



SELECTED FCM FINANCIAL DATA AS OF  
September 30, 2014  
FROM REPORTS FILED BY  
October 31, 2014

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U	
1	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(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	
2		(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	(n)	(o)	(p)	(q)	
86	<b>Totals</b>							159,957,740,034	148,815,080,678	11,142,659,356	7,567,268,796	37,867,499,807	33,287,749,756	4,579,750,051	2,849,752,187	46,068,249,825	39,787,881,553	6,280,368,272	2,932,455,900	607,049,667	
87																					
88	<b>August Web Page Update</b>	83																			
89																					
90	<b>Additions</b>	0																			
91	None																				
92																					
93	<b>Deletions</b>	3																			
94	GLOBAL FUTURES & FOREX LTD																				
95	JIFFERIES BACHE LLC																				
96	MORGAN STANLEY SMITH BARNEY LLC																				
97																					
98	<b>Name Changes</b>																				
99	None																				
100																					
101	<b>September Web Page Update</b>	80																			
102																					
103	(a): FCM: Futures Commission Merchant that is registered with the Commodity Futures Trading Commission.																				
104	BD: The FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer.																				
105	RFED: Retail Foreign Exchange Dealer that is registered with the Commodity Futures Trading Commission.																				
106	FCMRFD: The FCM is also registered with the Commodity Futures Trading Commission as a Retail Foreign Exchange Dealer.																				
107	SD: The FCM or RFED is also registered with the Commodity Futures Trading Commission as a provisionally registered swap dealer.																				
108																					
109	(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.																				
110																					
111	(c): A firm's net capital requirement is the greater of:																				
112																					
113	• FCM minimum dollar amount (\$1,000,000); or																				
114	• risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk maintenance margin; or																				
115	• the amount of capital required by a registered futures association (currently NFA is the only such association); or																				
116	• for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; or																				
117	• minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000); or																				
118	• 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.																				
119																					
120	(d): Excess net capital is adjusted net capital, less the firm's net capital requirement.																				
121																					
122	(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.																				
123																					
124	(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.																				
125																					
126	(g): Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.																				
127																					
128	(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.																				
129																					
130	(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.																				
131																					
132	(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.																				
133																					
134	(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.																				
135																					
136	(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.																				
137																					
138	(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.																				
139																					
140	(n): This represents the amount of funds an FCM is required to segregate for customers who trade cleared swaps.																				
141																					
142	(o): Excess/Deficient funds in cleared swap customer accounts is funds in separate cleared swap segregation accounts, less the cleared swap customer segregation requirement.																				
143																					
144	(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.																				
145																					
146	(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.																				