

SELECTED FCM FINANCIAL DATA AS OF

October 31, 2018
 FROM REPORTS FILED BY
 November 29, 2018

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(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 CHICAGO LLC	FCM BD	CBOT	10/31/2018	679,506,683	188,469,881	491,036,802	3,210,387,370	2,841,706,317	368,681,053	250,006,815	156,923,105	118,205,504	38,717,601	11,820,550	0	0	0	0	0
2 ADM INVESTOR SERVICES INC	FCM	CBOT	10/31/2018	311,754,786	171,316,638	140,438,148	4,305,303,756	4,088,416,824	216,886,932	120,000,000	315,767,465	269,095,749	46,671,716	20,000,000	15,198,088	6,194,629	9,003,459	8,000,000	0
3 ADVANTAGE FUTURES LLC	FCM	CME	10/31/2018	19,598,157	8,518,658	11,079,499	11,079,499	323,937,989	297,603,696	26,334,293	39,398,153	35,898,454	3,499,699	1,000,000	0	0	0	0	0
4 AMP GLOBAL CLEARING LLC	FCM	NFA	10/31/2018	4,242,887	1,000,000	3,242,887	54,697,895	59,132,604	4,565,291	900,000	2,061,640	1,718,230	343,410	150,000	0	0	0	0	0
5 APEX CLEARING CORPORATION	FCM BD	NFA	10/31/2018	189,517,845	25,347,200	164,170,645	18,549,883	10,178,099	6,841,784	2,500,000	0	0	0	0	0	0	0	0	0
6 BARCLAYS CAPITAL INC	FCM BD	NYME	10/31/2018	5,736,148,624	929,350,821	4,806,797,803	4,711,158,276	4,360,659,280	350,498,996	154,367,338	3,248,136,057	3,047,752,560	200,383,497	101,794,935	6,147,645,953	5,643,353,345	504,292,608	224,041,128	0
7 BGC FINANCIAL LP	FCM BD	NFA	10/31/2018	39,292,401	1,553,835	37,738,566	0	0	0	0	0	0	0	0	0	0	0	0	0
8 BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	10/31/2018	1,777,073,575	380,174,473	1,396,899,102	3,028,282,687	2,843,211,521	185,071,166	150,000,000	187,599,729	149,660,336	37,939,393	30,000,000	1,069,286,443	919,616,410	149,670,033	120,000,000	0
9 BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	10/31/2018	7,005,931	1,105,531	5,900,400	20,540,143	15,898,342	4,641,801	1,000,000	6	6	6	1	6	1	6	1	0
10 BOFAM SECURITIES INC	FCM	NFA	10/31/2018	25,000,000	1,500,000	23,500,000	0	0	0	0	0	0	0	0	0	0	0	0	0
11 CANTOR FITZGERALD & CO	FCM BD	CBOT	10/31/2018	161,928,397	5,185,583	156,742,814	4,969,921	0	0	0	0	0	0	0	0	0	0	0	0
12 CHARLES SCHWAB FUTURES, INC.	FCM	NFA	10/31/2018	97,714,484	4,819,692	92,894,792	125,622,110	66,080,210	59,541,900	9,912,032	3,085,676	562,184	2,523,492	84,328	0	0	0	0	0
13 CHS HEDGING LLC	FCM	CBOT	10/31/2018	51,489,433	9,262,262	42,227,171	176,974,209	126,308,391	50,665,818	13,600,000	1,527,463	0	1,527,463	200,000	503,912	0	503,912	120,000	0
14 CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	10/31/2018	9,138,681,601	2,444,506,377	6,694,175,224	9,649,587,464	9,172,191,080	477,396,384	370,000,000	2,905,531,390	2,721,606,877	183,924,513	150,000,000	24,820,262,163	24,315,033,186	505,228,977	424,000,000	0
15 CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	10/31/2018	9,437,332,332	1,222,089,201	8,215,243,131	6,070,170,827	5,748,169,362	322,001,465	287,408,468	3,259,054,938	3,044,243,246	214,811,692	152,212,162	10,470,458,868	9,883,548,725	586,910,143	494,177,436	0
16 CUNNINGHAM COMMODITIES LLC	FCM	CBOT	10/31/2018	5,273,880	1,251,979	4,021,901	76,528,929	72,906,434	3,622,495	3,050,000	2,493,861	1,969,603	524,258	100,000	0	0	0	0	0
17 DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	10/31/2018	946,950,557	2,930,915	944,019,642	2,166,109	2,166,109	1	557,773	0	557,773	1	0	0	0	0	0	0
18 DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	10/31/2018	12,845,191,732	228,490,338	12,616,701,394	2,422,077,488	2,217,328,112	204,749,376	125,000,000	905,533,682	780,480,313	125,053,369	75,000,000	0	0	0	0	0
19 DIRECT ACCESS USA LLC	FCM	CME	10/31/2018	8,191,160	0	8,191,160	0	0	0	0	0	0	0	0	0	0	0	0	0
20 DORMAN TRADING LLC	FCM	CME	10/31/2018	14,086,361	1,313,764	12,772,597	158,403,891	153,257,989	5,145,902	2,000,000	4,189,013	3,624,068	564,945	200,000	0	0	0	0	0
21 E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	10/31/2018	157,958,142	53,052,275	104,905,867	1,318,092,688	1,237,555,254	80,537,434	41,250,000	65,722,979	56,263,071	9,459,908	5,000,000	1,972,113	770,805	1,201,308	500,000	0
22 E*TRADE FUTURES LLC	FCM	NFA	10/31/2018	25,950,355	1,673,720	24,276,635	61,347,627	34,993,367	26,354,260	5,000,000	0	0	0	0	0	0	0	0	0
23 EFL FUTURES LIMITED	FCM	CME	10/31/2018	42,760,179	19,605,697	23,154,482	249,544,976	233,698,520	15,846,456	5,000,000	0	0	0	0	0	0	0	0	0
24 GAIN CAPITAL GROUP LLC	FCMRFD	NFA	10/31/2018	50,955,291	33,054,415	17,900,876	238,042,223	221,315,273	16,726,950	10,000,000	7,124,312	4,669,706	2,454,606	1,000,000	0	0	0	0	248,630,210
25 GH FINANCIALS LLC	FCM	CME	10/31/2018	19,768,913	4,999,631	14,769,282	84,271,671	64,536,644	19,735,027	3,800,000	4,962,198	3,848,643	1,113,555	550,000	0	0	0	0	0
26 GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	10/31/2018	19,951,321,748	2,409,438,101	17,541,883,647	22,470,506,284	21,611,400,275	859,106,009	675,000,000	9,403,758,916	8,834,668,352	569,909,644	475,000,000	6,771,195,641	6,344,909,290	426,286,351	350,000,000	0
27 HSBC SECURITIES USA INC	FCM BD	CBOT	10/31/2018	1,013,961,094	306,363,512	707,597,582	2,846,886,826	2,719,864,699	127,022,127	109,000,000	197,543,091	162,463,444	35,079,647	25,000,000	1,016,917,432	901,371,067	115,546,365	100,000,000	0
28 HUATAI FINANCIAL USA INC	FCM	NFA	10/31/2018	2,111,648	1,000,000	1,111,648	0	0	0	0	0	0	0	0	0	0	0	0	0
29 INTERACTIVE BROKERS LLC	FCM BD	CME	10/31/2018	4,788,273,371	450,416,569	4,337,856,802	4,396,874,389	4,193,345,584	203,528,805	155,000,000	569,174,015	442,522,051	126,651,964	80,000,000	0	0	0	0	73,609,210
30 INTL FCSTONE FINANCIAL INC	FCM BD	CME	10/31/2018	176,042,262	97,899,926	78,142,336	2,685,324,847	2,627,529,080	57,795,767	40,000,000	127,137,546	110,998,106	16,139,440	8,000,000	0	0	0	0	0
31 IRONBEAM INC	FCM	NFA	10/31/2018	4,536,688	1,000,000	3,536,688	3,729,683	3,729,683	0	1,600,000	444,612	327,277	117,335	50,000	0	0	0	0	0
32 JEFFERIES LLC	FCM BD	NFA	10/31/2018	1,789,882,197	109,477,718	1,680,404,479	0	0	0	0	0	0	0	0	0	0	0	0	0
33 JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	10/31/2018	19,200,764,308	2,922,704,336	16,278,059,972	21,090,986,124	19,374,422,258	1,716,563,866	920,285,057	4,794,276,318	4,301,742,934	492,533,384	365,648,149	13,395,951,726	12,333,877,607	1,062,074,119	647,528,574	0
34 MACQUARIE FUTURES USA LLC	FCM	CBOT	10/31/2018	264,843,211	170,672,377	94,170,834	2,215,543,004	1,978,164,902	237,378,102	100,000,000	46,237,174	29,173,338	17,063,836	7,000,000	23,149,843	2,426,936	20,722,907	1,000,000	0
35 MAREX NORTH AMERICA LLC	FCM	CME	10/31/2018	26,244,866	17,928,150	8,316,716	245,955,363	242,907,698	3,047,665	2,070,000	53,625,200	50,129,290	3,495,910	2,250,000	0	0	0	0	0
36 MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	10/31/2018	14,285,671	1,865,495	12,420,176	740,827,499	716,920,841	23,906,658	18,000,000	2,567,861	0	2,567,861	1,000,000	0	0	0	0	0
37 MERRILL LYNCH PIERCE FENNER & SMITH INCORPORATED	FCM BD	CBOT	10/31/2018	14,255,755,601	1,911,939,621	12,343,815,980	16,672,486,913	16,358,785,216	313,701,697	200,000,000	5,576,696,644	5,258,725,112	317,971,532	150,000,000	6,450,868,846	6,101,232,564	349,636,282	150,000,000	0
38 MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	10/31/2018	4,652,764,676	559,583,367	4,093,181,309	3,207,751,403	1,284,839,658	1,922,911,745	300,000,000	0	0	0	0	0	0	0	0	0
39 MID CO COMMODITIES INC	FCM	NFA	10/31/2018	9,773,470	4,124,665	5,648,805	44,781,208	37,478,213	10,402,995	5,138,000	0	0	0	0	0	0	0	0	0
40 MINT BROKERS	FCM BD	NFA	10/31/2018	2,500,225	1,000,000	1,500,225	0	0	0	0	0	0	0	0	0	0	0	0	0
41 MIZUHO SECURITIES USA LLC	FCM BD SD	CME/NFA	10/31/2018	680,861,867	247,921,222	432,940,645	3,738,443,693	3,539,134,116	199,309,577	125,000,000	679,699,653	554,424,507	125,275,146	70,000,000	33,045,508	2,649,830	30,395,678	15,000,000	0
42 MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	10/31/2018	13,844,534,017	2,365,875,891	11,478,658,126	17,546,595,663	17,197,373,747	349,221,916	280,000,000	5,388,161,420	5,197,126,509	191,034,911	140,000,000	16,142,251,458	15,972,607,794	169,643,664	92,000,000	0
43 NANHUA USA LLC	FCM	CME	10/31/2018	16,821,336	1,074,928	15,746,408	33,914,947	32,141,009	11,773,938	3,500,000	0	0	0	0	0	0	0	0	0
44 NATWEST MARKETS SECURITIES INC	FCM BD	CBOT	10/31/2018	837,851,413	37,113,358	800,738,055	582,290,220	507,186,406	75,103,814	60,000,000	22,166,411	15,909,966	6,256,445	5,000,000	0	0	0	0	0
45 NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	10/31/2018	1,336,621,063	206,125,323	1,130,495,740	303,034,883	197,550,354	105,484,529	15,000,000	17,433,586	17,433,586	1,000,000	0	0	0	0	0	0
46 OANDA CORPORATION	FCMRFD	NFA	10/31/2018	60,192,506	56,543,758	3,648,748	0	0	0	0	0	0	0	0	0	0	0	0	193,032,058
47 PHILLIP CAPITAL INC	FCM BD	CME	10/31/2018	32,478,361	12,687,856	19,790,505	320,554,011	308,790,378	11,763,633	7,500,000	11,288,200	8,277,510	3,010,690	2,000,000	0	0	0	0	0
48 PICTET OVERSEAS INC	FCM BD	NFA	10/31/2018	16,799,836	1,247,530	15,552,306	2,117,255	313,944	1,803,311	1,500,000	36,465,905	34,120,112	2,345,793	500,000	0	0	0	0	0
49 RAND FINANCIAL SERVICES INC	FCM	CME	10/31/2018	90,989,095	10,264,940	80,724,155	173,408,700	133,393,400	40,015,300	4,001,800	31,993,200	7,381,900	24,611,300	221,500	0				

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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.
FCMRFED:	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"> • FCM minimum dollar amount (\$1,000,000); or • risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk maintenance margin; or • the amount of capital required by a registered futures association (currently NFA is the only such association); or • for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; or • minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000); or • 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.
(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 FCMRFED 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.