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	Target Residual Interest in Section 30.7	Funds in Separate Cleared Swap	Customer Amount Cleared Swap Seg	Excess/Deficient Funds in Cleared Swap Seg	Target Residual Interest in Cleared Swap	Total Amount o Retail Forex Obligation
	(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	30.7 Accounts (k)	(I)	Segregation (m)	Required (n)	Accounts (o)	(p)	(q)
ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	08/31/2020	602,891,097	218,053,879	384,837,218	3,750,998,462	3,259,354,797	491,643,665	293,420,990	112,926,552	91,666,536	21,260,016	9,166,654					
ADM INVESTOR SERVICES INC	FCM BD	CBOT	08/31/2020	337,394,306	226,349,193	111,045,113	5,214,102,745	5,006,297,379	207,805,366	120,000,000	301,505,111	256,058,123	45,446,988	20,000,000			9,802,631	8,000,000	
ADVANTAGE FUTURES LLC	FCM	CME	08/31/2020	21,164,514	8,046,141	13,118,373	334,322,047	313,071,709	21,250,338	12,500,000	29,434,886	26,217,931	3,216,955	1,000,000		Č	0	0	
AMP GLOBAL CLEARING LLC	FCM	NFA	08/31/2020	5,999,119	1,000,000	4,999,119	67,953,378	61,579,287	6,374,091	900,000	2,115,605	1,747,556	368,049	150,000		C	0	0	
APEX CLEARING CORPORATION	FCM BD	NFA	08/31/2020	195,377,039	19,173,384	176,203,655	48,116,532	26,697,260	21,419,272	6,000,000	0	0	0	0	0	0	0	0	
BAKKT CLEARING LLC	FCM	NFA	08/31/2020	2,495,875	1,000,000	1,495,875	0	0	0	0	0	0	0	0	0	0	0	0	
BARCLAYS CAPITAL INC	FCM BD	NYME	08/31/2020	6,084,884,670	1,636,030,536	4,448,854,134	8,461,259,678	8,040,340,249	420,919,429	302,316,794	3,732,222,940	3,533,556,550	198,666,390	118,020,789		8,349,338,668	407,357,453	247,975,358	
BNP PARIBAS SECURITIES CORP BOCI COMMODITIES & FUTURES USA LLC	FCM BD FCM	CBOT CME	08/31/2020	2,369,665,952 6,072,675	576,204,026	1,793,461,926	4,181,511,082 7,515,060	3,884,048,847	297,462,235 3,083,118	240,000,000	244,358,950	165,495,495	78,863,455	30,000,000	2,025,732,180	1,851,428,800	174,303,380	95,000,000	
BOFA SECURITIES INC	FCM BD	CBOT	08/31/2020 08/31/2020	17.047.768.932	1,000,000 3,356,615,478	5,072,675 13.691.153.454	24.804.239.874	4,431,942 24,321,432,539	482,807,335	1,000,000 200,000,000	5,412,135,465	5,135,901,382	276,234,083	150,000,000	11,094,018,384	10,659,266,853	434,751,531	150,000,000	
CANTOR FITZGERALD & CO	FCM BD	CBOT	08/31/2020	421,874,019	3,492,611	418,381,408	4,969,921	21,521,152,555	4,969,921	3,000,000	0,112,133,103	0,155,501,502	270,251,005	130,000,000	0 0	10,033,200,033	0	130,000,000	
CHARLES SCHWAB & CO INC	FCM BD	NFA	08/31/2020	1,913,848,936	512,079,150	1,401,769,786	249,534,948	189,782,393	59,752,555	32,263,007	50,000	0	50,000	1	. 0	C	0	0	
CHARLES SCHWAB FUTURES, INC.	FCM	NFA	08/31/2020	1,500,541	1,000,000	500,541	0	0	0	0	0	0	0	0	0	C	0	0	
CHS HEDGING LLC	FCM		08/31/2020	66,021,660	13,514,405	52,507,255	195,857,463	138,709,306	57,148,157	13,600,000	1,527,272	0	1,527,272	200,000		39,994	510,324	120,000	
CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	08/31/2020	12,241,581,062	3,937,961,851	8,303,619,211	16,692,998,604	16,185,064,591	507,934,013	330,400,000	4,470,986,081	4,196,395,906	274,590,175	162,400,000		34,997,306,483	722,954,268	497,700,000	
CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	08/31/2020	11,609,074,715	1,836,873,199	9,772,201,516	7,555,868,906	7,101,667,080	454,201,826	355,083,354	5,915,981,957	4,916,651,962	999,329,995	245,832,598		13,076,583,664	841,684,702	653,829,183	
CUNNINGHAM COMMODITIES LLC DAIWA CAPITAL MARKETS AMERICA INC	FCM FCM BD		08/31/2020 08/31/2020	5,743,354 1,196,399,334	1,000,000 1,500,000	4,743,354 1,194,899,334	60,324,751	56,736,421	3,588,330 2,177,143	3,050,000	1,235,949 566,444	704,431	531,518 566,444	100,000	0	0	) 0	0	1
DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	08/31/2020	8,433,743,322	242,419,491	8,191,323,831	2,177,143 3,189,437,197	2,939,805,588	249,631,609	125,000,000	558,871,031	406,102,910	152,768,121	75,000,000	) O	0	) 0	0	<b>†</b>
DIRECT ACCESS USA LLC	FCM		08/31/2020	12,984,305	1,622,308	11,361,997	28,941,455	17,357,868	11,583,587	2,500,000	0	0	0	7.5,555,666	0	Č	0	0	
DORMAN TRADING LLC	FCM	CME	08/31/2020	14,536,180	2,238,828	12,297,352	237,153,218	230,291,283	6,861,935	2,000,000	10,032,871	9,313,882	718,989	200,000	0	, o	0	0	
E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	08/31/2020	190,490,116	115,426,901	75.063.215	2,329,584,416	2,246,870,325	82,714,091	44,250,000	87,795,425	74,247,933	13,547,492	5,000,000	0	C	0	0	
E*TRADE FUTURES LLC	FCM	NFA	08/31/2020	31,941,024	4,151,841	27,789,183	112,951,511	81,204,008	31,747,503	8,000,000	0	0	0		0	<u>C</u>	0	0	818.88
GAIN CAPITAL GROUP LLC	FCMRFD FCM		08/31/2020	68,241,011	30,046,327 7.818.901	38,194,684	385,266,889	364,982,650	20,284,239	10,000,000	4,259,687 9,416,910	2,433,671	1,826,016	1,000,000	0	0	0	0	210,926,5
GH FINANCIALS LLC GOLDMAN SACHS & CO.L.C.	FCM BD SD	CME CBOT/NFA	08/31/2020 08/31/2020	25,506,842 20,945,832,129	7,818,901 3,932,129,633	17,687,941 17,013,702,496	116,238,623 35,240,957,652	96,412,646 34,335,492,844	19,825,977 905,464,808	4,000,000 675,000,000	9,416,910	8,136,495 10,388,094,493	1,280,415 575,269,672	135,000 475,000,000	11,291,132,443	10,778,804,268	512,328,175	350,000,000	+
HIDDEN ROAD PARTNERS CIV US LLC	FCM BD 3D	NFA	08/31/2020	1,503,504	1,000,000	503,504	03,210,337,032	0 1,555,557,569	0.00,505,000	0,3,000,000	0,703,304,103	10,500,051,155	0.0,200,072	1, 3,000,000	) 11,231,132,443	10,770,004,200	) 312,320,173	330,000,000	<del> </del>
HSBC SECURITIES USA INC	FCM BD		08/31/2020	1,303,236,489	450,292,097	852,944,392	3,893,151,117	3,695,782,512	197,368,605	113,000,000	152,622,249	116,703,650	35,918,599	15,000,000	1,351,971,177	1,163,312,326	188,658,851	64,000,000	
HUATAI FINANCIAL USA INC	FCM	NFA	08/31/2020	2,992,469	1,000,000	1,992,469	10,644,229	8,996,485	1,647,744	600,000	323,116	61	323,055	150,000	0	0	0	0	
IG US LLC	RFED		08/31/2020	30,525,543	20,461,125	10,064,418	0	0	0	0	0	0	0	0	0	C	0	0	19,222,50
NTERACTIVE BROKERS LLC	FCM BD		08/31/2020	4,404,380,948	543,669,266	3,860,711,682	5,760,672,290	5,497,984,071	262,688,219	155,000,000	728,632,216	603,000,327	125,631,889	80,000,000	0	C	0	0	64,703,9
RONBEAM INC	FCM FCM BD	NFA NFA	08/31/2020 08/31/2020	5,194,321 1.612.464.697	1,000,000 80,593,563	4,194,321 1.531.871.134	62,136,740	56,425,543	5,711,197	1,600,000	352,388	170,857	181,531	50,000	0	0	0	0	
P MORGAN SECURITIES LLC	FCM BD SD		08/31/2020	27,595,905,449	5,279,909,718	22,315,995,731	51,843,948,354	49,245,484,673	2,598,463,681	1,969,819,387	6,356,210,952	5,885,560,082	470,650,870	235,422,403	21,053,166,101	19,958,513,323	1,094,652,778	698,547,966	
MACOUARIE FUTURES USA LLC	FCM		08/31/2020	292,157,889	237,880,102	54,277,787	2,892,233,841	2,723,279,975	168,953,866	100,000,000	67,597,322	49,970,780	17,626,542	7,000,000	22,912,478	1,564,143	21,348,335	1,000,000	
MAREX NORTH AMERICA LLC	FCM	CME	08/31/2020	121,849,818	97,413,234	24,436,584	1,984,879,994	1,960,688,451	24,191,543	20,330,000	60,444,930	47,445,129	12,999,801	10,250,000	0	C	0	0	
MCVEAN TRADING & INVESTMENTS LLC	FCM		08/31/2020	15,189,152	2,575,608	12,613,544	515,803,742	493,175,704	22,628,038	18,000,000	2,567,861	0	2,567,861	1,000,000	0	0	0	0	
MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	08/31/2020	6,194,394,882	1,244,048,256	4,950,346,626	3,606,323,524	2,256,480,492	1,349,843,032	300,000,000	0	0	0	0	0	C	0	0	
MID CO COMMODITIES INC	FCM		08/31/2020	11,343,914	4,120,665	7,223,249	36,150,163	23,681,773	12,468,390	5,138,000	0	0	0	0	0	C	0	0	
MINT BROKERS MIZUHO SECURITIES USA LLC	FCM BD FCM BD	NFA	08/31/2020 08/31/2020	2,779,197 1.049.482.299	1,000,000 436,594,902	1,779,197 612.887.397	5.785.415.030	5,529,655,239	255,759,791	125,000,000	879.910.764	755,658,415	124,252,349	70,000,000	20.439.517	0	20,439,517	10,000,000	
MORGAN STANLEY & CO LLC	FCM BD SD		08/31/2020	13,439,287,808	4,118,906,069	9,320,381,739	27,209,701,721	26,826,425,017	383,276,704	235,000,000	7,769,250,020	7,555,938,962	213,311,058	140,000,000		25,538,038,385	426.830.773	92,000,000	
VANHUA USA LLC	FCM		08/31/2020	15,863,005	2,823,267	13.039.738	63,986,388	53,624,809	10,361,579	3,500,000	7,765,256,626	460,177		100,000	0 25,501,005,150	25,550,050,505	120,030,773	32,000,000	
NATWEST MARKETS SECURITIES INC	FCM BD	CBOT	08/31/2020	558,244,407	46,319,796	511,924,611	660,280,909	606,153,330	54,127,579	20,000,000	9,743,012	455,163	335,282 9,287,849	2,000,000		Č	0	0	
NOMURA SECURITIES INTERNATIONAL INC	FCM BD		08/31/2020	3,172,367,968	188,477,326	2,983,890,642	386,224,589	244,065,097	142,159,492	19,000,000	18,342,089	0	18,342,089	1,000,000	0	0	0	0	
DANDA CORPORATION	FCMRFD		08/31/2020	66,431,029 52,866,565	31,766,470 32,811,610	34,664,559 20,054,955	0	0	0	0	0	0	0		0	C	0	0	193,469,78
PHILLIP CAPITAL INC PICTET OVERSEAS INC	FCM BD FCM BD	CME NFA	08/31/2020 08/31/2020	52,866,565	32,811,610 22,489,996	20,054,955	574,736,414 259,710,751	568,433,999 255,526,970	6,302,415 4,183,781	11,500,000 2,750,000	14,936,854 88,920,535	12,808,387 86,218,226	2,128,467 2,702,309	1,500,000 1,250,000	0	0	0	0	
RAND FINANCIAL SERVICES INC	FCM		08/31/2020	94,641,247	10,861,068	83,780,179	167.546.300	131,470,000	36,076,300	3,944,100	32,891,200	7,334,300	25,556,900	220,000	0		) 0	0	
RBC CAPITAL MARKETS LLC	FCM BD		08/31/2020	3,252,716,620	356,458,447	2,896,258,173	4,440,918,668	4,014,038,400	426,880,268	320.000.000	281,879,378	179,728,510	102,150,868	20,000,000	879,517,297	697,876,828	181,640,469	80,000,000	1
RJ OBRIEN ASSOCIATES LLC	FCM	CME	08/31/2020	250,122,468	200,266,385	49,856,083	4,881,441,958	4,722,222,596	159,219,362	320,000,000 50,000,000	222,319,035	189,850,860	32,468,175	20,000,000	0	0	0	0	
SANTANDER INVESTMENT SECURITIES INC	FCM BD		08/31/2020	481,843,168	151,836,393	330,006,775	2,006,447,908	1,935,043,418	71,404,490	70,000,000	0	0	0	0	0	C	0	0	
SCOTIA CAPITAL USA INC SG AMERICAS SECURITIES LLC	FCM BD FCM BD	CME CME	08/31/2020 08/31/2020	1,229,270,723 4,493,533,654	148,659,181 1,780,603,673	1,080,611,542 2,712,929,981	16,202,759,466	15,506,234,599	0 696,524,867	500,000,000	7,297,734,398	6 600 627 520	598,106,860	355,000,000	1 170 000 073	055 063 700	220,745,885	75.000.000	1
STONEX FINANCIAL INC	FCM BD		08/31/2020 08/31/2020	4,493,533,654	1,780,603,673	2,/12,929,981 84.872.678		15,506,234,599 3,241,885,290	54 177 617		154 843 784	6,699,627,538 143,366,200		355,000,000	1,176,608,673	955,862,788 379,992	2 220,745,885	75,000,000	1
STRAITS FINANCIAL LLC	FCM BD	CME	08/31/2020	26,580,939	16,053,915	10,527,024	3,296,057,907 356,384,175	338,879,095	54,172,617 17,505,080	40,000,000 2,000,000	154,843,784 29,087,188	143,366,200 20,420,947	11,477,584 8,666,241	300,000		373,992	) 2,333,310	1,000,000	t
TD AMERITRADE FUTURES & FOREX LLC	FCM	NFA	08/31/2020	147,255,992	22,930,715	124,325,277	378,438,647	275,673,203	102,765,444	50,000,000	0	0	0	0	0	0	0	0	67,696,5
RADESTATION SECURITIES INC	FCM BD		08/31/2020	135,582,372 22,762,435	8,435,824	127,146,548 2,762,435	731,220,321	700,318,998	30,901,323	9,000,000	19,172,197	16,094,020	3,078,177	800,000	0	C	0	0	
FRADING.COM MARKETS INC	RFED FCM BD	NFA NFA	08/31/2020 08/31/2020	22,762,435 1,232,065,888	20,000,000 155,077,089		0 124,675,479	91,953,161	0 32,722,318	22.000.000	0 40,915,685	0 12,315,782	28,599,903	15,000,000	0	ļ ģ	) 0	0	1
UBS FINANCIAL SERVICES INC	FCM BD	CBOT	08/31/2020	1,232,065,888 5,259,445,722	155,077,089 751,952,075	1,076,988,799 4,507,493,647	7.573.059.240	91,953,161 7.052,262,100	32,722,318 520,797,140	22,000,000 425,000,000	40,915,685 1,279,525,822	12,315,782 972,897,404	28,599,903 306,628,418	200.000.000	1,017,179,463	781,762,644	235,416,819	125,000,000	1
WEDBUSH SECURITIES INC	FCM BD	CBOT	08/31/2020	169,807,887	51,329,087	118,478,800	1,440,845,526	1,413,913,889	26,931,637	19,000,000		19,304,475	3,053,990	1,000,000	1,017,179,403	731,702,044	0 (10,019	123,000,000	<del> </del>
WELLS FARGO SECURITIES LLC	FCM BD		08/31/2020	9,753,811,491	1,465,546,805	8,288,264,686	4,548,631,716	4,167,031,571	381,600,145	275,000,000	22,358,465 744,365,794	535,060,273	209,305,521	31,000,000	14,991,350,376	14,285,417,469	705,932,907	585,000,000	
ORK BUSINESS ASSOCIATES LLC	FCM	NFA	08/31/2020	7,339,526	1,000,000	6,339,526	44,196,320	37,457,845	6,738,475	2,000,000	1,756,044	1,186,187	569,857	200,000	0	C	0	0	L
otals							265,010,904,982	252,575,879,317	12,435,025,665	7,672,465,633	58,136,286,064	53,124,301,968	5,011,984,096	2,507,447,447	149,297,854,750	143,095,496,628	6,202,358,122	3,734,172,508	556,019,28
July Web Page Update	64																		
Additions															1	<del> </del>	1		+
None															<u> </u>	<u> </u>			+
																1			1
Deletions																			
None														<del></del>					1
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Name Changes																			
Name Changes INTL FCSTONE FINANCIAL INC to STONEX FINANCIAL INC																			

## SELECTED FCM FINANCIAL DATA AS OF August 31, 2020 FROM REPORTS FILED BY Septermber 24, 2020

(a): FCM: Futures Commission Merchant that is registered with the Commo									
BD: The FCM is also registered with the Securities and Exchange Com									
RFED: Retail Foreign Exchange Dealer that is registered with the Comm									
FCMRFD: The FCM is also registered with the Commodity Futures Trace									
SD: The FCM or RFED is also registered with the Commodity Futures 1	rading Commission as a provisionally registered swap dea	ler.							
(b): DSRO: Designated Self-Regulatory Organization. FCM/RFED firms that	re dually registered as SDs have two DSROs listed if they	have a different DSRO for the FCM/RFED ar	nd the SD. The DSRO for the FCM/RFE	ED is listed first and the DSRO for the	SD is listed second.				
(A) A C observed on the land to the control of									
(c): A firm's net capital requirement is the greater of:									
FCM minimum dollar amount (\$1,000,000); or									
risk based capital requirement, the sum of 8% of total customer risks.	ly maintanance margin and 90% of total non gustamer rick	maintananco margini or							
the amount of capital required by a registered futures association (		maintenance margin, or							
for securities brokers and dealers, the amount of net capital require		mission: or							
minimum dollar amount for FCM's offering or engaged in retail force	ov transactions and REEDs (\$20,000,000); or	HISSIOTI, OI							
minimum dollar amount for FCM's offering or engaged in retail fore     minimum dollar amount for FCM's offering or engaged in retail fore	x transactions and RFEDs (\$20,000,000) plus five percent	of the FCM's or RFED's total retail forex obl	ligation in excess of \$10,000,000.						
(d): Excess net capital is adjusted net capital, less the firm's net capital requ	rement.								
(e): This represents the total amount of money, securities, and property held	in segregated accounts for futures and options customer	s in compliance with Section 4d of the Comp	modity Exchange Act.						
(f): This represents the total amount of funds that an FCM is required to sec	regate on behalf of customers who are trading on a design	nated contract market or derivatives transac	tion execution facility. This is the sum	of all accounts that contain a net liqu	idating equity.				
<ul><li>(q): Excess/Deficient funds in segregation is customer assets in segregation,</li></ul>	less the customer segregation requirement.								
(h): This represents the targeted excess of proprietary funds deposited into	ustomer segregated accounts above the customer segreg	ation requirement. This target amount is se	et by the firm.						
	<del></del>								
(i): This represents the total amount of money, securities, and property held	in secured accounts for futures and options customers wh	no trade on commodity exchanges located or	utside the United States in compliance	with Part 30 of the Commodity Excha	nge Act.				
C) This control has a second of Control FOM in the control of Cont		restance for the state of Charles							
(i): This represents the amount of funds an FCM is required to set aside for	ustomers who trade on commodity exchanges located ou	tside of the United States.							
(k): Excess/Deficient funds in separate Section 30.7 accounts is funds in sep	arata Castian 20.7 accounts loss the sustamer amount Da	rt 20 requirement							
TK). Excess/Deficient funds in separate Section 30.7 accounts is funds in sep	late Section 30.7 accounts, less the customer amount Pal	it 30 reddirement.							
(I): This represents the targeted excess of proprietary funds deposited into s	enarate Section 30.7 accounts above the customer amour	t Part 30 requirement. This target amount i	is set by the firm						
(1). This represents the tardeted excess of brobhetary funds deposited into s	parate Section 50.7 accounts above the customer amoun	t Fait 50 feddirement. This target amount	is set by the him.						
(m): This represents the total amount of money, securities, and property he	d in cleared swap customer accounts for cleared swap cur	tomers in compliance with Section 4d(f) of t	the Commodity Exchange Act						
(m). This represents the total amount of money, securities, and property ne	in cicurca swap castomer accounts for cicarca swap cas	ionicis in compilance with Section 14(1) or t	the commodity Exchange Acc						
(n): This represents the amount of funds an FCM is required to segregate for	customers who trade cleared swaps.								
and the sequence of									
(o): Excess/Deficient funds in cleared swap customer accounts is funds in se	parate cleared swap segregation accounts, less the clearer	swap customer segregation requirement.							
(p): This represents the targeted excess of proprietary funds deposited into	separate cleared swap segregation accounts above the cle	eared swap customer segregation requireme	ent. This target amount is set by the fir	ìrm.	·		<u> </u>	<u> </u>	

(g): 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.