

SELECTED FCM FINANCIAL DATA AS OF
September 30, 2012
FROM REPORTS FILED BY
October 31, 2012

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1			Reg As	DSRO	A/O	Adjusted	Net Capital	Excess	Customers'	Customers'	Excess/Deficient	Funds in Separate	Customer	Excess/Deficient	Total Amount
2		Futures Commission Merchant / Retail Foreign Exchange Dealer			Date	Net Capital	Requirement	Net Capital	Assets	Seg Required	Funds in Seg	Section 30.7	Amount Pt. 30	Funds in Separate	of Retail Forex
3								in Seg	4d(a)(2)		Accounts	Required	Section 30.7	Obligation	
4			(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
5															
7	1	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	9/30/2012	267,561,890	173,657,487	93,904,403	2,390,221,493	2,227,719,182	162,502,311	537,050,602	509,430,379	27,620,223	0
8	2	ADM INVESTOR SERVICES INC	FCM	CBOT	9/30/2012	289,057,209	177,921,480	111,135,729	3,213,764,819	2,975,111,305	238,653,514	238,129,979	172,146,411	65,983,568	0
9	3	ADVANCED MARKETS LLC	FCMRFD	NFA	9/30/2012	20,244,891	20,000,000	244,891	0	0	0	0	0	0	0
10	4	ADVANTAGE FUTURES LLC	FCM	CME	9/30/2012	19,772,220	12,289,311	7,482,909	456,467,828	446,897,173	9,570,655	57,658,017	55,588,665	2,069,352	0
11	5	ALPARI (US) LLC	FCMRFD	NFA	9/30/2012	29,881,262	20,359,210	9,522,052	3,952,795	1,721,068	2,231,727	268,329	3,131	265,198	17,184,199
12	6	AMERIPRISE FINANCIAL SERVICES INC	FCM BD	NFA	9/30/2012	93,076,127	1,000,000	92,076,127	0	0	0	0	0	0	0
13	7	AMP GLOBAL CLEARING LLC	FCM	NFA	9/30/2012	2,360,029	1,500,000	860,029	37,450,139	36,042,936	1,407,203	424,368	179,181	245,187	0
14	8	BARCLAYS CAPITAL INC	FCM BD	NYME	9/30/2012	5,651,430,374	1,008,659,893	4,642,770,481	6,114,481,287	5,904,943,489	209,537,798	3,690,800,312	3,502,141,665	188,658,647	0
15	9	BGC FINANCIAL LP	FCM BD	NFA	9/30/2012	49,362,967	2,036,065	47,326,902	0	0	0	0	0	0	0
16	10	BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME	9/30/2012	2,213,095,393	277,899,113	1,935,196,280	1,461,940,846	1,286,607,375	175,333,471	556,298,883	482,050,671	74,248,212	0
17	11	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	9/30/2012	1,877,042,723	108,989,545	1,768,053,178	576,344,127	481,796,950	94,547,177	0	0	0	0
18	12	BNY MELLON CLEARING LLC	FCM	CME	9/30/2012	296,351,456	10,689,726	285,661,730	330,543,203	144,589,984	185,953,219	41,716,885	24,172,515	17,544,370	0
19	13	BOCI COMMODITIES & FUTURES USA LLC	FCM	NFA	9/30/2012	4,975,144	1,000,000	3,975,144	0	0	0	0	0	0	0
20	14	CANTOR FITZGERALD & CO	FCM BD	CBOT	9/30/2012	247,956,288	10,710,456	237,245,832	6,339,301	1,382,966	4,956,335	0	0	0	0
21	15	CAPITAL MARKET SERVICES LLC	FCM	NFA	9/30/2012	2,656,313	1,000,000	1,656,313	0	0	0	0	0	0	0
22	16	CIBC WORLD MARKETS CORP	FCM BD	CME	9/30/2012	504,712,940	1,500,000	503,212,940	0	0	0	0	0	0	0
23	17	CITADEL SECURITIES LLC	FCM BD	CME	9/30/2012	431,407,696	1,000,000	430,407,696	0	0	0	0	0	0	0
24	18	CITIGROUP GLOBAL MARKETS INC	FCM BD	CBOT	9/30/2012	7,092,401,676	723,728,572	6,368,673,104	8,249,410,184	8,018,194,839	231,215,345	1,890,014,391	1,473,021,301	416,993,090	0
25	19	COMMONWEALTH FOREIGN EXCHANGE INC	FCM	NFA	9/30/2012	1,790,520	1,000,000	790,520	0	0	0	0	0	0	0
26	20	COUNTRY HEDGING INC	FCM	NFA	9/30/2012	25,938,518	20,820,004	5,118,514	190,812,681	141,031,825	49,780,856	1,823,447	932,090	891,357	0
27	21	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	9/28/2012	6,060,478,591	1,431,745,034	4,628,733,557	7,247,267,615	6,374,158,803	873,108,812	2,582,826,368	2,036,491,815	546,334,553	0
28	22	CROSSLAND LLC	FCM	CBOT	9/30/2012	7,755,332	1,831,105	5,924,227	70,502,398	67,746,163	2,756,235	14,408,310	13,054,729	1,353,581	0
29	23	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	9/30/2012	2,937,090	1,324,788	1,612,302	74,433,961	73,352,649	1,081,312	661,121	571,134	89,987	0
30	24	CX CAPITAL MARKETS LLC	FCM BD	NFA	9/30/2012	3,340,955	1,000,000	2,340,955	36,155,643	34,030,485	2,125,158	0	0	0	0
31	25	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	9/30/2012	299,104,117	3,856,886	295,247,231	9,919,442	5,233,924	4,685,518	1,052,463	0	1,052,463	0
32	26	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	9/30/2012	7,289,587,332	685,701,843	6,603,885,489	15,594,298,441	14,828,206,180	766,092,261	1,674,857,727	1,430,781,636	244,076,091	0
33	27	DORMAN TRADING LLC	FCM	CME	9/30/2012	9,649,079	1,634,392	8,014,687	140,610,623	138,429,044	2,181,579	2,681,362	1,846,736	834,626	0
34	28	EAGLE MARKET MAKERS INC	FCM	CBOT	9/30/2012	6,086,609	1,000,000	5,086,609	691,763	209,396	482,367	0	0	0	0
35	29	EASY FOREX US LTD	FCM	NFA	9/30/2012	1,477,521	1,000,000	477,521	0	0	0	0	0	0	0
36	30	ENSKILDA FUTURES LTD	FCM	CME	9/28/2012	36,515,131	20,756,325	15,758,806	299,673,773	292,098,674	7,575,099	0	0	0	0
37	31	FCSTONE LLC	FCM	CME	9/30/2012	123,562,432	86,347,417	37,215,015	1,665,447,721	1,620,497,802	44,949,919	89,252,044	77,576,937	11,675,107	0
38	32	FOREX CAPITAL MARKETS LLC	FCMRFD	NFA	9/30/2012	53,676,388	32,305,567	21,370,821	0	0	0	0	0	0	256,111,341
39	33	FOREX CLUB LLC	FCMRFD	NFA	9/30/2012	22,721,674	22,000,000	721,674	0	0	0	0	0	0	15,710
40	34	FRIEDBERG MERCANTILE GROUP INC	FCM	NFA	9/30/2012	2,856,425	1,000,000	1,856,425	10,530,417	9,932,426	597,991	757,337	717,063	40,274	0
41	35	FRONTIER FUTURES INC	FCM	NFA	9/30/2012	2,025,818	1,127,302	898,516	31,768,144	31,035,462	732,682	0	0	0	0
42	36	FX SOLUTIONS LLC	FCMRFD	NFA	9/30/2012	29,823,871	20,307,191	9,516,680	0	0	0	0	0	0	16,143,820
43	37	FXDIRECTDEALER LLC	FCMRFD	NFA	9/30/2012	27,165,486	21,155,585	6,009,901	0	0	0	0	0	0	33,111,691
44	38	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	9/30/2012	42,800,937	24,255,563	18,545,374	0	0	0	0	0	0	95,111,267
45	39	GH FINANCIALS LLC	FCM	CME	9/30/2012	8,527,010	1,000,000	7,527,010	1,017,560	651,264	366,296	0	0	0	0
46	40	GLOBAL FUTURES & FOREX LTD	FCMRFD	NFA	9/30/2012	61,738,422	24,569,501	37,168,921	0	0	0	0	0	0	101,390,018
47	41	GOLDMAN SACHS & CO	FCM BD	CBOT	9/30/2012	13,236,436,188	1,828,702,352	11,407,733,836	19,682,544,915	19,192,253,250	490,291,665	9,160,178,338	8,642,079,636	518,098,702	0
48	42	GOLDMAN SACHS EXECUTION & CLEARING LP	FCM BD	CME	9/28/2012	2,208,386,714	130,512,189	2,077,874,525	1,323,007,614	749,027,498	573,980,116	91,372,743	42,344,858	49,027,885	0
49	43	GUGGENHEIM SECURITIES LLC	FCM BD	NFA	9/30/2012	66,195,866	1,936,030	64,259,836	0	0	0	0	0	0	0
50	44	HSBC SECURITIES USA INC	FCM BD	CME	9/30/2012	1,128,817,528	124,673,200	1,004,144,328	910,526,442	857,960,635	52,565,807	122,781,969	94,126,819	28,655,150	0
51	45	IBFX INC	RFED	NFA	9/30/2012	27,418,588	23,162,837	4,255,751	0	0	0	0	0	0	73,256,746
52	46	ICAP CORPORATES LLC	FCM BD	NFA	9/30/2012	50,042,685	1,555,687	48,486,998	0	0	0	0	0	0	0
53	47	IKON GLOBAL MARKETS INC	FCM	NFA	9/30/2012	15,286,333	1,000,000	14,286,333	4,065,337	2,916,516	1,148,821	0	0	0	0
54	48	INSTINET LLC	FCM BD	NFA	9/30/2012	110,046,890	3,457,839	106,589,051	0	0	0	0	0	0	0
55	49	INSTITUTIONAL LIQUIDITY LLC	FCMRFD	NFA	9/30/2012	21,628,778	20,244,107	1,384,671	0	0	0	0	0	0	14,882,149
56	50	INTEGRATED BROKERAGE SERVICES LLC	FCM	NFA	9/30/2012	103,162	1,000,000	(896,838)	0	0	0	0	0	0	0
57	51	INTERACTIVE BROKERS LLC	FCM BD	NFA	9/28/2012	1,584,698,968	213,272,721	1,371,426,247	1,979,738,326	1,752,302,868	227,435,458	511,837,225	399,704,027	112,133,198	32,641,647
58	52	IRONBEAM INC	FCM	NFA	9/30/2012	2,552,820	1,117,247	1,435,573	51,993,283	50,588,185	1,405,098	353,623	250,546	103,077	0
59	53	ITG DERIVATIVES LLC	FCM BD	NFA	9/30/2012	4,689,894	1,000,000	3,689,894	0	0	0	0	0	0	0
60	54	JEFFERIES & COMPANY INC	FCM BD	NFA	9/30/2012	689,472,062	41,557,901	647,914,161	0	0	0	0	0	0	0
61	55	JEFFERIES BACHE LLC	FCM	CBOT	9/30/2012	224,096,000	180,870,240	43,225,760	2,680,216,000	2,579,995,000	100,221,000	632,984,000	566,317,000	66,667,000	0
62	56	JP MORGAN CLEARING CORP	FCM BD	NFA	9/30/2012	6,896,149,892	1,790,449,722	5,105,700,170	1,008,177,722	755,701,037	252,476,685	574,374,401	363,901,505	210,472,896	0

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2		Futures Commission Merchant / Retail Foreign Exchange Dealer			Date	Net Capital	Requirement	Net Capital	Assets	Seg Required	Funds in Seg	Section 30.7	Amount Pt. 30	Funds in Separate	of Retail Forex	
3								in Seg	4d(a)(2)		Accounts	Required	Section 30.7	Accounts	Obligation	
4																
5				(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
6																
63	57	JP MORGAN SECURITIES LLC	FCM BD	CEI	9/30/2012	11,602,384,023	1,615,444,346	9,986,939,677	19,384,983,186	17,516,445,816	1,868,537,370	4,135,823,288	3,813,172,298	322,650,990	0	
64	58	KNIGHT CAPITAL AMERICAS LLC	FCM BD	CME	9/30/2012	289,318,429	20,705,787	268,612,642	442,089,552	425,818,639	16,270,913	13,854,841	7,924,461	5,930,380	24,115,739	
65	59	LEK SECURITIES CORPORATION	FCM BD	NFA	9/30/2012	10,475,944	1,500,000	8,975,944	6,893,400	4,390,653	2,502,747	0	0	0	0	
66	60	LINN GROUP THE	FCM	NFA	9/30/2012	3,673,069	2,162,746	1,510,323	84,136,681	80,400,700	3,735,981	390,456	178,577	211,879	0	
67	61	LIQUID FUTURES LLC	FCM	NFA	9/30/2012	1,606,281	1,036,000	570,281	0	0	0	0	0	0	0	
68	62	LPL FINANCIAL LLC	FCM BD	NFA	9/30/2012	128,754,450	7,028,675	121,725,775	0	0	0	0	0	0	0	
69	63	MACQUARIE FUTURES USA LLC	FCM	CBOT	9/30/2012	92,962,578	68,442,506	24,520,072	830,324,043	736,546,527	93,777,516	125,442,732	108,291,856	17,150,876	0	
70	64	MAREX NORTH AMERICA LLC	FCM	CME	9/30/2012	11,878,210	6,440,214	5,437,996	95,229,252	89,423,680	5,805,572	4,890,999	4,375,109	515,890	0	
71	65	MAREX USA LIMITED	FCM	NFA	9/30/2012	2,462,566	1,000,000	1,462,566	0	0	0	0	0	0	0	
72	66	MB TRADING FUTURES INC	FCMRFD	NFA	9/30/2012	23,709,451	21,133,820	2,575,631	0	0	0	0	0	0	32,676,395	
73	67	MBF CLEARING CORP	FCM	NFA	9/30/2012	1,960,067	1,000,000	960,067	0	0	0	0	0	0	0	
74	68	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	9/30/2012	13,704,788	3,159,780	10,545,008	961,624,725	940,338,157	21,286,568	6,402,006	5,687,513	714,493	0	
75	69	MERRILL LYNCH PIERCE FENNER & SMITH	FCM BD	CBOT	9/30/2012	10,641,126,236	738,295,691	9,902,830,545	8,070,220,425	7,529,886,085	540,334,340	2,604,255,801	2,248,726,442	355,529,359	0	
76	70	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	9/30/2012	1,712,428,407	263,859,147	1,448,569,260	1,393,880,887	812,511,501	581,369,386	165,055,566	64,764,988	100,290,578	0	
77	71	MID CO COMMODITIES INC	FCM	NFA	9/30/2012	11,573,553	7,666,935	3,906,618	35,742,103	23,801,404	11,940,699	876,866	304,495	572,371	0	
78	72	MITSUBISHI UFJ SECURITIES USA INC	FCM BD	NFA	9/30/2012	223,368,588	3,482,437	219,886,151	0	0	0	0	0	0	0	
79	73	mitsui BUSSAN COMMODITIES USA INC	FCM	NFA	9/30/2012	3,360,591	1,000,000	2,360,591	0	0	0	0	0	0	0	
80	74	MIZUHO SECURITIES USA INC	FCM BD	CME	9/30/2012	520,340,233	182,519,131	337,821,102	1,075,484,828	942,783,905	132,700,923	1,416,277,346	1,272,080,825	144,196,521	0	
81	75	MORGAN KEEGAN & COMPANY INC	FCM BD	NFA	9/30/2012	270,413,616	9,247,794	261,165,822	0	0	0	0	0	0	0	
82	76	MORGAN STANLEY & CO LLC	FCM BD	CME	9/30/2012	7,980,563,414	1,388,969,830	6,591,593,584	7,537,904,098	7,430,418,738	107,485,360	1,738,541,443	1,630,655,922	107,885,521	0	
83	77	MORGAN STANLEY SMITH BARNEY LLC	FCM BD	NFA	9/30/2012	2,602,866,932	140,902,239	2,461,964,693	767,060,652	727,257,884	39,802,768	114,658,140	100,313,856	14,344,284	0	
84	78	NATIXIS SECURITIES AMERICAS LLC	FCM BD	NFA	9/28/2012	328,736,306	1,601,757	327,134,549	0	0	0	0	0	0	0	
85	79	NEUBERGER BERMAN LLC	FCM BD	NFA	9/30/2012	31,771,659	1,500,000	30,271,659	0	0	0	0	0	0	0	
86	80	NEWEDGE USA LLC	FCM BD	NYME	9/30/2012	1,906,863,681	1,232,237,914	674,625,767	16,976,147,841	16,470,662,993	505,484,848	6,258,377,258	5,759,591,597	498,785,661	0	
87	81	NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	9/30/2012	1,877,910,211	29,065,630	1,848,844,581	70,919,623	51,401,021	19,518,602	1,367,217	180,019	1,187,198	0	
88	82	OANDA CORPORATION	FCMRFD	NFA	9/30/2012	143,300,816	27,419,631	115,881,185	0	0	0	0	0	0	158,392,617	
89	83	OMAHA CAPITAL GROUP LLC	FCM	NFA	9/30/2012	1,675,472	1,000,000	675,472	0	0	0	0	0	0	0	
90	84	OPEN E CRY LLC	FCM	NFA	9/30/2012	4,744,016	1,121,200	3,622,816	110,922,342	106,588,383	4,333,959	3,452,451	3,095,283	357,168	0	
91	85	OPPENHEIMER & CO INC	FCM BD	NFA	9/30/2012	163,392,003	22,333,261	141,058,742	36,085,347	29,288,710	6,796,637	0	0	0	0	
92	86	OPTIONXPRESS INC	FCM BD	NFA	9/30/2012	77,835,755	5,245,219	72,590,536	113,905,193	98,548,750	15,356,443	6,280,319	3,704,540	2,575,779	0	
93	87	PHILLIP FUTURES INC	FCM	CME	9/30/2012	27,490,269	20,000,000	7,490,269	213,264,518	185,464,305	27,800,213	301,530	0	301,530	0	
94	88	PIONEER FUTURES INC	FCM	NFA	9/30/2012	1,742,977	1,000,000	742,977	64,998	14,994	50,004	25,000	0	25,000	0	
95	89	RAND FINANCIAL SERVICES INC	FCM	CME	9/30/2012	70,631,864	23,048,284	47,583,580	425,853,100	389,561,200	36,291,900	44,278,100	23,363,000	20,915,100	0	
96	90	RAYMOND JAMES & ASSOCIATES INC	FCM BD	NFA	9/28/2012	264,314,878	30,695,627	233,619,251	0	0	0	0	0	0	0	
97	91	RBC CAPITAL MARKETS LLC	FCM BD	CME	9/28/2012	1,422,315,908	91,488,462	1,330,827,446	647,414,792	581,272,569	66,142,223	104,399,452	72,675,583	31,723,869	0	
98	92	RBS SECURITIES INC	FCM BD	CBOT	9/28/2012	3,948,600,695	192,012,899	3,756,587,796	1,844,652,953	1,704,883,054	139,769,899	150,101,545	32,730,071	117,371,474	0	
99	93	RJ OBRIEN ASSOCIATES LLC	FCM	CME	9/30/2012	207,488,574	152,920,585	54,567,989	4,110,328,886	4,001,516,644	108,812,242	224,058,019	194,328,577	29,729,442	2,248,966	
100	94	ROSENTHAL COLLINS GROUP LLC	FCM	CME	9/30/2012	97,656,953	69,647,118	28,009,835	1,649,452,885	1,625,069,117	24,383,768	93,174,004	83,215,613	9,958,391	0	
101	95	SANFORD C BERNSTEIN & CO LLC	FCM BD	NFA	9/30/2012	160,767,155	18,076,074	142,691,081	0	0	0	0	0	0	0	
102	96	SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	9/30/2012	220,765,124	9,357,862	211,407,262	537,269,701	534,835,661	2,434,040	0	0	0	0	
103	97	STATE STREET GLOBAL MARKETS LLC	FCM BD	CME	9/30/2012	489,284,932	6,020,551	483,264,381	294,187,927	141,401,244	152,786,683	83,324,280	43,188,170	40,136,110	0	
104	98	STEPHENS INC	FCM BD	NFA	9/30/2012	88,554,137	15,068,655	73,485,482	0	0	0	0	0	0	0	
105	99	STRAITS FINANCIAL LLC	FCM	CME	9/30/2012	9,524,860	2,180,557	7,344,303	83,470,113	78,507,886	4,962,227	13,552,883	12,430,240	1,122,643	0	
106	100	TD AMERITRADE INC	FCM BD	NFA	9/30/2012	261,414,889	8,131,796	253,283,093	127,292,650	102,906,148	24,386,502	0	0	0	0	
107	101	TIMBER HILL LLC	FCM BD	CME	9/30/2012	635,857,146	42,754,140	593,103,006	570,945,461	568,420,338	2,525,123	0	0	0	0	
108	102	TRADELINK LLC	FCM BD	CBOT	9/30/2012	16,791,337	1,000,000	15,791,337	0	0	0	0	0	0	0	
109	103	TRADESTATION SECURITIES INC	FCM BD	NFA	9/30/2012	48,410,904	2,926,863	45,484,041	398,892,557	389,201,488	9,691,069	16,023,248	15,055,439	967,809	0	
110	104	TRADITION SECURITIES AND FUTURES INC	FCM	NFA	9/30/2012	1,515,199	1,000,000	515,199	0	0	0	0	0	0	0	
111	105	UBS FINANCIAL SERVICES INC	FCM BD	NFA	9/30/2012	1,197,789,753	108,052,740	1,089,737,013	166,874,699	131,846,304	35,028,395	25,718,979	2,979,277	22,739,702	0	
112	106	UBS SECURITIES LLC	FCM BD	CBOT	9/30/2012	12,068,419,428	898,767,602	11,169,651,826	9,578,337,620	8,938,321,868	640,015,752	4,101,798,401	3,671,645,187	430,153,214	0	
113	107	VELOCITY FUTURES LLC	FCM	NFA	9/30/2012	1,557,680	1,000,000	557,680	59,027,348	58,059,706	967,642	15,254,637	14,686,368	568,269	0	
114	108	VISION FINANCIAL MARKETS LLC	FCM BD	CME	9/30/2012	26,773,607	13,195,119	13,578,488	558,346,838	538,374,352	19,972,486	11,957,826	9,670,427	2,287,399	0	
115	109	WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	FCM BD	NFA	9/30/2012	37,094,777	1,000,000	36,094,777	0	0	0	0	0	0	0	
116	110	WELLS FARGO ADVISORS LLC	FCM BD	NFA	9/30/2012	1,226,086,174	1,500,000	1,224,586,174	0	0	0	0	0	0	0	
117	111	WELLS FARGO SECURITIES LLC	FCM BD	CME	9/30/2012	2,557,421,759	11,944,359	2,545,477,400	0	0	0	0	0	0	0	
118	112	WHITE COMMERCIAL CORPORATION	FCM	NFA	9/30/2012	2,570,453	1,000,000	1,570,453	0	0	0	0	0	0	0	

SELECTED FCM FINANCIAL DATA AS OF
September 30, 2012
FROM REPORTS FILED BY
October 31, 2012

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	
1			Reg As	DSRO	A/O	Adjusted	Net Capital	Excess	Customers'	Customers'	Excess/Deficient	Funds in Separate	Customer	Excess/Deficient	Total Amount	
2		Futures Commission Merchant / Retail Foreign Exchange Dealer			Date	Net Capital	Requirement	Net Capital	Assets	Seg Required	Funds in Seg	Section 30.7	Amount Pt. 30	Funds in Separate	Total Amount	
3									in Seg	4d(a)(2)		Accounts	Required	Section 30.7	of Retail Forex	
4															Accounts	Obligation
5				(a)	(b)				(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)
6																
137																
138		(a): FCM: Futures Commission Merchant that is registered with the Commodity Futures Trading Commission;														
139		BD: The FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer;														
140		RFED: Retail Foreign Exchange Dealer that is registered with the Commodity Futures Trading Commission;														
141		FCMRFD: The FCM is also registered with the Commodity Futures Trading Commission as a Retail Foreign Exchange Dealer.														
142																
143		(b): DSRO: Designated Self-Regulatory Organization.														
144																
145		(c): A firm's net capital requirement is the greater of:														
146																
147		• FCM minimum dollar amount (\$1,000,000); or														
148		• risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk maintenance margin; or														
149		• the amount of capital required by a registered futures association (currently NFA is the only such association); or														
150		• for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; or														
151		• minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000); or														
152		• minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000) plus five percent of the FCM's or RFED's total retail forex obligation in excess of \$10,000,000.														
153																
154		(d): Excess net capital is adjusted net capital, less the firm's net capital requirement.														
155																
156		(e): This represents the total amount of money, securities, and property held in segregated accounts for futures and options customers in compliance with Section 4d of the Commodity Exchange Act.														
157																
158		(f): This represents the total amount of funds that an FCM is required to segregate on behalf of customers who are trading on a designated contract market or derivatives transaction execution facility. This is the sum of all accounts that contain a net liquidating equity.														
159																
160		(g): Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.														
161																
162		(h): This represents the total amount of money, securities, and property held in secured accounts for futures and options customers who trade on commodity exchanges located outside the United States in compliance with Part 30 of the Commodity Exchange Act.														
163																
164		(i): This represents the amount of funds an FCM is required to set aside for customers who trade on commodity exchanges located outside of the United States.														
165																
166		(j): Excess/Deficient funds in separate Section 30.7 accounts is funds in separate Section 30.7 accounts, less the customer amount Part 30 requirement.														
167																
168		(k): This represents the total amount of funds at an FCM, RFED, or FCMRFD that would be obtained by combining all money, securities and property deposited by a retail forex customer into a retail forex account or accounts, adjusted for the realized and unrealized net profit or loss.														