

SELECTED FCM FINANCIAL DATA AS OF

September 30, 2023

FROM REPORTS FILED BY

November 6, 2023

	Futures Commission Merchant / Retail Foreign Exchange Dealer	Registered As	DSRO	As of Date	Adjusted Net Capital	Net Capital Requirement	Excess Net Capital	Customers' Assets in Seg	Customers' Seg Required 4d(a)(2)	Excess/Deficient Funds in Seg	Target Residual Interest in Seg	Funds in Separate Section 30.7 Accounts	Customer Amount Pt. 30 Required	Excess/Deficient Funds in Separate Section 30.7 Accounts	Target Residual Interest in Section 30.7	Funds in Separate Cleared Swap Segregation	Customer Amount Cleared Swap Seg Required	Excess/Deficient Funds in Cleared Swap Seg Accounts	Target Residual Interest in Cleared Swap Seg	Total Amount of Retail Forex Obligation	
	(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	(n)	(o)	(p)	(q)		
1	ABN AMRO CLEARING USA LLC	FCM BD	CBOT	09/30/2023	722,716,863	213,343,023	509,373,840	4,218,200,802	3,476,345,676	741,855,126	350,000,000	153,504,901	118,999,386	34,505,515	15,000,000	0	0	0	0	0	
2	ADM INVESTOR SERVICES INC	FCM	CBOT	09/30/2023	478,488,477	310,132,458	168,356,019	7,587,147,399	7,253,754,575	333,392,824	120,000,000	444,917,083	398,388,885	46,528,198	20,000,000	10,302,585	0	10,302,585	8,000,000	0	
3	ADVANTAGE FUTURES LLC	FCM	CME	09/30/2023	34,897,279	14,238,129	20,659,150	586,073,679	568,265,810	17,807,869	9,000,000	55,520,953	51,642,552	3,878,401	1,000,000	0	0	0	0	0	
4	AMP GLOBAL CLEARING LLC	FCM	NFA	09/30/2023	11,435,353	1,000,000	10,435,353	77,164,794	65,298,424	11,866,370	900,000	1,981,976	1,656,698	325,278	150,000	0	0	0	0	0	
5	APEX CLEARING CORPORATION	FCM BD	NFA	09/30/2023	434,759,240	37,262,894	397,496,346	207,823,191	182,897,816	24,925,375	10,000,000	0	0	0	0	0	0	0	0	0	
6	BARCLAYS CAPITAL INC	FCM BD	NYME	09/30/2023	6,591,754,264	2,375,239,105	4,216,515,159	15,520,782,751	15,010,872,030	509,910,721	187,000,000	3,760,815,333	3,503,871,410	256,943,923	81,000,000	14,244,026,883	13,694,398,289	549,628,594	45,000,000	0	
7	BITNOMIAL CLEARING LLC	FCM	NFA	09/30/2023	1,516,340	1,000,000	516,340	0	0	0	0	0	0	0	0	0	0	0	0	0	
8	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	09/30/2023	2,354,377,640	775,652,722	1,578,724,918	6,354,835,471	5,667,397,223	687,438,248	570,000,000	749,894,773	467,600,505	282,294,268	98,000,000	2,822,760,027	2,646,184,804	176,575,223	145,000,000	0	
9	BOFA SECURITIES INC	FCM BD	CBOT	09/30/2023	22,997,306,433	4,290,854,978	18,706,451,455	28,821,753,039	27,065,694,892	1,756,058,147	200,000,000	4,988,084,009	4,721,226,174	266,857,835	150,000,000	16,293,090,915	16,023,674,956	269,415,959	150,000,000	0	
10	CANTOR FITZGERALD & CO	FCM BD	CBOT	09/30/2023	389,552,937	2,781,311	386,771,626	5,115,279	0	5,115,279	3,000,000	0	0	0	0	0	0	0	0	0	
11	CHARLES SCHWAB FUTURES AND FOREX LLC	FCM	NFA	09/30/2023	274,709,960	49,271,510	225,438,450	852,496,006	689,228,245	163,267,761	100,000,000	0	0	0	0	0	0	0	0	62,881,576	
12	CHS HEDGING LLC	FCM	CBOT	09/30/2023	71,285,204	17,284,049	54,001,155	218,363,093	155,912,474	62,450,619	24,300,000	1,558,259	0	1,558,259	200,000	520,386	0	520,386	120,000	0	
13	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	09/30/2023	16,400,856,606	4,552,566,558	11,848,290,048	17,603,567,910	17,101,801,165	501,766,745	354,200,000	4,875,080,451	4,537,960,473	337,119,978	172,200,000	33,890,661,768	33,175,801,517	714,860,251	490,700,000	0	
14	COINBASE FINANCIAL MARKETS INC	FCM	NFA	09/30/2023	19,258,768	1,000,000	18,258,768	7,012,354	6,201	7,006,153	5,000,000	0	0	0	0	0	0	0	0	0	
15	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	09/30/2023	8,576,167,430	60,094,022	8,516,073,408	207,426,157	85,450,969	121,975,188	4,272,548	7,408,877	355,093	7,053,784	17,755	2,739,543	0	2,739,543	1	0	
16	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	09/30/2023	86,382,115	9,401,914	76,980,201	352,159,081	279,486,392	72,672,689	4,600,000	1,544,361	867,955	676,406	100,000	0	0	0	0	0	
17	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	09/30/2023	1,313,739,410	3,728,979	1,310,010,431	2,123,468	0	2,123,468	0	434,420	0	434,420	1	0	0	0	0	0	
18	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	09/30/2023	3,766,408,611	189,659,687	3,576,748,924	2,182,802,201	2,032,819,569	149,983,632	100,000,000	740,097,084	639,509,101	100,587,983	50,000,000	0	0	0	0	0	
19	DIRECT ACCESS USA LLC	FCM	CME	09/30/2023	17,903,953	5,606,845	12,297,108	217,874,871	209,334,967	7,539,904	2,500,000	2,464,235	735,932	1,728,303	1,000,000	0	0	0	0	0	
20	DORMAN TRADING LLC	FCM	CME	09/30/2023	18,536,314	5,173,535	13,362,779	334,588,551	329,058,095	5,530,456	2,000,000	3,101,387	1,943,445	200,000	0	0	0	0	0	0	
21	ETRADE FUTURES LLC	FCM	NFA	09/30/2023	57,061,059	4,748,861	52,312,198	164,998,452	108,769,601	56,228,851	11,000,000	0	0	0	0	0	0	0	0	0	
22	FUTU FUTURES INC	FCM	NFA	09/30/2023	1,958,539	1,000,000	958,539	0	0	0	0	0	0	0	0	0	0	0	0	0	0
23	GAIN CAPITAL GROUP LLC	FCM/RFD	NFA	09/30/2023	50,149,708	29,261,914	20,887,794	0	0	0	0	0	0	0	0	0	0	0	0	195,238,280	
24	GH FINANCIALS LLC	FCM	CME	09/30/2023	33,656,250	13,100,833	20,555,417	168,999,840	151,930,985	17,068,855	6,300,000	8,934,006	6,913,178	2,020,828	370,000	0	0	0	0	0	
25	GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	09/30/2023	21,011,574,324	4,757,695,483	16,253,878,841	37,035,893,334	36,010,933,561	1,025,149,773	775,000,000	10,669,500,579	10,077,921,564	591,570,015	475,000,000	20,540,243,856	19,924,464,763	615,779,093	350,000,000	0	
26	HIDDEN ROAD PARTNERS CIV US LLC	FCM	CME	09/30/2023	31,488,451	1,000,000	30,488,451	3,126,594	0	3,126,594	3,000,000	0	0	0	0	0	0	0	0	0	
27	HSBC SECURITIES USA INC	FCM BD	CME	09/30/2023	1,100,904,423	486,100,463	614,803,960	4,367,005,668	4,204,265,967	162,739,701	137,000,000	194,157,175	163,928,619	30,228,556	15,000,000	2,000,340,096	1,873,984,639	126,355,457	104,000,000	0	
28	IG US LLC	RFED	NFA	09/30/2023	56,085,670	22,522,409	33,563,261	0	0	0	0	0	0	0	0	0	0	0	0	60,448,170	
29	INTERACTIVE BROKERS LLC	FCM BD	CME	09/30/2023	7,041,210,486	783,308,816	6,257,901,670	7,200,967,861	6,920,701,015	280,266,846	155,000,000	776,509,811	643,185,674	133,324,137	80,000,000	0	0	0	0	35,850,128	
30	IRONBEAM INC	FCM	CME	09/30/2023	8,186,776	1,000,000	7,186,776	105,582,011	93,077,024	12,504,987	1,600,000	719,432	459,258	260,174	60,000	0	0	0	0	0	
31	JEFFERIES LLC	FCM BD	NFA	09/30/2023	1,210,362,760	104,669,718	1,105,693,042	0	0	0	0	0	0	0	0	0	0	0	0	0	
32	JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	09/30/2023	25,405,614,156	5,229,088,444	20,176,525,712	40,630,595,781	39,505,824,783	1,124,770,998	750,610,671	6,878,231,516	6,402,831,776	475,399,740	224,099,112	22,537,482,785	21,493,579,000	1,043,903,785	451,365,159	0	
33	LINE TRADING CORP	FCM BD	NFA	09/30/2023	10,083,188	1,000,000	9,083,188	46,093	0	46,093	20,000	40,010	0	40,010	20,000	0	0	0	0	0	
34	MACQUARIE FUTURES USA LLC	FCM	CBOT	09/30/2023	607,273,185	363,987,256	243,285,929	4,008,826,958	3,789,894,847	218,932,111	100,000,000	160,595,276	116,259,576	44,335,696	7,000,000	5,179,649	0	5,179,649	1,000,000	0	
35	MAREX CAPITAL MARKETS INC	FCM BD SD	CME/NFA	09/30/2023	576,726,964	314,023,118	262,703,846	7,304,057,995	7,133,434,272	170,623,718	90,000,000	233,717,198	191,251,229	42,465,969	12,000,000	0	0	0	0	0	
36	MAREX NORTH AMERICA LLC	FCM	NFA	09/30/2023	140,374,110	1,000,000	139,374,110	0	0	753,177	0	0	251,059	1	0	0	0	0	0	0	
37	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	09/30/2023	12,879,704	1,706,146	11,173,558	431,193,305	407,230,611	23,962,694	18,000,000	2,699,385	0	2,699,385	1,000,000	0	0	0	0	0	
38	MFI FUNDING LLC	FCM	NFA	09/30/2023	107,174,644	1,000,000	106,174,644	0	0	0	0	0	0	0	0	0	0	0	0	0	
39	MID CO COMMODITIES INC	FCM	NFA	09/30/2023	16,103,863	4,603,916	11,499,947	55,672,251	37,982,976	17,689,275	5,138,000	0	0	0	0	0	0	0	0	0	
40	MIINT BROKERS	FCM BD	NFA	09/30/2023	2,220,264	1,000,000	1,220,264	0	0	0	0	0	0	0	0	0	0	0	0	0	
41	MIZUHO SECURITIES USA LLC	FCM BD	CME	09/30/2023	1,406,617,544	479,158,159	927,459,385	8,964,303,848	8,500,383,819	463,920,029	150,000,000	1,728,951,783	1,501,239,428	227,712,355	70,000,000	21,268,300	0	21,268,300	10,000,000	0	
42	MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	09/30/2023	18,946,683,474	4,263,869,724	14,682,813,750	27,628,256,136	27,060,714,132	567,542,004	235,000,000	8,839,029,043	8,637,399,405	201,629,634	140,000,000	25,726,915,292	25,169,079,828	557,835,464	92,000,000	0	
43	NANHUA USA LLC	FCM	CME	09/30/2023	34,429,545	20,220,259	14,209,286	404,026,633	372,923,717	31,102,916	3,000,000	357,395	1,092	356,303	100,000	0	0	0	0	0	
44	NATWEST MARKETS SECURITIES INC	FCM BD	CBOT	09/30/2023	560,332,889	2,892,104	557,440,785	7,503,655	0	7,503,655	5,000,000	0	0	0	0	0	0	0	0	0	
45	NINJATRADER CLEARING LLC	FCM	NFA	09/30/2023	21,613,769	1,000,000	20,613,769	257,590,389	234,121,964	23,468,425	4,000,000	3,540,890	2,274,687	1,266,203	400,000	0	0	0	0	0	
46	NCMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	09/30/2023	1,824,120,502	149,304,409	1,674,816,093	149,623,451	98,195,763	51,427,688	19,000,000	1,250,000	0	1,250,000	1,000,000	0	0	0	0	0	
47	ONDA CORPORATION	FCM/RFD	NFA	09/30/2023	41,865,017	27,832,120	14,032,897	0	0	0	0	0	0	0	0	0	0	0	0	160,885,922	
48	PHILLIP CAPITAL INC	FCM BD	CME	09/30/2023	98,133,853	44,121,212	54,012,641	884,301,203	824,275,399	60,025,804	17,500,000	21,880,604	18,308,798	3,571,806	1,000,000	0	0	0	0	0	
49	PICTET OVERSEAS INC	FCM BD	NFA	09/30/2023	50,983,530	9,359,422	41,624,108	127,133,724	121,504,188	5,629,536	1,500,000	45,478,079	4								

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(a): FCM: Futures Commission Merchant that is registered with the Commodity Futures Trading Commission. BD: The FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer. RFED: Retail Foreign Exchange Dealer that is registered with the Commodity Futures Trading Commission. FCMRFD: The FCM is also registered with the Commodity Futures Trading Commission as a Retail Foreign Exchange Dealer. SD: The FCM or RFED is also registered with the Commodity Futures Trading Commission as a provisionally registered swap dealer.
(b): DSRO: Designated Self-Regulatory Organization. FCM/RFED firms that are dually registered as SDs have two DSROs listed if they have a different DSRO for the FCM/RFED and the SD. The DSRO for the FCM/RFED is listed first and the DSRO for the SD is listed second.
(c): A firm's net capital requirement is the greater of: <ul style="list-style-type: none"> <li>• FCM minimum dollar amount (\$1,000,000); or</li> <li>• risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk maintenance margin; or</li> <li>• the amount of capital required by a registered futures association (currently NFA is the only such association); or</li> <li>• for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; or</li> <li>• minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000); or</li> <li>• 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.</li> </ul>
(d): Excess net capital is adjusted net capital, less the firm's net capital requirement.
(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.
(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.
(g): Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.
(h): This represents the targeted excess of proprietary funds deposited into customer segregated accounts above the customer segregation requirement. This target amount is set by the firm.
(i): 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.
(j): 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.
(k): Excess/Deficient funds in separate Section 30.7 accounts is funds in separate Section 30.7 accounts, less the customer amount Part 30 requirement.
(l): This represents the targeted excess of proprietary funds deposited into separate Section 30.7 accounts above the customer amount Part 30 requirement. This target amount is set by the firm.
(m): This represents the total amount of money, securities, and property held in cleared swap customer accounts for cleared swap customers in compliance with Section 4d(f) of the Commodity Exchange Act.
(n): This represents the amount of funds an FCM is required to segregate for customers who trade cleared swaps.
(o): Excess/Deficient funds in cleared swap customer accounts is funds in separate cleared swap segregation accounts, less the cleared swap customer segregation requirement.
(p): This represents the targeted excess of proprietary funds deposited into separate cleared swap segregation accounts above the cleared swap customer segregation requirement. This target amount is set by the firm.
(q): 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.