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	A B	C	D	E	F	G	H	0	J	K	L	M	N Face of Participant	O
1		Reg As	DSRO	A/O	Adjusted	Net Capital	Excess Not Conital	Customers'	Customers'	Excess/Deficient	Funds in Separate	Customer	Excess/Deficient	Total Amount of Retail Forex
3	Futures Commission Merchant / Retail Foreign Exchange			Date	Net Capital	Requirement	Net Capital	Assets in Seg	Seg Required 4d(a)(2)	Funds in Seg	Section 30.7 Accounts	Amount Pt. 30 Required	Funds in Separate Section 30.7	Obligation
4	Dealer							iii Seg	4u(a)(2)		Accounts	Required	Accounts	Obligation
5		(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(i)	(k)
6		(α)	(5)			(0)	(α)	(0)	(1)	(9)	(11)	(1)	U)	(N)
7	1 ABN AMRO CLEARING CHICAGO LLC	FCM BD	СВОТ	10/31/2013	439,381,891	123,762,718	315,619,173	2,401,002,465	2,157,467,057	243,535,408	149,645,441	111,066,517	38,578,924	0
8	2 ADM INVESTOR SERVICES INC	FCM	СВОТ	10/31/2013	280,352,133	163,665,619	116,686,514	3,193,539,446	2,954,093,638	239,445,808	248,263,197	183,015,593	65,247,604	0
9	3 ADVANTAGE FUTURES LLC	FCM	CME	10/31/2013	22,052,891	12,983,501	9,069,390	482,272,097	469,252,982	13,019,115	37,943,610	35,625,880	2,317,730	0
10	4 ALPARI (US) LLC	FCMRFD	NFA	10/31/2013	3,448,373	1,000,000	2,448,373	2,924,674	463,099	2,461,575	1,922,309	83,368	1,838,941	0
11	5 AMERIPRISE FINANCIAL SERVICES INC	FCM BD	NFA	10/31/2013	114,615,432	1,000,000	113,615,432	0	0	0	0	0	0	0
12	6 AMP GLOBAL CLEARING LLC	FCM	NFA	10/31/2013	2,502,941	1,500,000	1,002,941	43,617,218	42,232,368	1,384,850	639,296	384,934	254,362	0
13	7 BARCLAYS CAPITAL INC	FCM BD	NYME	10/31/2013	6,085,033,502	1,319,598,774	4,765,434,728	6,472,145,064	6,235,890,327	236,254,737	4,392,261,385	4,174,742,550	217,518,835	0
14	8 BGC FINANCIAL LP	FCM BD	NFA	10/31/2013	59,770,050	1,992,704	57,777,346	0	0	0	0	0	0	0
15	9 BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME		3,410,116,199	218,834,403	3,191,281,796	2,579,868,010	2,301,086,896	278,781,114	18,188,831	1,439,264	16,749,567	0 !
16	10 BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	10/31/2013	1,391,101,827	207,807,706	1,183,294,121	1,183,356,026	956,438,534	226,917,492	6,000,000	0	6,000,000	0
17	11 BNY MELLON CLEARING LLC	FCM	CME	10/31/2013	286,244,945	20,000,000	266,244,945	232,065,940	135,634,029	96,431,911	28,572,532	9,018,174	19,554,358	0
18	12 BOCI COMMODITIES & FUTURES USA LLC 13 CANTOR FITZGERALD & CO	FCM PD	NFA CBOT	10/31/2013	4,595,059	1,000,000	3,595,059	6 270 048	1 310 503	4,000,356	0	0	0	0
19 20	14 CAPITAL MARKET SERVICES LLC	FCM BD FCM	NFA	10/31/2013 10/31/2013	211,397,861 1,710,483	8,796,775 1,000,000	202,601,086 710,483	6,279,948	1,310,592	4,969,356	0	0	0	0
21	15 CHS HEDGING INC	FCM	CBOT	10/31/2013	26,673,132	13,619,135	13,053,997	172,240,793	147,942,385	24,298,408	954,329	237,292	717,037	0
22	16 CITADEL SECURITIES LLC	FCM BD	CME	10/31/2013	321,552,469	1,000,000	320,552,469	0	147,942,303	24,230,400	954,529	237,232	117,037	0
23	17 CITIGROUP GLOBAL MARKETS INC	FCM BD	CBOT	10/31/2013	6,763,348,302	832,945,548	5,930,402,754	5,352,929,070	5,069,264,397	283,664,673	1,099,365,321	906,801,931	192,563,390	0
24	18 CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	10/31/2013	8,063,273,812	2,204,674,935	5,858,598,877	8,919,685,437	7,445,972,270	1,473,713,167	4,045,856,930	3,238,388,052	807,468,878	0
25	19 CROSSLAND LLC	FCM	CBOT	10/31/2013	9,464,432	2,200,120	7,264,312	79,452,210	77,623,624	1,828,586	7,534,688	6,812,268	722,420	0
26	20 CUNNINGHAM COMMODITIES LLC	FCM	СВОТ	10/31/2013	2,928,388	1,841,589	1,086,799	70,724,732	69,547,186	1,177,546	554,583	385,490	169,093	0
27	21 DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	10/31/2013	394,111,958	8,891,550	385,220,408	9,597,821	4,359,414	5,238,407	633,263	0	633,263	0
28	22 DEUTSCHE BANK SECURITIES INC	FCM BD	СВОТ	10/31/2013	6,987,217,186	665,129,495	6,322,087,691	13,942,137,744	13,381,333,711	560,804,033	1,258,909,714	1,026,294,369	232,615,345	0
29	23 DORMAN TRADING LLC	FCM	CME	10/31/2013	11,035,795	1,891,130	9,144,665	140,066,506	136,846,153	3,220,353	2,201,984	1,861,320	340,664	0
30	24 E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	10/31/2013	28,377,992	7,461,388	20,916,604	225,530,506	214,416,835	11,113,671	2,877,412	2,137,615	739,797	0
31	25 E TRADE CLEARING LLC	FCM BD	NFA	10/31/2013	710,190,649	140,883,889	569,306,760	49,752,196	38,839,177	10,913,019	1,500,418	498,762	1,001,656	0
32	26 EFL FUTURES LIMITED	FCM	CME	10/31/2013	35,678,912	15,743,037	19,935,875	237,066,133	224,218,180	12,847,953	0	0	0	0
33	27 FCSTONE LLC	FCM	CME	10/31/2013	109,505,756	70,791,608	38,714,148	1,706,570,758	1,681,495,816	25,074,942	66,006,685	52,363,481	13,643,204	0
34	28 FIXI AMERICAS LLC	FCM	NFA	10/31/2013	1,566,995	1,000,000	566,995	0	0	0	0	0	0	0
35	29 FOREX CAPITAL MARKETS LLC	FCMRFD	NFA	10/31/2013	88,461,551	27,437,565	61,023,986	0	0	0	0	0	0	158,751,294
36	30 FRIEDBERG MERCANTILE GROUP INC	FCM	NFA	10/31/2013	3,141,023	1,000,000	2,141,023	5,081,285	4,012,166	1,069,119	1,589,434	576,550	1,012,884	0
37	31 FRONTIER FUTURES INC	FCMDED	NFA	10/31/2013	1,958,468	1,000,000	958,468	29,715,754	28,674,641	1,041,113	0	0	0	00 000 040
38	32 FXDIRECTDEALER LLC 33 GAIN CAPITAL GROUP LLC	FCMRFD FCMRFD	NFA	10/31/2013 10/31/2013	24,020,576 45,130,762	20,911,952 25,039,207	3,108,624 20,091,555	147,398,593	140,080,217	7,318,376	4,807,376	4,003,305	0 804,071	28,239,046 110,784,146
40	34 GFI SECURITIES LLC	FCM BD	NFA	10/31/2013	11,968,474	1,000,000	10,968,474	0	140,080,217	7,310,370	4,807,370	4,003,303	0	110,764,140
41	35 GH FINANCIALS LLC	FCM	CME	10/31/2013	10,006,663	1,000,000	9,006,663	5,434,192	4,496,500	937,692	423,770	323,647	100,123	0
42	36 GLOBAL FUTURES & FOREX LTD	FCMRFD	NFA	10/31/2013	4,328,203	1,000,000	3,328,203	0, 10 1, 102	0	0	0	0	0	0
43	37 GOLDMAN SACHS & CO	FCM BD	CBOT	10/31/2013	14,741,758,695	2,117,283,443	12,624,475,252	19,479,818,323	18,885,361,824	594,456,499	9,232,648,391	8,681,971,658	550,676,733	0
44	38 GOLDMAN SACHS EXECUTION & CLEARING LP	FCM BD	CME	10/31/2013	1,490,471,936	151,008,233	1,339,463,703	1,461,199,713	884,403,524	576,796,189	77,325,351	31,791,456	45,533,895	0
45	39 GUGGENHEIM SECURITIES LLC	FCM BD	NFA	10/31/2013	72,929,495	1,646,199	71,283,296	0	0	0	0	0	0	0
46	40 HSBC SECURITIES USA INC	FCM BD	CME	10/31/2013	1,043,616,666	133,256,907	910,359,759	1,097,110,872	1,017,441,950	79,668,922	110,457,663	90,908,635	19,549,028	0
47	41 IBFX INC	RFED	NFA	10/31/2013	27,902,859	23,109,887	4,792,972	0	0	0	0	0	0	72,197,747
48	42 INSTINET LLC	FCM BD	NFA	10/31/2013	104,861,741	3,162,425	101,699,316	0	0	0	0	0	0	0
49	43 INSTITUTIONAL LIQUIDITY LLC	FCMRFD	NFA	10/31/2013	34,080,117	20,178,729	13,901,388	57,776,091	56,740,094	1,035,997	777,436	349,096	428,340	13,574,579
50	44 INTERACTIVE BROKERS LLC	FCM BD	NFA	10/31/2013	1,740,300,994	290,090,339	1,450,210,655	2,180,445,408	1,977,871,169	202,574,239	412,226,593	303,072,096	109,154,497	39,137,355
51	45 IRONBEAM INC	FCM	NFA	10/31/2013	2,253,067	1,000,000	1,253,067	39,199,764	37,952,174	1,247,590	111,268	4,305	106,963	0
52	46 ITG DERIVATIVES LLC	FCM BD	NFA	10/31/2013	5,264,921	1,000,000	4,264,921	0	0	0	0	0	0	0
53	47 JEFFERIES BACHE LLC	FCM	CBOT	10/31/2013	199,060,000	126,325,120	72,734,880	2,021,917,000	1,916,935,000	104,982,000	181,789,000	114,508,000	67,281,000	0
54	48 JP MORGAN CLEARING CORP	FCM BD	NFA	10/31/2013	6,901,243,618	1,858,410,359	5,042,833,259	932,216,608	655,511,763	276,704,845	660,082,517	440,390,968	219,691,549	0
55	49 JP MORGAN SECURITIES LLC	FCM BD	CEI	10/31/2013	14,269,255,171	2,037,013,591	12,232,241,580	19,343,309,599	17,449,125,746	1,894,183,853	3,712,612,864	3,303,988,318	408,624,546	0
56	50 KNIGHT CAPITAL AMERICAS LLC	FCM BD	CME	10/31/2013	259,406,481	22,664,465	236,742,016	508,660,629	492,363,636	16,296,993	11,053,910	7,810,772	3,243,138	38,679,946
57 58	51 LEK SECURITIES CORPORATION	FCM BD FCM	NFA NFA	10/31/2013	10,129,294 3,581,560	1,500,000 2,028,065	8,629,294 1,553,495	6,767,002	5,616,685	1,150,317	Ŭ	1 163	247.650	0
59	52 LINN GROUP THE 53 LPL FINANCIAL LLC	FCM BD	NFA	10/31/2013 10/31/2013	161,583,089	6,536,204	155,046,885	82,518,123	78,755,783	3,762,340	348,813	1,163	347,650	0
	53 LPL FINANCIAL LLC 54 MACQUARIE FUTURES USA LLC	FCM		10/31/2013	145,615,169	106,764,827	38,850,342	1,463,100,767	1,284,854,015	178,246,752	27,045,133	20,448,754	6,596,379	0
00	OT IN TO GOARTE TO TORES SOA LES	i Olvi	0001	10/31/2013	173,013,108	100,704,027	50,050,542	1,700,100,707	1,204,004,013	170,240,732	21,040,133	20,440,734	0,000,019	, 0

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$\frac{1}{2}$			Reg As	DSRO	A/O	Adjusted	Net Capital	Excess	Customers'	Customers'	Excess/Deficient	Funds in Separate	Customer	Excess/Deficient	Total Amount
2		Futures Commission Merchant / Retail Foreign Exchange			Date	Net Capital	Requirement	Net Capital	Assets	Seg Required	Funds in Seg	Section 30.7	Amount Pt. 30	Funds in Separate	of Retail Forex
3		Dealer							in Seg	4d(a)(2)		Accounts	Required	Section 30.7	Obligation
4			()	4.			()	/ D	()	40	()	40	(2)	Accounts	41)
5			(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
6		MAREY MORTH AMERICA III O	5014	0145	10/01/0010	44 400 004	0.045.044	0.070.000	404545040	00.040.500	5.000.400	0.744.050	7.700.400	0.40.457	
61		MAREX NORTH AMERICA LLC	FCM	CME	10/31/2013	11,492,694	8,215,814	3,276,880	104,545,943	98,619,523	5,926,420	8,711,953	7,763,496	948,457	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0
62		MB TRADING FUTURES INC	RFED	NFA	10/31/2013	24,985,496	21,283,215	3,702,281	0	0	0	0	0	0	35,664,300
63	-	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	10/31/2013	13,175,876	3,972,465	9,203,411	801,445,956	780,384,395	21,061,561	2,356,000	0	2,356,000	0
64		MERRILL LYNCH PIERCE FENNER & SMITH	FCM BD	CBOT	10/31/2013	11,896,518,304	963,330,720	10,933,187,584	9,664,200,372	9,302,801,999	361,398,373	2,739,378,213	2,513,063,667	226,314,546	0
65		MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	10/31/2013	1,813,220,862	355,461,655	1,457,759,207	1,701,406,889	883,009,690	818,397,199	28,768,239	769,313	27,998,926	0
66		MID CO COMMODITIES INC	FCM	NFA	10/31/2013	10,644,476	4,564,874	6,079,602	48,284,102	37,164,861	11,119,241	0	0	0	0
67		MITSUBISHI UFJ SECURITIES USA INC	FCM BD	NFA	10/31/2013	227,615,331	1,054,952	226,560,379	0	0	0	0	0	0	0
68		MITSUI BUSSAN COMMODITIES USA INC	FCM	NFA	10/31/2013	3,424,059	1,000,000	2,424,059	0	0	0	0	0	0	0
69		MIZUHO SECURITIES USA INC	FCM BD	CME	10/31/2013	463,060,270	194,774,360	268,285,910	2,385,712,994	2,198,712,924	187,000,070	526,371,131	432,633,631	93,737,500	0
70		MORGAN STANLEY & CO LLC	FCM BD	CME	10/31/2013	8,140,442,891	1,518,891,483	6,621,551,408	10,331,602,286	10,124,029,648	207,572,638	2,715,483,059	2,506,555,259	208,927,800	0
71		MORGAN STANLEY SMITH BARNEY LLC	FCM BD	NFA	10/31/2013	3,976,646,882	167,609,736	3,809,037,146	722,605,100	620,075,933	102,529,167	86,430,023	55,631,576	30,798,447	0
72		NEUBERGER BERMAN LLC	FCM BD	NFA	10/31/2013	94,512,260	1,500,000	93,012,260	0	0	0	0	0	0	0
73		NEWEDGE USA LLC	FCM BD	NYME	10/31/2013	1,805,021,476	1,047,371,479	757,649,997	14,431,423,820	13,835,649,980	595,773,840	3,725,291,151	3,322,176,307	403,114,844	0
74		NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	10/31/2013	1,795,832,591	48,181,884	1,747,650,707	74,228,936	62,901,119	11,327,817	5,233,905	1,640,082	3,593,823	0
75		OANDA CORPORATION	FCMRFD	NFA	10/31/2013	135,461,661	26,243,717	109,217,944	0	0	0	0	0	0	134,874,341
76	70	OPPENHEIMER & CO INC	FCM BD	NFA	10/31/2013	159,747,538	25,084,677	134,662,861	31,068,145	16,398,524	14,669,621	0	0	0	0
77	71	OPTIONSXPRESS INC	FCM BD	NFA	10/31/2013	104,140,846	6,545,648	97,595,198	121,470,969	90,953,691	30,517,278	3,551,658	977,652	2,574,006	0
78	72	PHILLIP FUTURES INC	FCM	CME	10/31/2013	28,190,114	20,000,000	8,190,114	153,582,261	133,552,675	20,029,586	6,829,081	2,451,789	4,377,292	0
79	73	PIONEER FUTURES INC	FCM	NFA	10/31/2013	2,366,634	1,000,000	1,366,634	0	0	0	0	0	0	0
80	74	RAND FINANCIAL SERVICES INC	FCM	CME	10/31/2013	79,245,597	25,833,909	53,411,688	353,310,400	310,096,000	43,214,400	42,039,400	19,456,700	22,582,700	0
81	75	RAYMOND JAMES & ASSOCIATES INC	FCM BD	NFA	10/31/2013	488,379,962	37,269,146	451,110,816	0	0	0	0	0	0	0
82	76	RBC CAPITAL MARKETS LLC	FCM BD	CME	10/31/2013	995,442,012	102,303,831	893,138,181	978,868,200	883,138,723	95,729,477	161,361,097	122,432,012	38,929,085	0
83	77	RBS SECURITIES INC	FCM BD	СВОТ	10/31/2013	4,364,923,253	139,568,784	4,225,354,469	1,744,889,863	1,591,987,724	152,902,139	169,508,505	51,134,965	118,373,540	0
84	78	RJ OBRIEN ASSOCIATES LLC	FCM	CME	10/31/2013	192,798,629	140,365,077	52,433,552	3,873,583,072	3,757,254,229	116,328,843	186,209,204	160,250,723	25,958,481	750,395
85	79	ROSENTHAL COLLINS GROUP LLC	FCM	CME	10/31/2013	77,458,766	58,622,013	18,836,753	1,465,340,210	1,441,993,475	23,346,735	38,973,782	28,905,322	10,068,460	0
86		SANFORD C BERNSTEIN & CO LLC	FCM BD	NFA	10/31/2013	173,525,327	18,318,458	155,206,869	0	0	0	0	0	0	0
87	81	SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	10/31/2013	123,767,679	9,948,415	113,819,264	703,657,926	701,356,540	2,301,386	0	0	0	0
88	82	STATE STREET GLOBAL MARKETS LLC	FCM BD	CME	10/31/2013	531,555,296	24,797,784	506,757,512	351,439,202	263,653,575	87,785,627	67,968,219	26,607,910	41,360,309	0
89		STRAITS FINANCIAL LLC	FCM	CME	10/31/2013	9,430,887	4,453,964	4,976,923	131,313,608	124,466,532	6,847,076	19,776,740	17,946,049	1,830,691	0
90	84	TD AMERITRADE INC	FCM BD	NFA	10/31/2013	338.846.507	10,449,699	328,396,808	158,876,999	125,013,628	33,863,371	0	0	0	0
91		TIMBER HILL LLC	FCM BD	CME	10/31/2013	547,215,189	55,693,683	491,521,506	763,442,401	760,950,103	2,492,298	0	0	0	0
92	86	TRADESTATION SECURITIES INC	FCM BD	NFA	10/31/2013	58,212,213	3,350,371	54,861,842	413,708,322	403,703,991	10,004,331	18,651,272	17,484,517	1,166,755	0
		TULLETT PREBON FINANCIAL SERVICES LLC	FCM BD	NFA	10/31/2013	29,239,177	1,000,000	28,239,177	0	0	0	0	0	0	0
94		UBS FINANCIAL SERVICES INC	FCM BD	NFA	10/31/2013	1,458,915,050	90,920,183	1,367,994,867	138,748,849	104,062,839	34,686,010	24,942,599	7,504,309	17,438,290	0
95		UBS SECURITIES LLC	FCM BD	CBOT	10/31/2013	9,199,462,734	952,434,684	8,247,028,050	8,782,926,559	8,125,315,172	657,611,387	4,707,694,791	4,274,826,663	432,868,128	0
96		VELOCITY FUTURES LLC	FCM	NFA	10/31/2013	1,093,805	1,000,000	93,805	0	0	0	0	0	0	0
97		VISION FINANCIAL MARKETS LLC	FCM BD	CME	10/31/2013	35,141,407	16,088,283	19,053,124	517,014,453	505,831,038	11,183,415	16,139,232	13,913,759	2,225,473	
98		WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	FCM BD	NFA	10/31/2013	38,057,380	1,000,000	37,057,380	0,511,100	0	0	0	0	0	0
99		WELLS FARGO ADVISORS LLC	FCM BD	NFA	10/31/2013	1,645,574,820	1,500,000	1,644,074,820	0	0	0	0	0	0	0
100		WELLS FARGO SECURITIES LLC	FCM BD	CME	10/31/2013	3,009,063,819	89,087,526	2,919,976,293	16,397,248	6,268,134	10,129,114	5,030,056	0	5,030,056	0
101		WHITE COMMERCIAL CORPORATION	FCM	NFA	10/31/2013	2,982,820	1,000,000	1,982,820	0	0,200,104	0	0,000,000	0	0,000,000	0
102		WHOTRADES FX LLC	FCM	NFA	10/31/2013	1,677,687	1,000,000	677,687	0	0	0	0	0	0	
103		XCHANGE FINANCIAL ACCESS LLC	FCM BD	NFA	10/31/2013	5,639,672	1,300,098	4,339,574	33,279,163	31,166,569	2,112,594	0	0	0	0
104		YORK BUSINESS ASSOCIATES LLC	FCM	NFA	10/31/2013	5,218,092	1,000,000	4,218,092	55,332,779	53,387,217	1,945,562	1,949,548	1,661,071	288,477	
105	33		. 0	1,	. 5,5 2515	3,210,002	.,000,000	.,210,002	23,002,170	55,007,217	1,010,002	1,010,040	.,001,071	200,177	
106															
107		Totals							157,418,201,544	146,039,826,008	11,378,375,536	41,111,780,305	36,337,092,355	4,774,687,950	632,653,149
108									101,110,201,044		11,010,010,000	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	00,00.,002,000	1,1.1-1,001,000	302,300,143
109		September Web Page Update	100	+ +											
110			100												
111		Additions	0	1											-
112		None	•								*				
113															
114		Deletions	2												
115		NATIXIS SECURITIES AMERICAS LLC	_												
				1											

	Α	В	С	D	Е	F	G	Н	I	J	K	L	M	N	0
	1		Reg As	DSRO	A/O	Adjusted	Net Capital	Excess	Customers'	Customers'	Excess/Deficient	Funds in Separate	Customer	Excess/Deficient	Total Amount
	2	Fotoma Occupiation Manchaut / Batall Foreign Foreign			Date	Net Capital	Requirement	Net Capital	Assets	Seg Required	Funds in Seg	Section 30.7	Amount Pt. 30	Funds in Separate	of Retail Forex
	3	Futures Commission Merchant / Retail Foreign Exchange Dealer							in Seg	4d(a)(2)		Accounts	Required	Section 30.7	Obligation
	4	Dealer												Accounts	
	5		(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
	3														
1	16	TRADELINK LLC													
1	17														
1	18	Name Changes													
1	19	None													
1:	19 20														
1:	21	October Web Page Update	98												

	Α	В	С	ТрТ	Е	F	G	Н	I	J	К	L	М	N	0
1			Reg As	DSRO	A/O	Adjusted	Net Capital	Excess	Customers'	Customers'	Excess/Deficient	Funds in Separate	Customer	Excess/Deficient	Total Amount
2		Futures Commission Merchant / Retail Foreign Exchange — Dealer	-		Date	Net Capital	Requirement	Net Capital	Assets	Seg Required	Funds in Seg	Section 30.7	Amount Pt. 30	Funds in Separate	of Retail Forex
3						•			in Seg	4d(a)(2)		Accounts	Required	Section 30.7	Obligation
4									J	() ()			•	Accounts	
5			(a)	(b)			(c)	(d)	(e)	(f)	(q)	(h)	(i)	(i)	(k)
6			()	(,			(-)	(/	(-)	(-)	(3)	(,	(-7	U/	(/
122															
123		(a): FCM: Futures Commission Merchant that is registere	d with the Co	mmodity F	- -utures Tradir	a Commission:									
124	BD: The FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer;														
125		RFED: Retail Foreign Exchange Dealer that is registe													
126		FCMRFD: The FCM is also registered with the Commodi					ange Dealer;								
127	27														
128	((b): DSRO: Designated Self-Regulatory Organization.													
129															
130	(c): A firm's net capital requirement is the greater of:														
131															
132	• FCM minimum dollar amount (\$1,000,000); or														
133		 risk based capital requirement, the sum of 8% of total custor 													
134															
135															
136		minimum dollar amount for FCM's offering or engaged in ret													
137		 minimum dollar amount for FCM's offering or engaged in ret 	tail forex trans	sactions a	nd RFEDs (\$2	0,000,000) plus five	percent of the FCM's	or RFED's total retai	I forex obligation in exc	ess of \$10,000,000.					
138															
139	- ((d): Excess net capital is adjusted net capital, less the firm's n	et capital req	uirement.											
140		(a) This are a sector that to take a second of a second or sector.	-l t l l	Lil Co		(- f f-) (F					
141 142		(e): This represents the total amount of money, securities, and	a property ne	ia in segre	gated accoun	ts for futures and opt	ions customers in cor	mpliance with Section	1 4d of the Commodity	Exchange Act.					
142		(f): This represents the total amount of funds that an FCM is re	aguirad ta aa	araaata ar	babalf of au	tamara wha ara tradi	na on o docianotod o	antraat markat ar dar	ivativas transportion av	acution facility. This is	a the our of all				
142		accounts that contain a net liquidating equity.	equired to se	gregate or	i benali di cus	tomers who are tradi	ng on a designated c	ontract market or der	ivatives transaction ex	ecution facility. This i	s the sum of all				
143 144		accounts that contain a net liquidating equity.													
145		(g): Excess/Deficient funds in segregation is customer assets	in segregation	n less the	customer se	areastion requiremen	ıt								
146		(y). Excessibendent funds in segregation is customer assets	iii segregatio	, icos liic	, customer se	grogation requiremen									
170	- 1	(h): This represents the total amount of money, securities, and	d property he	ld in secur	ed accounts f	or futures and ontion	s customers who trad	e on commodity excl	nanges located outside	the United States in	compliance with Part				
147		30 of the Commodity Exchange Act.	a property fie	.a /// 0000/	00 000001110 1	or rataroo and option	s actomore who had	o on commodity exci	iangoo iooaloa oalolao	the office offices in	compliance with all				
148															
149	- 1	(i): This represents the amount of funds an FCM is required to	set aside for	r customer	s who trade o	n commodity exchan	ges located outside o	f the United States							
150		(/					<u> </u>								
151	-	(j): Excess/Deficient funds in separate Section 30.7 accounts	is funds in se	parate Se	ction 30.7 acc	ounts, less the custo	mer amount Part 30 i	requirement.							
152		· · · · · · · · · · · · · · · · · · ·				·		•							
	- ((k): This represents the total amount of funds at an FCM, RFE	D, or FCMRI	FD that wo	uld be obtain	ed by combining all n	noney, securities and	property deposited b	y a retail forex custome	er into a retail forex ad	count or accounts,				
153		adjusted for the realized and unrealized net profit or loss.				-	-	• •			•				