

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

**BROKER OR DEALER:** PICTET OVERSEAS INC.

**as of:** 09/30/2021

**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		\$ 10,212,181	7010
B. Securities (at market)		239,574,191	7020
2. Net unrealized profit (loss) in open futures contracts traded on a contract market		12,566,285	7030
3. Exchange traded options			
A. Add market value of open option contracts purchased on a contract market		52,201,720	7032
B. Deduct market value of open option contracts granted (sold) on a contract market		(109,615,885)	7033
4. Net equity (deficit) (add lines 1, 2 and 3)		204,938,492	7040
5. Accounts liquidating to a deficit and accounts with debit balances			
- gross amount	43,399,758	7045	
Less: amount offset by customer securities	(43,399,758)	7047	0
6. Amount required to be segregated (add lines 4 and 5)		\$ 204,938,492	7060

**FUNDS IN SEGREGATED ACCOUNTS**

7. Deposited in segregated funds bank accounts			
A. Cash		4,825,437	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		(34,843,557)	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)		239,574,191	7170
12. Segregated funds on hand (describe: )		0	7150
13. Total amount in segregation (add lines 7 through 12)		209,556,071	7180
14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)		\$ 4,617,579	7190
15. Management Target Amount for Excess funds in segregation		2,750,000	7194
16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess		1,867,579	7198

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

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

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**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 foreign government or a rule of a self-regulatory organization  
authorized thereunder

	\$ 0	7305
1. Net ledger balance - Foreign Futures and Foreign Options Trading - All Customers		
A. Cash	\$ 2,030,861	7315
B. Securities (at market)	\$ 39,598,980	7317
2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade	\$ 16,160,297	7325
3. Exchange traded options		
A. Market value of open option contracts purchased on a foreign board of trade	\$ 327,380	7335
B. Market value of open option contracts granted (sold) on a foreign board of trade	\$ 0	7337
4. Net equity (deficit) (add lines 1, 2, and 3)	\$ 58,117,518	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 to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)	\$ 58,117,518	7355
7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.	\$ 58,117,518	7360

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**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	\$ 1,467,661	7500		
B. Other banks qualified under Regulation 30.7				
Name(s): <u>See Attached</u>		7510	0	7520
			\$ 1,467,661	7530
2. Securities				
A. In safekeeping with banks located in the United States	\$ 0	7540		
B. In safekeeping with other banks qualified under Regulation 30.7				
Name(s): <u>_</u>		7550	0	7560
			0	7570
3. Equities with registered futures commission merchants				
A. Cash	\$ 16,035,458	7580		
B. Securities	14,098,362	7590		
C. Unrealized gain (loss) on open futures contracts	1,491,702	7600		
D. Value of long option contracts	327,380	7610		
E. Value of short option contracts	0	7615	31,952,902	7620
4. Amounts held by clearing organizations of foreign boards of trade				
Name(s): <u>_</u>		7630		
A. Cash	\$ 0	7640		
B. Securities	0	7650		
C. Amount due to (from) clearing organization - daily variation	0	7660		
D. Value of long option contracts	0	7670		
E. Value of short option contracts	0	7675	0	7680
5. Amounts held by members of foreign boards of trade				
Name(s): <u>See Attached</u>		7690		
A. Cash	\$(12,534,816)	7700		
B. Securities	25,500,618	7710		
C. Unrealized gain (loss) on open futures contracts	14,627,005	7720		
D. Value of long option contracts	0	7730		
E. Value of short option contracts	0	7735	27,592,807	7740
6. Amounts with other depositories designated by a foreign board of trade			0	7760
Name(s): <u>_</u>		7750		
7. Segregated funds on hand (describe): <u>_</u>			0	7765
8. Total funds in separate section 30.7 accounts			\$ 61,013,370	7770
9. Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8)			2,895,852	7380
10. Management Target Amount for Excess funds in separate section 30.7 accounts			1,250,000	7780
11. Excess (deficiency) funds in separate section 30.7 accounts over (under) Management Target Amount			1,645,852	7785

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**STATEMENT OF CLEARED SWAPS SEGREGATION REQUIREMENTS AND  
FUNDS IN CLEARED SWAPS CUSTOMER ACCOUNTS UNDER 4D(F) OF THE CEA**

**Cleared Swaps Customer Requirements**

1. Net ledger balance				
A. Cash		\$ 0	8500	
B. Securities (at market)		0	8510	
2. Net unrealized profit (loss) in open cleared swaps		0	8520	
3. Cleared swaps options				
A. Market value of open cleared swaps option contracts purchased		0	8530	
B. Market value of open cleared swaps granted (sold)		0	8540	
4. Net equity (deficit) (add lines 1, 2 and 3)		0	8550	
5. Accounts liquidating to a deficit and accounts with debit balances				
- gross amount	\$ 0	8560		
Less: amount offset by customer securities	0	8570	0	8580
6. Amount required to be segregated for cleared swaps customers (add lines 4 and 5)			0	8590

**Funds in Cleared Swaps Customer Segregated Accounts**

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