

SELECTED FCM FINANCIAL DATA AS OF

March 31, 2023  
FROM REPORTS FILED BY  
April 25, 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' Req'd 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	ABN AMRO CLEARING USA LLC	FCM BD	CBOT	03/31/2023	694,088,372	238,485,950	455,602,422	4,038,278,976	3,529,160,342	509,118,634	257,082,734	141,010,068	111,873,396	29,136,672	11,187,340	0	0	0	0	0	
2	ADM INVESTOR SERVICES INC	FCM	CBOT	03/31/2023	529,215,006	352,768,607	176,446,399	9,003,060,416	8,658,897,242	344,163,174	120,000,000	538,577,750	492,584,477	45,993,273	20,000,000	10,065,989	0	10,065,989	8,000,000	0	
3	ADVANTAGE FUTURES LLC	FCM	CME	03/31/2023	33,231,961	11,878,577	21,353,384	523,282,357	505,343,512	17,938,845	9,500,000	54,507,035	50,103,818	4,403,217	1,000,000	0	0	0	0	0	
4	AMP GLOBAL CLEARING LLC	FCM	NFA	03/31/2023	9,671,214	1,000,000	8,671,214	76,846,851	65,589,546	10,257,305	900,000	2,797,341	2,390,267	407,074	150,000	0	0	0	0	0	
5	APEX CLEARING CORPORATION	FCM BD	NFA	03/31/2023	399,671,014	247,397,284	152,273,730	123,735,189	100,668,264	0	10,000,000	0	0	0	0	0	0	0	0	0	
6	BARCLAYS CAPITAL INC	FCM BD	NYME	03/31/2023	6,893,833,737	2,350,831,270	4,543,002,467	15,799,660,279	14,424,414,638	1,375,245,641	187,000,000	4,193,814,568	3,931,399,485	262,415,083	40,000,000	13,516,454,972	12,951,520,309	564,934,663	26,000,000	0	
7	BITNOMIAL CLEARING LLC	FCM	NFA	03/31/2023	1,504,954	1,000,000	504,954	0	0	0	0	0	0	0	0	0	0	0	0	0	
8	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	03/31/2023	2,227,171,863	901,214,351	1,325,957,512	6,969,250,493	6,281,122,213	688,128,280	570,000,000	1,053,106,514	860,022,062	193,084,452	3,090,176,260	2,881,182,527	208,993,733	135,000,000	0	0	
9	BOFA SECURITIES INC	FCM BD	CBOT	03/31/2023	17,056,072,127	4,494,929,062	12,561,143,065	28,727,301,761	28,286,024,708	441,277,053	200,000,000	5,633,913,834	5,381,511,408	252,402,426	150,000,000	17,386,238,548	17,164,059,061	222,179,487	150,000,000	0	
10	CANTOR FITZGERALD & CO	FCM BD	CBOT	03/31/2023	426,313,854	1,500,000	424,813,854	4,989,024	0	4,989,024	3,000,000	0	0	0	0	0	0	0	0	0	
11	CHARLES SCHWAB FUTURES AND FOREX LLC	FCM	NFA	03/31/2023	278,905,505	50,765,314	228,140,191	758,635,584	592,989,111	165,646,473	100,000,000	0	0	0	0	0	0	0	0	69,146,975	
12	CHS HEDGING LLC	FCM	CBOT	03/31/2023	68,175,865	22,148,691	46,027,174	231,341,933	165,005,668	66,336,265	14,600,000	1,534,335	0	1,534,335	200,000	512,396	0	512,396	120,000	0	
13	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	03/31/2023	15,117,313,443	5,172,443,463	9,944,869,980	20,267,651,364	18,701,649,558	1,566,001,806	380,800,000	6,078,400,682	5,669,596,857	408,443,825	186,200,000	34,209,665,113	33,495,639,647	714,025,466	477,400,000	0	
14	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	03/31/2023	13,149,206,375	75,757,932	13,073,448,443	313,429,088	241,743,797	71,685,291	12,087,190	30,698,372	1,825,604	28,872,768	91,280	5,229,123	0	5,229,123	0	1	
15	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	03/31/2023	85,912,250	4,680,677	81,231,573	255,820,829	192,819,733	63,001,096	3,050,000	1,447,942	835,213	612,729	100,000	0	0	0	0	0	
16	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	03/31/2023	1,360,412,451	1,613,654	1,358,798,797	2,139,037	0	2,139,037	1	441,202	0	0	0	0	0	0	0	0	
17	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	03/31/2023	4,788,611,347	206,261,061	4,582,350,286	2,233,005,872	2,082,187,161	150,818,711	100,000,000	940,239,025	796,746,986	143,492,039	50,000,000	0	0	0	0	0	
18	DIRECT ACCESS USA LLC	FCM	CME	03/31/2023	12,523,777	4,068,401	8,455,376	119,756,823	102,602,914	17,153,909	2,500,000	4,580,749	428,351	4,152,398	1,000,000	0	0	0	0	0	
19	DORMAN TRADING LLC	FCM	CME	03/31/2023	17,172,457	4,585,085	12,587,372	316,478,378	310,067,570	6,410,808	2,000,000	2,777,059	1,655,514	1,121,545	200,000	0	0	0	0	0	
20	ETRADE FUTURES LLC	FCM	NFA	03/31/2023	52,658,126	5,336,446	47,321,680	164,227,065	107,912,897	56,314,168	11,000,000	0	0	0	0	0	0	0	0	0	
21	FUTU FUTURES INC	FCM	NFA	03/31/2023	1,922,918	1,000,000	922,918	0	0	0	0	0	0	0	0	0	0	0	0	0	
22	GAIN CAPITAL GROUP LLC	FCM/FD	NFA	03/31/2023	54,272,876	29,344,312	24,928,564	0	0	0	0	0	0	0	0	0	0	0	0	196,886,232	
23	GH FINANCIALS LLC	FCM	CME	03/31/2023	30,900,858	11,944,422	18,956,436	184,210,729	159,424,550	24,786,179	6,000,000	7,000,278	5,157,880	1,842,398	330,000	0	0	0	0	0	
24	GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	03/31/2023	22,533,929,006	4,868,210,144	17,665,718,862	38,555,464,241	37,548,552,986	1,006,911,255	775,000,000	12,325,156,123	11,714,639,522	610,516,601	475,000,000	20,097,631,016	19,593,565,021	504,065,995	350,000,000	0	
25	HIDDEN ROAD PARTNERS CIV US LLC	FCM BD	CME	03/31/2023	32,396,609	1,000,000	31,396,609	3,058,713	0	3,058,713	3,000,000	0	0	0	0	0	0	0	0	0	
26	HSBC SECURITIES USA INC	FCM BD	CME	03/31/2023	1,302,573,912	623,659,425	678,914,487	4,806,262,119	4,653,306,836	152,955,283	136,000,000	214,461,886	183,994,395	30,467,491	15,000,000	2,876,112,362	2,739,101,524	137,010,838	109,000,000	0	
27	IG US LLC	FCM	NFA	03/31/2023	48,402,645	22,050,793	26,351,852	0	0	0	0	0	0	0	0	0	0	0	0	51,015,850	
28	INTERACTIVE BROKERS LLC	FCM BD	CME	03/31/2023	6,537,294,899	704,812,156	5,832,482,743	7,525,154,548	7,290,493,556	234,660,992	155,000,000	865,056,552	716,714,429	148,342,123	80,000,000	0	0	0	0	28,872,914	
29	IRONBEAM INC	FCM	CME	03/31/2023	9,148,580	1,558,039	7,590,541	102,478,506	96,404,686	6,076,820	1,600,000	306,446	222,000	60,000	0	0	0	0	0	0	
30	JEFFERIES LLC	FCM BD	NFA	03/31/2023	1,084,135,674	92,009,044	992,126,630	0	0	0	0	0	0	0	0	0	0	0	0	0	
31	JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	03/31/2023	24,528,009,261	5,675,299,670	18,852,709,591	39,985,950,602	38,672,951,041	1,312,999,561	734,786,070	8,450,165,418	7,867,442,385	582,723,033	275,360,483	23,595,589,899	22,536,463,210	1,059,126,689	473,265,727	0	
32	LIME TRADING CORP	FCM BD	NFA	03/31/2023	7,834,998	1,000,000	6,834,998	46,093	0	46,093	20,000	40,010	0	40,010	20,000	0	0	0	0	0	
33	MACQUARIE FUTURES USA LLC	FCM	CBOT	03/31/2023	577,621,607	445,530,199	132,091,408	4,628,740,588	4,400,608,608	228,131,980	100,000,000	177,691,985	128,231,403	49,460,582	7,000,000	5,136,814	0	5,136,814	1,000,000	0	
34	MAREX CAPITAL MARKETS INC	FCM BD SD	CME/NFA	03/31/2023	301,802,346	175,729,546	126,072,800	4,234,407,597	4,249,451,002	74,956,595	44,250,000	71,912,301	61,271,377	10,640,924	5,000,000	0	0	0	0	0	
35	MAREX NORTH AMERICA LLC	FCM	CME	03/31/2023	239,403,347	185,047,727	54,355,620	3,609,037,622	3,522,578,611	86,459,061	50,230,376	161,111,955	126,119,473	34,992,482	10,250,000	0	0	0	0	0	
36	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	03/31/2023	11,753,800	1,210,465	10,543,335	462,187,916	438,021,130	24,166,786	18,000,000	2,638,540	0	2,638,540	1,000,000	0	0	0	0	0	
37	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	03/31/2023	7,111,214,207	1,540,470,044	5,570,744,163	3,421,615,460	2,491,407,030	930,208,430	300,000,000	0	0	0	0	0	0	0	0	0	
38	MFL FUNDING LLC	FCM	NFA	03/31/2023	105,062,600	1,000,000	104,062,600	0	0	0	0	0	0	0	0	0	0	0	0	0	0
39	MID CO COMMODITIES INC	FCM	NFA	03/31/2023	16,349,133	7,822,238	8,526,895	51,296,162	33,787,554	17,508,608	5,138,000	0	0	0	0	0	0	0	0	0	
40	MINT BROKERS	FCM BD	NFA	03/31/2023	2,104,264	1,000,000	1,104,264	0	0	0	0	0	0	0	0	0	0	0	0	0	0
41	MIZUHO SECURITIES USA LLC	FCM BD	CME	03/31/2023	1,358,835,939	591,515,722	767,320,217	10,771,008,146	10,310,168,304	460,839,842	150,000,000	1,699,811,256	1,499,689,949	200,121,307	70,000,000	20,831,830	0	20,831,830	10,000,000	0	
42	MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	03/31/2023	17,616,296,986	4,482,766,100	13,133,530,886	28,211,068,414	27,628,378,452	582,689,962	235,000,000	9,519,082,794	9,270,425,930	248,656,864	140,000,000	27,355,018,140	26,803,506,209	551,511,931	92,000,000	0	
43	NANHUA USA LLC	FCM	CME	03/31/2023	27,375,549	15,252,955	12,122,594	294,152,442	271,623,752	22,528,690	3,500,000	680,382	324,045	356,337	100,000	0	0	0	0	0	
44	NATWEST MARKETS SECURITIES INC	FCM BD	CBOT	03/31/2023	538,165,080	1,144,819	537,020,261	7,501,425	0	7,501,425	5,000,000	0	0	0	0	0	0	0	0	0	
45	NINJA TRADER CLEARING LLC	FCM	NFA	03/31/2023	15,393,627	1,000,000	14,393,627	260,331,570	240,271,786	20,059,784	4,000,000	3,601,903	2,654,500	947,403	400,000	0	0	0	0	0	
46	NCMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	03/31/2023	2,214,586,140	119,037,711	2,095,548,429	160,559,573	113,575,462	46,984,111	19,000,000	1,250,000	0	1,250,000	1,000,000	0	0	0	0	0	
47	ONIDA CORPORATION	FCM RFED	NFA	03/31/2023	36,259,058	28,023,594	8,235,464	0	0	0	0	0	0	0	0	0	0	0	0	166,581,254	
48	PHILLIP CAPITAL INC	FCM BD	CME	03/31/2023	86,377,423	47,766,861	38,610,562	1,036,828,661	992,981,858	43,846,803	17,000,000	24,129,359	19,924,702	4,204,657	1,000,000	0	0	0	0	0	
49	PICCTET OVERSEAS INC	FCM BD	NFA	03/31/2023	49,564,624	13,556,161	36,008,463	168,090,531	162,759,478	5,331,053	1,500,00										

SELECTED FCM FINANCIAL DATA AS OF  
 March 31, 2023  
 FROM REPORTS FILED BY  
 April 25, 2023

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