

OMB Approval

OMB Number: 3235-0123,  
3235-0749  
Estimated average burden hours  
per response: 12.00 (3235-  
0123) 16.00 (3235-0749)

(Please read instructions before preparing Form)

This report is being filed by a/an:

- 1) Broker-dealer not registered as an SBSD or MSBSP  
(stand-alone broker-dealer) .....  12000
- 2) Broker-dealer registered as an SBSD (broker-dealer SBSD) .....  12001
- 3) Broker-dealer registered as an MSBSP (broker-dealer MSBSP) .....  12002
- 4) SBSD without a prudential regulator and not registered as a broker-dealer (stand-alone SBSD) .....  12003
- 5) MSBSP without a prudential regulator and not registered as a broker-dealer (stand-alone MSBSP) ...  12004
- Check here if respondent is an OTC derivatives dealer .....  12005

This report is being filed by a: Firm authorized to use models  12006 U.S. person  12007 Non-U.S. person  12008

This report is being filed pursuant to (check applicable block(s)):

- 1) Rule 17a-5(a) .....  16
- 2) Rule 17a-5(b) .....  17
- 3) Special request by DEA or the Commission .....  19
- 4) Rule 18a-7 .....  12999
- 5) Other (explain: \_\_\_\_\_) .....  26

<b>NAME OF REPORTING ENTITY</b>	<b>SEC FILE NO.</b>
APEX CLEARING CORPORATION <span style="float: right;"><input type="checkbox"/> 13</span>	8-23522 <span style="float: right;"><input type="checkbox"/> 14</span>
<b>ADDRESS OF PRINCIPAL PLACE OF BUSINESS (Do not use P.O. Box No.)</b>	<b>FIRM ID NO.</b>
ONE DALLAS CENTER, 350 N. ST. PAUL, SUITE 1300 <span style="float: right;"><input type="checkbox"/> 20</span>	13071 <span style="float: right;"><input type="checkbox"/> 15</span>
(No. and Street)	<b>FOR PERIOD BEGINNING (MM/DD/YY)</b>
DALLAS <span style="float: right;"><input type="checkbox"/> 21</span> TX <span style="float: right;"><input type="checkbox"/> 22</span> 75201 <span style="float: right;"><input type="checkbox"/> 23</span>	10/01/2021 <span style="float: right;"><input type="checkbox"/> 24</span>
(City) (State/Province) (Zip Code)	<b>AND ENDING (MM/DD/YY)</b>
<span style="float: right;"><input type="checkbox"/> 12009</span>	10/31/2021 <span style="float: right;"><input type="checkbox"/> 25</span>
(Country)	

<b>NAME OF PERSON TO CONTACT IN REGARD TO THIS REPORT</b>	<b>EMAIL ADDRESS</b>	<b>(AREA CODE) TELEPHONE NO.</b>
Janet De La Fuente <span style="float: right;"><input type="checkbox"/> 30</span>		214-765-1276 <span style="float: right;"><input type="checkbox"/> 12010 <input type="checkbox"/> 31</span>

<b>NAME(S) OF SUBSIDIARIES OR AFFILIATES CONSOLIDATED IN THIS REPORT</b>	<b>OFFICIAL USE</b>
_____ <span style="float: right;"><input type="checkbox"/> 32</span>	_____ <span style="float: right;"><input type="checkbox"/> 33</span>
_____ <span style="float: right;"><input type="checkbox"/> 34</span>	_____ <span style="float: right;"><input type="checkbox"/> 35</span>
_____ <span style="float: right;"><input type="checkbox"/> 36</span>	_____ <span style="float: right;"><input type="checkbox"/> 37</span>
_____ <span style="float: right;"><input type="checkbox"/> 38</span>	_____ <span style="float: right;"><input type="checkbox"/> 39</span>

Is this report consolidated or unconsolidated? ..... Consolidated  198 Unconsolidated  199

Does respondent carry its own customer or security-based swap customer accounts? ..... Yes  40 No  41

Check here if respondent is filing an audited report .....  42

**EXECUTION:** The registrant submitting this Form and its attachments and the person(s) by whom it is executed represent hereby that all information contained therein is true, correct and complete. It is understood that all required items, statements, and schedules are considered integral parts of this Form and that the submission of any amendment represents that all unamended items, statements, and schedules remain true, correct and complete as previously submitted.

Dated the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

<b>Signatures of:</b>	<b>Names of:</b>
1) _____	_____ <span style="float: right;"><input type="checkbox"/> 12011</span>
Principal Executive Officer or Comparable Officer	Principal Executive Officer or Comparable Officer
2) _____	_____ <span style="float: right;"><input type="checkbox"/> 12012</span>
Principal Financial Officer or Comparable Officer	Principal Financial Officer or Comparable Officer
3) _____	_____ <span style="float: right;"><input type="checkbox"/> 12013</span>
Principal Operations Officer or Comparable Officer	Principal Operations Officer or Comparable Officer

**ATTENTION:** Intentional misstatements and/or omissions of facts constitute federal criminal violations. (See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).)

FOCUS  
Report  
Part II

Items on this page to be reported by: Futures Commission Merchant

**NET CAPITAL REQUIRED**

**A. Risk-Based Requirement**

i. Amount of Customer Risk

Maintenance Margin . . . . . \$ 108,498,176 7415

ii. Enter 8% of line A.i . . . . . \$ 8,679,854 7425

iii. Amount of Non-Customer Risk

Maintenance Margin . . . . . \$ 0 7435

iv. Enter 8% of line A.iii . . . . . \$ 0 7445

v. Amount of uncleared swap margin . . . . . \$ 7446 7446

vi. If the FCM is also registered as a swap dealer, enter 2% of Line A.v . . . . . \$ 7447 7447

vii. Enter the sum of Lines Aii, A.iv and A.vi. . . . . \$ 8,679,854 7455

**B. Minimum Dollar Amount Requirement . . . . . \$ 1,000,000 7465**

**C. Other NFA Requirement . . . . . \$ 0 7475**

**D. Minimum CFTC Net Capital Requirement.**

Enter the greatest of lines A.v., B or C . . . . . \$ 8,679,854 7490

Note: If amount on Line D is greater than the minimum net capital requirement computed on Item 3760, then enter this greater amount on Item 3760.

The greater of the amount required by the SEC or CFTC is the minimum net capital requirement.

CFTC early warning level – enter the greatest of 110% of Line A.v. or 150% of Line B or 150% of Line C or \$375,000 . . . \$ 9,547,839 7495

Items on this page to be reported by: Futures Commission Merchant

**SEGREGATION REQUIREMENTS**

1. Net ledger balance			
A. Cash	117,171,736	7010	
B. Securities (at market)	0	7020	
2. Net unrealized profit (loss) in open futures contracts traded on a contract market	(3,012,822)	7030	
3. Exchange traded options			
A. Add market value of open option contracts purchased on a contract market	19,325,830	7032	
B. Deduct market value of open option contracts granted (sold) on a contract market	(41,265,861)	7033	
4. Net equity (deficit) (total of Lines 1, 2, and 3)	92,218,883	7040	
5. Accounts liquidating to a deficit and accounts with debit balances			
- gross amount	726,148	7045	
Less: amount offset by customer owned securities	(0)	7047	
6. Amount required to be segregated (add lines 4 and 5)	92,945,031	7060	

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts			
A. Cash	23,005,473	7070	
B. Securities representing investments of customers' funds (at market)	0	7080	
C. Securities held for particular customers or option customers in lieu of cash (at market)	0	7090	
8. Margins on deposit with derivatives clearing organizations of contract markets			
A. Cash	0	7100	
B. Securities representing investments of customers' funds (at market)	0	7110	
C. Securities held for particular customers or option customers in lieu of cash (at market)	0	7120	
9. Net settlement from (to) derivatives clearing organizations of contract markets	0	7130	
10. Exchange traded options			
A. Value of open long option contracts	0	7132	
B. Value of open short option contracts	(0)	7133	
11. Net equities with other FCMs			
A. Net liquidating equity	97,499,417	7140	
B. Securities representing investments of customers' funds (at market)	0	7160	
C. Securities held for particular customers or option customers in lieu of cash (at market)	0	7170	
12. Segregated funds on hand (describe: _____)	0	7150	
13. Total amount in segregation (add lines 7 through 12)	120,504,890	7180	
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)	27,559,859	7190	
15. Management Target Amount for Excess funds in segregation	10,000,000	7194	
16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess	17,559,859	7198	

Items on this page to be reported by: Futures Commission Merchant

**CLEARED SWAPS CUSTOMER REQUIREMENTS**

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

**FUNDS IN CLEARED SWAPS CUSTOMER SEGREGATED ACCOUNTS**

7. Deposited in cleared swaps customer segregated accounts at banks			
A. Cash	.....	\$	0 8600
B. Securities representing investment of cleared swaps customers' funds (at market)	.....	\$	0 8610
C. Securities held for particular cleared swaps customers in lieu of cash (at market)	.....	\$	0 8620
8. Margins on deposit with derivatives clearing organizations in cleared swaps customer segregated accounts			
A. Cash	.....	\$	0 8630
B. Securities representing investment of cleared swaps customers' funds (at market)	.....	\$	0 8640
C. Securities held for particular cleared swaps customers in lieu of cash (at market)	.....	\$	0 8650
9. Net settlement from (to) derivatives clearing organizations	.....	\$	0 8660
10. Cleared swaps options			
A. Value of open cleared swaps long option contracts	.....	\$	0 8670
B. Value of open cleared swaps short option contracts	.....	\$	( 0) 8680
11. Net equities with other FCMs			
A. Net liquidating equity	.....	\$	0 8690
B. Securities representing investment of cleared swaps customers' funds (at market)	.....	\$	0 8700
C. Securities held for particular cleared swaps customers in lieu of cash (at market)	.....	\$	0 8710
12. Cleared swaps customer funds on hand (describe: _____)	.....	\$	0 8715
13. Total amount in cleared swaps customer segregation (add Lines 7 through 12)	.....	\$	0 8720
14. Excess (deficiency) funds in cleared swaps customer segregation (subtract Line 6 from Line 13)	.....	\$	0 8730
15. Management target amount for excess funds in cleared swaps segregated accounts	.....	\$	0 8760
16. Excess (deficiency) funds in cleared swaps customer segregated accounts over (under) management target excess	.....	\$	0 8770

Items on this page to be reported by a: Futures Commission Merchant

1. Amount required to be segregated in accordance with 17 CFR 32.6 .....	\$	0	7200
2. Funds/property in segregated accounts			
A. Cash .....	\$	0	7210
B. Securities (at market value) .....	\$	0	7220
C. Total funds/property in segregated accounts .....	\$	0	7230
3. Excess (deficiency) funds in segregation (subtract Line 2C from Line 1) .....	\$	0	7240

STATEMENT OF SECURED AMOUNTS AND FUNDS HELD  
IN SEPARATE ACCOUNTS FOR FOREIGN FUTURES  
AND FOREIGN OPTIONS CUSTOMERS PURSUANT TO CFTC REGULATION 30.7

Items on this page to be reported by a: Futures Commission Merchant

FOREIGN FUTURES AND FOREIGN OPTIONS SECURED AMOUNTS

Amount required to be set aside pursuant to law, rule or regulation of a foreign government or a rule of a self-regulatory organization authorized thereunder .....	\$	0	7305
1. Net ledger balance - Foreign futures and foreign option trading - All Customers			
A. Cash .....	\$	0	7315
B. Securities (at market) .....	\$	0	7317
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade .....	\$	0	7325
3. Exchange traded options			
A. Market value of open option contracts purchased on a foreign board of trade .....	\$		7335
B. Market value of open contracts granted (sold) on a foreign board of trade .....	\$	0	7337
4. Net equity (deficit)(add lines 1. 2. and 3.) .....	\$	0	7345
5. Accounts liquidating to a deficit and accounts with debit balances - gross amount .....	\$	0	7351
Less: amount offset by customer owned securities .....	\$	(0)	7352
	\$	0	7354
6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5) .....	\$	0	7355
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6. ....	\$	0	7360

STATEMENT OF SECURED AMOUNTS AND FUNDS HELD  
IN SEPARATE ACCOUNTS FOR FOREIGN FUTURES  
AND FOREIGN OPTIONS CUSTOMERS PURSUANT TO CFTC REGULATION 30.7

Items on this page to be reported by: Futures Commission Merchant

FUNDS DEPOSITED IN SEPARATE 17 CFR. 30.7 ACCOUNTS

1. Cash in banks			
A. Banks located in the United States	\$	0	7500
B. Other banks qualified under 17 CFR. 30.7			
Name(s): 0	\$	0	7520
			7530
2. Securities			
A. In safekeeping with banks located in the United States	\$	0	7540
B. In safekeeping with other banks designated by 17 CFR. 30.7			
Name(s): 0	\$	0	7560
			7570
3. Equities with registered futures commission merchants			
A. Cash	\$	0	7580
B. Securities	\$	0	7590
C. Unrealized gain (loss) on open futures contracts	\$	0	7600
D. Value of long option contracts	\$	0	7610
E. Value of short option contracts	\$	(0)	7615
			7620
4. Amounts held by clearing organizations of foreign boards of trade			
Name(s): 0			7630
A. Cash	\$	0	7640
B. Securities	\$	0	7650
C. Amount due to (from) clearing organizations - daily variation	\$	0	7660
D. Value of long option contracts	\$	0	7670
E. Value of short option contracts	\$	(0)	7675
			7680
5. Amounts held by members of foreign boards of trade			
Name(s): 0			7690
A. Cash	\$	0	7700
B. Securities	\$	0	7710
C. Unrealized gain (loss) on open futures contracts	\$	0	7720
D. Value of long option contracts	\$	0	7730
E. Value of short option contracts	\$	(0)	7735
			7740
6. Amounts with other depositories designated by a foreign board of trade			
Name(s): 0	\$		7750
			7760
7. Segregated funds on hand (describe: )			
	\$		7765
8. Total funds in separate 17 CFR 30.7 accounts			
	\$		7770
9. Excess (deficiency) set aside funds for secured amount			
(Line Item 7770 minus Line Item 7360)	\$		7380
10. Management target amount for excess funds in separate 17 CFR 30.7 accounts			
	\$		7780
11. Excess (deficiency) funds in separate 17 CFR 30.7 accounts over (under) management target excess			
	\$		7785