SELECTED FCM FINANCIAL DATA AS OF
January 31, 2012
FROM REPORTS FILED BY
March 5, 2012

	Futures Commission Merchant / Retail Foreign Exchange Dealer	Reg As	DSRO	A/O 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	Funds in Separate Section 30.7 Accounts	Customer Amount Pt. 30 Required	Excess/Deficient Funds in Separate Section 30.7 Accounts	Total Amount of Retail Forex Obligation
		(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
1	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	1/31/2012	286,909,134	131,364,570	155,544,564	2,090,731,568	2,036,068,185	54,663,383	340,796,319	327,094,301	13,702,018	0
2	ADM INVESTOR SERVICES INC	FCM	CBOT	1/31/2012	250,739,498	143,246,101	107,493,397	3,230,202,833	2,748,189,684	482,013,149	220,140,192	179,143,749	40,996,443	638,863
3	ADVANCED MARKETS LLC	FCMRFD	NFA	1/31/2012	20,523,266	20,000,000	523,266	0	0	0	0	0	0	2,025,284
4	ADVANTAGE FUTURES LLC	FCM	CME	1/31/2012	21,020,804	11,337,086	9,683,718	464,897,823	452,674,728	12,223,095	45,224,509	42,725,107	2,499,402	0
5	ALPARI (US) LLC	FCMRFD	NFA	1/31/2012	23,919,475	20,022,052	3,897,423	352,891	234,046	118,845	0	0	0	10,441,032
6	AMERIPRISE FINANCIAL SERVICES INC	FCM BD	NFA	1/31/2012	68,282,696	1,000,000	67,282,696	0	0	0	0	0	0	0
7	AMP GLOBAL CLEARING LLC	FCM	NFA	1/31/2012	1,837,837	1,000,000	837,837	34,130,737	33,074,092	1,056,645	236,205	5,669	230,536	0
8	BARCLAYS CAPITAL INC	FCM BD	NYME	1/31/2012	6,379,500,302	1,011,846,242	5,367,654,060	6,984,692,107	6,780,292,553	204,399,554	3,936,153,650	3,756,807,892	179,345,758	0
9	BGC FINANCIAL LP	FCM BD	NFA	1/31/2012	54,883,399	1,217,329	53,666,070	0	0	0	0	0	0	0
10	BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME	1/31/2012	2,172,257,273	300,637,341	1,871,619,932	1,505,923,717	1,363,413,447	142,510,270	695,073,433	636,960,003	58,113,430	0
11	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	1/31/2012	1,848,943,394	106,714,149	1,742,229,245	521,268,096	434,640,721	86,627,375	0	0	0	0
12	BNY MELLON CLEARING LLC	FCM	CME	1/31/2012	262,597,229	12,393,887	250,203,342	326,282,805	178,191,956	148,090,849	1,648,916	352,744	1,296,172	0
13	CANTOR FITZGERALD & CO	FCM BD	CBOT	1/31/2012	264,137,307	8,332,095	255,805,212	5,321,502	4,440,908	880,594	0	0	0	0
14	CAPITAL MARKET SERVICES LLC	FCM	NFA	1/31/2012	2,656,471	1,000,000	1,656,471	0	0	0	0	0	0	0
15	CIBC WORLD MARKETS CORP	FCM BD	CME	1/31/2012	494,847,697	1,500,000	493,347,697	0	0	0	0	0	0	0
16	CITADEL SECURITIES LLC	FCM BD	CME	1/31/2012	493,900,597	1,000,000	492,900,597	0	0	0	0	0	0	0
17	CITIGROUP GLOBAL MARKETS INC	FCM BD	CBOT	1/31/2012	7,829,923,378	801,057,282	7,028,866,096	10,105,010,485	9,564,716,265	540,294,220	2,335,837,790	1,562,911,179	772,926,611	0
18	COMMONWEALTH FOREIGN EXCHANGE INC	FCM	NFA	1/31/2012	1,660,087	1,000,000	660,087	0	0	0	0	0	0	0
19	COUNTRY HEDGING INC	FCM	NFA	1/31/2012	20,162,288	14,136,654	6,025,634	201,084,104	180,588,209	20,495,895	270,153	122,804	147,349	0
20	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	1/31/2012	7,408,055,421	1,129,036,676	6,279,018,745	6,663,345,552	6,051,579,750	611,765,802	2,686,411,309	2,204,543,943	481,867,366	0
21	CROSSLAND LLC	FCM	CBOT	1/31/2012	9,813,937	4,708,805	5,105,132	92,001,585	86,901,567	5,100,018	24,177,613	21,975,677	2,201,936	0
22	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	1/31/2012	3,328,529	1,160,381	2,168,148	52,309,301	50,961,860	1,347,441	1,133,105	1,054,726	78,379	0
23	CX CAPITAL MARKETS LLC	FCM BD	NFA	1/31/2012	3,438,934	1,000,000	2,438,934	28,497,912	26,701,825	1,796,087	0	0	0	0
24	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	1/31/2012	278,547,610	1,427,716	277,119,894	11,871,353	7,258,250	4,613,103	1,069,870	0	1,069,870	0
25	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	1/31/2012	8,623,920,551	675,211,775	7,948,708,776	15,358,027,909	14,906,273,139	451,754,770	1,631,058,362	1,279,400,391	351,657,971	0
26	DORMAN TRADING LLC	FCM	CME	1/31/2012	9,174,210	1,723,150	7,451,060	127,597,560	125,006,172	2,591,388	4,024,820	2,392,238	1,632,582	0
27	EAGLE MARKET MAKERS INC	FCM	CBOT	1/31/2012	6,672,718	1,000,000	5,672,718	1,182,855	408,430	774,425	0	0	0	0
28	EASY FOREX US LTD	FCM	NFA	1/31/2012	1,663,365	1,000,000	663,365	0	0	0	0	0	0	0
29	ENSKILDA FUTURES LTD	FCM	CME	1/31/2012	39,311,059	19,204,970	20,106,089	287,097,600	282,437,136	4,660,464	0	0	0	0
30	FCSTONE LLC	FCM	CME	1/31/2012	112,033,464	68,482,739	43,550,725	1,293,735,696	1,271,675,382	22,060,314	86,216,699	77,180,158	9,036,541	0
31	FOREX CAPITAL MARKETS LLC	FCMRFD	NFA	1/31/2012	37,691,724	26,779,031	10,912,693	0	0	0	0	0	0	145,580,624
32	FOREX CLUB LLC	FCMRFD	NFA	1/31/2012	22,187,518	22,000,000	187,518	0	0	0	0	0	0	2,848,854
33	FRIEDBERG MERCANTILE GROUP INC	FCM	NFA	1/31/2012	2,810,904	1,000,000	1,810,904	14,135,816	11,631,653	2,504,163	1,210,913	1,058,900	152,013	0
34	FRONTIER FUTURES INC	FCM	NFA	1/31/2012	1,919,224	1,018,959	900,265	30,684,988	30,092,073	592,915	0	0	0	0
35	FUTURES TECH LLC	FCM	NFA	1/31/2012	1,566,857	1,000,000	566,857	0	0	0	0	0	0	0
36	FX SOLUTIONS LLC	FCMRFD	NFA	1/31/2012	39,922,089	20,366,753	19,555,336	0	0	0	0	0	0	17,335,053
37	FXDIRECTDEALER LLC	FCMRFD	NFA	1/31/2012	27,118,889	21,276,535	5,842,354	0	0	0	0	0	0	35,530,697
38	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	1/31/2012	61,167,574	24,595,481	36,572,093	0	0	0	0	0	0	101,909,614
39	GH FINANCIALS LLC	FCM	CME	1/31/2012	9,159,941	1,000,000	8,159,941	131,548	81,548	50,000	0	0	0	0
40	GLOBAL FUTURES & FOREX LTD	FCMRFD	NFA	1/31/2012	77,406,343	23,920,318	53,486,025	459,506	119,568	339,938	297,884	219,146	78,738	88,406,365
41	GOLDMAN SACHS & CO	FCM BD	CBOT	1/31/2012	11,799,253,757	1,927,908,851	9,871,344,906	22,241,565,863	21,695,701,641	545,864,222	9,610,186,042	9,167,632,346	442,553,696	0
42	GOLDMAN SACHS EXECUTION & CLEARING LP	FCM BD	CME	1/31/2012	2,076,098,567	104,458,773	1,971,639,794	1,434,980,503	845,679,106	589,301,397	74,951,487	31,267,044	43,684,443	0
43	GUGGENHEIM SECURITIES LLC	FCM BD	NFA	1/31/2012	69,636,211	2,869,763	66,766,448	0	0	0	0	0	0	0
44	HSBC SECURITIES USA INC	FCM BD	CME	1/31/2012	1,110,945,672	103,574,859	1,007,370,813	1,004,189,229	938,665,843	65,523,386	160,698,813	152,074,317	8,624,496	0
45	ICAP CORPORATES LLC	FCM BD	NFA	1/31/2012	49,013,056	1,000,000	48,013,056	0	0	0	0	0	0	0
46	IKON GLOBAL MARKETS INC	FCM	NFA	1/31/2012	4,105,458	1,000,000	3,105,458	6,345,414	5,550,455	794,959	118,624	108,434	10,190	0
47	INSTINET LLC	FCM BD	NFA	1/31/2012	126,496,359	2,911,813	123,584,546	0	0	0	0	0	0	0
48	INSTITUTIONAL LIQUIDITY LLC	FCMRFD	NFA	1/31/2012	20,142,670	20,000,000	142,670	0	0	0	0	0	0	9,424,178
49	INTEGRATED BROKERAGE SERVICES LLC	FCM	NFA	1/31/2012	1,039,360	1,000,000	39,360	1,058	0	1,058	0	0	0	0
50	INTERACTIVE BROKERS LLC	FCM BD	NFA	1/31/2012	1,205,957,336	173,014,217	1,032,943,119	1,530,870,388	1,293,752,135	237,118,253	446,206,759	359,452,414	86,754,345	0
51	IRONBEAM INC	FCM	NFA	1/31/2012	2,707,316	1,000,000	1,707,316	44,643,494	43,269,338	1,374,156	245,990	112,800	133,190	0
52	ITG DERIVATIVES LLC	FCM BD	NFA	1/31/2012	3,646,817	1,000,000	2,646,817	0	0	0	0	0	0	0
53	JEFFERIES & COMPANY INC	FCM BD	NFA	1/31/2012	796,438,048	50,462,519	745,975,529	0	0	0	0	0	0	0
54	JEFFERIES BACHE LLC	FCM	CBOT	1/31/2012	229,974,000	150,690,000	79,284,000	2,498,552,000	2,199,697,000	298,855,000	366,546,000	193,953,000	172,593,000	0
55	JP MORGAN CLEARING CORP	FCM BD	NFA	1/31/2012	7,220,983,846	2,094,091,512	5,126,892,334	867,415,413	625,844,028	241,571,385	604,063,156	397,646,599	206,416,557	0
56	JP MORGAN SECURITIES LLC	FCM BD	CEI	1/31/2012	10,420,866,348	1,575,773,004	8,845,093,344	19,456,132,673	17,512,221,913	1,943,910,760	3,997,343,162	3,636,436,533	360,906,629	0
57	LEK SECURITIES CORPORATION	FCM BD	NFA	1/31/2012	10,195,057	1,500,000	8,695,057	5,399,565	4,702,396	697,169	0	0	0	0
58	LINN GROUP THE	FCM	NFA	1/31/2012	3,103,665	1,609,992	1,493,673	63,529,470	60,305,948	3,223,522	328,994	202,941	126,053	0
59	LPL FINANCIAL LLC	FCM BD	NFA	1/31/2012	116,626,083	7,226,495	109,399,588	0	0	0	0	0	0	0
60	MACQUARIE FUTURES USA LLC	FCM	CBOT	1/31/2012	138,521,666	60,214,229	78,307,437	891,970,002	799,230,225	92,739,777	120,083,451	71,113,116	48,970,335	0
61	MAREX NORTH AMERICA LLC	FCM	CME	1/31/2012	16,195,629	7,368,715	8,826,914	110,880,458	103,833,927	7,046,531	7,053,677	6,383,966	669,711	0
62	MAREX USA LIMITED	FCM	NFA	1/31/2012	2,396,631	1,000,000	1,396,631	0	0	0	0	0	0	0
63	MB TRADING FUTURES INC	FCMRFD	NFA	1/31/2012	24,722,017	21,138,069	3,583,948	0	0	0	0	0	0	32,761,371
64	MBF CLEARING CORP	FCM	NFA	1/31/2012	2,489,337	1,000,000	1,489,337	688	0	688	0	0	0	0

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65	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	1/31/2012	14,121,964	3,117,219	11,004,745	889,084,442	868,563,161	20,521,281	391,789	0	391,789	0
66	MERRILL LYNCH PIERCE FENNER & SMITH	FCM BD	CBOT	1/31/2012	10,642,318,035	778,155,122	9,864,162,913	8,583,435,395	8,155,947,004	427,488,391	2,642,307,056	2,390,623,741	251,683,315	0
67	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	1/31/2012	2,154,954,999	181,685,137	1,973,269,862	1,427,971,350	717,316,984	710,654,366	148,643,842	47,493,911	101,149,931	0
68	MID CO COMMODITIES INC	FCM	NFA	1/31/2012	7,749,139	5,283,106	2,466,033	40,694,092	33,101,565	7,592,527	1,261,202	858,412	402,790	0
69	MITSUBISHI UFJ SECURITIES USA INC	FCM BD	NFA	1/31/2012	242,142,742	1,660,780	240,481,962	0	0	0	0	0	0	0
70	MITSUI BUSSAN COMMODITIES USA INC	FCM	NFA	1/31/2012	2,880,697	1,000,000	1,880,697	0	0	0	0	0	0	0
71	MIZUHO SECURITIES USA INC	FCM BD	CME	1/31/2012	408,112,312	144,788,795	263,323,517	1,132,797,583	1,054,113,184	78,684,399	895,732,387	779,927,254	115,805,133	0
72	MORGAN KEEGAN & COMPANY INC	FCM BD	NFA	1/31/2012	554,796,546	7,525,004	547,271,542	0	0	0	0	0	0	0
73	MORGAN STANLEY & CO LLC	FCM BD	CME	1/31/2012	8,329,719,918	1,060,185,416	7,269,534,502	5,480,866,968	5,377,407,321	103,459,647	1,884,262,355	1,781,129,651	103,132,704	0
74	MORGAN STANLEY SMITH BARNEY LLC	FCM BD	NFA	1/31/2012	957,557,612	36,020,251	921,537,361	503,559,842	461,773,949	41,785,893	1,730,459,472	1,704,308,559	26,150,913	0
75	NATIXIS SECURITIES AMERICAS LLC	FCM BD	NFA	1/31/2012	351,950,052	1,500,000	350,450,052	0	0	0	0	0	0	0
76	NEUBERGER BERMAN LLC	FCM BD	NFA	1/31/2012	25,348,889	1,500,000	23,848,889	0	0	0	0	0	0	0
77	NEWEDGE USA LLC	FCM BD	NYME	1/31/2012	2,296,492,952	1,393,507,794	902,985,158	19,588,813,605	18,706,728,947	882,084,658	6,928,773,364	6,039,729,083	889,044,281	0
78	NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	1/31/2012	2,350,554,945	23,627,541	2,326,927,404	90,327,878	65,646,884	24,680,994	1,233,545	208,378	1,025,167	0
79	OANDA CORPORATION	FCMRFD	NFA	1/31/2012	147,933,420	27,349,099	120,584,321	0	0	0	0	0	0	156,981,987
80	OPEN E CRY LLC	FCM	NFA	1/31/2012	2,891,733	1,149,931	1,741,802	98,749,437	95,201,883	3,547,554	3,061,273	2,703,768	357,505	0
81	OPPENHEIMER & CO INC	FCM BD	NFA	1/31/2012	156,537,621	23,077,936	133,459,685	30,875,155	18,683,207	12,191,948	0	0	0	0
82	OPTIONSXPRESS INC	FCM BD	NFA	1/31/2012	73,013,635	5,447,839	67,565,796	102,966,727	95,368,013	7,598,714	4,133,890	3,296,824	837,066	0
83	PENSON FINANCIAL SERVICES INC	FCM BD	CBOT	1/31/2012	141,866,188	27,221,154	114,645,034	624,938,472	613,806,301	11,132,171	25,380,410	23,781,881	1,598,529	31,604,509
84	PEREGRINE FINANCIAL GROUP INC	FCM	NFA	1/31/2012	32,592,493	21,079,244	11,513,249	413,526,092	407,608,597	5,917,495	30,557,934	27,369,913	3,188,021	31,584,890
85	PHILLIP FUTURES INC	FCM	CME	1/31/2012	9,543,340	2,001,649	7,541,691	61,182,921	52,021,461	9,161,460	0	0	0	0
86	PIONEER FUTURES INC	FCM	NFA	1/31/2012	2,195,729	1,000,000	1,195,729	0	0	0	0	0	0	0
87	RAND FINANCIAL SERVICES INC	FCM	CME	1/31/2012	74,422,500	14,996,216	59,426,284	212,078,800	172,333,000	39,745,800	51,738,200	31,136,600	20,601,600	0
88	RAYMOND JAMES & ASSOCIATES INC	FCM BD	NFA	1/31/2012	397,000,874	30,752,346	366,248,528	0	0	0	0	0	0	0
89	RBC CAPITAL MARKETS LLC	FCM BD	CME	1/31/2012	1,442,456,042	81,713,621	1,360,742,421	588,487,473	540,236,936	48,250,537	64,777,796	39,165,848	25,611,948	0
90	RBS SECURITIES INC	FCM BD	CBOT	1/31/2012	3,363,450,662	289,549,210	3,073,901,452	2,405,129,130	2,274,700,318	130,428,812	232,830,680	117,787,782	115,042,898	0
91	RJ OBRIEN ASSOCIATES LLC	FCM	CME	1/31/2012	205,384,397	136,071,683	69,312,714	3,597,796,703	3,489,259,911	108,536,792	193,781,825	156,326,458	37,455,367	2,272,531
92	ROSENTHAL COLLINS GROUP LLC	FCM	CME	1/31/2012	82,705,235	67,135,100	15,570,135	1,651,307,922	1,621,281,590	30,026,332	50,128,031	34,634,429	15,493,602	0
93	ROSENTHAL GLOBAL SECURITIES LLC	FCM BD	NFA	1/31/2012	34,593,097	1,000,000	33,593,097	0	0	0	0	0	0	0
94	SANFORD C BERNSTEIN & CO LLC	FCM BD	NFA	1/31/2012	121,199,270	15,780,320	105,418,950	0	0	0	0	0	0	0
95	SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	1/31/2012	292,498,467	10,197,546	282,300,921	467,658,862	465,041,808	2,617,054	0	0	0	0
96	STATE STREET GLOBAL MARKETS LLC	FCM BD	CME	1/31/2012	449,363,596	6,417,032	442,946,564	219,436,287	59,574,012	159,862,275	39,141,175	2,069,951	37,071,224	0
97	STEPHENS INC	FCM BD	NFA	1/31/2012	84,370,617	14,901,506	69,469,111	0	0	0	0	0	0	0
98	STERLING COMMODITIES CORP	FCM	NFA	1/31/2012	1,779,838	1,000,000	779,838	0	0	0	0	0	0	0
99	STRAITS FINANCIAL LLC	FCM	CME	1/31/2012	7,738,132	1,709,137	6,028,995	43,866,632	39,260,498	4,606,134	3,953,756	3,341,780	611,976	0
100	TD AMERITRADE INC	FCM BD	NFA	1/31/2012	296,595,972	1,000,000	295,595,972	0	0	0	0	0	0	0
101	TENCO INC	FCM	CBOT	1/31/2012	62,516,854	5,807,872	56,708,982	232,343,766	216,809,292	15,534,474	182,387	55,333	127,054	0
102	TIMBER HILL LLC	FCM BD	CME	1/31/2012	812,211,401	42,173,392	770,038,009	730,042,612	727,517,594	2,525,018	0	0	0	0
103	TRADELINK LLC	FCM BD	CBOT	1/31/2012	21,047,127	1,000,000	20,047,127	0	0	0	0	0	0	0
104	TRADESTATION FOREX INC	RFED	NFA	1/31/2012	22,822,688	22,993,996	(171,308)	0	0	0	0	0	0	69,879,926
105	TRADESTATION SECURITIES INC	FCM BD	NFA	1/31/2012	50,452,531	3,096,794	47,355,737	440,814,060	430,262,554	10,551,506	11,011,439	10,009,000	1,002,439	0
106	TRADITION SECURITIES AND FUTURES INC	FCM	NFA	1/31/2012	1,515,857	1,000,000	515,857	0	0	0	0	0	0	0
107	UBS FINANCIAL SERVICES INC	FCM BD	NFA	1/31/2012	1,179,395,324	121,609,837	1,057,785,487	188,651,731	157,034,783	31,616,948	21,057,410	1,214,721	19,842,689	0
108	UBS SECURITIES LLC	FCM BD	CBOT	1/31/2012	12,411,574,774	955,201,407	11,456,373,367	9,896,676,705	9,205,424,151	691,252,554	4,948,925,793	4,547,669,841	401,255,952	0
109	VELOCITY FUTURES LLC	FCM	NFA	1/31/2012	1,091,003	1,000,000	91,003	72,333,222	71,194,767	1,138,455	15,940,273	15,206,853	733,420	0
110	VISION FINANCIAL MARKETS LLC	FCM BD	CME	1/31/2012	29,079,552	9,470,186	19,609,366	412,776,076	400,069,456	12,706,620	9,532,914	6,632,859	2,900,055	0
111	WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	FCM BD	NFA	1/31/2012	40,224,404	250,000	39,974,404	0	0	0	0	0	0	0
112	WELLS FARGO ADVISORS LLC	FCM BD	NFA	1/31/2012	1,471,124,329	1,500,000	1,469,624,329	0	0	0	0	0	0	0
113	WELLS FARGO SECURITIES LLC	FCM BD	CME	1/31/2012	1,995,307,912	9,594,194	1,985,713,718	0	0	0	0	0	0	0
114	WHITE COMMERCIAL CORPORATION	FCM	NFA	1/31/2012	2,256,921	1,000,000	1,256,921	0	0	0	0	0	0	0
115	XPRESSTRADE LLC	RFED	NFA	1/31/2012	22,985,018	20,000,000	2,985,018	0	0	0	0	0	0	1,868,534
116	YORK BUSINESS ASSOCIATES LLC	FCM	NFA	1/31/2012	1,650,074	1,000,000	650,074	76,411,682	74,177,521	2,234,161	2,073,428	1,717,612	355,816	0
	Totals							**159,893,055,689**	**149,423,573,754**	**10,469,481,935**	**47,340,081,523**	**41,878,732,579**	**5,461,348,944**	**741,094,312**
	December Web Page Update	**116**												
	Additions	**0**												
	Deletions	**0**												
	Name Change													
	None													
	January Web Page Update	**116**												

(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;

SELECTED FCM FINANCIAL DATA AS OF
January 31, 2012
FROM REPORTS FILED BY
March 5, 2012

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.

(b): DSRO: Designated Self-Regulatory Organization.

(c): A firm's net capital requirement is the greater of:

- 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 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.

(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.

(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.

(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.