

SELECTED FCM FINANCIAL DATA AS OF  
December 31, 2012  
FROM REPORTS FILED BY  
February 08, 2013

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
		Reg As	DSRO	A/O	Adjusted	Net Capital	Excess	Customers'	Customers'	Excess/Deficient	Funds in Separate	Customer	Excess/Deficient	Total Amount
	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
								in Seg	4d(a)(2)		Accounts	Required	Section 30.7	Obligation
		(a)	(b)		(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	
7	1 ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	12/31/2012	350,578,604	129,621,843	220,956,761	2,633,806,797	2,479,153,339	154,653,458	129,350,639	103,343,018	26,007,621	0
8	2 ADM INVESTOR SERVICES INC	FCM	CBOT	12/31/2012	272,947,871	145,716,481	127,231,390	3,126,944,727	2,894,543,463	232,401,264	202,998,760	137,757,750	65,241,010	0
9	3 ADVANCED MARKETS LLC	FCMRFD	NFA	12/31/2012	20,065,873	20,000,000	65,873	0	0	0	0	0	0	0
10	4 ADVANTAGE FUTURES LLC	FCM	CME	12/31/2012	24,796,372	24,739,895	12,356,477	504,978,975	494,318,139	10,660,836	27,682,011	25,967,151	1,714,860	0
11	5 ALPARI (US) LLC	FCMRFD	NFA	12/31/2012	24,654,774	20,278,422	4,376,352	3,813,266	2,152,622	1,660,644	2,653,876	1,742,259	911,617	15,568,447
12	6 AMERIPRISE FINANCIAL SERVICES INC	FCM BD	NFA	12/31/2012	88,337,373	1,000,000	87,337,373	0	0	0	0	0	0	0
13	7 AMP GLOBAL CLEARING LLC	FCM	NFA	12/31/2012	2,510,557	1,500,000	1,010,557	39,202,091	37,934,276	1,267,815	699,533	225,094	474,439	0
14	8 BARCLAYS CAPITAL INC	FCM BD	NYME	12/31/2012	5,348,789,513	1,027,684,552	4,321,104,961	6,411,498,014	6,204,004,340	207,493,674	3,114,144,977	2,964,378,624	149,766,353	0
15	9 BGC FINANCIAL LP	FCM BD	NFA	12/31/2012	45,790,095	1,017,854	44,772,241	0	0	0	0	0	0	0
16	10 BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME	12/31/2012	2,220,205,135	244,105,909	1,976,099,226	2,210,504,773	1,971,899,067	238,605,706	15,217,712	5,319,488	9,898,224	0
17	11 BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	12/31/2012	1,884,696,738	110,598,868	1,774,097,870	649,797,143	553,682,359	96,114,784	0	0	0	0
18	12 BNY MELLON CLEARING LLC	FCM	CME	12/31/2012	291,655,566	9,740,823	281,914,743	310,647,954	124,776,012	185,871,942	34,154,658	16,318,329	17,836,329	0
19	13 BOCI COMMODITIES & FUTURES USA LLC	FCM	NFA	12/31/2012	4,962,105	1,000,000	3,962,105	0	0	0	0	0	0	0
20	14 CANTOR FITZGERALD & CO	FCM BD	CBOT	12/31/2012	251,262,221	6,094,459	245,167,762	6,204,280	1,245,633	4,958,647	0	0	0	0
21	15 CAPITAL MARKET SERVICES LLC	FCM	NFA	12/31/2012	2,148,909	1,000,000	1,148,909	0	0	0	0	0	0	0
22	16 CHS HEDGING INC	FCM	NFA	12/31/2012	30,390,639	16,064,772	14,325,867	223,436,553	200,573,487	22,863,066	1,856,300	949,954	906,346	0
23	17 CIBC WORLD MARKETS CORP	FCM BD	CME	12/31/2012	553,536,901	1,500,000	552,036,901	0	0	0	0	0	0	0
24	18 CITADEL SECURITIES LLC	FCM BD	CME	12/31/2012	431,472,319	1,000,000	430,472,319	0	0	0	0	0	0	0
25	19 CITIGROUP GLOBAL MARKETS INC	FCM BD	CBOT	12/31/2012	6,249,699,821	590,629,798	5,659,070,023	8,093,939,671	7,868,878,758	225,060,913	998,269,763	792,633,681	205,636,082	0
26	20 COMMONWEALTH FOREIGN EXCHANGE INC	FCM	NFA	12/31/2012	1,249,384	1,000,000	249,384	0	0	0	0	0	0	0
27	21 CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	12/31/2012	8,684,106,921	1,471,239,571	7,212,867,350	7,752,135,499	6,510,240,788	1,241,894,711	2,560,848,832	1,835,233,345	725,615,487	0
28	22 CROSSLAND LLC	FCM	CBOT	12/31/2012	7,479,358	2,714,092	4,765,266	86,612,534	84,321,768	2,290,766	11,725,233	10,621,194	1,104,039	0
29	23 CUNNINGHAM COMMODITIES LLC	FCM	CBOT	12/31/2012	2,767,943	1,122,908	1,645,035	84,268,674	83,326,766	941,908	421,291	305,800	115,491	0
30	24 CX CAPITAL MARKETS LLC	FCM BD	NFA	12/31/2012	2,979,102	1,000,000	1,979,102	37,772,243	35,841,503	1,930,740	0	0	0	0
31	25 DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	12/31/2012	295,540,444	4,904,374	290,636,070	7,658,746	2,996,721	4,662,025	1,046,473	0	1,046,473	0
32	26 DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	12/31/2012	9,293,709,654	625,242,767	8,668,466,887	15,488,125,823	14,701,005,496	787,120,327	1,355,917,009	995,887,460	360,029,549	0
33	27 DORMAN TRADING LLC	FCM	CME	12/31/2012	9,278,443	1,411,038	7,867,405	136,714,415	134,582,568	2,131,847	2,461,020	1,855,435	605,585	0
34	28 E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	12/31/2012	17,894,258	1,617,337	16,276,921	28,997,741	23,411,145	5,586,596	0	0	0	0
35	29 EAGLE MARKET MAKERS INC	FCM	CBOT	12/31/2012	6,126,386	1,000,000	5,126,386	591,169	33,844	557,325	0	0	0	0
36	30 EASY FOREX US LTD	FCM	NFA	12/31/2012	1,458,083	1,000,000	458,083	0	0	0	0	0	0	0
37	31 ENSKILDA FUTURES LTD	FCM	CME	12/31/2012	39,098,072	13,981,978	25,116,094	265,887,569	257,282,129	8,605,440	0	0	0	0
38	32 FCSTONE LLC	FCM	CME	12/31/2012	98,704,304	68,564,653	30,139,651	1,574,741,809	1,550,587,958	24,153,851	74,076,000	62,540,793	11,535,207	0
39	33 FOREX CAPITAL MARKETS LLC	FCMRFD	NFA	12/31/2012	54,442,335	26,132,591	28,309,744	0	0	0	0	0	0	132,651,817
40	34 FRIEDBERG MERCANTILE GROUP INC	FCM	NFA	12/31/2012	3,599,301	1,000,000	2,599,301	9,719,878	9,128,878	591,000	686,783	629,315	57,468	0
41	35 FRONTIER FUTURES INC	FCM	NFA	12/31/2012	1,962,977	1,000,000	962,977	31,422,548	30,486,388	936,160	0	0	0	0
42	36 FX SOLUTIONS LLC	FCMRFD	NFA	12/31/2012	27,586,704	20,261,508	7,325,196	0	0	0	0	0	0	15,230,162
43	37 FXDIRECTDEALER LLC	FCMRFD	NFA	12/31/2012	23,336,393	20,962,164	2,374,229	0	0	0	0	0	0	29,243,274
44	38 GAIN CAPITAL GROUP LLC	FCMRFD	NFA	12/31/2012	46,313,116	24,770,901	21,542,215	119,155,075	114,874,474	4,280,601	3,172,180	2,392,403	779,777	105,418,029
45	39 GH FINANCIALS LLC	FCM	CME	12/31/2012	8,331,965	1,000,000	7,331,965	1,101,204	675,741	425,463	0	0	0	0
46	40 GLOBAL FUTURES & FOREX LTD	FCMRFD	NFA	12/31/2012	6,034,974	20,000,000	(13,965,026)	0	0	0	0	0	0	0
47	41 GOLDMAN SACHS & CO	FCM BD	CBOT	12/31/2012	14,591,157,935	1,701,392,446	12,889,765,489	20,673,283,733	20,179,762,140	493,521,593	8,218,990,850	7,683,997,017	534,993,833	0
48	42 GOLDMAN SACHS EXECUTION & CLEARING LP	FCM BD	CME	12/31/2012	2,024,794,323	103,703,403	1,921,090,920	1,368,079,180	783,495,721	584,583,459	69,365,890	23,807,354	45,558,536	0
49	43 GUGGENHEIM SECURITIES LLC	FCM BD	NFA	12/31/2012	55,858,450	1,050,525	54,807,925	0	0	0	0	0	0	0
50	44 HSBC SECURITIES USA INC	FCM BD	CME	12/31/2012	1,109,433,118	124,097,905	985,335,213	1,082,159,172	1,010,787,401	71,371,771	99,167,615	80,342,646	18,824,969	0
51	45 IBFX INC	RFED	NFA	12/31/2012	28,353,584	23,247,626	5,105,958	0	0	0	0	0	0	74,952,518
52	46 INSTINET LLC	FCM BD	NFA	12/31/2012	104,818,884	1,730,827	103,088,057	0	0	0	0	0	0	0
53	47 INSTITUTIONAL LIQUIDITY LLC	FCMRFD	NFA	12/31/2012	21,406,837	20,233,398	1,173,439	0	0	0	0	0	0	14,667,951
54	48 INTEGRATED BROKERAGE SERVICES LLC	FCM	NFA	12/31/2012	(98,197)	1,000,000	(1,098,197)	0	0	0	0	0	0	0
55	49 INTERACTIVE BROKERS LLC	FCM BD	NFA	12/31/2012	1,633,402,224	219,575,913	1,413,826,311	1,995,760,004	1,761,251,211	234,508,793	559,156,802	454,230,545	104,926,257	34,355,592
56	50 IRONBEAM INC	FCM	NFA	12/31/2012	2,305,020	1,000,000	1,305,020	49,026,779	47,771,689	1,255,090	110,757	3,509	107,248	0
57	51 ITG DERIVATIVES LLC	FCM BD	NFA	12/31/2012	4,812,179	1,000,000	3,812,179	0	0	0	0	0	0	0
58	52 JEFFERIES BACHE LLC	FCM	CBOT	12/31/2012	247,598,000	153,533,360	94,064,640	2,393,480,000	2,295,200,000	98,280,000	238,832,000	168,946,000	69,886,000	0
59	53 JP MORGAN CLEARING CORP	FCM BD	NFA	12/31/2012	6,629,500,338	1,604,337,417	5,025,162,921	795,055,556	530,553,973	264,501,583	508,827,065	302,860,179	205,966,886	0
60	54 JP MORGAN SECURITIES LLC	FCM BD	CEI	12/31/2012	13,490,844,081	1,521,770,869	11,969,073,212	20,269,579,189	18,198,539,657	2,071,039,532	3,251,350,011	2,911,292,794	340,057,217	0





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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															Accounts
5			(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
6															
136	(a): FCM:	Futures Commission Merchant that is registered with the Commodity Futures Trading Commission;													
137	BD:	The FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer;													
138	RFED:	Retail Foreign Exchange Dealer that is registered with the Commodity Futures Trading Commission;													
139	FCMRFD:	The FCM is also registered with the Commodity Futures Trading Commission as a Retail Foreign Exchange Dealer.													
140															
141	(b): DSRO:	Designated Self-Regulatory Organization.													
142															
143	(c):	A firm's net capital requirement is the greater of:													
144															
145		• FCM minimum dollar amount (\$1,000,000); or													
146		• risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk maintenance margin; or													
147		• the amount of capital required by a registered futures association (currently NFA is the only such association); or													
148		• for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; or													
149		• minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000); or													
150		• 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.													
151															
152	(d):	Excess net capital is adjusted net capital, less the firm's net capital requirement.													
153															
154	(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.													
155															
156	(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.													
157															
158	(g):	Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.													
159															
160	(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.													
161															
162	(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.													
163															
164	(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.													
165															
166	(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.													