CFTC FORM 1-FR-IB (Part A) 0005

Name of Company:	Employer ID No:	NFA ID No:
ESTEE BROKERAGE LLC 0010	844131768 0020	0527977 0030
Address of Principal Place of Business:	**Person to Contact Concerning This Report:**	
374 Millburn Ave Suite 203 E Millburn, NJ 7041 USA 0050	Gaurav Sahni 0040 **Telephone No:** 347-274-4176 0060	

1. Report for the period beginning 04/01/2022 0070 and ending 03/31/2023 0080

2. Type of report 0090 [x] Certified [ ] Regular quarterly/semiannual

[ ] Special call by: _____ [ ] Other - Identify: _____

3. Check whether 0095 [x] Initial Filing [ ] Amended Filing

4. Name of FCM's Designated Self-Regulatory Organization: NFA 0100

5. Filing Currency Type: USD

6. Filing Accounting Standards US Generally Accepted Accounting Principles

7. Name(s) of consolidated subsidiaries and affiliated companies:

Name		Percentage Ownership		Line of Business	
	0110		0120		0130
	0140		0150		0160
	0170		0180		0190
	0200		0210		0220
	0230		0240		0250

The introducing broker, or applicant for registration therefor, submitting this Form and its attachments and the person whose signature appears below represent that, to the best of their knowledge, all information contained therein is true, correct and complete. It is understood that all required items, statements and schedules are 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. It is further understood that any intentonial misstatements or omissions of facts constitute Federal Criminal Violations (see 18 U.S.C. 1001)

Signed this _____ day of _____

Manual signature _____

Type of print name _____

[ ] Chief Executive Officer [ ] Chief Financial Officer Corporate Title _____

[ ] General Partner [ ] Sole Proprietor

AUTHORITY: Sections 4c, 4d, 4f, 4g, 5a, 8a, and 17 of the Commodity Exchange Act (7 U.S.C. 6c, 6d, 6f, 6g, 7a, 12a and 21)

Name of Company:	Employer ID No:	NFA ID No:
ESTEE BROKERAGE LLC	844131768	0527977

CFTC FORM 1-FR-IB

STATEMENT OF FINANCIAL CONDITION

AS OF 3/31/2023

Assets

	Current		Non-Current		Total	
1. Cash	$ 62,646	1040	$ 0	1045	$ 62,646	1050
2. Securities, at market value	0	1055	0	1060	0	1065
3. Securities purchased under resale agreements	0	1115	0	1120	0	1125
4. Receivables from FCMs and foreign brokers						
A. Equity in trading accounts	0	1195	0	1200	0	1205
B. Commissions and other fees receivable	0	1206	0	1207	0	1208
C. Security deposits (50% allowed as current)	0	1209	0	1210	0	1215
D. Amounts due from foreign brokers	0	1260	0	1265	0	1270
5. Inventories	0	1400	0	1405	0	1410
6. Secured demand notes (Value of collateral) $ 0 1415						
Safety factor $ 0 1420	0	1425	0	1430	0	1435
7. Other receivables and advances						
A. Notes receivable	0	1455	0	1460	0	1465
B. Commisions receivable	0	1470	0	1475	0	1480
C. Receivables from employees and associated persons	0	1485	0	1490	0	1495
D. Dividends and interest	0	1515	0	1520	0	1525
E: Taxes receivable	0	1530	0	1535	0	1540
F. Receivables from subsidiaries and affilliates	0	1545	141,759	1550	141,759	1555
G: Other (itemize on a separate page)	0	1560	0	1565	0	1570
H. Allowance for doubtful accounts			0	1575	0	1580
8. Exhange memeberships, at cost (Market value) $ 0 1600			0	1605	0	1610
9. Investments in subsidiaries			0	1615	0	1620
10. Plant , property, equipment and capitalized leases (cost net of accumulated depreciation and amortization of $ 0 1625	0	1630	0	1635	0	1640
11. Prepaid expenses and deferred charges			0	1645	0	1650
12. Other assets (itemize on separate page)	0	1655	0	1660	0	1665
13. Total Assets	$ 62,646	1670	$ 141,759	1675	$ 204,405	1680

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CFTC FORM 1-FR-IB

STATEMENT OF FINANCIAL CONDITION

AS OF 3/31/2023

Liabilities & Ownership Equity

Liabilities

14. Loans Payable		$ 0	2025
15. Amounts owed futures commission merchants and other brokers		0	2100
16. Accounts payable, accrued expenses and other payables			
A. Accounts payable and accrued expenses		4,525	2120
B. Salaries, wages, commissions and bonuses payable		0	2130
C. Taxes payable		0	2140
D. Deferred income taxes		0	2150
E. Security deposits held		0	2160
F: Other (itemize on a separate page)		0	2210
17. Collateralized notes and mortgages		0	2230
18. Securities sold under agreements to repurchase		0	2240
19. Liabilities subordinated to claims of general creditors			
A. Subject to a satisfactory subordination agreement		0	2260
B. Not subject to a satisfactory subordination agreement		0	2270
20. Total liabilities		$ 4,525	2280

Ownership Equity

21. Sole proprietorship	$ 0	2500	
22. Partnership			
A. Partnership contributed and retained capital	$ 199,880	2510	
B. Additional capital per partnership agreement (equities in partner's trading accounts, etc.)	0	2515	
C. Total	$ 199,880	2520	
23. Coporation			
A. Preferred stock	$ 0	2530	
B. Common stock	0	2535	
C: Additional paid in captital	0	2540	
D: Retained earnings	0	2545	
E: Subtotal	$ 0	2550	
F: Less: capital stock in treasury	0	2555	
G. Total	$ 0	2560	
24. Total ownership (line 21, 22.C or 23.G)		$ 199,880	2570
25. Total liabilities and ownership equity (add lines 32 and 36)		$ 204,405	2580

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CFTC FORM 1-FR-IB

STATEMENT OF THE COMPUTATION OF THE MINIMUM CAPITAL REQUIREMENTS

AS OF 3/31/2023

Net Capital

1. Current assets (page 2, line 13)				$ 62,646	3000
2. Total liabilities (page 3, line 20)			$ 4,525	3030	
3. Deductions from total liabilities					
A. Liabilities subject to satisfactory subordination agreements (page 3, line 19.A)	$ 0	3040			
B. Certain deferred income tax liability (see regulation 1.17(c)(4)(iv))	0	3050			
C. Certain current income tax liability (see regulation 1.17(c)(4)(v)	0	3060			
D. Long term debt pursuant to regulation 1.17(c)(4)(vi)	0	3070			
E. Total deductions			0	3080	
F: Adjusted liabilities				4,525	3090
4. Net capital (subtract line 3.F. from line 1)				$ 58,121	3100

Charges Against Net Capital (see regulation 1.17(c)(5))

5. Charge against inventories held, fixed price commitments and advances against cash commodity contracts (see Regulation 1.17(c)(5)(i) and (ii) for specific charge. If charge is applicable, attach statement showing calculation of charge)				0	3155
6. Charges as specified in section 240.15c3-1(c)(2)(vii) and (vii) against securities owned by firm:					
	Market Value		Charge		
A. U.S. and Canadian government obligations	$ 0	3160	$ 0	3170	
B. State and Municipal government obligations	0	3180	0	3190	
C. Certificates of deposit, commercial paper and bankers' acceptance	0	3200	0	3210	
D. Corporate obligations	0	3220	0	3230	
E. Stocks and warrants	0	3240	0	3250	
F. Other securities	0	3260	0	3270	
G. Total charges (add lines 6.A. - 6.F.)				0	3280
7. Charges as specified in section 240.15c3-1(c)(2)(iv(F)					
A. Against securities purchased under agreements to resell				0	3290
B. Against securities sold under agreements to repurchase				0	3300
8. Charges on securities options as specified in section 240.15c3-1, Appendix A				0	3310

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9. Charges against open commodity positions in the IB's account		
A. Uncovered exchange-traded futures and granted options contracts percentage of margin requirements applicable to such contracts	0	3350
B. Ten percent (10%) of the market value of commodities which underlie commodity options not traded on a contract market carried long by the applicant or registrant which has value and such value increased adjusted net capital (this charge is limited to the value attributed to such options)	0	3380
C. Commodity options which are traded on contract markets and carried long in proprietary accounts. Charge is the same as would be applied if applicant or registrant was the grantor of the options (this charge is limited to the value attributed to such options)	0	3390
10. Five percent (5%) of all unsecured receivables from unregistered futures commission merchants or securities brokers or dealers	0	3410
11. Deficiency in collateral for secured demand notes	0	3420
12. Adjustment to eliminate benefits of consolidation (explain on a separate page)	0	3430
13. Total charges (add lines 5 through 12)	$ 0	3440

Net Capital Computation

14. Adjusted net capital (subtract line 13 from line 4)	$ 58,121	3500
15. Minimum Requirement		
A. Minimum dollar amount (Enter $45,000)	45,000	3575
B. Other NFA Requirement	6,000	3580
16. Net capital required (Enter greater of a. or b. from line 15)	45,000	3600
17. Excess net capital (subtract box 3600 from box 3500)	$ 13,121	3610

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CFTC FORM 1-FR-IB

STATEMENT OF INCOME (LOSS)

FOR THE PERIOD FROM 04/01/2022 THROUGH 3/31/2023

Revenues

1. Commissions and brokerage		
A. Commoditiy transactions on U.S. commodity exchanges	$ 0	4000
B. Commodity transactions on foreign commodity exchanges	0	4010
C. Other brokerage activities (describe on a separate page)	0	4030
2. Firm trading accounts		
A. Commoditiy transactions	0	4040
B. Securities transactions	0	4050
C. Other firm trading (describe on a separate page)	0	4060
3. Income from advisory services	141,759	4070
4. Interest and dividends	0	4105
5. Other income (itemize on a separate page)	0	4110
6. Total revenue	$ 141,759	4120

Expenses

7. Sales personnel commissions	$ 0	4200
8. Clerical and administrative employees' expenses	0	4220
9. Commissions to FCMs	0	4230
10. Occupancy and equipment costs	0	4250
11. Promotional costs	13,077	4260
12. Communications	0	4270
13. Data processing	0	4280
14. Bad debt expense	0	4290
15. Trade errors		
A. Customers' Acounts	0	4300
B. Other	0	4310
16. Interest	0	4320
17. Other expenses (itemize on a separate page)	13,401	4330
18. Total expenses	$ 26,478	4340
19. Income (loss) before income taxes and items below	$ 115,281	4400
20. Provision for income taxes	0	4410
21. Equity in earnings (losses) of unconsolidated subsidiaries, less applicable tax	0	4420
22. Extraordinary gains (losses), less applicable tax	0	4430
23. Cumulative effect of changes in accounting principles, less applicable tax	0	4440
24. Net Income (loss)	$ 115,281	4450

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CFTC FORM 1-FR-IB

STATEMENT OF THE OWNERSHIP IN EQUITY

FOR THE PERIOD FROM 04/01/2022 THROUGH 3/31/2023

1. Total ownership equity as previously reported	$ 84,598	4500
2. Net Income (loss) for the period	115,281	4510
3. Other Additions to capital (explain below)	0	4520
4. Dividends	0	4530
5. Other deductions from capital (including partner and proprietary withdrawals) (Explain below)	0	4540
6. Balance (page 5, line 36)	$ 199,879	4550

See attached for date, explanation and amount.

STATEMENT OF CHANGES IN LIABILITY
SUBORDINATED TO THE CLAIMS OF GENERAL CREDITORS
PURSUANT TO A SATISFACTORY SUBORDINATION AGREEMENT

FOR THE PERIOD FROM 04/01/2022 THROUGH 3/31/2023

	All Satisfactory Subordinated Debt		Debt that Qualifies as Equity Capital*	
1. Total subordinated borrowings as previously reported	$ 0	4600	$ 0	4605
2. Increases (explain below)	0	4610	0	4615
3. Decreases (explain below)	0	4620	0	4625
4. Balance (page 5, line 31.A)	$ 0	4630	$ 0	4635

*Equity capital is defined in regulation 1.17(d)

See attached for date, explanation and amount.

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FREEDOM OF INFORMATION ACT ("FOIAct") NOTICE

Certain statements and schedules in financial reports received by the Commission from futures commission merchants ("FCMs") are considered by the Commission to be a public record, copies of which may be obtained upon written request to the Commission's Freedor Information, Privacy and Sunshine Acts compliance staff in Washington D.C. Such financial reports include CFTC Form 1-FR-FCM and Securities and Exchange Commission Financial and Operational Combined Uniform Single Report ("FOCUS report"). Pursuant to Sectio 1.10(g) of the Commission's regulations, the following portions of these reports will be considered public and be made available pursuant requests received under the FOIAct.

(1) The Statement of Financial Condition;

(2) The Statement of the Computation of the Minimum Capital Requirements (the schedule of guaranteed introducing brokers that is to be included with this statement in Form 1-FR-FCM will be considered public);

(3) The Statement of Segregation Requirements and Funds in Segregation for Customers trading on U.S. Commodity Exchanges;

(4) The Statement of Segregation Requirements and Funds in Segregation for Customers' Dealer Options Customers;

(5) The Statement of Secured Amounts and Funds Held in Separate Accounts for Foreign Futures and Foreign Options Customers;

(6) Supplemental schedules that explain or provide additional details concerning any line item for which a supplemental schedule is specifically called for by the statements set forth in (1) through (5) above;

(7) The independent public accountant's opinion, if the report is audited.

These statements will be considered public whether filed in electronic or in hard copy form. All other statements or schedules included in form 1-FR-FCM or the FOCUS report, and notes to audited financial reports will be deemed non-public.

Generally, the Commission may disclose to third parties portions of the "nonpublic" information in the report under the following circumstances:

(1) in connection with matters in litigation;

(2) in connection with Commission investigations;

(3) where the informatiion is furnished to regulatory, self-regulatory and law-enforcement agencies to assist them in meeting respsonsibilities assigned to them by law and

(4) where disclosure is required under the FOIAct.

Petitions for confidential treatment by an FCM with respect to any of the public information contained in the Form 1-FR-FCM or the FOCU report will not be processed by Commission staff. However, if the applicant or registrant believes that the placing of any other information submitted on or with it's report in the Commission's public files would constitute an unwarranted invasion of the applicant's or registrant's personal privacy or would reveal sensitive business information the registrant or applicant may petition the Commission to treat such othe information as nonpublic pursuant to Section 145:9 in response to request under the Freedom of Information Act. Section 145:9 of the Commission's regulation affords the applicant or registrant the right to notice and a right to appeal any Commission staff decision to disc non-public information pursuant to a request for information under the FOIAct.

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CFTC FORM 1-FR-IB

EXCHANGE SUPPLEMENTARY INFORMATION

1. Capital to be withdrawn within 6 months	0	8000
2. Subordinated debt maturing within 6 months	0	8010
3. Number of associated persons	2	8100
4. Number of branch offices	1	8110
Is the financial statement prepared on a consolidated basis?	No	0081
Is the auditor's opinion unqualified?	Yes	0096
Did the firm have subordinated debt at any time during the period covered by the audited statement?	No	0076
Does the statement include (pick one):		
A reconciliation to the Net Capital Computation from the unaudited filing of the same date	Yes	0107
Language that no reconciling items exist between the Net Capital Computation on this audited filing and the corresponding unaudited filing of the same date.	No	0108
Neither of the above	No	0109

General Comments:

Name of Company:	Employer ID No:	NFA ID No:
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CFTC FORM 1-FR-IB

STATEMENT DETAILS

AS OF 3/31/2023

Box 4330 - Other Expenses

Administrative Expenses	13,396
Interest and Bank Charges	5
	13,401

Statement Description:

Amendment Comments