

SELECTED FCM FINANCIAL DATA AS OF
November 30, 2013
FROM REPORTS FILED BY
January 2, 2014

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
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			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														Accounts	
5			(a)	(b)		(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	
6															
7	1	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	11/30/2013	469,759,082	124,221,045	345,538,037	2,295,997,186	2,066,800,455	229,196,731	158,658,987	118,005,289	40,653,698	0
8	2	ADM INVESTOR SERVICES INC	FCM	CBOT	11/30/2013	283,796,114	161,296,396	122,499,718	3,147,429,961	2,908,896,516	238,533,445	238,535,312	173,238,506	65,296,806	0
9	3	ADVANTAGE FUTURES LLC	FCM	CME	11/30/2013	21,393,034	11,819,528	9,573,506	487,747,037	475,103,978	12,643,059	39,084,487	36,828,994	2,255,493	0
10	4	ALPARI (US) LLC	FCMRFD	NFA	11/30/2013	4,864,347	1,000,000	3,864,347	2,909,573	445,403	2,464,170	1,969,235	130,245	1,838,990	0
11	5	AMERIPRISE FINANCIAL SERVICES INC	FCM BD	NFA	11/30/2013	87,564,690	1,000,000	86,564,690	0	0	0	0	0	0	0
12	6	AMP GLOBAL CLEARING LLC	FCM	NFA	11/30/2013	2,504,399	1,500,000	1,004,399	44,372,234	42,888,271	1,483,963	738,202	467,372	270,830	0
13	7	BARCLAYS CAPITAL INC	FCM BD	NYME	11/30/2013	5,904,654,061	1,366,349,940	4,538,304,121	6,895,688,854	6,620,481,608	275,207,246	4,221,452,126	4,003,075,360	218,376,766	0
14	8	BGC FINANCIAL LP	FCM BD	NFA	11/30/2013	56,174,806	1,000,000	55,174,806	0	0	0	0	0	0	0
15	9	BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME	11/30/2013	3,389,732,739	222,481,699	3,167,251,040	2,479,564,897	2,232,135,505	247,429,392	18,072,290	1,419,579	16,652,711	0
16	10	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	11/30/2013	1,369,334,533	191,039,625	1,178,294,908	1,216,079,526	998,969,085	217,110,441	6,000,000	0	6,000,000	0
17	11	BNY MELLON CLEARING LLC	FCM	CME	11/30/2013	285,299,947	20,000,000	265,299,947	224,580,273	128,771,477	95,808,796	25,264,268	5,706,018	19,558,250	0
18	12	BOCI COMMODITIES & FUTURES USA LLC	FCM	NFA	11/30/2013	4,409,757	1,000,000	3,409,757	0	0	0	0	0	0	0
19	13	CANTOR FITZGERALD & CO	FCM BD	CBOT	11/30/2013	227,006,774	5,158,393	221,848,381	6,280,787	1,311,176	4,969,611	0	0	0	0
20	14	CAPITAL MARKET SERVICES LLC	FCM	NFA	11/30/2013	1,524,528	1,000,000	524,528	0	0	0	0	0	0	0
21	15	CHS HEDGING INC	FCM	CBOT	11/30/2013	26,696,846	11,736,220	14,960,626	159,050,791	133,440,600	25,610,191	947,540	237,196	710,344	0
22	16	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT	11/30/2013	6,235,840,014	851,345,123	5,384,494,891	5,354,079,213	5,069,674,077	284,405,136	1,080,878,965	862,104,846	218,774,119	0
23	17	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	11/30/2013	8,174,251,298	2,161,096,284	6,013,155,014	8,803,776,304	7,753,724,438	1,050,051,866	3,639,855,974	2,950,300,940	689,555,034	0
24	18	CROSSLAND LLC	FCM	CBOT	11/30/2013	9,710,362	2,377,745	7,332,617	85,705,613	83,777,425	1,928,188	6,406,877	5,557,701	849,176	0
25	19	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	11/30/2013	2,854,435	1,756,030	1,098,405	74,436,213	73,237,518	1,198,695	531,122	349,130	181,992	0
26	20	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	11/30/2013	369,336,024	9,173,199	360,162,825	9,605,812	4,124,914	5,480,898	625,677	0	625,677	0
27	21	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	11/29/2013	7,466,299,718	693,233,652	6,773,066,066	13,830,627,787	13,285,455,806	545,171,981	1,382,668,740	1,053,196,616	329,472,124	0
28	22	DORMAN TRADING LLC	FCM	CME	11/30/2013	11,666,394	1,897,736	9,768,658	141,104,312	138,079,863	3,024,449	2,087,066	1,760,540	326,526	0
29	23	E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	11/30/2013	23,712,133	7,565,691	16,146,442	238,437,406	226,727,827	11,709,579	2,897,726	2,155,101	742,625	0
30	24	E TRADE CLEARING LLC	FCM BD	NFA	11/30/2013	716,362,979	141,649,031	574,713,948	50,693,774	39,656,504	11,037,270	1,555,342	553,076	1,002,266	0
31	25	EFL FUTURES LIMITED	FCM	CME	11/30/2013	36,412,166	15,322,691	21,089,475	239,497,362	226,565,320	12,932,042	0	0	0	0
32	26	FCSTONE LLC	FCM	CME	11/30/2013	111,382,483	68,931,574	42,450,909	1,629,748,967	1,605,900,450	23,848,517	72,262,796	57,475,904	14,786,892	0
33	27	FIXI AMERICAS LLC	FCM	NFA	11/30/2013	1,548,052	1,000,000	548,052	0	0	0	0	0	0	0
34	28	FOREX CAPITAL MARKETS LLC	FCMRFD SD	NFA	11/30/2013	56,257,002	27,176,296	29,080,706	0	0	0	0	0	0	153,525,920
35	29	FRIEDBERG MERCANTILE GROUP INC	FCM	NFA	11/30/2013	3,129,309	1,000,000	2,129,309	4,681,104	3,630,251	1,050,853	1,485,867	472,282	1,013,585	0
36	30	FRONTIER FUTURES INC	FCM	NFA	11/30/2013	1,895,199	1,000,000	895,199	26,492,238	25,700,930	791,308	0	0	0	0
37	31	FXDIRECTDEALER LLC	FCMRFD SD	NFA	11/30/2013	21,012,898	20,875,416	137,482	0	0	0	0	0	0	27,508,312
38	32	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	11/30/2013	41,523,231	24,661,190	16,862,041	146,411,383	140,164,945	6,246,438	5,318,025	4,358,561	959,464	103,223,805
39	33	GFI SECURITIES LLC	FCM BD	NFA	11/30/2013	14,103,028	1,000,000	13,103,028	0	0	0	0	0	0	0
40	34	GH FINANCIALS LLC	FCM	CME	11/30/2013	10,102,964	1,000,000	9,102,964	5,341,242	4,258,629	1,082,613	504,194	254,036	250,158	0
41	35	GLOBAL FUTURES & FOREX LTD	FCMRFD SD	NFA	11/30/2013	3,593,008	1,000,000	2,593,008	0	0	0	0	0	0	0
42	36	GOLDMAN SACHS & CO	FCM BD SD	CBOT	11/30/2013	15,375,609,515	2,107,083,028	13,268,526,487	20,632,521,433	20,066,145,788	566,375,645	9,160,591,291	8,586,671,525	573,919,766	0
43	37	GOLDMAN SACHS EXECUTION & CLEARING LP	FCM BD	CME	11/30/2013	1,420,586,620	152,444,741	1,268,141,879	1,438,779,372	861,893,156	576,886,216	70,032,458	24,481,505	45,550,953	0
44	38	GUGGENHEIM SECURITIES LLC	FCM BD	NFA	11/30/2013	65,487,865	1,252,685	64,235,180	0	0	0	0	0	0	0
45	39	HSBC SECURITIES USA INC	FCM BD	CME	11/30/2013	1,050,651,874	122,240,160	928,411,714	1,029,028,076	947,320,494	81,707,582	108,284,194	89,082,468	19,201,726	0
46	40	IBFX INC	RFED SD	NFA	11/30/2013	27,647,352	23,057,262	4,590,090	0	0	0	0	0	0	71,145,240
47	41	INSTINET LLC	FCM BD	NFA	11/30/2013	109,414,662	3,107,603	106,307,059	0	0	0	0	0	0	0
48	42	INSTITUTIONAL LIQUIDITY LLC	FCMRFD	NFA	11/30/2013	32,028,906	20,144,527	11,884,379	56,190,347	55,066,943	1,123,404	727,628	282,731	444,897	12,890,544
49	43	INTERACTIVE BROKERS LLC	FCM BD	NFA	11/30/2013	1,902,040,420	287,020,159	1,615,020,261	2,265,360,978	2,062,886,252	202,474,726	418,584,223	312,125,186	106,459,037	37,779,027
50	44	IRONBEAM INC	FCM	NFA	11/30/2013	2,170,303	1,000,000	1,170,303	38,956,993	37,642,842	1,314,151	111,343	4,231	107,112	0
51	45	ITG DERIVATIVES LLC	FCM BD	NFA	11/30/2013	5,194,285	1,000,000	4,194,285	0	0	0	0	0	0	0

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3								in Seg	4d(a)(2)		Accounts	Required	Section 30.7	Obligation	
4														Accounts	
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6															
52	46	JEFFERIES BACHE LLC	FCM	CBOT	11/30/2013	197,957,000	111,663,760	86,293,240	1,989,453,000	1,885,495,000	103,958,000	181,128,000	109,947,000	71,181,000	0
53	47	JP MORGAN CLEARING CORP	FCM BD	NFA	11/30/2013	6,787,217,054	1,898,370,098	4,888,846,956	958,714,670	670,320,125	288,394,545	606,828,461	399,266,420	207,562,041	0
54	48	JP MORGAN SECURITIES LLC	FCM BD SD	CEI	11/29/2013	11,876,000,047	2,088,609,991	9,787,390,056	18,698,182,950	16,793,794,231	1,904,388,719	3,900,953,996	3,482,486,910	418,467,086	0
55	49	KNIGHT CAPITAL AMERICAS LLC	FCM BD	CME	11/30/2013	320,052,127	24,331,971	295,720,156	519,224,466	502,896,959	16,327,507	11,447,581	8,219,577	3,228,004	37,716,873
56	50	LEK SECURITIES CORPORATION	FCM BD	NFA	11/30/2013	9,996,554	1,500,000	8,496,554	4,107,317	2,955,691	1,151,626	0	0	0	0
57	51	LINN GROUP THE	FCM	NFA	11/30/2013	3,621,648	1,959,115	1,662,533	82,265,144	78,450,482	3,814,662	350,043	2,393	347,650	0
58	52	LPL FINANCIAL LLC	FCM BD	NFA	11/30/2013	132,690,429	6,796,021	125,894,408	0	0	0	0	0	0	0
59	53	MACQUARIE FUTURES USA LLC	FCM	CBOT	11/30/2013	141,219,176	105,423,706	35,795,470	1,474,349,288	1,300,334,678	174,014,610	20,454,128	13,826,258	6,627,870	0
60	54	MAREX NORTH AMERICA LLC	FCM	CME	11/30/2013	12,117,881	7,817,317	4,300,564	104,157,067	97,428,679	6,728,388	10,365,334	9,306,742	1,058,592	0
61	55	MB TRADING FUTURES INC	RFED	NFA	11/30/2013	26,152,031	21,225,330	4,926,701	0	0	0	0	0	0	34,506,590
62	56	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	11/30/2013	13,697,481	3,091,643	10,605,838	801,821,921	780,359,126	21,462,795	2,417,861	0	2,417,861	0
63	57	MERRILL LYNCH PIERCE FENNER & SMITH	FCM BD	CBOT	11/30/2013	11,479,402,264	1,002,184,818	10,477,217,446	10,038,798,311	9,744,209,088	294,589,223	2,898,274,516	2,583,856,938	314,417,578	0
64	58	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	11/30/2013	2,054,051,078	364,587,795	1,689,463,283	1,664,033,925	857,135,663	806,898,262	28,836,454	837,317	27,999,137	0
65	59	MID CO COMMODITIES INC	FCM	NFA	11/30/2013	8,978,796	4,584,319	4,394,477	45,147,489	35,537,443	9,610,046	0	0	0	0
66	60	MITSUBISHI UFJ SECURITIES USA INC	FCM BD	NFA	11/29/2013	223,859,936	1,025,783	222,834,153	0	0	0	0	0	0	0
67	61	MITSUI BUSSAN COMMODITIES USA INC	FCM	NFA	11/30/2013	3,473,568	1,000,000	2,473,568	0	0	0	0	0	0	0
68	62	MIZUHO SECURITIES USA INC	FCM BD SD	CME	11/30/2013	427,015,266	194,100,197	232,915,069	2,160,004,032	1,969,518,269	190,485,763	505,608,191	414,089,174	91,519,017	0
69	63	MORGAN STANLEY & CO LLC	FCM BD SD	CME	11/30/2013	7,618,094,088	1,588,313,063	6,029,781,025	10,406,742,136	10,196,972,402	209,769,734	2,597,754,215	2,382,604,130	215,150,085	0
70	64	MORGAN STANLEY SMITH BARNEY LLC	FCM BD	NFA	11/30/2013	4,148,396,424	164,215,812	3,984,180,612	655,978,204	579,182,163	76,796,041	79,536,414	57,597,325	21,939,089	0
71	65	NEUBERGER BERMAN LLC	FCM BD	NFA	11/30/2013	105,917,375	1,500,000	104,417,375	0	0	0	0	0	0	0
72	66	NEWEDGE USA LLC	FCM BD SD	NYME	11/30/2013	1,813,220,334	1,016,608,544	796,611,790	14,083,043,204	13,516,322,621	566,720,583	3,740,521,518	3,369,301,755	371,219,763	0
73	67	NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	11/29/2013	1,663,863,011	50,296,128	1,613,566,883	66,082,394	52,044,155	14,038,239	22,785,879	14,492,754	8,293,125	0
74	68	OANDA CORPORATION	FCMRFD	NFA	11/30/2013	134,403,292	25,975,032	108,428,260	0	0	0	0	0	0	129,500,632
75	69	OPPENHEIMER & CO INC	FCM BD	NFA	11/30/2013	155,335,846	26,250,670	129,085,176	31,888,706	16,015,849	15,872,857	0	0	0	0
76	70	OPTIONSXPRESS INC	FCM BD	NFA	11/30/2013	108,882,367	6,420,130	102,462,237	112,434,988	89,702,173	22,732,815	2,071,321	989,724	1,081,597	0
77	71	PHILLIP FUTURES INC	FCM	CME	11/30/2013	27,709,108	20,000,000	7,709,108	169,030,105	148,193,849	20,836,256	9,509,139	5,306,824	4,202,315	0
78	72	RAND FINANCIAL SERVICES INC	FCM	CME	11/30/2013	78,967,235	21,945,361	57,021,874	347,291,200	307,312,100	39,979,100	39,269,000	18,265,000	21,004,000	0
79	73	RAYMOND JAMES & ASSOCIATES INC	FCM BD	NFA	11/30/2013	507,671,073	37,283,316	470,387,757	0	0	0	0	0	0	0
80	74	RBC CAPITAL MARKETS LLC	FCM BD	CME	11/29/2013	1,296,527,377	108,724,246	1,187,803,131	1,041,478,658	950,035,433	91,443,225	120,347,964	90,113,338	30,234,626	0
81	75	RBS SECURITIES INC	FCM BD	CBOT	11/30/2013	4,442,654,638	142,010,070	4,300,644,568	1,619,217,863	1,466,477,624	152,740,239	195,643,612	77,254,428	118,389,184	0
82	76	RJ OBRIEN ASSOCIATES LLC	FCM SD	CME	11/30/2013	199,747,345	140,287,907	59,459,438	3,767,273,045	3,650,525,369	116,747,676	198,273,130	173,851,469	24,421,661	801,410
83	77	ROSENTHAL COLLINS GROUP LLC	FCM	CME	11/30/2013	76,292,935	56,718,241	19,574,694	1,441,994,482	1,421,412,356	20,582,126	38,107,460	28,080,694	10,026,766	0
84	78	SANFORD C BERNSTEIN & CO LLC	FCM BD	NFA	11/30/2013	158,498,706	18,542,017	139,956,689	0	0	0	0	0	0	0
85	79	SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	11/30/2013	117,380,476	10,649,569	106,730,907	727,409,237	725,086,239	2,322,998	0	0	0	0
86	80	STATE STREET GLOBAL MARKETS LLC	FCM BD	CME	11/30/2013	515,258,211	26,947,854	488,310,357	389,711,157	287,791,992	101,919,165	72,915,635	31,450,402	41,465,233	0
87	81	STRAITS FINANCIAL LLC	FCM	CME	11/29/2013	8,617,089	4,674,886	3,942,203	127,590,744	120,964,291	6,626,453	28,732,799	27,451,191	1,281,608	0
88	82	TD AMERITRADE INC	FCM BD	NFA	11/29/2013	350,885,423	12,616,078	338,269,345	181,555,451	153,446,634	28,108,817	0	0	0	0
89	83	TIMBER HILL LLC	FCM BD	CME	11/30/2013	397,149,003	52,052,797	345,096,206	728,473,192	723,515,729	4,957,463	0	0	0	0
90	84	TRADESTATION SECURITIES INC	FCM BD	NFA	11/30/2013	56,180,832	3,102,617	53,078,215	414,110,162	403,622,203	10,487,959	19,010,796	17,852,537	1,158,259	0
91	85	TULLETT PREBON FINANCIAL SERVICES LLC	FCM BD	NFA	11/30/2013	26,325,952	1,000,000	25,325,952	0	0	0	0	0	0	0
92	86	UBS FINANCIAL SERVICES INC	FCM BD	NFA	11/30/2013	1,401,954,621	93,623,171	1,308,331,450	139,439,598	114,589,899	24,849,699	24,433,926	4,336,090	20,097,836	0
93	87	UBS SECURITIES LLC	FCM BD	CBOT	11/30/2013	9,574,641,020	906,011,624	8,668,629,396	8,904,161,560	8,236,175,949	667,985,611	4,395,929,840	3,929,998,628	465,931,212	0
94	88	VISION FINANCIAL MARKETS LLC	FCM BD	CME	11/30/2013	34,959,671	13,726,450	21,233,221	509,938,711	498,480,541	11,458,170	14,642,854	12,165,151	2,477,703	0
95	89	WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	FCM BD	NFA	11/30/2013	40,017,552	1,000,000	39,017,552	0	0	0	0	0	0	0
96	90	WELLS FARGO ADVISORS LLC	FCM BD	NFA	11/30/2013	1,686,634,904	1,500,000	1,685,134,904	0	0	0	0	0	0	0

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6																
120																
121		(a): FCM: Futures Commission Merchant that is registered with the Commodity Futures Trading Commission;														
122		BD: The FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer;														
123		RFED: Retail Foreign Exchange Dealer that is registered with the Commodity Futures Trading Commission;														
124		FCMRFD: The FCM is also registered with the Commodity Futures Trading Commission as a Retail Foreign Exchange Dealer;														
125																
126		(b): DSRO: Designated Self-Regulatory Organization.														
127																
128		(c): A firm's net capital requirement is the greater of:														
129																
130		• FCM minimum dollar amount (\$1,000,000); or														
131		• risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk maintenance margin; or														
132		• the amount of capital required by a registered futures association (currently NFA is the only such association); or														
133		• for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; or														
134		• minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000); or														
135		• 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.														
136																
137		(d): Excess net capital is adjusted net capital, less the firm's net capital requirement.														
138																
139		(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.														
140																
141		(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.														
142																
143		(g): Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.														
144																
145		(h): 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.														
146																
147		(i): 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.														
148																
149		(j): Excess/Deficient funds in separate Section 30.7 accounts is funds in separate Section 30.7 accounts, less the customer amount Part 30 requirement.														
150																
151		(k): 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.														