

SELECTED FCM FINANCIAL DATA AS OF
 January 31, 2023
 FROM REPORTS FILED BY
 February 24, 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' Reg Required 4(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	01/31/2023	705,174,707	226,479,684	478,695,023	4,201,149,256	3,646,012,858	555,136,398	250,019,182	156,359,274	117,164,163	39,195,111	11,716,416	0	0	0	0	0
2	ADM INVESTOR SERVICES INC	FCM	CBOT	01/31/2023	521,975,143	380,241,771	141,733,372	8,908,937,213	8,521,611,869	387,325,344	120,000,000	591,099,886	544,152,775	46,947,111	20,000,000	9,997,594	0	9,997,594	8,000,000	0
3	ADVANTAGE FUTURES LLC	FCM	CME	01/31/2023	31,016,617	11,114,315	19,902,302	529,960,288	510,249,494	19,710,794	0	9,500,000	51,565,720	45,917,867	1,000,000	0	0	0	0	0
4	AMHERST HERRINGTON SECURITIES LLC	FCM	NFA	01/31/2023	178,690,115	2,168,738	176,521,377	0	0	0	0	0	0	0	0	0	0	0	0	0
5	AMP GLOBAL CLEARING LLC	FCM	NFA	01/31/2023	9,123,562	1,000,000	8,123,562	75,735,572	66,244,133	9,491,439	900,000	2,984,360	2,431,956	552,404	150,000	0	0	0	0	0
6	APEX CLEARING CORPORATION	FCM BD	NFA	01/31/2023	503,778,156	24,443,878	479,334,278	115,023,574	92,745,582	22,277,992	10,000,000	0	0	0	0	0	0	0	0	0
7	BARCLAYS CAPITAL INC	FCM BD	NYME	01/31/2023	6,733,944,708	2,360,252,530	4,373,692,178	14,997,837,110	13,990,530,930	1,007,306,180	58,000,000	5,003,833,008	4,702,851,561	300,981,447	40,000,000	14,272,013,927	13,636,124,155	635,889,772	26,000,000	0
8	BITNOMIAL CLEARING LLC	FCM	NFA	01/31/2023	1,505,000	1,000,000	505,000	0	0	0	0	0	0	0	0	0	0	0	0	0
9	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	01/31/2023	2,168,005,443	938,265,546	1,229,739,897	7,371,343,942	6,587,594,413	783,749,529	570,000,000	2,089,547,602	1,561,116,800	528,430,802	98,000,000	2,917,877,306	2,677,275,558	240,601,748	135,000,000	0
10	BOFA SECURITIES INC	FCM BD	CBOT	01/31/2023	17,750,211,440	4,326,443,302	13,423,768,138	26,849,359,705	26,311,095,610	538,264,095	200,000,000	6,340,248,442	5,885,133,601	455,114,841	150,000,000	17,057,609,312	16,704,245,275	353,364,037	150,000,000	0
11	CANTOR FITZGERALD & CO	FCM BD	CBOT	01/31/2023	397,778,616	2,576,358	395,202,258	4,969,934	4,969,934	0	3,000,000	0	0	0	0	0	0	0	0	0
12	CHARLES SCHWAB FUTURES AND FOREX LLC	FCM	NFA	01/31/2023	259,692,377	48,287,751	211,404,626	760,652,070	599,228,247	161,423,823	100,000,000	0	0	0	0	0	0	0	0	68,684,589
13	CHS HEDGING LLC	FCM	CBOT	01/31/2023	65,419,178	28,801,555	36,617,623	271,451,344	206,061,509	65,389,835	14,600,000	1,528,529	0	1,528,529	200,000	510,493	0	510,493	120,000	0
14	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	01/31/2023	11,768,121,670	5,004,380,464	6,763,741,206	17,773,533,442	17,249,421,362	524,112,080	361,200,000	5,694,797,142	5,357,795,429	337,001,713	185,500,000	33,017,062,351	32,325,207,241	691,855,110	470,400,000	0
15	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	01/31/2023	12,172,056,752	136,537,719	12,035,519,033	298,497,376	248,487,851	50,009,525	12,424,393	7,322,597	1,483,611	5,838,986	74,181	5,226,788	29,277	5,197,511	1,464	0
16	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	01/31/2023	85,863,982	2,834,281	83,029,701	218,695,359	159,776,173	58,919,186	3,050,000	1,120,061	526,832	59,219,286	100,000	0	0	0	0	0
17	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	01/31/2023	1,343,601,429	1,590,007	1,342,011,422	2,144,580	2,144,580	0	0	441,203	0	441,203	1	0	0	0	0	0
18	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	01/31/2023	5,469,591,799	212,843,813	5,256,747,986	2,289,869,899	2,136,558,732	153,311,167	100,000,000	1,042,733,216	943,663,829	99,069,387	50,000,000	0	0	0	0	0
19	DIRECT ACCESS USA LLC	FCM	CME	01/31/2023	12,022,266	6,461,093	5,561,173	102,439,450	88,977,962	13,461,488	2,500,000	10,981,142	616,229	10,064,913	1,000,000	0	0	0	0	0
20	DORMAN TRADING LLC	FCM	CME	01/31/2023	16,319,496	3,597,663	12,721,833	286,153,766	278,753,742	7,400,024	2,000,000	15,177,359	14,296,063	881,296	200,000	0	0	0	0	0
21	ETRADE FUTURES LLC	FCM	NFA	01/31/2023	49,872,193	5,271,189	44,501,004	157,207,461	104,771,425	52,436,036	11,000,000	0	0	0	0	0	0	0	0	0
22	FUTU FUTURES INC	FCM	NFA	01/31/2023	1,914,373	1,000,000	914,373	0	0	0	0	0	0	0	0	0	0	0	0	0
23	GAIN CAPITAL GROUP LLC	FCM	NFA	01/31/2023	55,859,203	29,046,750	26,812,453	0	0	0	0	0	0	0	0	0	0	0	0	190,934,996
24	GH FINANCIALS LLC	FCM	CME	01/31/2023	30,430,838	12,135,830	18,295,008	160,226,795	142,620,291	17,606,504	6,000,000	7,076,822	5,274,032	1,802,790	330,000	0	0	0	0	0
25	GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	01/31/2023	22,721,081,806	4,828,883,500	17,892,198,306	39,181,511,257	38,175,201,416	1,006,309,841	775,000,000	14,037,524,528	13,434,503,807	603,020,721	475,000,000	19,121,622,641	18,597,016,913	524,605,728	350,000,000	0
26	HIDDEN ROAD PARTNERS CIV US LLC	FCM BD	CME	01/31/2023	32,483,222	1,000,000	31,483,222	3,038,442	3,038,442	0	3,000,000	0	0	0	0	0	0	0	0	0
27	HSBC SECURITIES USA INC	FCM BD	CME	01/31/2023	1,209,291,773	524,244,801	685,046,972	4,339,533,962	4,138,166,742	201,367,220	109,000,000	264,183,957	207,832,153	56,351,804	15,000,000	2,244,254,704	2,132,424,119	111,830,585	99,000,000	0
28	IG US LLC	FCM	NFA	01/31/2023	47,926,043	21,820,424	26,105,619	0	0	0	0	0	0	0	0	0	0	0	0	46,408,474
29	INTERACTIVE BROKERS LLC	FCM BD	CME	01/31/2023	6,515,191,310	712,681,613	5,802,509,697	7,820,454,651	7,580,500,482	239,954,169	155,000,000	917,135,188	758,114,456	159,020,732	80,000,000	0	0	0	0	23,437,209
30	IRONBEAM INC	FCM	CME	01/31/2023	9,140,493	1,000,000	8,140,493	105,269,801	96,090,770	9,179,031	1,600,000	543,291	339,984	203,307	60,000	0	0	0	0	0
31	JEFFERIES LLC	FCM BD	NFA	01/31/2023	1,137,725,945	106,738,789	1,030,987,156	0	0	0	0	0	0	0	0	0	0	0	0	0
32	JIP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	01/31/2023	25,967,311,855	5,618,007,365	20,349,304,490	41,802,199,808	40,693,111,219	1,109,088,589	773,169,113	9,006,245,269	8,411,036,561	595,208,708	294,386,280	24,373,316,938	22,874,402,205	1,498,914,733	480,362,446	0
33	LINE TRADING CORP	FCM BD	NFA	01/31/2023	5,736,012	1,000,000	4,736,012	46,103	46,103	0	0	40,000	0	40,000	0	0	0	0	0	0
34	MACQUARIE FUTURES USA LLC	FCM	CBOT	01/31/2023	604,742,992	481,596,268	123,146,724	4,871,659,019	4,642,629,387	229,029,632	100,000,000	193,465,876	144,209,980	49,255,896	7,000,000	5,137,430	0	5,137,430	1,000,000	0
35	MAREX CAPITAL MARKETS INC	FCM BD SD	CME/NFA	01/31/2023	285,155,639	168,169,210	116,986,429	3,907,797,303	3,801,464,023	106,333,280	44,250,000	71,693,315	59,260,397	12,432,918	5,000,000	0	0	0	0	0
36	MAREX NORTH AMERICA LLC	FCM	CME	01/31/2023	243,987,406	213,338,328	30,649,078	4,080,495,711	3,984,702,429	95,793,282	50,230,376	172,179,197	132,331,679	39,847,518	10,250,000	0	0	0	0	0
37	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	01/31/2023	11,976,302	1,446,001	10,530,301	466,660,885	441,549,235	25,111,650	18,000,000	2,622,140	0	2,622,140	1,000,000	0	0	0	0	0
38	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	01/31/2023	7,318,965,410	1,437,115,714	5,881,849,696	3,660,606,655	2,453,382,209	1,207,224,446	300,000,000	0	0	0	0	0	0	0	0	0
39	MFI FUNDING LLC	FCM	NFA	01/31/2023	104,335,180	1,000,000	103,335,180	0	0	0	0	0	0	0	0	0	0	0	0	0
40	MID CO COMMODITIES INC	FCM	NFA	01/31/2023	18,368,764	10,720,069	7,648,695	83,045,285	65,615,483	17,429,802	5,138,000	0	0	0	0	0	0	0	0	0
41	MINI BROKERS	FCM BD	NFA	01/31/2023	2,156,615	1,000,000	1,156,615	0	0	0	0	0	0	0	0	0	0	0	0	0
42	MIZUHO SECURITIES USA LLC	FCM BD	CME	01/31/2023	1,277,556,399	589,035,344	688,521,055	11,609,325,245	11,154,629,561	454,695,684	150,000,000	1,399,234,436	1,196,997,259	202,237,177	70,000,000	20,708,317	0	20,708,317	10,000,000	0
43	MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	01/31/2023	17,482,151,022	4,424,319,811	13,057,831,211	27,456,531,872	27,062,123,541	394,408,331	235,000,000	10,471,115,459	10,212,767,743	258,347,716	140,000,000	26,395,921,145	25,950,904,549	445,016,596	92,000,000	0
44	NANHUA USA LLC	FCM	CME	01/31/2023	26,117,847	15,692,956	10,424,891	271,899,263	251,174,809	20,724,454	3,500,000	680,382	324,045	356,337	100,000	0	0	0	0	0
45	NATWEST MARKETS SECURITIES INC	FCM BD	CBOT	01/31/2023	571,141,719	1,105,123	570,036,596	7,500,998	7,500,998	0	5,000,000	0	0	0	0	0	0	0	0	0
46	NINJA TRADER CLEARING LLC	FCM	NFA	01/31/2023	20,560,721	1,000,000	19,560,721	269,551,151	244,656,112	24,895,039	4,000,000	4,251,615	3,139,076	1,112,539	400,000	0	0	0	0	0
47	NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	01/31/2023	2,142,048,153	120,900,417	2,021,147,736	186,935,257	123,093,533	63,841,724	19,000,000	1,250,000	0	1,250,000	1,000,000	0	0	0	0	0
48	OANDA CORPORATION	FCM	NFA	01/31/2023	40,829,966	27,769,466	13,060,500	0	0	0	0	0	0	0	0	0	0	0	0	160,481,437
49	PHILLIP CAPITAL INC	FCM BD	CME	01/31/2023	83,671,318	46,720,324	36,950,994	936,409,420	898,145,338	38,264,082	15,000,000	38,962,274	34,53							

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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"> • 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 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.