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	Total Amount of Retail Forex Obligation
	(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(1)	(m)	(n)	(0)	(p)	(q)
1 ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	05/31/2020	554,755,016	231,903,248	322,851,768	4,172,507,538	3,545,390,947	627,116,591	299,913,355	110,006,769	86,854,773	23,151,996	8,685,477	0	1	0	0	
2 ADM INVESTOR SERVICES INC	FCM	CBOT		335,534,069	231,571,517	103,962,552	4,812,306,381	4,599,611,327	212,695,054	120,000,000	339,875,590	293,580,190	46,295,400	20,000,000	9,800,706	Č	9,800,706	8,000,000	0
3 ADVANTAGE FUTURES LLC	FCM	CME	05/31/2020	22,397,476	8,814,150	13,583,326	332,897,583	309,751,155	23,146,428	12,000,000	28,210,367	24,476,000	3,734,367	1,000,000	0	0	0	0	0
4 AMP GLOBAL CLEARING LLC	FCM	NFA	05/31/2020	5,337,854	1,000,000	4,337,854	66,666,813	60,572,426	6,094,387	900,000	2,182,514	1,817,312	365,202	150,000	0	0	0	0	0
5 APEX CLEARING CORPORATION 6 BAKKT CLEARING LLC	FCM BD FCM	NFA NFA	05/31/2020	183,935,086 11,305,935	15,271,144 1,000,000	168,663,942 10,305,935	44,230,843	26,174,012	18,056,831	6,000,000	0	0	0	0	0	0	0	0	0
7 BARCLAYS CAPITAL INC	FCM BD	NYME	05/31/2020 05/31/2020	5,544,830,441	1,622,645,289	3,922,185,152	9,476,714,172	9,045,280,465	431,433,707	340,102,546	2,988,272,103	2,787,452,679	200,819,424	93,100,919	8,005,371,305	7,600,362,369	405,008,936	225,730,762	0
8 BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	05/31/2020	2,241,900,261	770,226,431	1,471,673,830	4,708,344,687	4,405,696,490	302,648,197	240,000,000	217,868,039	163,813,070	54,054,969	30,000,000	1,922,135,287	1,760,048,026	162,087,261	85,000,000	0
9 BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	05/31/2020	6,058,184	1,000,000	5,058,184 13,335,887,326	9,176,599 25,274,091,576	5,568,374	3,608,225	1,000,000	6	0	6	1	6	0	) 6	1	0
10 BOFA SECURITIES INC	FCM BD	CBOT	05/31/2020	16,548,509,770	3,212,622,444	13,335,887,326	25,274,091,576	24,830,723,129	443,368,447	200,000,000	5,800,375,953	5,544,730,824	255,645,129	150,000,000	11,468,172,300	11,096,941,451	371,230,849	150,000,000	0
11 CANTOR FITZGERALD & CO 12 CHARLES SCHWAB FUTURES, INC.	FCM BD FCM	CBOT NFA	05/31/2020 05/31/2020	342,710,339 43.011,389	3,364,196 16,379,698	339,346,143 26,631,691	4,969,921 275,071,186	221.347.810	4,969,921 53,723,376	3,000,000 37,629,128	50.000	0	50.000	0	0	0	0	0	0
13 CHS HEDGING LLC	FCM	CBOT	05/31/2020	63,452,693	11,953,346	51,499,347	198,251,151	143,823,257	54,427,894	13,600,000	1,527,272	0	1,527,272	200,000	584.008	73,524	510,484	120,000	. 0
14 CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	05/31/2020	10,645,042,735	4,020,293,839	6,624,748,896	16,733,572,419	16,190,893,745	542,678,674	381,500,000	4,545,723,400	4,287,308,585	258,414,815	164,500,000	37,042,316,981	36,305,878,668		513,800,000	0
15 CREDIT SUISSE SECURITIES (USA) LLC	FCM BD		05/31/2020	9,051,991,539	2,010,352,197	7,041,639,342	8,914,273,499	8,392,077,602	522,195,897	419,603,880	4,772,496,248	4,427,973,196	344,523,052	221,398,660				687,605,811	0
16 CUNNINGHAM COMMODITIES LLC	FCM	CBOT	03/31/2020	5,840,482	1,000,000	4,840,482	31,313,439	27,717,780	3,595,659	3,050,000	1,640,395	1,107,386	533,009	100,000	0	C C	0	0	0
17 DAIWA CAPITAL MARKETS AMERICA INC 18 DEUTSCHE BANK SECURITIES INC	FCM BD FCM BD	CME CBOT	05/31/2020	1,196,654,719 8,428,352,059	1,500,000 431,896,883	1,195,154,719 7,996,455,176	2,174,072 5,207,695,002	4,905,489,148	2,174,072 302,205,854	125,000,000	547,227 738,343,379	532,598,114	547,227 205,745,265	75,000,000	0	2	0	0	0
19 DIRECT ACCESS USA LLC	FCM BD	CME	05/31/2020	13,058,218	1,546,712	11,511,506	33,842,066	23,318,532	10,523,534	2,500,000	0 0,343,379	0 0	203,743,203	73,000,000	0	1 6	0	0	0
20 DORMAN TRADING LLC	FCM	CME	05/31/2020	14,665,139	2,629,951 105,320,528	12,035,188 87,506,830	218,491,826	211,327,145	7,164,681	2,000,000	11,539,716	10,967,135	572,581 13,190,472	200,000	0	i c	0	Ŏ	0
21 E D & F MAN CAPITAL MARKETS INC	FCM BD FCM	CME NFA	05/31/2020	192,827,358	105,320,528 2,933,768	87,506,830 27,344,709	2,214,157,551	2,118,180,884	95,976,667 30,601,495	44,250,000 5,000,000	80,231,144	67,040,672	13,190,472	5,000,000	1,376,902	326,075	1,050,827	500,000	0
22 E*TRADE FUTURES LLC 23 GAIN CAPITAL GROUP LLC	FCM FCMRFD	NFA NFA	05/31/2020 05/31/2020	30,278,477 66,010,026	2,933,768 30,559,248	27,344,709 35,450,778	103,455,953 223,965,989	72,854,458 205,031,385	30,601,495 18,934,604	5,000,000 10,000,000	4.056.554	2,529,720	1,526,834	1,000,000	0	1 0	0	0	221.184.960
24 GH FINANCIALS LLC	FCMRFD	CME		24,896,529	6,550,052	18,346,477	114,763,832	92,039,011	22,724,821	3,700,000	4,401,269	3,148,058	1,253,211	1,000,000	0	0	0	0	221,104,900
25 GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	05/31/2020	19,089,618,066	3,879,059,292	15,210,558,774	37,459,844,009	36,531,145,926	928,698,083	675,000,000	10,476,407,221	9,898,468,597	577,938,624	475,000,000	10,528,388,149	10,086,217,724	442,170,425	350,000,000	0
26 HIDDEN ROAD PARTNERS CIV US LLC	FCM BD	NFA	05/31/2020	1,503,715	1,000,000	503,715	0	0	0	0	0	0	0	0	0	0	0	0	0
27 HSBC SECURITIES USA INC 28 HUATAI FINANCIAL USA INC	FCM BD FCM	CME NFA	05/31/2020	1,359,326,002	471,162,331	888,163,671	4,948,026,585	4,741,372,068	206,654,517	186,000,000	180,616,949	142,357,074 4.994	38,259,875	25,000,000	1,352,833,449	1,165,795,440	187,038,009	177,000,000	0
29 TG US LLC	RFED	NFA NFA	05/31/2020	3,397,605 29,689,655	1,000,000 20,543,627	2,397,605 9,146,028	13,200,191	11,572,253	1,627,938	600,000	324,089	4,994	319,095	150,000	0		0 0	0	20 872 544
30 INTERACTIVE BROKERS LLC	FCM BD	CME	05/31/2020	5,314,114,820	420,163,605	4,893,951,215	5,810,020,360	5,605,345,839	204,674,521	155,000,000	710,121,883	587,061,211	123,060,672	80,000,000	0	i c	0	0	60,629,758
31 INTL FCSTONE FINANCIAL INC	FCM BD	CME		196,769,313	133,038,299	63,731,014	2,796,108,941	2,742,641,405	53,467,536	40,000,000	127,057,920	114,982,466	12,075,454	6,000,000	3,329,021	323,289	3,005,732	1,000,000	0
32 IRONBEAM INC	FCM FCM BD	NFA NFA	05/31/2020 05/31/2020	5,215,205 1,507,685,120	1,000,000 77,007,393	4,215,205 1,430,677,727	58,761,533	53,081,531	5,680,002	1,600,000	346,876	175,665	171,211	50,000	0	0	0	0	0
33 JEFFERIES LLC 34 JP MORGAN SECURITIES LLC	FCM BD SD		05/31/2020	26,225,908,614	5,596,954,736	20,628,953,878	49,577,170,155	47,294,850,240	2,282,319,915	1,891,794,010	6,333,408,850	5.935.810.406	397,598,444	237,432,416	20,148,262,957	19,108,416,005	1,039,846,952	668,794,560	. 0
35 MACOUARIE FUTURES USA LLC	FCM	CBOT		283,373,003	230,689,342		2,900,998,310	2,729,383,883	171,614,427	100,000,000		34,841,477		7,000,000	22,817,233	1,488,159	21,329,074	1,000,000	0
36 MAREX NORTH AMERICA LLC	FCM	CME	05/31/2020	106,324,098	84,116,448	52,683,661 22,207,650	1,650,499,277	1,624,191,522	26,307,755 23,578,450	20,330,000	52,797,522 51,134,321	37,182,220	17,956,045 13,952,101	10,250,000	0	0	0	0	0
37 MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	05/31/2020	15,281,588	2,686,724	12,594,864	511,749,875	488,171,425		18,000,000	2,567,861	0	2,567,861	1,000,000	0	0	0	0	0
38 MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD FCM	NFA NFA	05/31/2020	6,399,406,086 11,585,634	1,183,059,494 4,085,601	5,216,346,592	3,320,819,098	1,997,501,407	1,323,317,691	300,000,000	0	0	0	0	0		0	0	0
39 MID CO COMMODITIES INC 40 MINT BROKERS	FCM BD	NFA NFA	05/31/2020	2.826.704	1,000,000	7,500,033 1,826,704	31,215,266	19,103,303	12,111,963	5,138,000	0	0	0	0	0	1	0	0	
41 MIZUHO SECURITIES USA LLC	FCM BD	CME	05/31/2020	891,230,551	414,867,957	476,362,594	5.895.948.671	5,641,025,672	254,922,999	125,000,000	906,149,373	781.671.297	124,478,076	70,000,000	20,435,558	i c	20,435,558	10,000,000	0
42 MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	05/31/2020	13,179,957,277	4,123,529,391	9,056,427,886	26,607,627,137	26,023,392,581	584,234,556	235,000,000	7,874,580,255	7,600,466,346	274,113,909	140,000,000	27,513,937,905	27,169,594,565	344,343,340	92,000,000	0
43 NANHUA USA LLC	FCM	CME	05/31/2020	16,023,605	2,758,052	13,265,553	67,594,566	56,355,041	11,239,525	3,500,000	2,178,275 22 130 220	1,845,959 13,344,067	332,316	100,000	0	9	0	0	0
44 NATWEST MARKETS SECURITIES INC 45 NOMURA SECURITIES INTERNATIONAL INC	FCM BD FCM BD	CBOT	05/31/2020 05/31/2020	571,572,737 3,390,755,632	97,952,430 175,604,969	473,620,307 3,215,150,663	1,310,470,143 370,449,113	1,252,471,006 229,215,616	57,999,137 141,233,497	20,000,000 19,000,000	22,130,220 17,780,153	13,344,067	8,786,153 17,780,153	2,000,000 1,000,000	0		0	0	0
46 OANDA CORPORATION	FCMRFD	NFA	05/31/2020	66,016,478	30,378,398	35,638,080	0 0	223,213,010	141,233,437	13,000,000	17,700,133	0	17,700,133	1,000,000	0	0	0	0	206,069,425
47 PHILLIP CAPITAL INC	FCM BD	CME	05/31/2020	54,665,464	31,162,979 23,962,591	23,502,485	602,712,438	584,711,057	18,001,381	11,500,000	10,698,495	7,534,670	3,163,825	1,500,000	0	Č	0	0	0
48 PICTET OVERSEAS INC	FCM BD	NFA		47,446,539		23,483,948	288,278,245	284,996,457	3,281,788	1,500,000	112,900,017	109,625,639	3,274,378	500,000	0	0	0	0	0
49 RAND FINANCIAL SERVICES INC 50 RBC CAPITAL MARKETS LLC	FCM FCM BD	CME	05/31/2020 05/31/2020	94,735,491 3,133,791,930	11,620,164	83,115,327 2,741,071,034	149,514,200 6,141,962,325	113,084,800 5,612,952,701	36,429,400 529,009,624	3,392,500 440,000,000	29,836,100 264,452,339	4,250,000 162,160,354	25,586,100 102,291,985	127,500 20,000,000	842,205,147	622,530,927	219,674,220	80,000,000	
51 RJ OBRIEN ASSOCIATES LLC	FCM	CME	05/31/2020	267,640,487	392,720,896 224,636,363	43,004,124	5,171,117,939	5,008,826,889	162,291,050	50,000,000	206,170,022	175,078,250	31,091,772	20,000,000	0 12,203,147	022,330,327	0	0	0
52 SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	05/31/2020	428,277,901	157,226,700	271,051,201	2,037,982,301	1,963,990,222	73,992,079	70,000,000	0	0	0	0	0	0	0	0	0
53 SCOTIA CAPITAL USA INC 54 SG AMERICAS SECURITIES LLC	FCM BD FCM BD	CME	05/31/2020 05/31/2020	1,070,415,482 4,137,954,479	209,331,029 1,803,437,892	861,084,453 2,334,516,587	17.523.180.319	16.812.726.624	710,453,695	500,000,000	6.411.451.799	5.813.075.968	598,375,831	355,000,000	1,212,900,055	992,606,961	220,293,094	75,000,000	. 0
55 STRAITS FINANCIAL LLC	FCM BD	CME	05/31/2020	27,687,658	18,139,796	9,547,862	407,781,246	389,560,604	18,220,642	2,000,000	35,503,687	26,868,716	8,634,971	300,000	1,212,300,055	992,000,961	220,293,094	73,000,000	0
56 TD AMERITRADE FUTURES & FOREX LLC	FCM	NFA	05/31/2020	168,695,781	22,670,407	146,025,374	371,556,830	245,374,073	126,182,757	50,000,000	0	0	0	0	0	Č	0	Ŏ	63,109,696
57 TRADESTATION SECURITIES INC	FCM BD	CME	05/31/2020	135,471,529	4,800,617	130,670,912	616,493,154	593,783,905	22,709,249	9,000,000	19,414,015	16,344,459	3,069,556	800,000	0		0	0	0
58 TRADING.COM MARKETS INC 59 UBS FINANCIAL SERVICES INC	RFED FCM BD	NFA NFA		23,466,448 1,806,146,704	20,000,000 133,863,057	3,466,448 1,672,283,647	0 128.074.882	93.182.268	0 34.892.614	22,000,000	0 38,933,311	10.798.454	28.134.857	15,000,000	0	1 2	0	0	0
60 UBS SECURITIES LLC	FCM BD	CBOT		5,170,337,721	822,057,836	4,348,279,885	8,850,293,850	8,334,653,994	515,639,856	425,000,000	1,510,146,952	1,207,392,956	302,753,996	200,000,000	1,291,176,260	1,057,121,535	234,054,725	125,000,000	0
61 WEDBUSH SECURITIES INC	FCM BD	CBOT	05/31/2020	164,472,873	38,162,499	126,310,374	1,336,415,875	1,310,058,847	26,357,028	19,000,000	16,291,034	13,553,770	2,737,264	1,000,000	0	0	0	0	0
62 WELLS FARGO SECURITIES LLC	FCM BD FCM	CME NFA	05/31/2020	9,209,392,976	1,568,470,363	7,640,922,613 6,396,084	5,464,859,321 45,175,110	5,037,586,897 38.102.935	427,272,424 7.072.175	290,000,000	560,251,035	438,597,345 930 508	121,653,690 474,691	65,000,000	14,568,678,039	13,783,241,724	785,436,315	565,000,000	0
63 YORK BUSINESS ASSOCIATES LLC  Totals	FCM	NFA	05/31/2020	/,396,084	1,000,000	6,396,084	15,175,110		.,	2,000,000	1,405,199 <b>55,622,403,718</b>	330,300	,,,,,,	200,000	150 941 011 122	144 503 093 670	6 220 020 462	3.815.551.134	571,866,383
April Web Page Update	63						2/3,030,033,303	202,097,202,073	12,741,553,290	7,902,103,420	33,022,403,718	31,309,820,382	4,232,383,130	2,304,804,973	130,841,911,132	144,303,082,070	0,330,020,402	3,813,331,134	3/1,000,363
	- 55																		
Additions None		1											-		-			-	<del>                                     </del>
Deletions			1							-									
None			1																<del>                                     </del>
Name Changes		<del> </del>	+										<u> </u>					<u> </u>	<del>                                     </del>
None																			
May Web Page Update	63																		<del>                                     </del>
.,			1																

## SELECTED FCM FINANCIAL DATA AS OF May 31, 2020 FROM REPORTS FILED BY June 23, 2020

(a): FCM: Futures Commission Merchant that is registered with															
BD: The FCM is also registered with the Securities and E															
RFED: Retail Foreign Exchange Dealer that is registered with the Commodity Futures Trading Commission.															
FCMRFD: The FCM is also registered with the Commodit															
SD: The FCM or RFED is also registered with the Commi	nodity Futures Tradii	ng Commission as a provisi	nally registered swar	dealer.											
(I) DCDO Desired Colf Desired One in the ECM/DE	EED C Ib. I I			11 1 176 17600	for the ECM/DEED and the CE	TI DODO C. II	FOMETED : Para 1 Car	- Lili- DCDO C- II- C	S to Pot of						
(b): DSRO: Designated Self-Regulatory Organization. FCM/RF	FED firms that are o	iualiv redistered as SDs nav	e two DSROS listed if	they have a different DSRO	for the FCM/RFED and the SL	). The DSRO for tr	ie FCM/RFED is listed first a	ing the DSRO for the St	) is listed second.						
(c): A firm's net capital requirement is the greater of:															
IC. A limi s liet cabital reduliement is the dreater or.														-	
FCM minimum dollar amount (\$1,000,000); or															
<ul> <li>risk based capital requirement, the sum of 8% of to</li> </ul>	otal customer risk ma	aintenance margin and 8%	of total non-customer	r risk maintenance margin; o	or									•	
<ul> <li>the amount of capital required by a registered future</li> </ul>															
<ul> <li>for securities brokers and dealers, the amount of ne</li> </ul>				Commission; or											
<ul> <li>minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000); or</li> </ul>															
<ul> <li>minimum dollar amount for FCM's offering or engage</li> </ul>	ged in retail forex tra	ansactions and RFEDs (\$20,	000,000) plus five pe	rcent of the FCM's or RFED's	s total retail forex obligation in	excess of \$10,000	,000.								
(d): Excess net capital is adjusted net capital, less the firm's n	net capital requirem	ent.													
(a). This reconstants the total arround of reconstruction on				iliish C-											
(e): This represents the total amount of money, securities, an	ia property neia in s	segregated accounts for full	ires and options custo	omers in compliance with Se	ection 4d of the Commodity Ex	cchange Act.									
(f): This represents the total amount of funds that an FCM is	required to segrega	te on hehalf of customers u	tho are trading on a d	designated contract market	or derivatives transaction ever	ution facility This	is the sum of all accounts the	hat contain a net liquid	ating equity						
(1). This represents the total amount of rands that arriver is i	required to segrega	ice on bendir or eastorners v	viio are adding on a c	acsignated contract market	or derivatives transaction exec	additidality. This	is the sam or an accounts to	riac contain a nec liquia	ading equity.					-	
(g): Excess/Deficient funds in segregation is customer assets	in segregation, less	the customer segregation	equirement.												
														-	
(h): This represents the targeted excess of proprietary funds of	deposited into custo	omer segregated accounts a	bove the customer se	egregation requirement. Thi	is target amount is set by the	firm.									
<ul><li>(i): This represents the total amount of money, securities, and</li></ul>	d property held in s	ecured accounts for futures	and options custome	rs who trade on commodity	exchanges located outside the	e United States in o	ompliance with Part 30 of the	he Commodity Exchange	ae Act.						
(i): This represents the amount of funds an FCM is required to	o set aside for custo	omers who trade on commo	ditv exchanges locate	ed outside of the United Stat	tes.									<del></del>	
(1) F (D. C.) (C	1. 6 . d. 1	6 - 1 - 20 7 1 - 1 -		1.0-1.20											
(k): Excess/Deficient funds in separate Section 30.7 accounts	is tunds in separate	Section 30.7 accounts, les	s the customer amou	nt Part 30 reduirement.											
(I): This represents the targeted excess of proprietary funds d	donocitod into conor	ata Cartian 20 7 accounts a	house the sustamer or	mount Part 20 requirement	This target amount is set by	the firm									
III. This represents the tardeted excess or proprietary runus of	deposited into sepai	ate Section 30.7 accounts a	bove the customer at	Hourt Part 30 reddirement.	This target amount is set by	uie iiiii.									
(m): This represents the total amount of money, securities, ar	nd property held in	cleared swan customer acc	ounts for cleared swa	n customers in compliance v	with Section 4d(f) of the Comp	modity Exchange A	+								
The second control of	pp cy mold in	castorner acc	zamen zamen			,crange /									
(n): This represents the amount of funds an FCM is required t	to segregate for cus	tomers who trade cleared s	waps.												
									-						
(o): Excess/Deficient funds in cleared swap customer accounts	ts is funds in separa	te cleared swap segregation	accounts, less the cl	eared swap customer segre	gation requirement.			<u> </u>	<u> </u>				<u> </u>		
(p): This represents the targeted excess of proprietary funds	deposited into sepa	arate cleared swap segrega	ion accounts above the	he cleared swap customer se	egregation requirement. This	target amount is s	et 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 account, adjusted for the realized and unrealized net profit or loss.