Items	Credit (Long Value)
6. Money differences <u>0</u>	5000 \$ <sub>0</sub>	5010 <sub>0</sub>	5020 \$ <u>0</u>	5030
7. Security suspense accounts	5040 \$	5050	5060 \$	5070
8. Security difference accounts	5080 \$	5090	5100 \$	5110
9. Commodity suspense accounts	5120 \$	5130	5140 \$	5150
other brokers, clearing organizations, depositories and interoffice and intercompany accounts which could result in a charge-unresolved amounts over 30 calendar days	5160 \$	5170	5180 \$	5190
11. Bank account reconciliations-unresolved				
amounts over 30 calendar days 0	5200 \$ <sub>0</sub>	5210 0	5220 \$ <u>0</u>	5230
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
	No. of	Items Ledge	er Amount	Market Value
15. Failed to deliver 5 business days or longer (21 busin	less	5360 \$	<b>E261</b>	5262
days or longer in the case of Municipal Securities) 16. Failed to receive 5 business days or longer (21 busi	ness		5361	5362
days or longer in the case of Municipal Securities)	· · · · · · · · · · · · · · · · · · ·	5363 \$	5364 \$	5365
17. Security concentrations (See instructions in Part I):			¢	5070
1 ,1				0 5370
			· · · · · · · · · · · · · · · · · · ·	<u>0</u> 5374 5378
<ol> <li>Total of personal capital borrowings due within six n</li> <li>Maximum haircuts on underwriting commitments du</li> </ol>			· · · · · · · · · · · · · · · · · · ·	
20. Planned capital expenditures for business expansio	•		· · · · · · · · · · · · · · · · · · ·	269,175,961 5380 5382
	aranteed by respondent			5384
22. Lease and rentals payable within one year			· · · · · · · · · · · · · · · · · · ·	15,792,316 5386
23. Aggregate lease and rental commitments payable for			· · · · · · · · · · · · · · · · · · ·	10,7 02,010 [0000]
			\$	58,547,563 5388
B. Net			\$	5390

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

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FINANCIAL AND OPERATIONAL DATA Operational Deductions From Capital (Note A)           I         II         III         IV           No. of         Debits         Credits         In Computing           Items         0 5610 \$         6810 \$         6010 \$         6           Security suspense and differences with related         0 5620         5820         6020         6           Market value of short and long security suspense and differences with related         0 5630         5830         6030         6           Market value of short and long security suspense and differences with out related money         0 5630         5830         6030         6           Market value of security record breaks         0 5640         5840         6040         6           Market value of security record breaks         0 5640         5840         6040         6           Durresolved reconciling differences with others:         L         0 5655         0 8655         0 8655         0 6055         0 6055         0 6           A. Crerespondents and Broker/Dealers         L         0 5660         0 5880         0 60560         0 6         6           D. Inter-company Accounts         0 5660         0 6880         0 6000         0 6         6         0 6         0 6	TRUIST SECURITIES, INC.				as of	09/30/20	)	
Operational Deductions From Capital (Note A)         I       II       IV       Deductions         No. of       Debits       Cread its       Incomputing         Security supprese and balancing differences       0 [560) \$       [5810] \$       [6010] \$       [5820]       [602]       [602]       [6020]       [6020]       [6020]       [6020]       [6020]       [6020]       <								
I         II         IV           No. of         Debts         Credits         In Computing           Money suppense and bilancing differences         0         9510         \$         9520         \$								
No. of Items         Defits (Short Value)         Defits (Log	Opera	ational Deductions	From Capital	(Note A	,			
No. of Items         Dables (Short Value)         Credits         In Computing (Long Value)           Money suspense and differences with related         0         5620         5820         6620         6           Security suspense and differences with related         0         6620         5820         6620         6           Money balances         0         0         5820         6620         6         6           Market value of short and long security sus- pense and differences with related money (their than reported breaks         0         6630         6		I	II		111			
Items         (Short Value)         (Long Value)         Net Capital          Monay supense and balancing		No. of	Debite		Credits			
Money suspense and balancing differences       0       6610 \$       5910 \$       6910 \$				)		<del>,</del> )		
Executivy supernear and differences with related money balances - L 0 (6620) (5820) (5025)	Management in the law stress diffe		,		(Long value	, 	•	004
money balances         L         0         6620         6820         6020         5           0. Market value of short and long security sus- pense and differences without related money (other than reported in line 4, below)         0         6530	-	0 5610	δ	5810 \$		6010 \$		601
S         0         5625         5625         6025         6           Arfset value of short and long security sus- pense and differences without related morey (other than reported in line 4, below)         0         5530         5550         6030         6           A correspondents and Broker/Dealers         L         0         5550         0         6555         0         6555         0         6555         0         6555         0         6555         0         6555         0         6555         0         6555         0         6555         0         6555         0         6555         0         6555         0         6550         0         5550         0         5550         0         5550<		0 5620		5920		6020		602
Market value of short and long security sus- pense and differences without related money (wher than reported in line 4, below)       0       6530       6530       6030       6         Market value of security record breaks       0       6640       (5840)       (6040)       6         Unresolved inconciling differences with others:       0       6655       0       6555       0       6555       0       6555       0       6555       0       6555       0       6555       0       6555       0       6555       0       6555       0       6557       0       6770       0       6	· · · · · · · · · · · · · · · · · · ·		· · · · · · · · · · · · · · · · · · ·					602
pense and differences without related money       0       5530       5530       6030       6         (whart value of security record breaks       0       5640       5640       5640       6         A Correspondents and Broken/Dealers       L       0       5650       0       6550       0       6         A Correspondents and Broken/Dealers       L       0       5650       0       6550       0       6       0       6       0       6       0       6       0       6       0       6       0       6       0       6       0       6       0       6       0       6       0       6       0       0       6       0       6       0       6       0       6       0       6       0       6       0       0       6       0       0       6       0       0       5       0       6       0       0       5       0       6       0       0       5       0       0       5       0       0       5       0       0       5       0       0       5       0       0       5       0       0       5       0       0       5       0       0		0[3023]		5025		0025		. 1002
content percent in line 4, below)         0         6530         5330         6030         6040								
Market value of security record breaks       0       6640       6040       6040       6         Unresolved reconciling differences with others:       L       0       6550       0       6553       0       6553       0       6         A Correspondents and Broker/Dealers       L       0       6570       0       5570       0       6075       0       6       0       6       0       6       0       6       0       6       0       6       0       6       0       6       0       6       0       6       0       <		0 5630		5830		6030		603
Unresolved reconciling differences with others:								604
A Correspondents and Broker/DealersL 0 [550] 0 [550] 0 [555] 0 [6055] 0 [6056] 0 [6 B. Depositories	-	0 0040		0040		0040		. 1004
S       0       5555       0       5555       0       5555       0       5555       0       5555       0       5555       0       5555       0       5570       5       6170       5       0       5570       5       5770       5       5970       5       6170       5       0       5570       5       5770       5       5970       5       6170       5       0       5570       5       5770 </td <td>-</td> <td>0 5650</td> <td>l o</td> <td>5850</td> <td>0</td> <td>6050</td> <td>0</td> <td>605</td>	-	0 5650	l o	5850	0	6050	0	605
B. Depositories       0       5650       0       5670       0       5670       0       6070       0       6         C. Clearing Organizations       0       6675       0       5677       0       6070       0       6         D. Inter-company Accounts       0       5680       0       5680       0       6090       0       6         E. Bank Accounts and Loans       0       5690       0       5690       0       6 <td< td=""><td>S</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></td<>	S							
C. Clearing Organizations       L       0       5670       0       5675       0       9070       0       6         D. Inter-company Accounts       0       5660       0       5875       0       9075       0       6         E. Bank Accounts and Loans       0       5660       0       5880       0       9075       0       6         F. Other       0       5700       0       5990       0       6100       0       6         G. (Offsetting) Items A through F.       0       5720       0       5990       0       6130       0       6         Commotify Differences       05720       0       5940       6140       6 <t< td=""><td>B. Depositories</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></t<>	B. Depositories							
S       0       6575       0       6075       0       6170       0       5075       0       6170       0       5075       0       5170       0       5975       6175       5       6       5075       0       5175       5       6175       5       0       6       6       0       0       6       5075       5       6175       5       6       5075       6       6175       5       0       6       6       5075       0       5075       5       6       6       5075       0       6       6       6 <td>C. Clearing Organizations</td> <td>0 5670</td> <td></td> <td>5870</td> <td></td> <td>6070</td> <td>0</td> <td>607</td>	C. Clearing Organizations	0 5670		5870		6070	0	607
D. Inter-company Accounts       0       6680       0       6080       0       6080       0       6         E. Bank Accounts and Leans       0       5700       0       5800       0       6000       0       6         F. Other       0       5770       0       5800       0       6000       0       6         G. (Offsetting) Items A. through F.       0       5770       0       5920       0       6130       0       6         Commodity Differences       0       5770       0       5920       0       6140       6       6         Commodity Differences       0       5770       0       5970       0       6170       0       6         Commodity Differences       0       5770       0       5970       0       6170       0       6         Items over 40 days not confirmed or       0       5770       5       5975       6       6160       6       6       7770       5       5975       6       6160       5       273       6       6       6       6       6       6       6       6       6       6       6       6       6       6       6       6	S					6075		
E. Bank Accounts and Leans	D. Inter-company Accounts			5880		6080	C	608
G. (Offsetting) Items A. through F.       0	E. Bank Accounts and Loans			5890	0	6090	C	609
TOTAL Line 5       0       5730       0       5930       0       6130       0       6         3. Commodity Differences       5740       5940       6140       6       6         0. Open transfers and reorganization account       5740       5940       6140       6       6         verified       0       5740       5960       6160       6       6         0. Lines 16. resolved subsequent to report       0       5770       5       6170       5       6<	F. Other		0				C	610
Commodity Differences       5740       5940       6140       6         Open transfers and reorganization account items over 40 days not confirmed or verified       5760       5960       6160       6         3. TOTAL (Line 1-7.)       0       05770       \$0       5970       \$0       6170       \$0       6         0. Aged Fails       -to deliver       0       5775       \$       6175       \$       6       6       6       6       5785       \$       6175       \$       6       6       6       5       273       \$       6       6       6       6       5       273       \$       6       6       6       5       273       \$       6       6       6       5       273       \$       6       6       6       6       0       5       273       \$       6       6       6       0       6       6       6       0       6       6       0       6       6       0       6       6       0       6       6       0       0       6       6       0       0       6       0       0       0       0       0       0       0       0       0       0       0	G. (Offsetting) Items A. through F.		(0)	5920 (	()	6120		
Open transfers and reorganization account items over 40 days not confirmed or verified	TOTAL Line 5	0 5730	0	5930	0	6130	(	613
Items over 40 days not confirmed or verified		5740		5940		6140		614
verified       5760       5960       6160       6         . TOTAL (Line 17.)       0 (5770) \$       0 (5770) \$       0 (5770) \$       0 (6170) \$       0 (6170) \$       0 (6170) \$       0 (6170) \$       0 (6170) \$       0 (6170) \$       0 (6170) \$       0 (6170) \$       0 (6170) \$       0 (6170) \$       0 (6170) \$       0 (6180) \$       2733 (6000) \$       0 (5980) \$       1,620 (6180) \$       2733 (6000) \$       0 (0010 000's)       0 (0010 00's)       0 (0011 000's)       0 (0011 001's)       0 (001								
1. TOTAL (Line 17.)       0 (5770) \$       0 (5970) \$       0 (6170) \$       0         0. Lines 16. resolved subsequent to report       0       59770) \$       0 (5970) \$       0 (6170) \$       0         0. Aged Fails       -to deliver       11 (5780) \$       0 (5980) \$       1,620 (6180) \$       2773 (6 (6180) \$       0         0. Aged Fails       -to receive       0 (5785) \$       0 (5986) \$       0 (6180) \$       2773 (6 (6 (6180) \$       2773 (6 (6 (6180) \$       2773 (6 (6 (6180) \$       2773 (6 (6 (6180) \$       2773 (6 (6 (6 (6 (6 (6 (6 (6 (6 (6 (6 (6 (6								
1. Lines 16. resolved subsequent to report       5775       5975       6175       6         0. Aged Fails       -to deliver       115780       0       5980       1.620       6180       273       6         0. Aged Fails       -to deliver       0       5785       0       5980       1.620       6180       273       6								616
date		0 5770	\$0	5970 \$	0	6170 \$	0	617
10. Aged Fails       -to deliver       115730       0       5980       1,620       6180       \$       273       6		5775	¢	5075 ¢		6175 ¢		617
to receive								
(Omit 000's)       (Omit 000's)       (Omit 000's)       (Omit Pennies)         NOTE A - This section must be completed as follows:       1. All member organizations must complete olumn IV, lines 1. through 8. and 10., reporting deductions form 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 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: <ul> <li>a. the parameters cited in 2.b. above exist, and</li> <li>b. the total deduction, line 8. column IV, for the current month exceeds the total deductions for the prior month by 50% or more.</li> <li>4. All columns and line items (1. through 10.) must be answered if required. If respondent has nothing to report enter -0</li> </ul> Dther Operational Data (Items 1., 2. and 3. below require an answer) teem 1. Have the accounts enumerated on line 5.A. through F. above been reconciled with statements received from others within 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 difference been appropriately comprehended in the computation of net capital at the report date? If this No       Yes X       \$5000         tem 2. Do the respondent's books reflect a concentrated position (See Instruction) in commodities? If yes report the totals (\$000 omited) in accordance with the specific instructions; if No					/			
<ul> <li>NOTE A - This section must be completed as follows:         <ol> <li>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).</li> <li>a. Columns I, II and III of lines 1. through 8. and 10. must be completed when a Part II filing is required.</li> <li>b. Columns of line 10. require completion.</li> <li>Columns of line 10. require completion.</li> <li>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:</li></ol></li></ul>		0 5765		2902 \$				618
Other Operational Data (Items 1., 2. and 3. below require an answer)         nem 1. Have the accounts enumerated on line 5.A. through F. above been reconciled with statements received from others within 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 difference been appropriately comprehended in the computation of net capital at the report date? If this No       Yes       X       5600         has not been done in all respects, answer No.       No       Yes       5601         tem 2. Do the respondent's books reflect a concentrated position (See Instruction) in commodities? If yes report the totals (\$000 omitted) in accordance with the specific instructions; If No answer -0- for:       A. Firm Trading and Investment Accounts       A. 0       0       5602         B. Customers' and Non-Customers' and Other Accounts       B. 0       0       5603         term 3. Does respondent have any planned operational changes? (Answer Yes or No based on specific instructions.)       Yes       5604	<ul> <li>as of the report date whether resolved subsect</li> <li>2. a. Columns I, II and III of lines 1. through 8. and</li> <li>b. Columns I, II and III of lines 1. through 8. mit on line 8 column IV equals or exceeds 25% All columns of line 10. require completion.</li> <li>3. A response to line 9., cols. I through IV and the on p. 3 are required only if:</li> <li>a. the parameters cited in 2.b. above exist, and</li> <li>b. the total deduction, line 8. column IV, for the 50% or more.</li> </ul>	quently or not (see in d 10. must be compl ust be completed wit o of excess net capital e "Potential Operatio d e current month exce	structions relative leted when a Part th a Part I filing, or as of the prior m onal Charges Not I eeds the total dedu	to each II filing is hly if the nonth end Deducted	line item). required. total deduction d reporting date. I From Capital" or the prior month	schedu by		
tem 3. Does respondent have any planned operational changes? (Answer Yes or No based on specific instructions.) Yes	Other Operational Data (Items 1., 2. and 3. below tem 1. Have the accounts enumerated on line 5.A. through days for lines 5.A. through D. and 65 days for lines 5 been appropriately comprehended in the computation has not been done in all respects, answer No. tem 2. Do the respondent's books reflect a concentrated (\$000 omitted) in accordance with the specific instru- A. Firm Trading and Investment Accounts	w require an an F. above been recon 5.E. and F. prior to the on of net capital at th position (See Instruction ructions; If No answe	SWer) nciled with stateme e report date and I ne report date? If t on) in commodities	ents recei have all r his	ived from others reconciling difference report the totals	within 35 ence Yes No	5 56 56	i01
Yes 5604			or No based on so	ecific inst		·	0 50	
Page Op 2 No <u> </u>						Yes	s 56	604
		Page Op 2				No	р <sub>Х</sub> 56	605

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

as of

09/30/20

**BROKER OR DEALER** TRUIST SECURITIES, INC

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

	allonal Charges I		Iom 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
<ol><li>Market value of short and long security sus-</li></ol>					
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/DealersL	6250		6450	6650	6652
s	6255		6455	6655	6657
B. Depositories	6260		6460	6660	6662
C. Clearing Organizations	6270		6470	6670	6672
S	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
TOTAL (Line 16.)	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.