UNITED STATES SECURITIES AND EXCHANGE COMMISSION

2021-10-26 06:03PM EDT Status: Accepted

FORM X-17A-5

FOCUS REPORT

(FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT) PART II $\boxed{11}$

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	being filed e 17a-5(a)	pursuant to (Ch		ble Block(s))) Rule 17a-5(b)		7	3) Rule	17a-11	18	
	4) Specia	request by des	ignated exa	mining authority	/ <u>П</u>	19	5) Other	26		
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RUIST SECURITIE						13	8-17212 FIRM ID NO).		14
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TLANTA ((City)	21	GA (State)		30326 Code)	23	09/30/21			25
IAME AND TELE		UMBER OF PEI	RSON TO C	ONTACT IN RE	GARD TO	THIS RE	EPORT(Area co	ode) - Telep	hone No.	
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		CHECK HERE	IF RESPON	IDENT IS FILIN	NG AN AUE	DITED REP	ORT			42
		EXECUTION	l:							
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			•	uired items, sta					•	
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		Dated the		doviet		00				
		Dated the		day of _		20				
		1)								
		Principal I	Executive O	fficer or Managi	ing Partner					
		2)								
		•	Financial Of	ficer or Partner						
		Principal (Operations (Officer or Partne	er					
1	1	ATTENTION	- Intentiona	l misstatements	s or omission	ons of facts	constitute F	ederal		
		Criminal Viol	ations. (See	18 U.S.C. 1001	l and 15 U.	S.C. 78:f (a))			

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT 2021-10-26 06:03PM EDT PART II Status: Accepted **BROKER OR DEALER** N|2TRUIST SECURITIES, INC. 100 STATEMENT OF FINANCIAL CONDITION as of (MM/DD/YY) 09/30/21 99 SEC FILE NO. 98 8-17212 198 Consolidated 199 Unconsolidated ASSETS Allowable Nonallowable Total 1. Cash\$ 20,154,104 200 750 20,154,104 2. Cash segregated in compliance with federal and other regulations 760 0 3. Receivable from brokers or dealers and clearing organizations: A. Failed to deliver: 1. Includable in "Formula for Reserve Requirements" _____ 60,605,756 2. Other ___ 87,056,722 770 26,450,966 B. Securities borrowed: 1. Includable in "Formula for Reserve 240 Requirements" _ 617,445,080 780 250 C. Omnibus accounts: 1. Includable in "Formula for Reserve Requirements" ______ 260 790 2. Other _____ D. Clearing Organizations: 1.Includable in "Formula for Reserve 280 0

290

310

0 320

0 330

0)335

0 340

300 \$

0

B. Partly secured and unsecured accounts . _____ 0 600 0 350 6. Securities purchased under agreements to resell 1,249,768,750 360 0 605 1,249,768,750 840 7. Securities and spot commodities owned, at market value: A. Banker's acceptances, certificates of deposit and commercial paper 149,865,295 B. U.S. and Canadian government obligations 3,462,289,214 380 C. State and municipal government 66,485,342 390 obligations ____

1. Cash and fully secured accounts

2. Partly secured accounts

E. Other

C. Allowance for doubtful accounts (

A. Cash and fully secured accounts

4. Receivables from customers: A. Securities accounts:

3. Unsecured Accounts

5. Receivables from non-customers:

0 550

0 560

0

570

580 0

0)590

800

810

820

830

0

2021-10-26 06:03PM EDT Status: Accepted

BROKER OR DEALER		
	as of	09/30/21
TRUIST SECURITIES, INC.	_	

STATEMENT OF FINANCIAL CONDITION

-	ASSETS (continued)		
	Allowable	<u>Nonallowable</u>	<u>Total</u>
E. Stocks and warrants\$	6,924,722 410		
F. Options	0 420		
G. Arbitrage	0 422		
H. Other securities	54,408,392 424		
I. Spot Commodities	0 430		
J.Total inventory - includes encumbered			
securities of \$ 2,329,371,185 120		\$_	4,578,064,050 850
8. Securities owned not readily marketable:			
A. At Cost \$0 130	0 440	\$0 <mark>610</mark>	0 860
Other investments not readily marketable:			
\$0 140			
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	. 400	0 630	2 000
11. Secured demand notes-	0 460	0 630	0 880
market value of collateral:			
A. Exempted			
securities\$0_170			
B. Other \$ 0 180	0 470	0 640	0 890
12. Memberships in exchanges:			
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			
affiliates, subsidiaries and associated partnerships	0 480	7 400 670	7,180 910
14. Property, furniture, equipment, leasehold	0 [400]	7,180 670	7,180 [910]
improvements and rights under			
lease agreements:			
At cost (net of accumulated			
depreciation and amortization)	22,466,694 490	12,471,016 680	34,937,710 920
15. Other Assets:	_		
A. Dividends and interest receivable	, , , ,	0 690	
B. Free shipments	0 510	0 700	
C. Loans and advances	0 520	0 710	
D. Miscellaneous	25,553,321	299,724,245 720	
E. Collateral accepted under SFAS 140	0 536		
F. SPE Assets	0 537	_	342,266,409 930
16. TOTAL ASSETS\$	6,626,297,216 540	\$ 312,202,441 740 \$	6,938,499,657

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BROKER OR DEALER		
	as of	09/30/21
TRUIST SECURITIES, INC.		

STATEMENT OF FINANCIAL CONDITION LIABILITIES AND OWNERSHIP EQUITY

LIADILITIES	AND OWNERSHIP E	<u>.QUITI</u>	
	A.I.	Non-A.I.	
<u>Liabilities</u>	_Liabilities_ *	_Liabilities_ *	Total
17. Bank loans payable:			
A. Includable in "Formula for Reserve			
Requirements"	1030 \$	12	40 \$ 0 1460
B. Other	1040	12	50 1470
18. Securities sold under repurchase agreements.		12	2,526,775,414 1480
19. Payable to brokers or dealers and			
clearing organizations:			
A. Failed to receive:			
1. Includable in "Formula for Reserve			
Requirements"	1050	12	70 13,958,734 1490
2. Other	1060		80 20,043,242 1500
B. Securities loaned:	[.555]		20,010,212
1. Includable in "Formula for Reserve			
Requirements"	1070		0 1510
2. Other	1080	12	90 0 1520
C. Omnibus accounts:			
1. Includable in "Formula for Reserve			
Requirements"	1090		0 1530
2. Other	1095	13	00 0 1540
D. Clearing organizations:			
1. Includable in "Formula for Reserve			
Requirements"	1100		0 1550
2. Other		13	10 0 1560
E. Other	1110		20 641,140,848 1570
20. Payable to customers:			
A. Securities accounts - including free credits			
of \$ 0 950	1120		0 1580
B. Commodities accounts	1130	13	30 0 1590
21. Payable to non customers:	[
A. Securities accounts	1140	13	0 1600
B. Commodities accounts	1150		50 0 1610
22. Securities sold not yet purchased at market	1100		0
value - including arbitrage			
of \$ 0 960		13	1,672,409,318 1620
23. Accounts payable and accrued liabilities			1,072,400,010
and expenses:			
A. Drafts payable	1160		0 1630
B. Accounts payable	1170		939,714 1640
C. Income taxes payable	1180		16,810,791 1650
D. Deferred income taxes	1100	13	70 0 1660
E. Accrued expenses and other liabilities	1190		86,149,989 1670
•	1200	40	
F. Other G. Obligation to return securities	1200		
-			==
H. SPE Liabilities		[13	871687

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^{*}Brokers or Dealers electing the alternative net capital requirement method need not complete these columns.

BROKER OR DEALER			
TRILICT OF CURITIES INC	as of	09/30/21	
TRUIST SECURITIES, INC.	-		

STATEMENT OF FINANCIAL CONDITION LIABILITIES AND OWNERSHIP EQUITY (continued)

	Liabilities	A.I. Liabilities	*	Non-A.I. Liabilities	*	_Total_
24. Notes and mortgages payable: A. Unsecured B. Secured			1210 1211 \$		1390	6 160,437,676 1690 0 1700
Liabilities subordinated to claims of general creditors: A. Cash borrowings:	0 0970		_		1400	<u> </u>
of \$ B. Securities borrowings, at market	0 0980 value: 0 0990		_		_ 1410	₀ 1720
Includes equity subordination of	0 1000 (15c3-1(d)) 0 1010				1420	0 1730
D. Exchange memberships contribution use of company, at market value E. Accounts and other borrowings recognitions.	e not		_		1430	0 1740
qualified for net capital purpose: 26. TOTAL LIABILITIES	· · · · · · · · · · · ·		1220		1440 1450 \$	5,174,598,730 1760
Ownership Equity	_					,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,
28. Partnership - limited partners	0 1020					0 1770 0 1780
A. Preferred stock B. Common stock	· · · · · · · · · · · · · · · · · · ·					0 1791 100,000 1792
D. Retained Earnings E. Accumulated other comprehensi						1,225,839,155 1793 537,961,772 1794 0 1797
				• • • • • • • • • • • • • • • • • • • •		$ \begin{array}{c c} & 1,763,900,927 \\ \hline (& 0) \hline 1,763,900,927 \\ \hline & 1,763,900,927 \\ \end{array} \begin{array}{c c} 1800 \\ \hline \end{array} $
31. TOTAL LIABILITIES AND OWNER	SHIP EQUITY				\$	6,938,499,657
						OMIT PENNIES

^{*} Brokers or Dealers electing the alternative net capital requirement method need not complete these columns.

2021-10-26 06:03PM EDT Status: Accepted

BROKER OR DEALER
TRUIST SECURITIES, INC.

as of ______09/30/21_____

COMPUTATION OF NET CAPITAL

pursuant to 15c3-1(f)): A. Contractual securities commitments \$ 141,411,060 3660 B. Subordinated securities borrowings 0 3670 C. Trading and investment securities: 1. Bankers' acceptances, certificates of deposit and commercial paper 2. U.S. and Canadian government obligations 75,955,502 3690 3. State and municipal government obligations 4,366,307 3700 4. Corporate obligations 320,284,589 3710 5. Stocks and warrants 2,341,945 3720 6. Options 0 3730 7. Arbitrage 0 3732 8. Other securities 37,491,812 3734 D. Undue concentration 0 3736 (589,228,277) 3740			
3. Total ownership equity qualified for Net Capital 4. Add: 0. 0. 0. 0. 0. 0. 0. 0			
4. Add: A. Liabilities subordinated to claims of general creditors allowable in computation of net capital	2. Deduct: Ownership equity not allowable for Net Capital		(<u>0</u>) <u>3490</u>
A. Liabilities subordinated to claims of general creditors allowable in computation of net capital 6 \$520 B. Other (deductions) or allowable credits (List) 0 \$3525 5. Total capital and allowable subordinated liabilities 1,763,900,902 \$3930 6. Deductions and/or charges: A. Total non-allowable assets from \$312,202,441 \$3640 Statement of Financial Condition (Notes B and C) \$312,202,441 \$3650 1. Additional charges for customers' and non-customers' security accounts 0 \$3650 1. Auditional charges for customers' and non-customers' commodity accounts 0 \$3650 1. Aged short security differences-less reserve of			1,763,900,927 3500
B. Other (deductions) or allowable credits (List) 1,763,900,927 3530 3500 35			
5. Total capital and allowable subordinated liabilities \$ 1,763,900,927 \$530 6. Deductions and/or charges: A. Total non-allowable assets from Statement of Financial Condition (Notes B and C) \$ 312,202,441 \$540 1. Additional charges for customers' and non-customers' security accounts 210,673 \$350 2. Additional charges for customers' and non-customers' commodity accounts 0 \$360 B. Aged fail-to-deliver: 122,147 \$370 1. number of items 3 3450 3580 C. Aged short security differences-less reserve of 3460 0 3580 number of items 9 3470 0 3580 D. Secured demand note deficiency 0 3690 6 360 E. Commodity futures contracts and spot commodities-proprietary capital charges 0 3690 6 360 F. Other deductions and/or charges 0 3690 6 3600 6 3600 G. Deductions for accounts carried under 6 30,297,754 3610 6 32,233,015 3620 G. Deductions and/or charges 0 3615 1 32,371,067,912 3640 1 32,371,067,912 3640 1 32,371,067,912 3640 1 32,371,067,912 3640 1 32,37			
6. Deductions and/or charges: A Total non-allowable assets from Statement of Financial Condition (Notes B and C) \$ 312,202,441 3540 1. Additional charges for customers' and non-customers' security accounts 2. Additional charges for customers' and non-customers' security accounts 0 3550 2. Additional charges for customers' and non-customers' commodity accounts 0 3550 B. Aged fail-to-deliver: 122,147 3570 1. number of items 3 3450 C. Aged short security differences-less reserve of 3460 0 3580 number of items 0 3470 D. Secured demand note deficiency 0 3590 E. Commodity futures contracts and spot commodities proprietary capital charges 0 0 3590 F. Other deductions and/or charges 0 0 3600 F. Other deductions for accounts carried under Rule 1563-1(4)(6) (a)(7) and (c)(2)(x) 0 3615 H. Total deductions and/or charges 0 3630 S. Net Capital before haircuts on securities positions 1 371,067,912 3640 9. Haircuts on securities: computed, where applicable, pursuant to 15c3-1(f)): A Contractual securities commitments 1 41,411,060 3660 B. Subordinated securities borrowings 0 3670 C. Trading and investment securities: 1 18 nikers' acceptances, certificates of deposit and commercial paper 7,377,062 3680 3. State and municipal government obligations 75,955,002 3680 5. Stocks and warrants 2,341,945 3700 4. Corporate obligations 30,202,48,680 3710 5. Stocks and warrants 2,341,945 3700 7. Arbitrage 0 3749,1812 3734 D. Undue concentration 0 3650 D. Undue concentration 0 3650 E. Other (List) 5 382,228,277) 3740			
A. Total non-allowable assets from Statement of Financial Condition (Notes B and C) \$ 312,202,441 (3540) 1. Additional charges for customers' and non-customers' security accounts 210,673 (3550) 2. Additional charges for customers' and non-customers' commodity accounts 0 (3560) B. Aged fail-to-deliver: 122,147 (3570) 1. number of items 3 (3450) C. Aged short security differences-less reserve of 3460 0 (3590) 1. number of items 0 (3470) 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 0 (3600) G. Deductions for accounts carried under Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x) 0 (3615) H. Total deductions and/or charges 0 (3600) S. Not Capital before haircuts on securities positions 0 (3600) H. Ac Contractual securities (computed, where applicable, pursuant to 15c3-1(f)): A Contractual securities commitments 1 (341,411,060) B. Subordinated securities commitments 1 (343,610,07) C. Trading and investment securities: 1 (343,610,07) C. Trading and investment securities: 1 (343,610,07) C. Trading and investment securities of deposit and commercial paper 7,377,062 (3690) C. Us, and Canadian government obligations 3,20,24,569 (3710) C. Stocks and warrants 2,341,945 (3720) C. Stocks and warrants 2,341,945 (3720) C. Application 3,74,91812 (3734) D. Undue concentration 0 (3650) D. Undue concentration 0 (36736) D. Undue concentration 0 (36746) D. Undue concentration 1 (36746) D. Undue concentration 1 (36746) D. Undue conc			1,763,900,927 3530
Statement of Financial Condition (Notes B and C) \$ 312,202,441 \$340 \$1. Additional charges for customers' and non-customers' security accounts \$210,673 \$3550 \$2. Additional charges for customers' and non-customers' commodity accounts \$0 \$3560 \$1. Additional charges for customers' and non-customers' commodity accounts \$0 \$3560 \$1. Additional charges for customers' and non-customers' commodity accounts \$0 \$3560 \$1. Additional charges for customers' and non-customers' commodity accounts \$0 \$3450 \$1. Additional charges for customers' and substitution of thems \$0 \$3470 \$0. Additional charges for servery of \$0. Additional charges \$0. Additional charges for servery of \$0. Additional charges \$	_		
1. Additional charges for customers' and non-customers' security accounts 2. (Additional charges for customers' and non-customers' commodity accounts 0,3550 B. Aged fail-to-deliver: 122,147 3570 1. number of items 3 3450 C. Aged short security differences-less reserve of \$ 3460 0,3580 0,0			
non-customers' security accounts 210,673 3550		312,202,441	540
2. Additional charges for customers' and non-customers' commotify accounts 0,3560 B. Aged fall-to-deliver: 3,3450 C. Aged short security differences-less reserve of 5,3460 0,358			
Non-customers' commodity accounts 0 3580 122,147 3570 1 1, number of items 3 3450 3450 3450 3450 3450 3460 0 3580 3450 3		210,673	550
B. Aged fail-to-deliver: 3 3450 1. number of items 3 3450 C. Aged short security differences-less reserve of \$ 3460 0 3580 number of items 0 3470 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 80,297,754 G. Deductions for accounts carried under Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x) 0 3615 H. Total deductions and/or charges 0 3890 8. Net Capital before haircuts on securities positions 0 3630 8. Net Capital before haircuts on securities positions 0 3630 8. Net Capital before haircuts on securities positions 0 3670 C. Trading and investment securities: 1 Bankers' acceptances, certificates of deposit and commercial paper 7,377,062 B. Subordinated securities commitments 1 141,411,060 B. Subordinated securities borrowings 0 3670 C. Trading and investment securities: 1 1 Bankers' acceptances, certificates of deposit and commercial paper 7,377,062 2. U.S. and Canadian government obligations 75,955,502 3. State and municipal government obligations 75,955,502 3. State and municipal government obligations 320,284,589 3. State and municipal government obligations 320,284,589 5. Stocks and warrants 2341,945 6. Options 3730 7. Arbitrage 9 3732 8. Other securities 37,491,812 8. Other securities 0 3749,1812 8. Other securities 0 3734 8. Other securities 0 3736 8. Other concentration 0 3736 9. Other (List) 0 3736 9. 580,000 9			
1. number of items 3 □ 450 C. Aged short security differences-less reserve of	non-customers' commodity accounts	0 3	
C. Aged short security differences-less reserve of	B. Aged fail-to-deliver:		570
reserve of		3450	
number of items 0 3470 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 80,297,754 3610 G. Deductions for accounts carried under Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x) 0 3615 H. Total deductions and/or charges (392,833,015) 3620 7. Other additions and/or allowable credits (List) 0 3630 8. Net Capital before haircuts on securities positions 1,371,067,912 3640 9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)): 141,411,060 3660 A. Contractual securities commitments 141,411,060 3660 B. Subordinated securities borrowings 0 3670 C. Trading and investment securities: 1. Bankers' acceptances, certificates of deposit and commercial paper 7,377,062 3680 2. U.S. and Canadian government obligations 75,955,500 3690 3. State and municipal government obligations 320,284,589 3710 5. Stocks and warrants 2,341,945 3720 6. Options 0 3730 7. Arbitrage 0 3730 8. Other securities 3,491,812 3734 9. Undue concentrat			
D. Secured demand note deficiency 0 E. Commodity futures contracts and spot commodities - proprietary capital charges 0 F. Other deductions and/or charges 80,297,754 3610 G. Deductions for accounts carried under Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x) 0 3815 H. Total deductions and/or charges (392,833,015) 3620 3620 7. Other additions and/or allowable credits (List) 0 3630 3830 8. Net Capital before haircuts on securities positions \$ 1,371,067,912 3640 9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)): 2 2 A. Contractual securities commitments \$ 141,411,060 3660 3670 B. Subordinated securities borrowings 0 3670 C. Trading and investment securities 1 3,277,062 3680 3,277,062 3680 3,277,062 3680 3,277,062 3680 3,277,062 3680 3,277,062 3680 3,277,062 3680 3,277,062 3680 3,277,062 3680 3,277,062 3680 3,277,062 3680 3,277,062 3680 3,277,062 3680 3,277,062 3680 3,277,062 3680 3,277,062 3680 3,277,062 3680 3,277,062 3680 3,277,062 3680	reserve of		580
E. Commodity futures contracts and spot commodities proprietary capital charges 0 0 3600 F. Other deductions and/or charges 80,297,754 3610 G. Deductions for accounts carried under Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x) 0 0 3615 H. Total deductions and/or charges (392,833,015) 3620 7. Other additions and/or allowable credits (List) 0 0 3630 8. Net Capital before haircuts on securities positions 1,371,067,912 3640 9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)): A. Contractual securities commitments 1. Bankers' acceptances, certificates of deposit and commercial paper 7,377,062 3680 2. U.S. and Canadian government obligations 75,955,500 3690 3. State and municipal government obligations 320,284,589 3710 4. Corporate obligations 320,284,589 3710 5. Stocks and warrants 2,341,945 3720 6. Options 0 3733 7. Arbitrage 0 03733 8. Other securities 37,491,812 3734 D. Undue concentration 0 03650 E. Other (List) 5,357,000 3736 (589,228,277) 3740	number of items	3470	
Proprietary capital charges 0 3600 F. Other deductions and/or charges 80,297,754 3610 G. Deductions for accounts carried under Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x) 0 3615 H. Total deductions and/or charges (392,833,015) 3620 7. Other additions and/or charges (392,833,015) 3620 8. Net Capital before haircuts on securities positions 1,371,067,912 3640 9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)): A. Contractual securities commitments 141,411,060 3660 B. Subordinated securities borrowings 0 3670 C. Trading and investment securities: 1. Bankers' acceptances, certificates of deposit and commercial paper 7,377,062 3680 2. U.S. and Canadian government obligations 75,955,502 3690 3. State and municipal government obligations 4,366,307 3700 4. Corporate obligations 320,284,589 3710 5. Stocks and warrants 2,341,945 3720 6. Options 0 3730 7. Arbitrage 0 3732 8. Other securities 37,491,812 3734 D. Undue concentration 0 3660 E. Other (List) 589,228,277 3740	D. Secured demand note deficiency	0 39	590
F. Other deductions and/or charges G. Deductions for accounts carried under Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x) H. Total deductions and/or charges (E. Commodity futures contracts and spot commodities -		
G. Deductions for accounts carried under Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x) H. Total deductions and/or charges 7. 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 8. Subordinated securities borrowings C. Trading and investment securities: 1. Bankers' acceptances, certificates of deposit and commercial paper 2. U.S. and Canadian government obligations 3. State and municipal government obligations 4. 366,307 3700 4. Corporate obligations 5. Stocks and warrants 6. Options 7. Arbitrage 8. Other securities 9. 3730 7. Arbitrage 8. Other securities 9. 3749,812 3734 D. Undue concentration 9. 3736 5. 589,228,277 3740	proprietary capital charges	0 30	600
Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x) 0 3615	F. Other deductions and/or charges	80,297,754	610
H. Total deductions and/or charges 7. 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 8. Subordinated securities borrowings C. Trading and investment securities: 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 6. Options 7. Arbitrage 8. Other securities 7. Arbitrage 8. Other securities 7. Arbitrage 8. Other securities 7. Arbitrage 8. Other (List) 7. Sessions 7. Arbitrage 7. Sessions 7. Se	G. Deductions for accounts carried under		
H. Total deductions and/or charges 7. 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 8. Subordinated securities borrowings C. Trading and investment securities: 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 6. Options 7. Arbitrage 8. Other securities 7. Arbitrage 8. Other securities 7. Arbitrage 8. Other securities 7. Arbitrage 8. Other (List) 7. Sessions 7. Arbitrage 7. Sessions 7. Se	Rule 15c3-1(a)(6), (a)(7) and (c)(2)(x)	0 30	315
8. Net Capital before haircuts on securities positions \$ 1,371,067,912 3640 9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)): \$ 141,411,060 3660 \$ 2670 A. Contractual securities commitments \$ 141,411,060 3660 \$ 3670 C. Trading and investment securities: \$ 1,377,062 3680 \$ 2,377,062 3680 C. U.S. and Canadian government obligations 75,955,502 3690 \$ 3.5 360 3. State and municipal government obligations 4,366,307 3700 \$ 320,284,589 3710 5. Stocks and warrants 2,341,945 3720 \$ 6.0 ptions \$ 3730 7. Arbitrage 0 3732 \$ 37,491,812 3734 D. Undue concentration 0 3650 \$ 589,228,277 \$ 3740			392,833,015) 3620
9. Haircuts on securities: (computed, where applicable, pursuant to 15c3-1(f)): A. Contractual securities commitments \$ 141,411,060 3660 B. Subordinated securities borrowings 0 3670 C. Trading and investment securities: 1. Bankers' acceptances, certificates of deposit and commercial paper 7,377,062 3680 2. U.S. and Canadian government obligations 75,955,502 3690 3. State and municipal government obligations 4,366,307 3700 4. Corporate obligations 320,284,589 3710 5. Stocks and warrants 2,341,945 3720 6. Options 0 3730 7. Arbitrage 0 0 3732 8. Other securities 37,491,812 3734 D. Undue concentration 0 3650 E. Other (List) 0 3736 (589,228,277) 3740	7. Other additions and/or allowable credits (List)		0 3630
pursuant to 15c3-1(f)): A. Contractual securities commitments \$ 141,411,060 3660 B. Subordinated securities borrowings 0 3670 C. Trading and investment securities: 1. Bankers' acceptances, certificates of deposit and commercial paper 2. U.S. and Canadian government obligations 75,955,502 3690 3. State and municipal government obligations 4,366,307 3700 4. Corporate obligations 320,284,589 3710 5. Stocks and warrants 2,341,945 3720 6. Options 0 3730 7. Arbitrage 0 3732 8. Other securities 37,491,812 3734 D. Undue concentration 0 3650 E. Other (List) 0 3736 (589,228,277) 3740	8. Net Capital before haircuts on securities positions		1,371,067,912 3640
A. Contractual securities commitments B. Subordinated securities borrowings C. Trading and investment securities: 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 6. Options 7. Arbitrage 8. Other securities 9. Other (List) \$ 141,411,060 3660 \$ 3670 7,377,062 3680 7,377,062 3680 7,379,955,502 3690 3,360 7,370 4,366,307 3700 4,269,228,277)3740	9. Haircuts on securities: (computed, where applicable,		
B. Subordinated securities borrowings 0 3670 C. Trading and investment securities:	1		
C. Trading and investment securities: 1. Bankers' acceptances, certificates of deposit and commercial paper 7,377,062 3680 2. U.S. and Canadian government obligations 75,955,502 3690 3. State and municipal government obligations 4,366,307 3700 4. Corporate obligations 320,284,589 3710 5. Stocks and warrants 2,341,945 3720 6. Options 0 3730 7. Arbitrage 0 3732 8. Other securities 37,491,812 3734 D. Undue concentration 0 3650 E. Other (List) 0 3736 (589,228,277) 3740	A. Contractual securities commitments	141,411,060	660
C. Trading and investment securities: 1. Bankers' acceptances, certificates of deposit and commercial paper 7,377,062 3680 2. U.S. and Canadian government obligations 75,955,502 3690 3. State and municipal government obligations 4,366,307 3700 4. Corporate obligations 320,284,589 3710 5. Stocks and warrants 2,341,945 3720 6. Options 0 3730 7. Arbitrage 0 3732 8. Other securities 37,491,812 3734 D. Undue concentration 0 3650 E. Other (List) 0 3736 (589,228,277) 3740	B. Subordinated securities borrowings	0 30	370
and commercial paper 7,377,062 3680 2. U.S. and Canadian government obligations 75,955,502 3690 3. State and municipal government obligations 4,366,307 3700 4. Corporate obligations 320,284,589 3710 5. Stocks and warrants 2,341,945 3720 6. Options 0 3730 7. Arbitrage 0 3732 8. Other securities 37,491,812 3734 D. Undue concentration 0 3650 E. Other (List) 0 3736 (589,228,277) 3740			
2. U.S. and Canadian government obligations 75,955,502 3690 3. State and municipal government obligations 4,366,307 3700 4. Corporate obligations 320,284,589 3710 5. Stocks and warrants 2,341,945 3720 6. Options 0 3730 7. Arbitrage 0 3732 8. Other securities 37,491,812 3734 D. Undue concentration 0 3650 E. Other (List) 0 3736 (589,228,277) 3740	1. Bankers' acceptances, certificates of deposit		
2. U.S. and Canadian government obligations 75,955,502 3690 3. State and municipal government obligations 4,366,307 3700 4. Corporate obligations 320,284,589 3710 5. Stocks and warrants 2,341,945 3720 6. Options 0 3730 7. Arbitrage 0 3732 8. Other securities 37,491,812 3734 D. Undue concentration 0 3650 E. Other (List) 0 3736 (589,228,277) 3740	and commercial paper	7,377,062	680
4. Corporate obligations 320,284,589 3710 5. Stocks and warrants 2,341,945 3720 6. Options 0 3730 7. Arbitrage 0 3732 8. Other securities 37,491,812 3734 D. Undue concentration 0 3650 E. Other (List) 0 3736 589,228,277 3740	2. U.S. and Canadian government obligations		
4. Corporate obligations 320,284,589 3710 5. Stocks and warrants 2,341,945 3720 6. Options 0 3730 7. Arbitrage 0 3732 8. Other securities 37,491,812 3734 D. Undue concentration 0 3650 E. Other (List) 0 3736 589,228,277 3740	3. State and municipal government obligations	4,366,307	700
6. Options 0 3730 7. Arbitrage 0 3732 8. Other securities 37,491,812 3734 D. Undue concentration 0 3650 E. Other (List) 0 3736 (589,228,277) 3740			710
6. Options 0 3730 7. Arbitrage 0 3732 8. Other securities 37,491,812 3734 D. Undue concentration 0 3650 E. Other (List) 0 3736 (589,228,277) 3740	5. Stocks and warrants	2,341,945	720
7. Arbitrage 0 3732 8. Other securities 37,491,812 3734 D. Undue concentration 0 3650 E. Other (List) 0 3736 (589,228,277) 3740			
8. Other securities 37,491,812 3734 D. Undue concentration 0 3650 E. Other (List) 0 3736 (589,228,277) 3740			732
D. Undue concentration 0 3650 E. Other (List) 0 3736 (589,228,277) 3740			734
E. Other (List)			
			736 (589,228,277) 3740
	10. Net Capital	· · · · · · · · · · · · · · · · · · ·	

BROKER OR DEALER

TRUIST SECURITIES, INC.

as of 09/30/21

COMPUTATION OF BASIC NET CAPITAL REQUIREMENT		
Part A		
11. Minimal net capital required (6-2/3% of line 19)	. \$	3756
12. Minimum dollar net capital requirement of reporting broker or dealer and minimum net capital requirement		
of subsidiaries computed in accordance with Note (A)	. \$	3758
13. Net capital requirement (greater of line 11 or 12)	. \$	3760
14. Excess net capital (line 10 less 13)	. \$	3770
15. Net capital less greater of 10% of line 19 or 120% of line 12	. \$	3780
COMPUTATION OF AGGREGATE INDEBTEDNESS		
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	7	
equivalent value is paid or credited \$ 381		2222
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)	. %	3850
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		
Part B		
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	. \$	1,195,024 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)	. \$	1,195,024 3760
25. Excess net capital (line 10 less 24)	. \$	780,644,611 3910
26. Percentage of Net Capital to Aggregate Debits (line 10 divided by line 18 page 8)	. %	1308.49 3851
27. Percentage of Net Capital, after anticipated capital withdrawals, to Aggregate Debits	·	1000:40
item 10 less Item 4880 page 12 divided by line 17 page 8)		
28. Net capital in excess of the greater of:	%	1209 40 3854
	. %	1308.49 3854
5% of combined aggregate debit items or 120% of minimum net capital requirement		
5% of combined aggregate debit items or 120% of minimum net capital requirement		
5% of combined aggregate debit items or 120% of minimum net capital requirement OTHER RATIOS Part C	. \$	778,852,074 3920
5% of combined aggregate debit items or 120% of minimum net capital requirement OTHER RATIOS Part C 29. Percentage of debt to debt-equity total computed in accordance with Rule 15c3-1 (d)	. \$	778,852,074 3920
5% of combined aggregate debit items or 120% of minimum net capital requirement OTHER RATIOS Part C	. \$	778,852,074 3920 0.00 3860

NOTES:

- (A) The minimum net capital requirement should be computed by 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.

T 2021-10-26 06:03PM EDT Status: Accepted

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT PART II

BROKER OR DEALER For the period (MMDDYY) from 07/01/21 3932 to 09/30/21 3933
TRUIST SECURITIES, INC. Number of months included in this statement 3

STATEMENT OF INCOME (LOSS) or STATEMENT OF COMPREHENSIVE INCOME

(as defined in §210.1-02 of Regulation S-X), as applicable

REVENUE	
1. Commissions:	
a. Commissions on transactions in listed equity securities executed on an exchange\$	4,603,763 3935
b. Commissions on transactions in exchange listed equity securities executed over-the-counter	4,895,072 3937
c. Commissions on listed option transactions	0 3938
d. All other securities commissions	3,256,861 3939
e. Total securities commissions	12,755,696 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	8,486,170 3944
c. From market making in options on a national securities exchange	0 3945
d. From all other trading	235,447 3949
e. Total gains or (losses)	8,721,617 3950
3. Gains or losses on firm securities investment accounts	8,721,617
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	
	108,721,110 3955
	0 3960
5. Margin interest	0 3970
6. Revenue from sale of investment company shares	
7. Fees for account supervision, investment advisory and administrative services	9,185 3975
8. Revenue from research services	31,249 3980
9. Commodities revenue	0 3990
10. Other revenue related to securities business	123,348,718 3985
11. Other revenue	0 3995
12. Total revenue \$\$	253,587,575 4030
EXPENSES =	
13. Registered representatives' compensation\$	74,470,616 4110
14. Clerical and administrative employees' expenses	0 4040
15. Coloring and other employment costs for general partners and voting stockholder officers	
15. Salaries and other employment costs for general partners and voting stockholder officers	n 4120
	0 4120
a. Includes interest credited to General and Limited Partners capital accounts 0 4130	
a. Includes interest credited to General and Limited Partners capital accounts 0 4130	0 4055
a. Includes interest credited to General and Limited Partners capital accounts	0 4055 0 4145
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition)	0 4055 0 4145 0 4135
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications	0 4055 0 4145 0 4135 19,082 4060
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 0 4130	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 0 4070 23. Losses in error account and bad debts	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 23. Losses in error account and bad debts 24. Data processing costs (including service bureau service charges)	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 23. Losses in error account and bad debts 24. Data processing costs (including service bureau service charges) 25. Non-recurring charges	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186 0 4190
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 23. Losses in error account and bad debts 24. Data processing costs (including service bureau service charges) 25. Non-recurring charges 26. Regulatory fees and expenses	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186 0 4190 1,411,580 4195
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 23. Losses in error account and bad debts 24. Data processing costs (including service bureau service charges) 25. Non-recurring charges 26. Regulatory fees and expenses 27. Other expenses	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186 0 4190 1,411,580 4195 26,332,000 4100
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 23. Losses in error account and bad debts 24. Data processing costs (including service bureau service charges) 25. Non-recurring charges 26. Regulatory fees and expenses 27. Other expenses 28. Total expenses	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186 0 4190 1,411,580 4195
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 23. Losses in error account and bad debts 24. Data processing costs (including service bureau service charges) 25. Non-recurring charges 26. Regulatory fees and expenses 27. Other expenses 28. Total expenses NET INCOME/COMPREHENSIVE INCOME	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186 0 4190 1,411,580 4195 26,332,000 4100 127,431,596
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 23. Losses in error account and bad debts 24. Data processing costs (including service bureau service charges) 25. Non-recurring charges 26. Regulatory fees and expenses 27. Other expenses 28. Total expenses NET INCOME/COMPREHENSIVE INCOME 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28)	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186 0 4190 1,411,580 4195 26,332,000 4100 127,431,596 4200 126,155,979 4210
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 23. Losses in error account and bad debts 24. Data processing costs (including service bureau service charges) 25. Non-recurring charges 26. Regulatory fees and expenses 27. Other expenses 28. Total expenses NET INCOME/COMPREHENSIVE INCOME 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) \$ 30. Provision for Federal Income taxes (for parent only)	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186 0 4190 1,411,580 4195 26,332,000 4100 127,431,596 4200 126,155,979 4210 25,578,901 4220
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 23. Losses in error account and bad debts 24. Data processing costs (including service bureau service charges) 25. Non-recurring charges 26. Regulatory fees and expenses 27. Other expenses 28. Total expenses 28. Total expenses NET INCOME/COMPREHENSIVE INCOME 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) \$ 30. Provision for Federal Income taxes (for parent only) 31. Equity in earnings (losses) of unconsolidated subsidiaries not included above	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186 0 4190 1,411,580 4195 26,332,000 4100 127,431,596 4200 126,155,979 4210
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 23. Losses in error account and bad debts 24. Data processing costs (including service bureau service charges) 25. Non-recurring charges 26. Regulatory fees and expenses 27. Other expenses 28. Total expenses NET INCOME/COMPREHENSIVE INCOME 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) 30. Provision for Federal Income taxes (for parent only) 31. Equity in earnings (losses) of unconsolidated subsidiaries not included above a. After Federal income taxes of 0 4130 4130 4130 4130 4130 4130 4130 4130 4130	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186 0 4190 1,411,580 4195 26,332,000 4100 127,431,596 4200 126,155,979 4210 25,578,901 4220
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 23. Losses in error account and bad debts 24. Data processing costs (including service bureau service charges) 25. Non-recurring charges 26. Regulatory fees and expenses 27. Other expenses 28. Total expenses NET INCOME/COMPREHENSIVE INCOME 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) 30. Provision for Federal Income taxes (for parent only) 31. Equity in earnings (losses) of unconsolidated subsidiaries not included above a. After Federal income taxes of 32. [RESERVED]	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186 0 4190 1,411,580 4195 26,332,000 4100 127,431,596 4200 126,155,979 4210 25,578,901 4220
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 23. Losses in error account and bad debts 24. Data processing costs (including service bureau service charges) 25. Non-recurring charges 26. Regulatory fees and expenses 27. Other expenses 28. Total expenses 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) 30. Provision for Federal Income taxes (for parent only) 31. Equity in earnings (losses) of unconsolidated subsidiaries not included above a. After Federal income taxes of 0 4238 32. [RESERVED] a. [RESERVED]	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186 0 4190 1,411,580 4195 26,332,000 4100 127,431,596 4200 126,155,979 4210 25,578,901 4220
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 23. Losses in error account and bad debts 24. Data processing costs (including service bureau service charges) 25. Non-recurring charges 26. Regulatory fees and expenses 27. Other expenses 28. Total expenses 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) 30. Provision for Federal Income taxes (for parent only) 31. Equity in earnings (losses) of unconsolidated subsidiaries not included above a. After Federal income taxes of 32. [RESERVED] a. [RESERVED] 33. [RESERVED] 33. [RESERVED]	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186 0 4190 1,411,580 4195 26,332,000 4100 127,431,596 4200 126,155,979 4210 25,578,901 4220 0 4222
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 23. Losses in error account and bad debts 24. Data processing costs (including service bureau service charges) 25. Non-recurring charges 26. Regulatory fees and expenses 27. Other expenses 28. Total expenses 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) 30. Provision for Federal Income taxes (for parent only) 31. Equity in earnings (losses) of unconsolidated subsidiaries not included above a. After Federal income taxes of 32. [RESERVED] 33. [RESERVED] 34. Net income (loss) after Federal income taxes \$	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186 0 4190 1,411,580 4195 26,332,000 4100 127,431,596 4200 126,155,979 4210 25,578,901 4220 0 4222
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 23. Losses in error account and bad debts 24. Data processing costs (including service bureau service charges) 25. Non-recurring charges 26. Regulatory fees and expenses 27. Other expenses 28. Total expenses 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) 30. Provision for Federal Income taxes (for parent only) 31. Equity in earnings (losses) of unconsolidated subsidiaries not included above a. After Federal income taxes of a. [RESERVED] a. [RESERVED] a. [RESERVED] 3a. [RESERVED] 3b. (Net income (loss) after Federal income taxes \$ 35. Other Comprehensive income (loss) \$ 5	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186 0 4190 1,411,580 4195 26,332,000 4100 127,431,596 4200 126,155,979 4210 25,578,901 4220 0 4222
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 23. Losses in error account and bad debts 24. Data processing costs (including service bureau service charges) 25. Non-recurring charges 26. Regulatory fees and expenses 27. Other expenses 28. Total expenses 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) 30. Provision for Federal Income taxes (for parent only) 31. Equity in earnings (losses) of unconsolidated subsidiaries not included above a. After Federal income taxes of 20. [RESERVED] 31. [RESERVED] 32. [RESERVED] 33. [RESERVED] 34. Net income (loss) after Federal income taxes \$5. Other Comprehensive income (loss) a. After Federal income taxes of 0 (4227)	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186 0 4190 1,411,580 4195 26,332,000 4100 127,431,596 4200 126,155,979 4210 25,578,901 4220 0 4222
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 23. Losses in error account and bad debts 24. Data processing costs (including service bureau service charges) 25. Non-recurring charges 26. Regulatory fees and expenses 27. Other expenses 28. Total expenses 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) 30. Provision for Federal Income taxes (for parent only) 31. Equity in earnings (losses) of unconsolidated subsidiaries not included above a. After Federal income taxes of a. [RESERVED] a. [RESERVED] a. [RESERVED] 3a. [RESERVED] 3b. (Net income (loss) after Federal income taxes \$ 35. Other Comprehensive income (loss) \$ 5	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186 0 4190 1,411,580 4195 26,332,000 4100 127,431,596 4200 126,155,979 4210 25,578,901 4220 0 4222
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense 23. Includes interest on accounts subject to subordination agreements 24. Data processing costs (including service bureau service charges) 25. Non-recurring charges 26. Regulatory fees and expenses 27. Other expenses 28. Total expenses 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) 30. Provision for Federal Income taxes and items below (Item 12 less Item 28) 31. Equity in earnings (losses) of unconsolidated subsidiaries not included above a. After Federal income taxes of 32. [RESERVED] 33. [RESERVED] 34. Net income (loss) after Federal income taxes \$ 35. Other Comprehensive income (loss) a. After Federal income taxes of 0 4227 36. Comprehensive income (loss) \$ \$ \$	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186 0 4190 1,411,580 4195 26,332,000 4100 127,431,596 4200 126,155,979 4210 25,578,901 4220 0 4222
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense a. Includes interest on accounts subject to subordination agreements 0. 4070 23. Losses in error account and bad debts 24. Data processing costs (including service bureau service charges) 25. Non-recurring charges 26. Regulatory fees and expenses 27. Other expenses NET INCOME/COMPREHENSIVE INCOME 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) 30. Provision for Federal Income taxes (for parent only) 31. Equity in earnings (losses) of unconsolidated subsidiaries not included above a. After Federal income taxes of 32. [RESERVED] 33. [RESERVED] 34. Net income (loss) after Federal income taxes 5. Other Comprehensive income (loss) a. After Federal income taxes of 0. 4227 36. Comprehensive income (loss) \$ MONTHLY INCOME	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186 0 4190 1,411,580 4195 26,332,000 4100 127,431,596 4200 126,155,979 4210 25,578,901 4220 0 4222 100,577,078 4230 0 4226
a. Includes interest credited to General and Limited Partners capital accounts 16. Floor brokerage paid to certain brokers (see definition) 17. Commissions and clearance paid to all other brokers (see definition) 18. Clearance paid to non-brokers (see definition) 19. Communications 20. Occupancy and equipment costs 21. Promotional costs 22. Interest expense 23. Includes interest on accounts subject to subordination agreements 24. Data processing costs (including service bureau service charges) 25. Non-recurring charges 26. Regulatory fees and expenses 27. Other expenses 28. Total expenses 29. Income (loss) before Federal income taxes and items below (Item 12 less Item 28) 30. Provision for Federal Income taxes and items below (Item 12 less Item 28) 31. Equity in earnings (losses) of unconsolidated subsidiaries not included above a. After Federal income taxes of 32. [RESERVED] 33. [RESERVED] 34. Net income (loss) after Federal income taxes \$ 35. Other Comprehensive income (loss) a. After Federal income taxes of 0 4227 36. Comprehensive income (loss) \$ \$ \$	0 4055 0 4145 0 4135 19,082 4060 4,315,386 4080 249,021 4150 7,926,638 4075 24,436 4170 12,682,837 4186 0 4190 1,411,580 4195 26,332,000 4100 127,431,596 4200 126,155,979 4210 25,578,901 4220 0 4222

2021-10-26 06:03PM EDT Status: Accepted

BROKER OR DEALER			
TRUIST SECURITIES, INC.	as of	09/30/21	

FORMULA FOR DETERMINATION OF CUSTOMER ACCOUNT RESERVE REQUIREMENTS OF BROKERS AND DEALERS UNDER RULE 15c3-3

OF BROKERS AND DEALERS UNDER RULE 15c3-3 (See Rule 15c3-3, Exhibit A and Related Notes)	
CREDIT BALANCES	
1. Free credit balances and other credit balances in customers'	
security accounts (See Note A) \$ 0 4340	
2. Monies borrowed collateralized by securities carried for the accounts	
of customers (See Note B)	
3. Monies payable against customers' securities loaned (See Note C)	
4. Customers' securities failed to receive (See Note D)	
5. Credit balances in firm accounts which are attributable to principal sales to customers	
6. Market value of stock dividends, stock splits and similar distributions receivable outstanding over 30 calendar days	
7. ** Market value of short security count differences over 30 calendar days old	
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 2,134,976 4410	
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	
10. Other (List)	T4400
11. TOTAL CREDITS	16,148,157
DEBIT BALANCES	
12. ** Debit balances in customers' cash and margin accounts excluding unsecured accounts and accounts doubtful of collection (See Note E) \$ 0 4440	
13. Securities borrowed to effectuate short sales by customers and securities borrowed to make delivery on customers' securities failed to deliver	
14. Failed to deliver of customers' securities not older than 30 calendar days	
15. Margin required and on deposit with the Options Clearing Corporation for all	
option contracts written or purchased in customer accounts (See Note F)	
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 customer 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) 4467	
	50 754 005 4470
18. ** Aggregate debit items	59,751,225 4470
-	1,792,537) 4471
20. ** TOTAL 15c3-3 DEBITS	57,958,688 4472
RESERVE COMPUTATION	11.2.2.2.1
21. Excess of _total _debits over total credits (line 20 less line 11)	
22. Excess of totalcredits over total debits (line 11 less line 20)	0 4490
23. If computation is made monthly as permitted, enter 105% of excess of total credits over total debits	4500
24. Amount held on deposit in "Reserve Bank Account(s)", including	
\$ 30,011,719 4505 value of qualified securities, at end of reporting period	30,011,719 4510
25. Amount of deposit (or withdrawal) including \$ 0 4515 value of qualified securities	0 4520
26. New amount in Reserve Bank Account(s) after adding deposit or subtracting withdrawal including	
\$.30,011,719 4525 value of _qualified _ securities	30,011,719 4530
27. Date of deposit (MMDDYY)	
FREQUENCY OF COMPUTATION	OMIT PENNIES
THE GOLINOT OF THE OF T	
28. Daily 4332 Weekly χ 4333 Monthly 4334	

2021-10-26 06:03PM EDT Status: Accepted

BROKER OR DEALER

TRUIST SECURITIES, INC.

as of 09/30/21

FORMULA FOR DETERMINATION OF PAB ACCOUNT RESERVE REQUIREMENTS OF BROKERS AND DEALERS UNDER RULE 15c3-3

(See Rule 15c3-3, Exhibit A and Related Notes*)

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)	
3. Monies payable against PAB securities loaned (See Note C)	
4. PAB securities failed to receive (See Note D) 2140	
5. Credit balances in firm accounts which are attributable to principal sales. to PAB	
6. Market value of stock dividends, stock splits and similar distributions receivable	
outstanding over 30 calendar days	
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	
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	
10. Other (List)	
11. TOTAL PAB. CREDITS	2170
DEBIT BALANCES	
12. Debit balances in PAB cash and margin accounts excluding unsecured	
accounts and accounts doubtful of collection (See Note E)	
13. Securities borrowed to effectuate short sales by PAB and securities borrowed to make delivery on PAB securities failed to deliver [2190]	
4.5.1.4.4.5.4.6.2.2.2.2.2.2.2.2.2.2.2.2.2.2.2.2.2.2	
14. Falled to deliver of PAB securities not older than 30 calendar days	
all option contracts written or purchased in PAB accounts (See Note F)	
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)	
18. TOTAL PAB DEBITS \$\$	2230
RESERVE COMPUTATION	
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)	2250
21. Excess debits in customer reserve formula computation	0 2260
22. PAB Reserve Requirement (line 20 less line 21)	0 2270
23. Amount held on deposit in "Reserve Bank Account(s)", including	
\$ 2275 value of qualified securities, at end of reporting period	2280
24. Amount of deposit (or withdrawal) including	
\$ 2285 value of qualified securities	2290
25. New amount in Reserve Bank Account(s) after adding deposit or subtracting withdrawal including	
\$\$	2300
	2310
26. Date of _deposit _(MMDDYY)	[2310]
FREQUENCY OF COMPUTATION OMIT PENNIES	3
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.

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FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT PART II

BROKER OR DEALER			
TRUIST SECURITIES, INC.	as of	09/30/21	

COMPUTATION FOR DETERMINATION OF RESERVE REQUIREMENTS FOR BROKER-DEALERS UNDER RULE 15c3-3 (continued)

I	E,	X	F	M	IP"	Г۱\	/	F	Р	R	$^{\prime}$	١(/	S	Γ	1(V	2	١

EXEMPTIVE PROVISIONS	
26. If an exemption from Rule 15c3-3 is claimed, identify below the section upon which such exemption is base 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	4560
C. (k) (2)(ii)-All customer transactions cleared through another broker-dealer on a fully disclosed basis.	
Name(s) of Clearing Firm(s) - Please separate multiple names with a semi-colon	
4335	4570
D. (k) (3)-Exempted by order of the Commission	4580
Information for Possession or Control Requirements Under Rule 15c3-3	
State the market valuation and the number of items of:	
Customers' fully paid securities and excess margin — securities not in the respondent's possession or control as of the report date (for which instructions to — reduce to possession or control had been issued as of the report date) but for which the required — action was not taken by respondent	
within the time frames specified under Rule 15c3-3. Notes A and B	4586 4587
A. Number of items	[4307]
Rule 15c3-3. Notes B,C and D	4588
A. Number of items	4589
	OMIT PENNIES
3. The system and procedures utilized in complying with the requirement to maintain physical possession or control of customers' fully paid and excess margin securities have been tested and are functioning in a	

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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.

manner adequate to fulfill the requirements of Rule 15c3-3 ... Yes

- 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 filed as of the date selected for the broker's or dealer's annual audit of financial statements, whether or not such date is the end of a calendar quarter. The response to item two should be filed within 60 calendar days after such date, rather than with the remainder of this report. This information may be required on a more frequent basis by the Commission or the designated examining authority in accordance with Rule 17a-5(a)(2)(iv).

SUPPLEMENT TO FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT PART II

BROKER OR DEALER		
TRUMPT OF CURRITIES IN C	as of	09/30/21
TRUIST SECURITIES, INC.		

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	
) 7047	
Less: amount offset by customer owned securities ()	7050
6. Amount required to be segregated (add lines 4 and 5)	Φ	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

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

PART II

BROKER OR DEALER		
	as of	09/30/21
TRUIST SECURITIES, INC.	_	

STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION FOR CUSTOMERS' DEALER OPTIONS ACCOUNTS

. Amount required to be segregated in accordance		
with Commission regulation 32.6	\$	7200
. Funds in segregated accounts		
A. Cash	\$ 7210	
B. Securities (at market)	 7220	
C. Total		7230
. Excess (deficiency) funds in segregation		
(subtract line 2.C from line 1)	\$	7240

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

2021-10-26 06:03PM EDT

BROKER OR DEALER		
BROKER OF BEALER	an of	00/00/04
TRUIST OF OUR TIES INC	as of	09/30/21
TRUIST SECURITIES, INC.		

STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS PURSUANT 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	
Net ledger balance - Foreign Futures and Foreign Option Trading - All Cus A. Cash B. Securities (at market)	tomers	\$_		7315 7317	
2. Net unrealized profit (loss) in open futures contracts traded on a foreign	board of trade	_		7325	
Exchange traded options A. Market value of open option contracts purchased on a foreign board of B. Market value of open contracts granted (sold) on a foreign board of trades.		-		7335 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 Less: amount offset by customer owned securities	\$	-		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 of	09/30/21

STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS PURSUANT TO COMMISSION REGULATION 30.7

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 \$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
3. Equities with registered futures commission merchants	
A. Cash \$	7580
B. Securities	7590
C. Unrealized gain (loss) on open futures contracts	7600
D. Value of long option contracts	7610
E. Value of short option contracts)[7615][7620
4. Amounts held by clearing organizations of foreign boards of trade Name(s): 7630	
A. Cash	7640
B. Securities	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)77357740
6. Amounts with other depositories designated by a foreign board of trade Name(s): 7750	
7. Segregated funds on hand (describe:	
8. Total funds in separate section 30.7 accounts	\$
9. Excess (deficiency) set Aside Funds for Secured Amount (subtract Line 7 Sec	cured
Statement page T10-3 from Line 8)	\$ 7380
10. Management Target Amount for Excess funds in separate section 30.7 according	unts \$
11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management	ent Target \$ 7785

2021-10-26 06:03PM EDT Status: Accepted

SUPPLEMENT TO FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT PART II

BROKER OR DEALER		
TRUIST SECURITIES, INC.	as of	09/30/21

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 \$	D	
Less: amount offset by customer owned securities ()		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

SUPPLEMENT TO FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT PART II

BROKER OR DEALER		
TRUIST SECURITIES, INC.	as of _	09/30/21

	COMPUTATION OF CFTC	C MINIMUM NET CAPITAL REQUIRE	EMENT	
	tal required Based Requirement			
М	nount of Customer Risk aintenance Margin requirement nter 8% of line A.i	7415	7425	
М	mount of Non-Customer Risk aintenance Margin requirement	7435		
	Enter 8% of line A.iii dd lines A.ii and A.iv.		7445	
B. Minim	um Dollar Amount Requirement		7465	
C. Other	NFA Requirement		7475	
	um CFTC Net Capital Requirement. the greatest of lines A, B or C			7490
Note:	If amount on Line D (7490) is greater than minimum no Line 3760 (Page 6) then enter this greater amount on required by SEC or CFTC is the minimum net capital r	Line 3760. The greater of the amount		
CFTC E	arly Warning Level			7495
Motor	If the Minimum Not Capital Poquirement computed on	Lino D (7400) is:		

Note: 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).

2021-10-26 06:03PM EDT Status: Accepted

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TRUIST SECURITIES, INC.

as of

09/30/21

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*		

* To agree with the total on Recap (Item No. 4880)

OMIT PENNIES

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

BROKER OR DEALER	6		
TRUIST SECURITIES, INC.	as of	09/30/21	_
RECAP			
RECAP Ownership Equity and Subordinated Liabilities maturing or be withdrawn within the next six months and accruals, which not been deducted in the computation of Net Capital. A Partnership Capital: 1. General Partners 2. Limited 3. Undistributed Profits 4. Other (describe below) 5. Sole Proprietorship 5. Sole Proprietorship 6. Corporation Capital: 1. Common Stock 2. Preferred Stock 3. Retained Earnings (Dividends and Other) 4. Other (describe below) 4. Sole Sole Sole Sole Sole Sole Sole Sole			
1. Equity Capital			
2. Limited 4710 3. Undistributed Profits 4720 4. Other (describe below) 4730 5. Sole Proprietorship 4735 B. Corporation Capital: 4740 1. Common Stock 4750 2. Preferred Stock 4750 3. Retained Earnings (Dividends and Other) 4760 4. Other (describe below) 4770 2. Subordinated Liabilities 4780 A. Secured Demand Notes 4780			
	=		
<u></u>	=		
	<u> </u>		
A. Bonuses 4820 B. Voluntary Contributions to Pension or Profit Sharing Plans 4860 C. Other (describe below) 4870			4880
)		
		555,287,601	4240
` '	·1	100,577,078	4250
		8,036,248 0	4270
	. \$	763,900,927	4290
3. Balance, beginning of period	. \$	0	4300
			4310
B. Decreases	. (4320
4. Balance, end of period (From item 3520)	. \$	0	4330

BROKER OR DEALER		
TRUIST SECURITIES, INC.	as of	09/30/21

FINANCIAL AND OPERATIONAL DATA

Month end total number of stock record break	s unresolved	over thre	e business days.	Va	luation	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 reg					0 [0 [1727]
verification of securities positions and locatio						
·			· · · · · · · · · · · · · · · · · · ·	. Yes	x 4930	No 4940
A) If response is negative attach explanation is						
3. Personnel employed at end of reporting perior	-	takon to	comply with reals 17	u 10.		
						489 4950
A. Income producing personnel						60 4960
B. Non-income producing personnel (all other C. Total	,					
						549 4970
4. Actual number of tickets executed during curr					• • • • • • • • • • • • • • • • • • • •	1,191,244 4980
5. Number of corrected customer confirmations	malled after	settlemen	i date		• • • • • • • • • • • • • • • • • • • •	<u>75</u> 4990
	No. of Items	<u> </u>	Debit (Short Value)	No. c	of Items_	Credit (Long Value)
6. Money differences	0	5000 \$ ₀	50	010	5020	5030
7. Security suspense accounts		5040 \$	50	050	5060	5070
8. Security difference accounts		5080 \$	50	090	5100	5110
9. Commodity suspense accounts		5120 \$	5	130	5140	5150
10. Open transactions with correspondents,						
other brokers, clearing organizations,						
depositories and interoffice and						
intercompany accounts which could						
result in a charge-unresolved amounts over 30 calendar days		5160 \$	E	170	5180	5190
11. Bank account reconciliations-unresolved		[5160] \$	<u> ၁</u>	170	[5160]	0
amounts over 30 calendar days	n	5200 \$0	5	210 0	5220	50 5230
12. Open transfers over 40 calendar days,	<u> </u>	<u> </u>		<u> </u>		<u> </u>
not confirmed		5240 \$	5:	250	5260	5270
13. Transactions in reorganization accounts-			_			
over 60 calendar days		5280 \$	52	290	5300	5310
14. Total		5320 \$	5:	330	5340	5350
			No. of Items	Ledo	er Amount	Market Value
15. Failed to deliver 5 business days or longer (2	21 husiness	_				
days or longer in the case of Municipal Secu			536	\$0 \$	5361	5362
16. Failed to receive 5 business days or longer (•			<u> </u>		
days or longer in the case of Municipal Secu	ırities)		536	\$3 \$	5364	5365
17. Security concentrations (See instructions in	Part I):					
A. Proprietary positions						0 5370
B. Customers' accounts under Rule 15c3-3						0 5374
18. Total of personal capital borrowings due with	in six months					5378
19. Maximum haircuts on underwriting commitm	ents during the	e period				309,005,461 5380
20. Planned capital expenditures for business ex	cpansion during	g next si	x months			
21. Liabilities of other individuals or organization	s guarantee	ed by respo	ndent			5384
22. Lease and rentals payable within one year	-	-				
23. Aggregate lease and rental commitments pa	yable for entire	e term o	the lease			, ,
A. Gross	-					28,539,140 5388
B. Net						

2021-10-26 06:03PM EDT

0 5602

5604 5605

Yes _____X

		PAR1	T (OF	R PART II)				Ŀ	Status. Accepted	
BROKER OR I							as of	09/30/2	1	
TRUIST SECU		INIANIOIAL AI	UD OI					00/00/2		
		INANCIAL AI ational Dedu					١			
	Орен		500113	пош оарк	ai (i	iolo A	<i>)</i> III		IV	
				"					Deductions	
		No. of Items		Debits (Short Val			Credits (Long Valu	e)	In Computing Net Capital	
1. Money suspen	se and balancing differences	0	5610	\$	5	\$ 810		6010	\$	6012
2. Security suspe	ense and differences with related									
money balanc	esL		5620	-	_=	820		6020		6022
	S	0	5625		5	825		6025		6027
	of short and long security sus-									
•	erences without related money				_					
	ported in line 4., below)		5630		=	830		6030		6032
	of security record breaks	0	5640		5	840		6040		6042
	conciling differences with others:		F0F0		- [F	050	_	0050	_	0050
A. Correspond	dents and Broker/DealersL		5650 5655			850 855	0	6050		
B. Depositorie	s		5660		<u> </u>	5860 -	0	6060		
C. Clearing Or			5670	-	— F	5870 -	0	6070		·
o. oldaring or	S		5675			875	<u>0</u> 0	6075		
D. Inter-compa	_		5680		=	880	0	6080		-
	unts and Loans		5690		=	890	0	6090		
F. Other .			5700	-	<u> </u>	900	0	6100		- 100
G. (Offsetting)	Items A. through F.		5720	(920 (6120		-
TOTAL Line	e 5		5730			930	0		(6132
6. Commodity Di	fferences		5740		5	940	<u></u>	6140		6142
	s and reorganization account					_				-
	days not confirmed or				_					
			5760		_ =	960		6160		6162
•	7.)	0	5770	\$	0 5	970 \$	0	6170	\$ <u> </u>	6172
	olved subsequent to report		5775	c	5	975 \$		6175	t	6177
										_
10. Aged Fails	to deliver		5780	· 		980 \$		6180		
	to receive	0	5785			985 \$	0	6185		6187
NOTE A TI	section must be completed as follows:			(Omit 000's))		(Omit 000's)		(Omit Pennies)	
as 2. a. C b. C 3. A rc on a. 1 b. 1 4. All Other Operat Item 1. Have the days for	member organizations must complete colu of the report date whether resolved subset Columns I, II and III of lines 1. through 8. and Columns I, II and III of lines 1. through 8. m on line 8 column IV equals or exceeds 25% All columns of line 10. require completion. esponse to line 9., cols. I through IV and the p. 3 are required only if: the parameters cited in 2.b. above exist, and the total deduction, line 8. column IV, for the 50% or more. columns and line items (1. through 10.) mutional Data (Items 1., 2. and 3. belo accounts enumerated on line 5.A. through lines 5.A. through D. and 65 days for lines 5 propriately comprehended in the computations.	quently or not (sid 10. must be ust be completed of excess net of excess	ee in completed with expital peration the exce if recommendation in recommendation in the excellent and the excellent peration recommendation to the excellent peration recommendation in the excellent peration in recommendation in the excellent peration in recommendation in the excellent peration in the excellent periture peration in the excellent peratio	structions relateted when a Path a Part I filing as of the prional Charges Noted that the total definition of the prional Charges Noted that the total definition of the prional Charges Noted that the total definition of the prional Charges Noted that the terms of the prional Charges Noted that the pri	tive to art II to art II to art II to and and art and art	o each lifiling is not filling is not reference to the total life in the total life	ne item). required. otal deduction reporting date. From Capital" the prior month thing to report e	sched n by enter -0- within 3	85	500
has not be litem 2. Do the re	peen done in all respects, answer No.	position (See Ir	structio	on) in commodi			eport the totals	No		01

(Answer Yes or No based on specific instructions.)

Page Op 2

A. Firm Trading and Investment Accounts

B. Customers' and Non-Customers' and Other Accounts Item 3. Does respondent have any planned operational changes?

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPO 2021-10-26 06:03PM EDT PART I (OR PART II)

BROKER OR DEALER		
RUIST SECURITIES, INC.	as of	09/30/21

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

	1	II	III	IV	
				Deductions	
	No. of	Debits	Credits	In Computing	
	Items	(Short Value)) (Long Value	e) Net Capital	
Money suspense and balancing differences	621	0 \$	6410 \$	6610 \$	6612
2. Security suspense and differences with related					
money balancesL	622	0	6420	6620	6622
	622		6425	6625	6627
3. Market value of short and long security sus-					. '
pense and differences without related money					
(other than reported in line 4., below)	623	0	6430	6630	6632
4. Market value of security record breaks	624	0	6440	6640	6642
5. Unresolved reconciling differences with others:					
A. Correspondents and Broker/DealersL	625	0	6450	6650	6652
S	625	5	6455	6655	6657
B. Depositories	626	0	6460	6660	6662
C. Clearing OrganizationsL	627	0	6470	6670	6672
S	627	5	6475	6675	6677
D. Inter-company Accounts	628	0	6480	6680	6682
E. Bank Accounts and Loans	629	0	6490	6690	6692
F. Other	630	0	6500	6700	6702
G. (Offsetting) Items A. through F.	631	0 ()6510 (6710	
TOTAL (Line 5.)	633	0	6530	6730	6732
6. Commodity Differences	634	0	6540	6740	6742
TOTAL (Line 16.)	637	0 \$	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 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.