

SELECTED FCM FINANCIAL DATA AS OF
November 30, 2012
FROM REPORTS FILED BY
January 02, 2013

	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 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			(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
5															
6															
7	1	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	11/30/2012	325,764,974	142,637,146	183,127,828	2,873,583,215	2,717,627,809	155,955,406	136,712,163	105,118,801	31,593,362	0
8	2	ADM INVESTOR SERVICES INC	FCM	CBOT	11/30/2012	303,497,365	161,114,560	142,382,805	3,245,770,215	2,997,049,367	248,720,848	192,943,542	131,101,645	61,841,897	0
9	3	ADVANCED MARKETS LLC	FCMRFD	NFA	11/30/2012	20,206,127	20,000,000	206,127	0	0	0	0	0	0	0
10	4	ADVANTAGE FUTURES LLC	FCM	CME	11/30/2012	23,023,146	12,029,108	10,994,038	535,675,294	524,373,727	11,301,567	29,457,577	27,240,495	2,217,082	0
11	5	ALPARI (US) LLC	FCMRFD	NFA	11/30/2012	25,576,917	20,292,637	5,284,280	4,443,968	2,308,117	2,135,851	861,958	450,409	411,549	15,852,743
12	6	AMERIPRISE FINANCIAL SERVICES INC	FCM BD	NFA	11/30/2012	92,927,315	1,000,000	91,927,315	0	0	0	0	0	0	0
13	7	AMP GLOBAL CLEARING LLC	FCM	NFA	11/30/2012	2,554,075	1,500,000	1,054,075	38,895,127	37,400,175	1,494,952	622,903	380,682	242,221	0
14	8	BARCLAYS CAPITAL INC	FCM BD	NYME	11/30/2012	5,955,668,939	1,026,972,267	4,928,696,672	6,425,277,068	6,204,809,736	220,467,332	3,131,472,451	2,964,946,241	166,526,210	0
15	9	BGC FINANCIAL LP	FCM BD	NFA	11/30/2012	54,654,298	1,002,509	53,651,789	0	0	0	0	0	0	0
16	10	BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME	11/30/2012	2,229,083,903	269,391,118	1,959,692,785	2,228,304,326	2,016,208,869	212,095,457	16,043,723	5,129,217	10,914,506	0
17	11	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	11/30/2012	1,821,300,040	100,118,364	1,721,181,676	581,690,672	482,553,499	99,137,173	0	0	0	0
18	12	BNY MELLON CLEARING LLC	FCM	CME	11/30/2012	293,322,027	8,953,080	284,368,947	315,338,211	129,545,475	185,792,736	31,373,120	13,514,443	17,858,677	0
19	13	BOCI COMMODITIES & FUTURES USA LLC	FCM	NFA	11/30/2012	4,975,141	1,000,000	3,975,141	0	0	0	0	0	0	0
20	14	CANTOR FITZGERALD & CO	FCM BD	CBOT	11/30/2012	253,886,699	6,436,203	247,450,496	6,185,064	1,227,028	4,958,036	0	0	0	0
21	15	CAPITAL MARKET SERVICES LLC	FCM	NFA	11/30/2012	1,408,343	1,000,000	408,343	0	0	0	0	0	0	0
22	16	CHS HEDGING INC	FCM	NFA	11/30/2012	24,518,121	17,304,495	7,213,626	262,989,140	237,925,001	25,064,139	1,985,981	1,081,091	904,890	0
23	17	CIBC WORLD MARKETS CORP	FCM BD	CME	11/30/2012	537,068,355	1,500,000	535,568,355	0	0	0	0	0	0	0
24	18	CITADEL SECURITIES LLC	FCM BD	CME	11/30/2012	418,854,026	1,000,000	417,854,026	0	0	0	0	0	0	0
25	19	CITIGROUP GLOBAL MARKETS INC	FCM BD	CBOT	11/30/2012	7,078,493,676	611,408,527	6,467,085,149	8,435,199,287	8,157,160,859	278,038,428	1,111,131,160	883,898,668	227,232,492	0
26	20	COMMONWEALTH FOREIGN EXCHANGE INC	FCM	NFA	11/30/2012	1,234,285	1,000,000	234,285	0	0	0	0	0	0	0
27	21	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	11/30/2012	8,131,002,017	1,500,077,277	6,630,924,740	7,577,439,347	6,567,351,971	1,010,087,376	2,553,178,919	1,964,799,586	588,379,333	0
28	22	CROSSLAND LLC	FCM	CBOT	11/30/2012	7,505,031	2,211,302	5,293,729	71,632,836	69,425,335	2,207,501	12,354,065	10,994,555	1,359,510	0
29	23	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	11/30/2012	2,760,248	1,500,000	1,260,248	78,313,181	77,394,656	918,525	412,611	302,630	109,981	0
30	24	CX CAPITAL MARKETS LLC	FCM BD	NFA	11/30/2012	3,308,155	1,000,000	2,308,155	37,906,155	35,699,766	2,206,389	0	0	0	0
31	25	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	11/30/2012	290,532,971	4,862,308	285,670,663	9,737,954	5,065,051	4,672,903	1,047,248	0	1,047,248	0
32	26	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	11/30/2012	8,221,331,905	715,555,792	7,505,776,113	15,468,590,079	14,876,791,368	591,798,711	1,357,680,619	1,180,274,320	177,406,299	0
33	27	DORMAN TRADING LLC	FCM	CME	11/30/2012	9,531,873	1,896,171	7,635,702	141,146,451	138,630,044	2,516,407	2,402,686	1,739,543	663,143	0
34	28	E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	11/30/2012	20,323,328	1,000,000	19,323,328	14,429,649	8,905,637	5,524,012	0	0	0	0
35	29	EAGLE MARKET MAKERS INC	FCM	CBOT	11/30/2012	5,856,545	1,000,000	4,856,545	767,429	246,336	521,093	0	0	0	0
36	30	EASY FOREX US LTD	FCM	NFA	11/30/2012	1,465,682	1,000,000	465,682	0	0	0	0	0	0	0
37	31	ENSKILDA FUTURES LTD	FCM	CME	11/30/2012	39,242,611	12,601,224	26,641,387	232,790,366	224,536,529	8,253,837	0	0	0	0
38	32	FCSTONE LLC	FCM	CME	11/30/2012	114,951,251	76,575,765	38,375,486	1,641,151,062	1,612,928,195	28,222,867	66,150,800	54,716,544	11,434,256	0
39	33	FOREX CAPITAL MARKETS LLC	FCMRFD	NFA	11/30/2012	57,462,879	27,537,424	29,925,455	0	0	0	0	0	0	160,748,487
40	34	FRIEDBERG MERCANTILE GROUP INC	FCM	NFA	11/30/2012	3,597,240	1,000,000	2,597,240	10,487,664	9,895,762	591,902	409,787	353,587	56,200	0
41	35	FRONTIER FUTURES INC	FCM	NFA	11/30/2012	1,956,229	1,029,368	926,861	33,131,533	32,329,368	802,165	0	0	0	0
42	36	FX SOLUTIONS LLC	FCMRFD	NFA	11/30/2012	24,896,737	20,297,392	4,599,345	0	0	0	0	0	0	15,947,847
43	37	FXDIRECTDEALER LLC	FCMRFD	NFA	11/30/2012	17,382,012	21,081,545	(3,699,533)	0	0	0	0	0	0	31,630,903
44	38	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	11/30/2012	34,745,690	24,420,802	10,324,888	0	0	0	0	0	0	98,416,039
45	39	GH FINANCIALS LLC	FCM	CME	11/30/2012	8,460,011	1,000,000	7,460,011	1,067,873	654,982	412,891	0	0	0	0
46	40	GLOBAL FUTURES & FOREX LTD	FCMRFD	NFA	11/30/2012	8,026,986	23,572,680	(15,545,694)	0	0	0	0	0	0	81,453,596
47	41	GOLDMAN SACHS & CO	FCM BD	CBOT	11/30/2012	13,657,672,599	1,712,678,551	11,944,994,048	19,462,434,389	18,944,697,538	517,736,851	8,130,381,356	7,594,258,644	536,122,712	0
48	42	GOLDMAN SACHS EXECUTION & CLEARING LP	FCM BD	CME	11/30/2012	2,052,952,536	103,167,662	1,949,784,874	1,317,913,375	729,834,159	588,079,216	61,289,799	16,266,661	45,023,138	0
49	43	GUGGENHEIM SECURITIES LLC	FCM BD	NFA	11/30/2012	71,166,574	1,059,420	70,107,154	0	0	0	0	0	0	0
50	44	HSBC SECURITIES USA INC	FCM BD	CME	11/30/2012	1,139,447,649	138,588,703	1,000,858,946	1,020,013,285	946,635,843	73,377,442	116,404,079	94,245,171	22,158,908	0
51	45	IBFX INC	RFED	NFA	11/30/2012	26,765,173	23,307,673	3,457,500	0	0	0	0	0	0	76,153,453
52	46	IKON GLOBAL MARKETS INC	FCM	NFA	11/30/2012	11,848,894	1,000,000	10,848,894	1,533,063	370,988	1,162,075	0	0	0	0
53	47	INSTINET LLC	FCM BD	NFA	11/30/2012	99,138,955	1,000,000	98,138,955	0	0	0	0	0	0	0

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54	48	INSTITUTIONAL LIQUIDITY LLC	FCMRFD	NFA	11/30/2012	20,286,725	20,222,122	64,603	0	0	0	0	0	0	14,442,430	
55	49	INTEGRATED BROKERAGE SERVICES LLC	FCM	NFA	11/30/2012	79,873	1,000,000	(920,127)	0	0	0	0	0	0	0	
56	50	INTERACTIVE BROKERS LLC	FCM BD	NFA	11/30/2012	1,653,816,271	220,123,429	1,433,692,842	2,009,903,425	1,815,808,860	194,094,565	553,880,331	437,596,422	116,283,909	32,558,029	
57	51	IRONBEAM INC	FCM	NFA	11/30/2012	2,419,127	1,185,541	1,233,586	49,914,695	48,605,845	1,308,850	110,519	3,193	107,326	0	
58	52	ITG DERIVATIVES LLC	FCM BD	NFA	11/30/2012	4,609,566	1,000,000	3,609,566	0	0	0	0	0	0	0	
59	53	JEFFERIES BACHE LLC	FCM	CBOT	11/30/2012	252,281,000	167,040,000	85,241,000	2,833,442,000	2,721,641,000	111,801,000	262,622,000	196,702,000	65,920,000	0	
60	54	JP MORGAN CLEARING CORP	FCM BD	NFA	11/30/2012	6,996,209,283	1,685,344,151	5,310,865,132	990,846,866	729,805,809	261,041,057	529,703,213	323,027,035	206,676,178	0	
61	55	JP MORGAN SECURITIES LLC	FCM BD	CEI	11/30/2012	12,877,315,779	1,598,320,946	11,278,994,833	19,936,632,507	17,886,019,785	2,050,612,722	3,188,000,748	2,858,262,936	329,737,812	0	
62	56	KNIGHT CAPITAL AMERICAS LLC	FCM BD	CME	11/30/2012	286,578,740	20,668,035	265,910,705	419,358,550	402,097,927	17,260,623	11,921,133	8,033,597	3,887,536	23,360,697	
63	57	LEK SECURITIES CORPORATION	FCM BD	NFA	11/30/2012	10,556,929	1,500,000	9,056,929	7,778,017	5,249,024	2,528,993	0	0	0	0	
64	58	LINN GROUP THE	FCM	NFA	11/30/2012	3,580,239	1,956,629	1,623,610	79,964,212	76,336,590	3,627,622	364,689	157,282	207,407	0	
65	59	LIQUID FUTURES LLC	FCM	NFA	11/30/2012	1,639,091	1,045,000	594,091	0	0	0	0	0	0	0	
66	60	LPL FINANCIAL LLC	FCM BD	NFA	11/30/2012	107,029,992	6,984,420	100,045,572	0	0	0	0	0	0	0	
67	61	MACQUARIE FUTURES USA LLC	FCM	CBOT	11/30/2012	92,745,988	78,395,945	14,350,043	1,072,773,011	975,309,405	97,463,606	45,455,728	31,477,401	13,978,327	0	
68	62	MAREX NORTH AMERICA LLC	FCM	CME	11/30/2012	10,780,117	6,363,280	4,416,837	80,759,648	75,775,819	4,983,829	4,428,598	4,031,548	397,050	0	
69	63	MAREX USA LIMITED	FCM	NFA	11/30/2012	2,777,765	1,000,000	1,777,765	0	0	0	0	0	0	0	
70	64	MB TRADING FUTURES INC	FCMRFD	NFA	11/30/2012	23,023,172	21,271,147	1,752,025	0	0	0	0	0	0	35,422,946	
71	65	MBF CLEARING CORP	FCM	NFA	11/30/2012	1,623,543	1,000,000	623,543	0	0	0	0	0	0	0	
72	66	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	11/30/2012	13,949,866	2,984,388	10,965,478	944,902,105	924,253,628	20,648,477	5,622,292	3,616,126	2,006,166	0	
73	67	MERRILL LYNCH PIERCE FENNER & SMITH	FCM BD	CBOT	11/30/2012	10,839,931,383	722,851,030	10,117,080,353	8,160,850,158	7,624,105,477	536,744,681	2,239,619,857	1,889,190,828	350,429,029	0	
74	68	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	11/30/2012	1,854,021,090	205,201,724	1,648,819,366	1,459,920,813	868,920,247	591,000,566	29,681,853	1,675,280	28,006,573	0	
75	69	MID CO COMMODITIES INC	FCM	NFA	11/30/2012	9,495,544	6,483,171	3,012,373	62,695,947	53,477,542	9,218,405	829,540	257,105	572,435	0	
76	70	MITSUBISHI UFJ SECURITIES USA INC	FCM BD	NFA	11/30/2012	223,490,851	1,359,069	222,131,782	0	0	0	0	0	0	0	
77	71	MITSUI BUSSAN COMMODITIES USA INC	FCM	NFA	11/30/2012	3,315,359	1,000,000	2,315,359	0	0	0	0	0	0	0	
78	72	MIZUHO SECURITIES USA INC	FCM BD	CME	11/30/2012	471,448,962	174,993,018	296,455,944	1,824,030,472	1,621,231,537	202,798,935	448,187,705	338,690,190	109,497,515	0	
79	73	MORGAN KEEGAN & COMPANY INC	FCM BD	NFA	11/30/2012	260,219,655	6,748,318	253,471,337	0	0	0	0	0	0	0	
80	74	MORGAN STANLEY & CO LLC	FCM BD	CME	11/30/2012	8,597,858,762	1,351,526,538	7,246,332,224	7,255,344,645	7,146,394,103	108,950,542	1,755,360,943	1,648,893,380	106,467,563	0	
81	75	MORGAN STANLEY SMITH BARNEY LLC	FCM BD	NFA	11/30/2012	2,608,609,586	133,361,070	2,475,248,516	724,565,289	683,967,751	40,597,538	88,088,245	82,105,841	5,982,404	0	
82	76	NATIXIS SECURITIES AMERICAS LLC	FCM BD	NFA	11/30/2012	364,202,479	1,868,153	362,334,326	0	0	0	0	0	0	0	
83	77	NEUBERGER BERMAN LLC	FCM BD	NFA	11/30/2012	46,558,185	1,500,000	45,058,185	0	0	0	0	0	0	0	
84	78	NEWEDGE USA LLC	FCM BD	NYME	11/30/2012	1,919,698,287	1,158,922,391	760,775,896	16,906,169,775	16,312,998,420	593,171,355	4,391,039,098	3,990,091,265	400,947,833	0	
85	79	NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	11/30/2012	2,562,481,330	36,184,722	2,526,296,608	67,264,429	47,714,599	19,549,830	1,367,499	180,091	1,187,408	0	
86	80	OANDA CORPORATION	FCMRFD	NFA	11/30/2012	152,685,581	27,164,142	125,521,439	0	0	0	0	0	0	153,282,840	
87	81	OMAHA CAPITAL GROUP LLC	FCM	NFA	11/30/2012	1,588,206	1,000,000	588,206	0	0	0	0	0	0	0	
88	82	OPEN E CRY LLC	FCM	NFA	11/30/2012	4,414,717	1,477,289	2,937,428	115,846,793	111,311,428	4,535,365	2,808,075	2,466,654	341,421	0	
89	83	OPPENHEIMER & CO INC	FCM BD	NFA	11/30/2012	145,876,082	21,660,337	124,215,745	40,056,066	30,174,781	9,881,285	0	0	0	0	
90	84	OPTIONSPRESS INC	FCM BD	NFA	11/30/2012	82,057,830	5,372,736	76,685,094	95,861,494	77,224,525	18,636,969	4,266,230	1,745,599	2,520,631	0	
91	85	PHILLIP FUTURES INC	FCM	CME	11/30/2012	27,478,112	20,000,000	7,478,112	191,547,212	164,944,729	26,602,483	576,832	284,069	292,763	0	
92	86	PIONEER FUTURES INC	FCM	NFA	11/30/2012	1,690,705	1,000,000	690,705	1,207,732	1,076,974	130,758	50,000	0	50,000	0	
93	87	RAND FINANCIAL SERVICES INC	FCM	CME	11/30/2012	77,150,727	21,885,192	55,265,535	420,540,400	377,216,600	43,323,800	46,152,500	25,319,300	20,833,200	0	
94	88	RAYMOND JAMES & ASSOCIATES INC	FCM BD	NFA	11/30/2012	323,849,391	29,939,496	293,909,895	0	0	0	0	0	0	0	
95	89	RBC CAPITAL MARKETS LLC	FCM BD	CME	11/30/2012	1,378,961,228	93,816,022	1,285,145,206	682,315,146	638,522,337	43,792,809	76,937,324	35,411,428	41,525,896	0	
96	90	RBS SECURITIES INC	FCM BD	CBOT	11/30/2012	4,056,392,603	193,171,560	3,863,221,043	1,733,231,948	1,592,017,046	141,214,902	161,132,295	43,603,365	117,528,930	0	
97	91	RJ OBRIEN ASSOCIATES LLC	FCM	CME	11/30/2012	212,351,699	142,316,081	70,035,618	4,081,889,414	3,962,911,677	118,977,737	169,772,006	143,496,403	26,275,603	2,074,099	
98	92	ROSENTHAL COLLINS GROUP LLC	FCM	CME	11/30/2012	86,690,911	65,288,462	21,402,449	1,733,848,244	1,715,467,530	18,380,714	60,721,547	50,752,177	9,969,370	0	
99	93	SANFORD C BERNSTEIN & CO LLC	FCM BD	NFA	11/30/2012	148,963,318	17,393,366	131,569,952	0	0	0	0	0	0	0	
100	94	SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	11/30/2012	296,300,558	9,182,404	287,118,154	550,720,694	548,311,362	2,409,332	0	0	0	0	

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136		(a): FCM: Futures Commission Merchant that is registered with the Commodity Futures Trading Commission;														
137		BD: The FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer;														
138		RFED: Retail Foreign Exchange Dealer that is registered with the Commodity Futures Trading Commission;														
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140																
141		(b): DSRO: Designated Self-Regulatory Organization.														
142																
143		(c): A firm's net capital requirement is the greater of:														
144																
145		• FCM minimum dollar amount (\$1,000,000); or														
146		• risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk maintenance margin; or														
147		• the amount of capital required by a registered futures association (currently NFA is the only such association); or														
148		• for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; or														
149		• minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000); or														
150		• 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.														
151																
152		(d): Excess net capital is adjusted net capital, less the firm's net capital requirement.														
153																
154		(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.														
155																
156		(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.														
157																
158		(g): Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.														
159																
160		(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.														
161																
162		(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.														
163																
164		(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.														
165																
166		(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.														