

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>
RQD* CLEARING, LLC <span style="float: right;"><input type="checkbox"/> 13</span>	8-66826 <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>
250 VESEY STREET, SUITE 2601 <span style="float: right;"><input type="checkbox"/> 20</span>	134284 <span style="float: right;"><input type="checkbox"/> 15</span>
(No. and Street)	<b>FOR PERIOD BEGINNING (MM/DD/YY)</b>
NEW YORK <span style="float: right;"><input type="checkbox"/> 21</span> NY <span style="float: right;"><input type="checkbox"/> 22</span> 10281 <span style="float: right;"><input type="checkbox"/> 23</span>	04/01/23 <span style="float: right;"><input type="checkbox"/> 24</span>
(City) (State/Province) (Zip Code)	<b>AND ENDING (MM/DD/YY)</b>
USA <span style="float: right;"><input type="checkbox"/> 12009</span>	04/30/23 <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>
John W Edwards Jr <span style="float: right;"><input type="checkbox"/> 30</span>	jedwards@rqdclearing.com <span style="float: right;"><input type="checkbox"/> 12010</span>	(646) 804-7930 <span style="float: right;"><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 \_\_\_\_\_, 2 \_\_\_\_\_.

<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 a: Stand-Alone Broker-Dealer  
Stand-Alone SBSD  
Broker-Dealer SBSD  
Stand-Alone MSBSP  
Broker-Dealer MSBSP

ASSETS

<u>Assets</u>	<u>Allowable</u>	<u>Non-Allowable</u>	<u>Total</u>
1. Cash	\$ 3,261,276 200	\$ 12014	\$ 3,261,276 750
2. Cash segregated in compliance with federal and other regulations	\$ 8,385,000 210		\$ 8,385,000 760
3. Receivables from brokers/dealers and clearing organizations organizations			
A. Failed to deliver			
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a	\$ 65 220		\$ 65 770
2. Other	\$ 230		\$ 230
B. Securities borrowed			
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a	\$ 34,400 240		\$ 34,400 780
2. Other	\$ 250		\$ 250
C. Omnibus accounts			
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a	\$ 260		\$ 260
2. Other	\$ 270		\$ 270
D. Clearing organizations			
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a, or the CEA	\$ 280		\$ 280
2. Other	\$ 6,688,396 290		\$ 6,688,396 800
E. Other	\$ 637,030 300	\$ 550	\$ 637,030 810
4. Receivables from customers			
A. Securities accounts			
1. Cash and fully secured accounts	\$ 17,643 310		\$ 17,643 310
2. Partly secured accounts	\$ 320	\$ 560	\$ 880
3. Unsecured accounts		\$ 570	\$ 570
B. Commodity accounts	\$ 330	\$ 580	\$ 910
C. Allowance for doubtful accounts	\$( ) 335	\$( ) 590	\$ 17,643 820
5. Receivables from non-customers			
A. Cash and fully secured accounts	\$ 340		\$ 340
B. Partly secured and unsecured accounts	\$ 350	\$ 600	\$ 950
6. Excess cash collateral pledged on derivative transactions	\$ 12015	\$ 12016	\$ 24031
7. Securities purchased under agreements to resell	\$ 360	\$ 605	\$ 965
8. Trade date receivable	\$ 292		\$ 292
9. Total net securities, commodities, and swaps positions	\$ 12019	\$ 12022	\$ 24041
10. Securities borrowed under subordination agreements and partners' individual and capital securities accounts, at market value			
A. Exempted securities	\$ 150		\$ 150
B. Other	\$ 160 460	\$ 630	\$ 810
11. Secured demand notes – market value of collateral			
A. Exempted securities	\$ 170		\$ 170
B. Other	\$ 180 470	\$ 640	\$ 850

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Broker-Dealer SBSD  
Stand-Alone MSBSP  
Broker-Dealer MSBSP

<u>Assets</u>	<u>Allowable</u>	<u>Non-Allowable</u>	<u>Total</u>
12. Memberships in exchanges:			
A. Owned, at market value\$ _____	190		
B. Owned at cost . . . . .		\$ _____ 650	
C. Contributed for use of company, at market value		\$ _____ 660	\$ _____ 900
13. Investment in and receivables from affiliates, subsidiaries and associated partnerships . . . . .	\$ _____ 480	\$ _____ 670	\$ _____ 910
14. Property, furniture, equipment, leasehold improvements and rights under lease agreements At cost (net of accumulated depreciation and amortization). . . . .	\$ _____ 490	\$ _____ 680	\$ _____ 920
15. Other assets			
A. Dividends and interest receivable . . . . .	\$ _____ 500	\$ _____ 690	
B. Free shipments . . . . .	\$ _____ 510	\$ _____ 700	
C. Loans and advances . . . . .	\$ _____ 520	\$ _____ 710	
D. Miscellaneous. . . . .	\$ 1,276,567 530	\$ 425,075 720	
E. Collateral accepted under ASC 860 . . . . .	\$ _____ 536		
F. SPE Assets. . . . .	\$ _____ 537		\$ 1,701,642 930
16. TOTAL ASSETS . . . . .	\$ 20,300,377 540	\$ 425,075 740	\$ 20,725,452 940

Note: Stand-alone MSBSPs should only complete the Allowable and Total columns.

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Items on this page to be reported by a: Stand-Alone Broker-Dealer  
Stand-Alone SBSD  
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**LIABILITIES AND OWNERSHIP EQUITY**

<u>Liabilities</u>	<u>A.I. Liabilities</u>	<u>Non-A.I. Liabilities</u>	<u>Total</u>
17. Bank loans payable:			
A. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a, or the CEA . . .	\$ 1030	\$ 1240	\$ 1460
B. Other . . . . .	\$ 1040	\$ 1250	\$ 1470
18. Securities sold under repurchase agreements, . . . . .		\$ 1260	\$ 1480
19. Payable to brokers/dealers and clearing organizations			
A. Failed to receive:			
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a . . . . .	\$ 1050	\$ 1270	\$ 1490
2. Other . . . . .	\$ 1060	\$ 1280	\$ 1500
B. Securities loaned			
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a . . . . .	\$ 1070		\$ 1510
2. Other . . . . .	\$ 1080	\$ 1290	\$ 1520
C. Omnibus accounts			
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a . . . . .	\$ 1090		\$ 1530
2. Other . . . . .	\$ 1095	\$ 1300	\$ 1540
D. Clearing organizations			
1. Includible in segregation requirement under 17 CFR 240.15c3-3 and its appendices or 17 CFR 240.18a-4 and 18a-4a, or the CEA . . . . .	\$ 1100		\$ 1550
2. Other . . . . .	\$ 1105	\$ 1310	\$ 1560
E. Other . . . . .	\$ 1110	\$ 1320	\$ 1570
20. Payable to customers:			
A. Securities accounts - including free credits of . . . . . \$ 5,244,315 950	\$ 1120		\$ 5,244,315 1580
B. Commodities accounts . . . . .	\$ 1130	\$ 1330	\$ 1590
21. Payable to non customers:			
A. Securities accounts . . . . .	\$ 1140	\$ 1340	\$ 2,541,788 1600
B. Commodities accounts . . . . .	\$ 1150	\$ 1350	\$ 1610
22. Excess cash collateral received on derivative transactions . . . . .	\$ 12025	\$ 12026	\$ 12027
23. Trade date payable . . . . .	\$ 12031	\$ 12037	\$ 1562
24. Total net securities, commodities, and swaps positions	\$ 12032	\$ 12038	\$ 12044
25. Accounts payable and accrued liabilities and expenses			
A. Drafts payable . . . . .	\$ 1160		\$ 1630
B. Accounts payable . . . . .	\$ 1170		\$ 1640
C. Income taxes payable . . . . .	\$ 1180		\$ 1650
D. Deferred income taxes . . . . .		\$ 1370	\$ 1660
E. Accrued expenses and other liabilities . . . . .	\$ 1190		\$ 1,015,276 1670
F. Other . . . . .	\$ 1200	\$ 1380	\$ 1680
G. Obligation to return securities . . . . .	\$ 12033	\$ 1386	\$ 1686
H. SPE Liabilities . . . . .	\$ 12045	\$ 1387	\$ 1687

## STATEMENT OF FINANCIAL CONDITION

2023-05-25 12:00PM EDT

Status: Accepted

Amendment: 1 of 1

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Part II

Items on this page to be reported by a: Stand-Alone Broker-Dealer  
Stand-Alone SBSD  
Broker-Dealer SBSD  
Stand-Alone MSBSP  
Broker-Dealer MSBSP

26. Notes and mortgages payable			
A. Unsecured.....	\$	<u>1210</u>	\$ <u>1690</u>
B. Secured .....	\$	<u>1211</u>	\$ <u>1700</u>
		<u>1390</u>	\$ <u>1700</u>

<u>Liabilities</u>	<u>A.I. Liabilities</u>	<u>Non-A.I. Liabilities</u>	<u>Total</u>
27. Liabilities subordinated to claims of			
A. Cash borrowings .....	\$	<u>1400</u>	\$ <u>1710</u>
1. From outsiders     \$	<u>970</u>		
2. Includes equity subordination (Rule 15c3-1(d) or Rule 18a-1(g)) of .....	\$ <u>980</u>		
B. Securities borrowings, at market value .....	\$	<u>1410</u>	\$ <u>1720</u>
1. From outsiders     \$	<u>990</u>		
C. Pursuant to secured demand note collateral agreements .....	\$	<u>1420</u>	\$ <u>1730</u>
1. From outsiders     \$	<u>1000</u>		
2. Includes equity subordination (Rule 15c3-1(d) or Rule 18a-1(g)) of .....	\$ <u>1010</u>		
D. Exchange memberships contributed for use of company, at market value .....	\$	<u>1430</u>	\$ <u>1740</u>
E. Accounts and other borrowings not qualified for net capital purposes. ....	\$ <u>1220</u>	\$ <u>1440</u>	\$ <u>1750</u>
28. TOTAL LIABILITIES .....	\$ <u>1230</u>	\$ <u>1450</u>	\$ <u>8,801,379</u> <u>1760</u>

<u>Ownership Equity</u>			
29. Sole proprietorship .....	\$		<u>11,924,073</u> <u>1770</u>
30. Partnership and limited liability company – including limited partners/members. ....	\$ <u>1020</u>	\$	<u>1780</u>
31. Corporation			
A. Preferred stock .....	\$	<u>1791</u>	
B. Common stock .....	\$	<u>1792</u>	
C. Additional paid in capital .....	\$	<u>1793</u>	
D. Retained Earnings .....	\$	<u>1794</u>	
E. Accumulated other comprehensive income .....	\$	<u>1797</u>	
F. Total .....	\$		<u>1795</u>
G. Less capital stock in treasury .....	\$ (	<u>1796</u> )	
32. TOTAL OWNERSHIP EQUITY (sum of Line Items 1770, 1780, 1795, and 1796) .....	\$		<u>11,924,073</u> <u>1800</u>
33. TOTAL LIABILITIES AND OWNERSHIP EQUITY (sum of Line Items 1760 and 1800) .....	\$		<u>20,725,452</u> <u>1810</u>

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Report  
Part II

Items on this page to be reported by a: Stand-Alone Broker-Dealer (Not Authorized to use models)  
Stand-Alone SBSB (Not Authorized to use models)  
Broker-Dealer SBSB (Not Authorized to use models)  
Broker-Dealer MSBSP (Not Authorized to use models)

## Computation of Net Capital

1. Total ownership equity from Item 1800	\$	11,924,073	3480
2. Deduct ownership equity not allowable for net capital	\$(		3490
3. Total ownership equity qualified for net capital	\$	11,924,073	3500
4. Add:			
A. Liabilities subordinated to claims of creditors allowable in computation of net capital	\$		3520
B. Other (deductions) or allowable credits (list)	\$		3525
5. Total capital and allowable subordinated liabilities	\$	11,924,073	3530
6. Deductions and/or charges			
A. Total nonallowable assets from Statement of Financial Condition	\$	425,075	3540
1. Additional charges for customers' and non-customers' security accounts	\$		3550
2. Additional charges for customers' and non-customers' commodity accounts	\$		3560
3. Additional charges for customers' and non-customers' security-based swap accounts	\$		12051
4. Additional charges for customers' and non-customers' swap accounts	\$		12052
B. Aged fail-to-deliver	\$	65	3570
1. number of items		1	3450
C. Aged short security differences-less reserve of	\$		3460
number of items			3470
D. Secured demand note deficiency	\$		3590
E. Commodity futures contracts and spot commodities - proprietary capital charges	\$		3600
F. Other deductions and/or charges	\$		3610
G. Deductions for accounts carried under Rules 15c3-1(a)(6) and (c)(2)(x)	\$		3615
H. Total deductions and/or charges	\$(	425,140	3620
7. Other additions and/or allowable credits (list)	\$		3630
8. Tentative net capital (net capital before haircuts)	\$	11,498,933	3640
9. Haircuts on securities other than security-based swaps			
A. Contractual securities commitments	\$		3660
B. Subordinated securities borrowings	\$		3670
C. Trading and investment securities	\$		
1. Bankers' acceptances, certificates of deposit, commercial paper, and money market instruments	\$		3680
2. U.S. and Canadian government obligations	\$		3690
3. State and municipal government obligations	\$		3700
4. Corporate obligations	\$		3710
5. Stocks and warrants	\$		3720
6. Options	\$		3730
7. Arbitrage	\$		3732
8. Risk-based haircuts computed under 17 CFR 240.15c3-1a or 17 CFR 240.18a-1a	\$		12028
9. Other securities	\$		3734
D. Undue concentration	\$		3650
E. Other (List: _____)	\$		3736
10. Haircuts on security-based swaps	\$		12053
11. Haircuts on swaps	\$		12054
12. Total haircuts (sum of Lines 9A-9E, 10, and 11)	\$(		3740
13. Net capital (Line 8 minus Line 12)	\$	11,498,933	3750

**FOCUS  
Report  
Part II**

Items on this page to be reported by a: Stand-Alone Broker-Dealer  
 Broker-Dealer SBSB (other than OTC Derivatives Dealer)  
 Broker-Dealer MSBSP

**Calculation of Excess Tentative Net Capital (If Applicable)**

1. Tentative net capital	\$		<u>3640</u>
2. Minimum tentative net capital requirement	\$		<u>12055</u>
3. Excess tentative net capital (difference between Lines 1 and 2)	\$		<u>12056</u>
4. Tentative net capital in excess of 120% of minimum tentative net capital requirement reported on Line 2	\$		<u>12057</u>

**Calculation of Minimum Net Capital Requirement**

5. Ratio minimum net capital requirement			
A. 62/3% of total aggregate indebtedness (Line Item 3840)	\$		<u>3756</u>
B. 2% of aggregate debit items as shown in the Formula for Reserve Requirements pursuant to Rule 15c3-3	\$	2,653	<u>3870</u>
i. Minimum CFTC net capital requirement (if applicable)	\$		<u>7490</u>
C. Percentage of risk margin amount computed under 17 CFR 240.15c3-1(a)(7)(i) or (a)(10)	\$		<u>12058</u>
D. For broker-dealers engaged in reverse repurchase agreements, 10% of the amounts in 17 CFR 240.15c3-1(a)(9)(i)-(iii)	\$		<u>12059</u>
E. Minimum ratio requirement (sum of Lines 5A, 5B, 5C, and/or 5D, as applicable)	\$	2,653	<u>12060</u>
6. Fixed-dollar minimum net capital requirement	\$	250,000	<u>3880</u>
7. Minimum net capital requirement (greater of Lines 5E and 6)	\$	250,000	<u>3760</u>
8. Excess net capital (Item 3750 minus Item 3760)	\$	11,248,933	<u>3910</u>
9. Net capital and tentative net capital in relation to early warning thresholds			
A. Net capital in excess of 120% of minimum net capital requirement reported on Line 7	\$	11,198,933	<u>12061</u>
B. Net capital in excess of 5% of combined aggregate debit items as shown in the Formula for Reserve Requirements pursuant to Rule 15c3-3.	\$	11,492,301	<u>3920</u>

**Computation of Aggregate Indebtedness (If Applicable)**

10. Total aggregate indebtedness liabilities from Statement of Financial Condition (Item 1230)	\$		<u>3790</u>
11. Add			
A. Drafts for immediate credit	\$		<u>3800</u>
B. Market value of securities borrowed for which no equivalent value is paid or credited	\$		<u>3810</u>
C. Other unrecorded amounts (list)	\$		<u>3820</u>
D. Total additions (sum of Line Items 3800, 3810, and 3820)	\$		<u>3830</u>
12. Deduct: Adjustment based on deposits in Special Reserve Bank Accounts (see Rule 15c3-1(c)(1)(vii))	\$		<u>3838</u>
13. Total aggregate indebtedness (sum of Line Items 3790 and 3830)	\$		<u>3840</u>
14. Percentage of aggregate indebtedness to net capital (Item 3840 divided by Item 3750)	%		<u>3850</u>
15. Percentage of aggregate indebtedness to net capital <u>after</u> anticipated capital withdrawals (Item 3840 divided by Item 3750 less Item 4880)	%		<u>3853</u>

**Calculation of Other Ratios**

16. Percentage of net capital to aggregate debits (Item 3750 divided by Item 4470)	%	8668.76	<u>3851</u>
17. Percentage of net capital, <u>after</u> anticipated capital withdrawals, to aggregate debits (Item 3750 less Item 4880, divided by Item 4470)	%	8668.76	<u>3854</u>
18. Percentage of debt to debt-to-equity total, computed in accordance with Rule 15c3-1(d)	%	0.00	<u>3860</u>
19. Options deductions/net capital ratio (1000% test) total deductions exclusive of liquidating equity under Rule 15c3-1(a)(6) and (c)(2)(x) divided by net capital	%		<u>3852</u>