

SELECTED FCM FINANCIAL DATA AS OF

August 31, 2014

FROM REPORTS FILED BY

September 30, 2014

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U
		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)	(r)	(s)	(t)
1		1 ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	8/31/2014	477,384,751	147,793,096	329,591,655	2,708,294,636	2,430,091,501	278,203,135	126,628,133	151,868,769	108,557,482	43,311,287	16,283,622	0	0	0	0	0
2		2 ADM INVESTOR SERVICES INC	FCM	CBOT	8/31/2014	287,303,035	158,506,573	128,796,462	3,504,521,388	3,256,067,220	248,454,168	120,000,000	266,130,732	207,561,381	58,569,351	20,000,000	13,227,737	3,392,153	9,835,584	8,000,000	0
3		3 ADVANTAGE FUTURES LLC	FCM	CME	8/31/2014	24,121,104	12,660,855	11,460,249	485,957,152	470,374,593	15,582,559	8,000,000	53,007,516	50,824,240	2,183,276	1,000,000	0	0	0	0	0
4		4 AMP GLOBAL CLEARING LLC	FCM	NFA	8/29/2014	2,477,878	1,500,000	977,878	56,282,082	54,639,039	1,643,043	900,000	1,089,149	768,861	320,288	150,000	0	0	0	0	0
5		5 BARCLAYS CAPITAL INC	FCM BD	NYME	8/31/2014	7,692,967,510	1,439,797,701	6,253,169,809	6,886,771,196	6,528,237,562	358,533,634	231,099,610	3,834,923,976	3,674,536,155	160,387,821	128,241,311	6,888,512,682	5,749,704,476	1,138,808,206	535,297,487	0
6		6 BGC FINANCIAL LP	FCM BD	NFA	8/31/2014	58,471,460	1,000,000	57,471,460	0	0	0	0	0	0	0	0	0	0	0	0	0
7		7 BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME	8/31/2014	3,354,767,508	204,501,285	3,150,266,223	2,939,792,627	2,620,624,133	319,168,494	262,062,413	17,785,244	2,417,128	15,368,116	10,000,000	11,912,875	1,812,663	10,100,212	5,000,000	0
8		8 BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	8/31/2014	1,620,880,322	215,236,827	1,405,643,495	1,378,535,323	1,120,491,264	258,044,059	224,098,253	36,508,062	12,194,748	24,313,319	1,219,474	492,323,962	425,832,707	66,491,255	42,583,271	0
9		9 BOCI COMMODITIES & FUTURES USA LLC	FCM	NFA	8/31/2014	13,586,243	1,000,000	12,586,243	0	0	0	0	0	0	0	0	0	0	0	0	0
10		10 CANTOR FITZGERALD & CO	FCM BD	CBOT	8/31/2014	212,220,781	5,648,190	206,572,591	4,969,921	0	4,969,921	3,000,000	0	0	0	0	0	0	0	0	0
11		11 CHS HEDGING LLC	FCM	CBOT	8/31/2014	26,652,803	12,424,947	14,227,856	193,497,602	167,277,882	26,219,720	13,100,000	967,070	244,760	722,310	235,000	1,172,860	496,650	676,210	310,000	0
12		12 CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	8/31/2014	5,717,018,490	1,027,082,936	4,689,935,554	5,380,647,072	5,102,627,752	278,019,320	253,800,000	1,118,454,569	897,808,535	220,646,034	150,000,000	6,027,977,149	5,474,794,249	553,182,900	278,700,000	0
13		13 CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	8/31/2014	7,636,159,767	2,448,992,215	5,187,167,552	9,117,174,635	8,156,646,306	960,528,329	407,832,315	3,166,122,919	2,775,901,480	390,221,439	138,795,074	9,935,496,837	8,046,196,626	1,889,300,211	402,309,831	0
14		14 CUNNINGHAM COMMODITIES LLC	FCM	CBOT	8/31/2014	5,464,496	1,474,476	3,990,020	69,777,591	65,603,077	4,174,514	3,050,000	591,115	349,833	241,282	100,000	0	0	0	0	0
15		15 DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	8/31/2014	517,171,486	10,173,375	506,998,111	10,221,516	10,221,516	4,742,544	5,478,972	4,742,544	613,438	1	0	0	0	0	0	0
16		16 DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	8/29/2014	9,928,386,780	770,797,229	9,157,589,551	12,725,266,149	12,094,652,869	630,613,280	500,000,000	1,493,448,728	1,220,919,002	272,529,726	200,000,000	1,908,611,477	1,596,224,106	312,387,371	250,000,000	0
17		17 DORMAN TRADING LLC	FCM	CME	8/31/2014	11,975,127	2,597,615	9,377,512	175,730,603	172,736,211	2,994,392	2,000,000	3,669,752	3,096,439	573,313	200,000	0	0	0	0	0
18		18 E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	8/31/2014	48,757,143	15,204,793	33,552,350	596,630,859	579,442,938	17,187,921	9,000,000	35,763,843	33,889,811	1,874,032	1,000,000	0	0	0	0	0
19		19 E TRADE CLEARING LLC	FCM BD	NFA	8/31/2014	754,614,595	160,161,190	594,453,405	54,060,073	41,834,826	12,225,247	10,000,000	1,469,526	460,451	1,009,075	1,000,000	0	0	0	0	0
20		20 EFL FUTURES LIMITED	FCM	CME	8/31/2014	37,111,258	17,969,698	19,141,560	270,069,900	283,007,374	12,937,474	5,000,000	0	0	0	0	0	0	0	0	0
21		21 FCSTONE LLC	FCM	CME	8/31/2014	120,764,186	72,565,732	48,198,454	1,745,289,891	1,712,963,857	32,326,034	26,000,000	73,421,367	54,687,783	18,733,584	15,000,000	0	0	0	0	0
22		22 FOREX CAPITAL MARKETS LLC	FCMRFD SD	NFA	8/31/2014	49,177,539	29,581,228	19,596,311	0	0	0	0	0	0	0	0	0	0	0	0	201,624,562
23		23 FRIEDBERG MERCANTILE GROUP INC	FCM	NFA	8/31/2014	3,604,615	1,000,000	2,604,615	4,128,806	3,016,115	1,112,691	1,000,000	1,013,529	0	1,013,529	1,000,000	0	0	0	0	0
24		24 FRONTIER FUTURES INC	FCM	NFA	8/31/2014	1,834,856	1,054,100	780,756	33,150,042	32,299,024	851,018	388,588	0	0	0	0	0	0	0	0	0
25		25 FXDIRECTDEALER LLC	FCMRFD SD	NFA	8/31/2014	20,322,653	20,000,000	322,653	0	0	0	0	0	0	0	0	0	0	0	0	42,274
26		26 GAIN CAPITAL GROUP LLC	FCMRFD	NFA	8/31/2014	34,410,013	25,084,467	9,325,546	211,976,709	201,478,496	10,498,213	2,500,000	5,799,798	3,528,264	2,271,534	312,500	0	0	0	0	111,689,346
27		27 GH FINANCIALS LLC	FCM	CME	8/31/2014	10,830,366	2,288,212	8,542,154	22,702,418	20,935,497	1,766,921	575,000	388,919	92,807	296,112	75,000	0	0	0	0	0
28		28 GLOBAL FUTURES & FOREX LTD	FCMRFD SD	NFA	8/31/2014	3,725,216	1,000,000	2,725,216	0	0	0	0	0	0	0	0	0	0	0	0	0
29		29 GOLDMAN SACHS & CO	FCM BD SD	CBOT/NFA	8/31/2014	12,617,968,954	2,391,973,518	10,225,995,436	21,617,960,408	21,039,453,641	578,506,767	475,000,000	8,653,508,387	8,049,034,948	604,473,439	475,000,000	2,926,336,739	2,562,771,344	363,565,395	150,000,000	0
30		30 GOLDMAN SACHS EXECUTION & CLEARING LP	FCM BD	CME	8/31/2014	1,615,167,837	197,615,087	1,417,552,750	1,209,988,212	633,498,433	576,489,779	540,000,000	63,702,505	16,624,628	47,077,877	40,000,000	0	0	0	0	0
31		31 GUGGENHEIM SECURITIES LLC	FCM BD	NFA	8/31/2014	57,514,952	1,454,922	56,060,030	0	0	0	0	0	0	0	0	0	0	0	0	0
32		32 HSBC SECURITIES USA INC	FCM BD	CME	8/31/2014	1,071,087,431	198,849,235	872,238,196	1,369,788,448	1,256,146,419	113,642,029	50,000,000	172,608,290	123,313,586	49,294,704	37,964,902	675,540,887	619,429,928	56,110,959	30,000,000	0
33		33 IBFX INC	RFED SD	NFA	8/31/2014	26,977,729	22,975,867	4,001,862	0	0	0	0	0	0	0	0	0	0	0	0	66,028,810
34		34 INSTITUTIONAL LIQUIDITY LLC	FCMRFD	NFA	8/31/2014	31,478,038	20,000,000	11,478,038	0	0	0	0	0	0	0	0	0	0	0	0	70,435
35		35 INTERACTIVE BROKERS LLC	FCM BD	NFA	8/31/2014	2,222,953,664	357,283,092	1,865,670,572	2,445,452,173	2,226,748,543	218,703,630	155,000,000	415,708,221	313,902,741	101,805,480	80,000,000	0	0	0	0	42,974,138
36		36 IRONBEAM INC	FCM	NFA	8/31/2014	2,251,624	1,000,000	1,251,624	37,753,445	36,503,354	1,250,091	800,000	110,959	0	110,959	50,000	0	0	0	0	0
37		37 ITG DERIVATIVES LLC	FCM BD	NFA	8/31/2014	4,502,435	1,000,000	3,502,435	0	0	0	0	0	0	0	0	0	0	0	0	0
38		38 JEFFERIES BACHE LLC	FCM	CBOT	8/31/2014	187,645,000	103,642,400	84,002,600	1,961,818,000	1,859,330,000	102,488,000	90,000,000	190,712,000	120,851,000	69,861,000	50,000,000	72,787,000	52,564,000	20,223,000	5,000,000	0
39		39 JEFFERIES LLC	FCM BD	NFA	8/31/2014	902,854,742	73,474,314	829,380,428	0	0	0	0	0	0	0	0	0	0	0	0	0
40		40 JP MORGAN CLEARING CORP	FCM BD	NFA	8/31/2014	8,033,815,633	2,097,446,658	5,936,368,975	1,047,027,229	709,617,615	337,409,614	63,865,585	581,409,200	381,608,717	199,800,483	34,344,785	250,000	0	250,000	1	0
41		41 JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	8/29/2014	13,336,003,770	2,270,988,335	11,065,015,435	19,659,492,346	17,602,333,492	2,057,158,854	1,584,210,014	3,419,901,062	3,040,709,591	379,191,471	273,663,863	4,735,259,557	4,067,435,449	667,824,108	366,069,190	0
42		42 KCG AMERICAS LLC	FCM BD	CME	8/31/2014	344,598,443	36,278,895	308,319,548	766,235,870	748,412,184	17,823,686	15,000,000	6,994,693	3,533,727	3,460,966	2,500,000	0	0	0	0	30,747,708
43		43 LEK SECURITIES																			

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		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																					
2																					
3																					
87																					
88																					
89		Totals							163,084,690,947	151,279,129,502	11,805,561,445	7,613,546,610	38,239,592,329	33,856,448,907	4,383,143,422	2,859,102,265	45,126,479,436	38,638,351,842	6,488,127,594	2,880,633,904	619,682,081
90																					
91		July Web Page Update	83																		
92																					
93		Additions	1																		
94		JEFFERIES LLC																			
95																					
96		Deletions	1																		
97		AMERIPRISE FINANCIAL SERVICES INC																			
98																					
99		Name Changes																			
100		None																			
101																					
102		August Web Page Update	83																		
103																					
104		(a): FCM: Futures Commission Merchant that is registered with the Commodity Futures Trading Commission.																			
105		BD: The FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer.																			
106		RFED: Retail Foreign Exchange Dealer that is registered with the Commodity Futures Trading Commission.																			
107		FCMRFD: The FCM is also registered with the Commodity Futures Trading Commission as a Retail Foreign Exchange Dealer.																			
108		SD: The FCM or RFED is also registered with the Commodity Futures Trading Commission as a provisionally registered swap dealer.																			
109																					
110		(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.																			
111																					
112		(c): A firm's net capital requirement is the greater of:																			
113																					
114		• FCM minimum dollar amount (\$1,000,000); or																			
115		• risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk maintenance margin; or																			
116		• the amount of capital required by a registered futures association (currently NFA is the only such association); or																			
117		• for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; or																			
118		• minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000); or																			
119		• 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.																			
120																					
121		(d): Excess net capital is adjusted net capital, less the firm's net capital requirement.																			
122																					
123		(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.																			
124																					
125		(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.																			
126																					
127		(g): Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.																			
128																					
129		(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.																			
130																					
131		(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.																			
132																					
133		(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.																			
134																					
135		(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.																			
136																					
137		(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.																			
138																					
139		(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.																			
140																					
141		(n): This represents the amount of funds an FCM is required to segregate for customers who trade cleared swaps.																			
142																					
143		(o): Excess/Deficient funds in cleared swap customer accounts is funds in separate cleared swap segregation accounts, less the cleared swap customer segregation requirement.																			
144																					
145		(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.																			
146																					
147		(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.																			