SELECTED FCM FINANCIAL DATA AS OF
April 30, 2017
FROM REPORTS FILED BY
May 23, 2017

	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)
3																					
4	1	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	04/30/2017	583,256,754	166,438,434	416,818,320	3,050,205,833	2,716,824,210	333,381,623	160,118,944	141,973,311	114,543,139	27,430,172	11,454,314	0	0	0	0	0
5	2	ADM INVESTOR SERVICES INC	FCM	CBOT	04/30/2017	306,061,996	183,208,457	122,853,539	4,723,587,390	4,491,266,238	232,321,152	120,000,000	427,257,532	369,275,554	57,981,978	20,000,000	12,028,386	2,729,991	9,298,395	8,000,000	0
6	3	ADVANTAGE FUTURES LLC	FCM	CME	04/30/2017	26,206,304	10,707,346	15,498,958	520,731,774	507,186,172	13,545,602	9,500,000	47,649,656	45,890,408	1,759,248	1,000,000	0	0	0	0	0
7	4	AMP GLOBAL CLEARING LLC	FCM	NFA	04/28/2017	2,734,578	1,500,000	1,234,578	53,649,325	50,759,536	2,889,789	900,000	1,917,928	1,579,146	338,782	150,000	0	0	0	0	0
8	5	APERTURE LLC	FCM BD	NFA	04/30/2017	29,759,526	1,000,000	28,759,526	6,511,521	4,240,203	2,271,318	600,000	0	0	0	0	0	0	0	0	0
9	6	APEX CLEARING CORPORATION	FCM BD	NFA	04/28/2017	128,524,689	20,132,684	108,392,005	0	0	0	0	0	0	0	0	0	0	0	0	0
10	7	BARCLAYS CAPITAL INC	FCM BD	NYME	04/30/2017	7,258,764,376	1,218,651,846	6,040,112,530	6,114,998,144	5,501,056,098	613,942,046	302,558,085	3,994,198,718	3,558,440,778	435,757,940	178,633,727	5,867,054,487	5,183,479,896	683,574,591	205,784,152	0
11	8	BGC FINANCIAL LP	FCM BD	NFA	04/30/2017	38,613,077	2,213,320	36,399,757	0	0	0	0	0	0	0	0	0	0	0	0	0
12	9	BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME	04/30/2017	1,498,803,628	181,748,938	1,317,054,690	2,106,098,860	1,917,576,120	188,522,740	150,000,000	34,437,308	23,571,548	10,865,760	7,500,000	21,873,420	12,227,937	9,645,483	7,500,000	0
13	10	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	04/30/2017	1,594,991,243	232,210,808	1,362,780,435	1,238,282,623	1,134,718,683	103,563,940	82,500,000	97,506,299	68,807,153	28,699,146	22,500,000	815,266,386	664,664,148	150,602,238	120,000,000	0
14	11	BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	04/30/2017	8,801,953	2,695,112	6,106,841	51,904,006	48,230,838	3,673,168	1,000,000	6	0	6	1	6	0	6	1	0
15	12	CANTOR FITZGERALD & CO	FCM BD	CBOT	04/30/2017	240,934,925	10,469,130	230,465,795	4,969,921	0	4,969,921	3,000,000	0	0	0	0	0	0	0	0	0
16	13	CHS HEDGING LLC	FCM	CBOT	04/30/2017	38,417,850	7,310,448	31,107,402	171,401,945	113,002,434	58,399,511	13,100,000	1,674,784	146,793	1,527,991	545,000	503,912	0	503,912	310,000	0
17	14	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	04/30/2017	10,386,715,763	2,041,963,034	8,344,752,729	8,353,536,183	7,912,752,039	440,784,144	311,300,000	2,079,429,352	1,770,866,788	308,562,564	150,000,000	18,112,282,612	17,699,182,260	413,100,352	304,875,000	0
18	15	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	04/30/2017	8,506,279,222	1,599,834,813	6,906,444,409	7,165,714,500	6,777,549,736	388,164,764	338,877,487	3,260,983,877	3,061,043,294	199,940,583	153,052,165	13,708,993,847	12,653,583,473	1,055,410,374	632,679,174	0
19	16	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	04/30/2017	5,180,523	1,182,089	3,998,434	67,134,795	63,252,496	3,882,299	3,050,000	166,297	5,596	160,701	50,000	0	0	0	0	0
20	17	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	04/30/2017	626,503,774	9,432,646	617,071,128	2,168,354	0	2,168,354	1	554,311	0	554,311	1	0	0	0	0	0
21	18	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	04/30/2017	12,673,512,325	582,111,371	12,091,400,954	3,389,805,000	3,192,914,557	196,890,443	125,000,000	799,659,073	671,200,100	128,458,973	75,000,000	400,162,853	248,016,492	152,146,361	100,000,000	0
22	19	DORMAN TRADING LLC	FCM	CME	04/30/2017	11,397,389	1,948,005	9,449,384	170,833,326	167,045,926	3,787,400	2,000,000	3,856,840	3,065,377	791,463	200,000	0	0	0	0	0
23	20	E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	04/30/2017	125,388,223	68,083,716	57,304,507	1,711,661,987	1,646,117,169	65,544,818	35,000,000	47,594,631	39,847,646	7,746,985	5,000,000	2,909,022	1,768,284	1,140,738	500,000	0
24	21	E TRADE SECURITIES LLC	FCM BD	NFA	04/30/2017	981,707,500	169,634,087	812,073,413	74,552,955	56,195,191	18,357,764	10,000,000	1,000,000	0	1,000,000	1,000,000	0	0	0	0	0
25	22	EFL FUTURES LIMITED	FCM	CME	04/30/2017	40,427,429	18,345,501	22,081,928	235,789,767	222,133,004	13,656,763	5,000,000	0	0	0	0	0	0	0	0	0
26	23	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	04/30/2017	44,704,381	33,593,554	11,110,827	216,157,438	204,300,505	11,856,933	10,000,000	4,811,441	2,896,745	1,914,696	1,000,000	0	0	0	0	265,090,368
27	24	GH FINANCIALS LLC	FCM	CME	04/30/2017	21,764,542	6,212,364	15,552,178	118,653,371	107,344,181	11,309,190	6,000,000	2,901,937	1,819,679	1,082,258	550,000	0	0	0	0	0
28	25	GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	04/30/2017	17,426,945,040	2,525,145,801	14,901,799,239	24,143,493,519	23,105,098,547	1,038,394,972	875,000,000	12,478,305,858	11,674,464,818	803,841,040	475,000,000	4,612,124,623	4,120,762,022	491,362,601	350,000,000	0
29	26	HSBC SECURITIES USA INC	FCM BD	CME	04/30/2017	1,040,260,700	249,840,692	790,420,008	1,374,712,375	1,292,342,545	82,369,830	70,000,000	194,290,949	156,967,217	37,323,732	25,000,000	1,310,332,672	1,188,409,338	121,923,334	100,000,000	0
30	27	INTERACTIVE BROKERS LLC	FCM BD	CME	04/28/2017	3,414,107,872	333,364,937	3,080,742,935	3,575,272,208	3,368,238,964	207,033,244	155,000,000	452,993,160	320,810,461	132,182,699	80,000,000	0	0	0	0	32,508,933
31	28	INTL FCSTONE FINANCIAL INC	FCM BD	CME	04/30/2017	151,668,440	73,461,102	78,207,338	2,023,553,097	1,972,786,197	50,766,900	35,000,000	136,611,495	120,325,679	16,285,816	8,000,000	0	0	0	0	0
32	29	IRONBEAM INC	FCM	NFA	04/30/2017	3,669,643	1,247,874	2,421,769	73,128,661	71,799,717	1,328,944	800,000	679,072	428,428	250,644	50,000	0	0	0	0	0
33	30	JEFFERIES LLC	FCM BD	NFA	04/30/2017	1,466,696,644	82,943,957	1,383,752,687	0	0	0	0	0	0	0	0	0	0	0	0	0
34	31	JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	04/30/2017	13,942,190,549	2,910,737,716	11,031,452,833	18,880,993,864	17,347,994,081	1,532,999,783	954,139,675	4,922,911,045	4,450,383,095	472,527,950	378,282,563	11,889,697,513	10,963,208,616	926,488,897	685,200,539	0
35	32	MACQUARIE FUTURES USA LLC	FCM	CBOT	04/28/2017	280,728,389	141,233,204	139,495,185	2,001,978,678	1,790,248,420	211,730,258	100,000,000	41,785,245	22,233,284	19,551,961	7,000,000	28,506,234	9,763,218	18,743,016	1,000,000	0
36	33	MAREX NORTH AMERICA LLC	FCM	CME	04/30/2017	31,706,275	16,847,186	14,859,089	210,728,549	207,339,147	3,389,402	2,800,000	58,553,647	57,523,839	1,029,808	500,000	0	0	0	0	0
37	34	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	04/30/2017	13,224,331	2,227,475	10,996,856	748,833,828	727,178,239	21,655,589	18,000,000	2,417,861	0	2,417,861	1,000,000	0	0	0	0	0
38	35	MERRILL LYNCH PIERCE FENNER & SMITH INCORPORATED	FCM BD	CBOT	04/30/2017	11,718,779,590	1,724,148,836	9,994,630,754	14,469,399,408	14,159,278,931	310,120,477	200,000,000	4,382,206,282	4,130,866,353	251,339,929	150,000,000	5,468,802,311	5,096,013,567	372,788,744	150,000,000	0
39	36	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	04/30/2017	3,353,977,737	572,768,621	2,781,209,116	1,829,833,982	1,206,815,350	623,018,632	300,000,000	0	0	0	0	0	0	0	0	0
40	37	MID CO COMMODITIES INC	FCM	NFA	04/30/2017	8,457,281	2,447,611	6,009,670	33,431,849	24,336,597	9,095,252	5,138,000	0	0	0	0	0	0	0	0	0
41	38	MINT BROKERS	FCM BD	NFA	04/30/2017	5,015,062	1,000,000	4,015,062	0	0	0	0	0	0	0	0	0	0	0	0	0
42	39	MIZUHO SECURITIES USA LLC	FCM BD SD	CME/NFA	04/30/2017	695,286,950	222,930,346	472,356,604	2,628,892,079	2,426,953,627	201,938,452	125,000,000	704,326,322	578,559,026	125,767,296	70,000,000	39,866,554	9,386,299	30,480,255	15,000,000	0
43	40	MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	04/30/2017	10,223,460,748	2,172,173,470	8,051,287,278	15,971,607,443	15,702,097,207	269,510,236	210,000,000	4,792,856,444	4,585,996,028	206,860,416	160,000,000	12,801,293,732	12,683,715,076	117,578,656	92,000,000	0
44	41	MUFG SECURITIES AMERICAS INC	FCM BD	NFA	04/30/2017	373,830,893	1,674,527	372,156,366	0	0	0	0	0	0	0	0	0	0	0	0	0
45	42	NANHUA USA LLC	FCM	CME	04/28/2017	18,141,481	3,994,426	14,147,055	91,202,453	79,214,158	11,988,295	3,500,000	0	0	0	0	0	0	0	0	0
46	43	NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	04/30/2017	2,321,814,287	74,260,063	2,247,554,224	297,425,216	194,927,574	102,497,642	15,000,000	17,390,194	39,335	17,350,859	1,000,000	0	0	0	0	0
47	44	OANDA CORPORATION	FCMRFD	NFA	04/30/2017	68,835,650	52,417,393	16,418,257	0	0	0	0	0	0	0	0	0	0	0	0	169,812,664
48	45	OPTIONSXPRESS INC	FCM BD	NFA	04/30/2017	285,681,726	7,248,945	278,432,781	126,281,636	84,834,010	41,447,626	12,725,102	2,380,040	890,412	1,489,628	133,562	0	0	0	0	0
49	46	PHILLIP CAPITAL INC	FCM BD	CME	04/30/2017	30,800,623	13,529,241	17,271,382	193,256,290	179,501,292	13,754,998	8,975,065	43,855,893	37,549,369	6,306,524	1,877,468	0	0	0	0	0
50	47	PICTET OVERSEAS INC	FCM BD	NFA	04/30/2017	18,619,954	1,000,000	17,619,954	0	0	0	0	0	0	0	0	0	0	0	0	0
51	48	RAND FINANCIAL SERVICES INC	FCM	CME	04/30/2017	84,738,008	16,927,275	67,810,733	222,902,300	180,160,500	42,741,800	5,404,800	52,462,000	28,932,000	23,530,000	868,000	0	0	0	0	0
52	49	RBC CAPITAL MARKETS LLC	FCM BD	CME	04/28/2017	2,034,366,274	250,737,872	1,783,628,402	2,702,621,833	2,447,118,109	255,503,724	160,000,000	307,822,709	266,173,507	41,649,202	20,000,000	868,875,211	611,195,285	257,679,926	80,000,000	0
53	50	RBS SECURITIES INC	FCM BD	CBOT	04/30/2017	1,002,131,423	54,280,956	947,850,467	945,203,373	745,403,359	199,800,014	125,000,000	141,740,958	15,362,982	126,377,976	100,000,000	0	0	0	0	0
54	51	RJ OBRIEN ASSOCIATES LLC	FCM SD	CME/NFA	04/30/2017	204,657,680	150,238,827	54,418,853	3,828,837,000	3,730,880,557	97,956,443	50,000,000	228,307,408	204,893,624	23,413,784	20,000,000	0	0	0	0	0
55	52	ROSENTHAL COLLINS GROUP LLC	FCM	CME	04/30/2017	72,762,521	48,997,728	23,764,793	1,178,640,942	1,152,208,522	26,432,420	18,000,000	32,923,515	21,917,140	11,006,375	8,000,000	0	0	0	0	0
56	53	SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	04/30/2017	175,299,325	21,809,520	153,489,805	648,509,160	638,257,260	10,251,900	8,000,000	0	0	0	0	0	0	0	0	0
57	54	SCOTIA CAPITAL USA INC	FCM BD	CME	04/30/2017	740,075,896	49,477,839	690,598,057	0	0	0	0	0	0	0	0	0	0	0	0	0
58	55	SG AMERICAS SECURITIES LLC	FCM BD	CME	04/30/2017	4,120,054,589	1,242,099,626	2,877,954,963	14,558,255,149	13,543,866,879	1,014,388,270	500,000,000	5,029,713,521	4,295,956,064	733,757,457	255,000,000	571,667,411	326,190,488	245,476,923	75,000,000	0
59	56	STRAITS FINANCIAL LLC	FCM	CME	04/30/2017	19,575,657	7,985,492	11,590,165	226,123,525	213,893,722	12,229,803	2,000,000	30,783,881	24,867,023	5,916,858	300,000	0	0	0	0	0
60	57	TD AMERITRADE FUTURES & FOREX LLC	FCM	NFA	04/30/2017	69,931,348	22,367,296	47,564,052	319,080,640	255,951,791	63,128,849	25,000,000	0	0	0	0	0	0	0	0	57,345,923
61	58	TRADESTATION SECURITIES INC	FCM BD	CME	04/30/2017	74,924,255	3,802,382	71,121,873	547,137,495	534,637,698	12,499,797	9,000,000	25,329,817	23,592,929	1,736,888	800,000	0	0	0	0	0
62	59	UBS FINANCIAL SERVICES INC	FCM BD	NFA	04/28/2017	1,264,712,996	121,786,529	1,142,926,467	126,564,517	92,263,561	34,300,956	22,000,000	39,986,828	13,096,870	26,889,958	15,000,000	0	0	0	0	0
63	60	UBS SECURITIES LLC	FCM BD	CBOT	04/30/2017	4,690,544,265	894,926,129	3,795,618,136	8,073,947,073	7,572,209,208	501,737,865	425,000,000	4,776,886,285	4,402,444,718	374,441,567	300,000,000	977,366,551	705,294,130	272,072,421	200,000,000	0
64	61	UOBBF CLEARING LIMITED	FCM	CME	04/30/2017	25,936,425	4,710,161	21,226,264	96,604,099	73,420,731	23,183,368	2,000,000	0	0	0	0	0	0	0	0	0
65	62	WEDBUSH SECURITIES INC	FCM BD	CBOT	04/30/2017	163,300,820	32,539,033	130,761,787	1,516,339,478	1,499,132,135	17,207,343	13,000,000	23,224,225	19,967,318	3,256,907	1,000,000	0	0	0	0	0
66	63	WELLS FARGO SECURITIES LLC	FCM BD	CME	04/30/2017	4,396,366,579	865,426,691	3,530,939,888	4,126,595,167	3,773,592,592	353,002,575	225,000,000	364,907,182	273,941,778	90,965,404	20,000,000	7,365,669,320	6,681,612,192	684,057,128	575,000,000	0
67	64	YORK BUSINESS ASSOCIATES LLC	FCM	NFA	04/30/2017	4,668,958	1,000,000	3,668,958	42,485,462	38,258,166	4,227,296	2,000,000	2,546,837	2,106,155	440,682	200,000	0	0	0	0	0
68																					
69		**Totals**							**167,382,221,366**	**157,266,704,729**	**10,115,516,637**	**6,371,987,159**	**50,235,771,974**	**45,463,289,196**	**4,772,482,778**	**2,726,646,801**	**84,875,277,063**	**78,861,202,712**	**6,014,074,351**	**3,702,848,866**	**524,757,888**
70																					
71		**March Web Page Update**	**64**																		
72																					
73		**Additions**	**0**																		
74		None																			
75																					
76		**Deletions**	**0**																		
77		None																			
78																					
79		**Name Changes**																			
80		Mizuho Securities USA Inc to Mizuho Securities USA LLC																			
81																					
82																					
83		**April Web Page Update**	**64**																		

(a): FCM: Futures Commission Merchant that is registered with the Commodity Futures Trading Commission.

BD: The FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer.

RFED: Retail Foreign Exchange Dealer that is registered with the Commodity Futures Trading Commission.

FCMRFD: The FCM is also registered with the Commodity Futures Trading Commission as a Retail Foreign Exchange Dealer.

SD: The FCM or RFED is also registered with the Commodity Futures Trading Commission as a provisionally registered swap dealer.

(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.

(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 risk maintenance margin and 8% of total non-customer risk maintenance margin; or
- the amount of capital required by a registered futures association (currently NFA is the only such association); or
- for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; or
- minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs ($20,000,000); or
- 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.

(d): Excess net capital is adjusted net capital, less the firm's net capital requirement.

(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.

(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.

(g): Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.

(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.

(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.

(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.

(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.

(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.

(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.

(n): This represents the amount of funds an FCM is required to segregate for customers who trade cleared swaps.

(o): Excess/Deficient funds in cleared swap customer accounts is funds in separate cleared swap segregation accounts, less the cleared swap customer segregation requirement.

(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.

(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.