

SELECTED FCM FINANCIAL DATA AS OF  
 December 31, 2020  
 FROM REPORTS FILED BY  
 January 27, 2021

| Futures Commission Merchant /<br>Retail Foreign Exchange Dealer | Registered As                            | DSRO      | As of<br>Date | Adjusted Net<br>Capital | Net Capital<br>Requirement | Excess Net<br>Capital | Customers' Assets<br>in Seg | Customers' Seg<br>Required 4d(a)(2) | Excess/Deficient<br>Funds in Seg | Target Residual<br>Interest in Seg | Funds in Separate<br>Section 30.7<br>Accounts | Customer Amount<br>Pt. 30 Required | Excess/Deficient<br>Funds in Separate<br>Section 30.7<br>Accounts | Target Residual<br>Interest in Section<br>30.7 | Funds in Separate<br>Cleared Swap<br>Segregation | Customer Amount<br>Cleared Swap Seg<br>Required | Excess/Deficient<br>Funds in Cleared<br>Swap Seg<br>Accounts | Target Residual<br>Interest in Cleared<br>Swap Seg | Total Amount of<br>Retail Forex<br>Obligation |
|-----------------------------------------------------------------|------------------------------------------|-----------|---------------|-------------------------|----------------------------|-----------------------|-----------------------------|-------------------------------------|----------------------------------|------------------------------------|-----------------------------------------------|------------------------------------|-------------------------------------------------------------------|------------------------------------------------|--------------------------------------------------|-------------------------------------------------|--------------------------------------------------------------|----------------------------------------------------|-----------------------------------------------|
| (a)                                                             | (b)                                      |           |               | (c)                     | (d)                        | (e)                   | (f)                         | (g)                                 | (h)                              | (i)                                | (j)                                           | (k)                                | (l)                                                               | (m)                                            | (n)                                              | (o)                                             | (p)                                                          | (q)                                                |                                               |
| 1                                                               | ABN AMRO CLEARING CHICAGO LLC            | FCM BD    | CBOT          | 12/31/2020              | 716,477,146                | 190,744,814           | 525,732,332                 | 3,500,116,718                       | 2,981,553,554                    | 518,563,164                        | 272,386,954                                   | 80,922,569                         | 65,295,664                                                        | 15,626,905                                     | 6,529,566                                        | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 2                                                               | ADM INVESTOR SERVICES INC                | FCM       | CBOT          | 12/31/2020              | 354,677,564                | 252,969,771           | 101,707,793                 | 5,520,040,188                       | 5,313,040,992                    | 206,999,196                        | 120,000,000                                   | 424,208,852                        | 377,910,587                                                       | 46,298,265                                     | 20,000,000                                       | 9,805,183                                       | 9,805,183                                                    | 8,000,000                                          | 0                                             |
| 3                                                               | ADVANTAGE FUTURES LLC                    | FCM       | CME           | 12/31/2020              | 21,136,759                 | 10,023,476            | 11,113,283                  | 313,130,348                         | 292,311,678                      | 20,818,670                         | 12,500,000                                    | 39,121,185                         | 35,464,186                                                        | 3,656,999                                      | 1,000,000                                        | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 4                                                               | AMP GLOBAL CLEARING LLC                  | FCM       | NFA           | 12/31/2020              | 6,028,281                  | 1,000,000             | 5,028,281                   | 5,028,281                           | 5,028,281                        | 0                                  | 900,000                                       | 2,133,434                          | 1,725,770                                                         | 407,664                                        | 150,000                                          | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 5                                                               | APEX CLEARING CORPORATION                | FCM BD    | NFA           | 12/31/2020              | 2,724,625                  | 30,791,014            | 190,963,411                 | 55,031,279                          | 32,361,823                       | 22,669,456                         | 7,000,000                                     | 0                                  | 0                                                                 | 0                                              | 0                                                | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 6                                                               | BAKKT CLEARING LLC                       | FCM       | NFA           | 12/31/2020              | 4,145,788                  | 1,000,000             | 3,145,788                   | 0                                   | 0                                | 0                                  | 0                                             | 0                                  | 0                                                                 | 0                                              | 0                                                | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 7                                                               | BARCLAYS CAPITAL INC                     | FCM BD    | NYME          | 12/31/2020              | 6,149,709,078              | 1,685,389,061         | 5,064,320,017               | 9,085,727,303                       | 8,684,197,982                    | 401,529,321                        | 55,000,000                                    | 3,219,553,554                      | 2,944,395,634                                                     | 275,157,920                                    | 12,000,000                                       | 9,679,991,158                                   | 9,302,672,737                                                | 377,318,421                                        | 250,000,000                                   |
| 8                                                               | BNP PARIBAS SECURITIES CORP              | FCM BD    | CBOT          | 12/31/2020              | 2,449,670,825              | 542,384,498           | 1,907,286,327               | 3,580,437,385                       | 3,280,220,004                    | 300,217,381                        | 240,000,000                                   | 334,483,537                        | 255,173,283                                                       | 79,310,254                                     | 30,000,000                                       | 1,868,011,669                                   | 1,693,730,878                                                | 174,240,791                                        | 95,000,000                                    |
| 9                                                               | BOCI COMMODITIES & FUTURES USA LLC       | FCM       | CME           | 12/31/2020              | 5,759,008                  | 1,000,000             | 4,759,008                   | 3,096,432                           | 0                                | 3,096,432                          | 1,000,000                                     | 6                                  | 6                                                                 | 1                                              | 6                                                | 6                                               | 6                                                            | 1                                                  | 0                                             |
| 10                                                              | BOFA SECURITIES INC                      | FCM BD    | CBOT          | 12/31/2020              | 14,067,405,475             | 2,902,508,488         | 11,164,896,987              | 21,544,470,475                      | 21,166,530,728                   | 379,139,747                        | 200,000,000                                   | 5,037,156,746                      | 4,686,200,028                                                     | 350,956,718                                    | 150,000,000                                      | 11,122,334,254                                  | 10,882,936,416                                               | 239,397,838                                        | 150,000,000                                   |
| 11                                                              | CANTOR FITZGERALD & CO                   | FCM BD    | CBOT          | 12/31/2020              | 517,897,991                | 1,500,000             | 516,397,991                 | 4,969,921                           | 0                                | 4,969,921                          | 3,000,000                                     | 0                                  | 0                                                                 | 0                                              | 0                                                | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 12                                                              | CHARLES SCHWAB & CO INC                  | FCM BD    | NFA           | 12/31/2020              | 3,116,694,197              | 615,559,927           | 2,501,134,270               | 255,152,526                         | 192,171,128                      | 62,981,398                         | 32,669,922                                    | 50,000                             | 0                                                                 | 50,000                                         | 1                                                | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 13                                                              | CHS HEDGING LLC                          | FCM       | CBOT          | 12/31/2020              | 69,698,301                 | 18,420,953            | 51,277,348                  | 175,270,502                         | 114,015,332                      | 61,255,170                         | 13,600,000                                    | 1,527,272                          | 1                                                                 | 1,527,272                                      | 200,000                                          | 510,188                                         | 510,188                                                      | 120,000                                            | 0                                             |
| 14                                                              | CITIGROUP GLOBAL MARKETS INC             | FCM BD SD | CBOT/NFA      | 12/31/2020              | 12,729,964,646             | 3,555,912,265         | 9,174,052,381               | 14,327,410,377                      | 13,698,896,925                   | 628,513,452                        | 440,300,000                                   | 3,631,682,694                      | 3,395,800,131                                                     | 235,882,563                                    | 156,100,000                                      | 33,452,061,175                                  | 32,766,733,741                                               | 685,327,434                                        | 472,500,000                                   |
| 15                                                              | CREDIT SUISSE SECURITIES (USA) LLC       | FCM BD    | CBOT          | 12/31/2020              | 11,934,251,497             | 1,763,708,463         | 10,170,543,034              | 7,402,342,713                       | 7,026,486,672                    | 375,856,041                        | 351,324,334                                   | 6,575,585,566                      | 5,471,212,381                                                     | 1,104,373,185                                  | 273,560,619                                      | 13,519,187,756                                  | 12,843,620,593                                               | 675,567,163                                        | 642,181,030                                   |
| 16                                                              | CUNNINGHAM COMMODITIES LLC               | FCM       | CBOT          | 12/31/2020              | 5,506,048                  | 1,039,279             | 4,466,769                   | 63,478,183                          | 59,906,403                       | 3,571,780                          | 3,500,000                                     | 0                                  | 722,370                                                           | 431,585                                        | 100,000                                          | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 17                                                              | DAIWA CAPITAL MARKETS AMERICA INC        | FCM BD    | CME           | 12/31/2020              | 1,262,045,391              | 1,500,000             | 1,260,545,391               | 2,181,514                           | 0                                | 2,181,514                          | 1                                             | 484,784                            | 1                                                                 | 484,784                                        | 1                                                | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 18                                                              | DEUTSCHE BANK SECURITIES INC             | FCM BD    | CBOT          | 12/31/2020              | 8,544,720,876              | 212,623,242           | 8,332,097,634               | 2,742,877,357                       | 2,492,391,042                    | 250,486,115                        | 125,000,000                                   | 667,967,493                        | 517,515,310                                                       | 150,452,183                                    | 75,000,000                                       | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 19                                                              | DIRECT ACCESS USA LLC                    | FCM       | CME           | 12/31/2020              | 12,910,521                 | 1,495,408             | 11,415,113                  | 39,028,571                          | 27,370,009                       | 11,649,568                         | 2,500,000                                     | 0                                  | 0                                                                 | 0                                              | 0                                                | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 20                                                              | DORMAN TRADING LLC                       | FCM       | CME           | 12/31/2020              | 14,641,773                 | 2,853,602             | 11,807,671                  | 229,453,614                         | 222,887,238                      | 6,566,376                          | 2,000,000                                     | 26,617,429                         | 25,790,854                                                        | 826,575                                        | 200,000                                          | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 21                                                              | E. D. & F MAN CAPITAL MARKETS INC        | FCM BD    | CME           | 12/31/2020              | 200,349,704                | 127,387,431           | 72,962,273                  | 2,749,321,320                       | 2,661,361,810                    | 87,959,510                         | 44,250,000                                    | 66,624,326                         | 51,998,112                                                        | 14,626,214                                     | 5,000,000                                        | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 22                                                              | E*TRADE FUTURES LLC                      | FCM       | NFA           | 12/31/2020              | 33,349,835                 | 4,869,521             | 28,480,314                  | 114,426,175                         | 80,382,442                       | 34,043,733                         | 8,000,000                                     | 0                                  | 0                                                                 | 0                                              | 0                                                | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 23                                                              | FUTU FUTURES INC                         | FCM       | NFA           | 12/31/2020              | 1,978,462                  | 1,000,000             | 978,462                     | 0                                   | 0                                | 0                                  | 0                                             | 0                                  | 0                                                                 | 0                                              | 0                                                | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 24                                                              | GAIN CAPITAL GROUP LLC                   | FCMRFD    | NFA           | 12/31/2020              | 75,013,940                 | 29,893,683            | 45,120,257                  | 306,033,349                         | 288,265,432                      | 17,767,917                         | 10,000,000                                    | 4,375,355                          | 2,520,818                                                         | 1,854,537                                      | 1,000,000                                        | 0                                               | 0                                                            | 0                                                  | 207,873,659                                   |
| 25                                                              | GH FINANCIALS LLC                        | FCM       | CME           | 12/31/2020              | 26,304,864                 | 7,315,514             | 18,989,350                  | 147,360,434                         | 130,953,213                      | 16,407,221                         | 3,400,000                                     | 5,857,805                          | 4,528,169                                                         | 1,329,636                                      | 0                                                | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 26                                                              | GOLDMAN SACHS & CO LLC                   | FCM BD SD | CBOT/NFA      | 12/31/2020              | 22,381,682,119             | 3,933,206,596         | 18,448,475,523              | 34,669,714,718                      | 33,759,370,354                   | 910,343,824                        | 675,000,000                                   | 11,348,716,093                     | 10,778,501,374                                                    | 570,214,719                                    | 475,000,000                                      | 11,602,153,857                                  | 11,191,542,806                                               | 410,611,051                                        | 350,000,000                                   |
| 27                                                              | HIDDEN ROAD PARTNERS CIV US LLC          | FCM BD    | NFA           | 12/31/2020              | 1,000,000                  | 9,530,663             | 0                           | 0                                   | 0                                | 0                                  | 0                                             | 0                                  | 0                                                                 | 0                                              | 0                                                | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 28                                                              | HSBC SECURITIES USA INC                  | FCM BD    | CME           | 12/31/2020              | 1,283,107,999              | 470,223,068           | 812,884,931                 | 3,808,996,933                       | 3,681,566,705                    | 127,430,228                        | 117,000,000                                   | 121,606,354                        | 93,429,668                                                        | 28,176,386                                     | 15,000,000                                       | 1,447,127,003                                   | 1,365,027,227                                                | 82,099,776                                         | 71,000,000                                    |
| 29                                                              | HUATAI FINANCIAL USA INC                 | FCM       | NFA           | 12/31/2020              | 2,482,156                  | 1,000,000             | 1,482,156                   | 7,952,862                           | 7,952,862                        | 0                                  | 600,000                                       | 323,220                            | 61                                                                | 323,159                                        | 150,000                                          | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 30                                                              | IG US LLC                                | RFED      | NFA           | 12/31/2020              | 34,534,477                 | 20,743,205            | 13,791,272                  | 0                                   | 0                                | 0                                  | 0                                             | 0                                  | 0                                                                 | 0                                              | 0                                                | 0                                               | 0                                                            | 0                                                  | 24,864,104                                    |
| 31                                                              | INTERACTIVE BROKERS LLC                  | FCM BD    | CME           | 12/31/2020              | 5,122,416,365              | 674,218,358           | 4,448,198,007               | 6,053,454,566                       | 5,794,658,113                    | 258,796,453                        | 155,000,000                                   | 712,775,452                        | 572,905,357                                                       | 139,870,095                                    | 80,000,000                                       | 0                                               | 0                                                            | 0                                                  | 69,745,093                                    |
| 32                                                              | IRONBEAM INC                             | FCM       | NFA           | 12/31/2020              | 4,980,586                  | 1,000,000             | 3,980,586                   | 68,315,004                          | 62,768,837                       | 5,546,167                          | 1,600,000                                     | 347,854                            | 153,212                                                           | 0                                              | 0                                                | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 33                                                              | JEFFERIES LLC                            | FCM BD    | NFA           | 12/31/2020              | 2,248,146,250              | 92,317,815            | 2,155,828,435               | 47,959,227,273                      | 46,354,893,130                   | 1,604,334,143                      | 927,097,863                                   | 7,291,881,491                      | 6,821,686,673                                                     | 470,194,818                                    | 238,759,034                                      | 20,381,857,129                                  | 19,438,208,681                                               | 943,648,448                                        | 388,764,174                                   |
| 34                                                              | J.P. MORGAN SECURITIES LLC               | FCM BD SD | CEI/NFA       | 12/31/2020              | 27,651,392,788             | 5,029,830,552         | 22,621,562,236              | 27,628,218,521                      | 27,628,218,521                   | 0                                  | 0                                             | 0                                  | 0                                                                 | 0                                              | 0                                                | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 35                                                              | MACQUARIE FUTURES USA LLC                | FCM       | CBOT          | 12/31/2020              | 297,933,619                | 227,745,630           | 70,187,989                  | 2,748,409,370                       | 2,653,478,723                    | 114,930,647                        | 100,000,000                                   | 65,995,946                         | 53,208,132                                                        | 12,787,814                                     | 7,000,000                                        | 24,178,493                                      | 7,812,527                                                    | 16,365,966                                         | 1,000,000                                     |
| 36                                                              | MAREX NORTH AMERICA LLC                  | FCM       | CME           | 12/31/2020              | 134,414,707                | 108,108,781           | 26,305,926                  | 2,114,973,152                       | 2,083,861,720                    | 31,111,432                         | 20,330,000                                    | 77,582,646                         | 59,601,390                                                        | 17,981,256                                     | 10,250,000                                       | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 37                                                              | MCVEAN TRADING & INVESTMENTS LLC         | FCM       | NFA           | 12/31/2020              | 14,601,845                 | 2,311,575             | 12,290,270                  | 453,144,122                         | 430,995,189                      | 22,148,933                         | 18,000,000                                    | 2,567,861                          | 0                                                                 | 2,567,861                                      | 1,000,000                                        | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 38                                                              | MERRILL LYNCH PROFESSIONAL CLEARING CORP | FCM BD    | NFA           | 12/31/2020              | 8,623,606,367              | 1,410,113,908         | 7,213,492,459               | 2,768,943,955                       | 1,403,803,238                    | 1,365,140,717                      | 300,000,000                                   | 0                                  | 0                                                                 | 0                                              | 0                                                | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 39                                                              | MID CO COMMODITIES INC                   | FCM       | NFA           | 12/31/2020              | 10,737,357                 | 6,042,068             | 4,695,289                   | 40,938,760                          | 29,972,318                       | 10,966,442                         | 0                                             | 0                                  | 0                                                                 | 0                                              | 0                                                | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 40                                                              | MINI BROKERS                             | FCM BD    | NFA           | 12/31/2020              | 2,723,392                  | 1,000,000             | 1,723,392                   | 0                                   | 0                                | 0                                  | 0                                             | 0                                  | 0                                                                 | 0                                              | 0                                                | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 41                                                              | MIZUHO SECURITIES USA LLC                | FCM BD    | CME           | 12/31/2020              | 1,261,860,459              | 404,708,182           | 857,152,277                 | 5,766,552,183                       | 5,509,577,276                    | 256,974,907                        | 125,000,000                                   | 955,658,507                        | 829,457,118                                                       | 126,201,389                                    | 70,000,000                                       | 20,444,766                                      | 20,444,766                                                   | 10,000,000                                         | 0                                             |
| 42                                                              | MORGAN STANLEY & CO LLC                  | FCM BD SD | CME/NFA       | 12/31/2020              | 12,868,922,690             | 3,834,810,153         | 9,034,112,537               | 26,253,216,357                      | 25,865,846,125                   | 387,370,232                        | 235,000,000                                   | 7,323,148,628                      | 7,104,383,250                                                     | 218,765,378                                    | 140,000,000                                      | 26,026,327,508                                  | 25,630,385,208                                               | 395,942,300                                        | 92,000,000                                    |
| 43                                                              | NANHUA USA LLC                           | FCM       | CME           | 12/31/2020              | 17,080,847                 | 4,053,376             | 13,027,471                  | 103,621,180                         | 93,270,829                       | 10,350,351                         | 3,500,000                                     | 417,747                            | 66,609                                                            | 351,138                                        | 100,000                                          | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 44                                                              | NATWEST MARKETS SECURITIES INC           | FCM BD    | CBOT          | 12/31/2020              | 584,418,274                | 1,007,935             | 583,410,339                 | 35,435,014                          | 832,408                          | 34,602,606                         | 20,000,000                                    | 2,299,835                          | 0                                                                 | 2,299,835                                      | 2,000,000                                        | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 45                                                              | NOMURA SECURITIES INTERNATIONAL INC      | FCM BD    | CBOT          | 12/31/2020              | 3,133,040,430              | 192,134,583           | 2,940,905,847               | 373,093,252                         | 229,745,765                      | 143,347,487                        | 26,000,000                                    | 18,739,011                         | 18,739,011                                                        | 1,000,000                                      | 0                                                | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 46                                                              | OANDA CORPORATION                        | FCMRFD    | NFA           | 12/31/2020              | 44,716,933                 | 31,682,417            | 13,034,516                  | 0                                   | 0                                | 0                                  | 0                                             | 0                                  | 0                                                                 | 0                                              | 0                                                | 0                                               | 0                                                            | 0                                                  | 190,520,974                                   |
| 47                                                              | PHILLIP CAPITAL INC                      | FCM BD    | NFA           | 12/31/2020              | 61,572,204                 | 34,753,146            | 26,824,058                  | 723,311,751                         | 703,751,599                      | 19,560,152                         | 11,500,000                                    | 16,679,829                         | 13,828,791                                                        | 2,851,039                                      | 1,500,000                                        | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 48                                                              | PICTET OVERSEAS INC                      | FCM BD    | NFA           | 12/31/2020              | 51,401,415                 | 12,515,245            | 38,886,170                  | 180,943,257                         | 176,602,240                      | 4,341,017                          | 2,750,000                                     | 35,830,417                         | 32,980,929                                                        | 2,849,488                                      | 1,250,000                                        | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 49                                                              | RAND FINANCIAL SERVICES INC              | FCM       | CME           | 12/31/2020              | 79,349,816                 | 1,000,000             | 78,349,816                  | 0                                   | 0                                | 4,628,400                          | 0                                             | 0                                  | 0                                                                 | 0                                              | 0                                                | 0                                               | 0                                                            | 0                                                  | 0                                             |
| 50                                                              | RBC CAPITAL MARKETS LLC                  | FCM BD    | CME           | 12/31/2020              | 3,090,883,041              | 335,434,725           | 2,755,448,316               | 3,648,984,861                       | 3,216,164,63                     |                                    |                                               |                                    |                                                                   |                                                |                                                  |                                                 |                                                              |                                                    |                                               |

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| (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:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <ul style="list-style-type: none"> <li>• FCM minimum dollar amount (\$1,000,000); or</li> <li>• risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk maintenance margin; or</li> <li>• the amount of capital required by a registered futures association (currently NFA is the only such association); or</li> <li>• for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; or</li> <li>• minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000); or</li> <li>• 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.</li> </ul> |
| (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.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |