SELECTED FCM FINANCIAL DATA AS OF
December 31, 2014
FROM REPORTS FILED BY
February 3, 2015

		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
1																					
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	12/31/2014	464,303,059	179,303,279	284,999,780	3,189,862,142	2,855,826,618	334,035,524	171,020,110	194,577,877	115,475,478	79,102,399	17,321,322	0	0	0	0	0
5	2	ADM INVESTOR SERVICES INC	FCM	CBOT	12/31/2014	286,924,610	168,567,943	118,356,667	3,955,750,599	3,678,582,683	277,167,916	120,000,000	249,675,657	191,083,614	58,592,043	20,000,000	12,668,214	2,697,615	9,970,599	8,000,000	0
6	3	ADVANTAGE FUTURES LLC	FCM	CME	12/31/2014	26,502,421	13,133,817	13,368,604	500,318,148	485,190,377	15,127,771	8,500,000	36,681,768	34,703,464	1,978,304	1,000,000	0	0	0	0	0
7	4	AMP GLOBAL CLEARING LLC	FCM	NFA	12/31/2014	2,995,498	1,500,000	1,495,498	55,171,742	53,488,972	1,682,770	900,000	1,274,429	851,810	422,619	150,000	0	0	0	0	0
8	5	BARCLAYS CAPITAL INC	FCM BD	NYME	12/31/2014	7,622,125,144	1,358,127,493	6,263,997,651	6,229,463,614	5,657,496,768	571,966,846	311,162,322	2,714,714,799	2,516,455,422	198,259,377	126,326,062	6,890,048,637	6,037,686,751	852,361,886	216,752,954	0
9	6	BGC FINANCIAL LP	FCM BD	NFA	12/31/2014	50,004,970	1,746,315	48,258,655	0	0	0	0	0	0	0	0	0	0	0	0	0
10	7	BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME	12/31/2014	3,176,822,608	232,959,094	2,943,863,514	3,238,937,081	2,894,379,974	344,557,107	289,437,997	17,453,848	3,439,616	14,014,232	10,000,000	10,384,530	2,285,503	8,099,027	5,000,000	0
11	8	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	12/31/2014	1,662,821,157	271,676,171	1,391,144,986	1,063,510,392	839,563,265	223,947,127	167,912,653	32,999,840	17,269,159	15,730,681	1,726,916	816,255,593	678,853,374	137,402,219	67,885,337	0
12	9	BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	12/31/2014	13,133,864	1,000,000	12,133,864	203	0	203	1	184	0	184	1	6	0	6	1	0
13	10	CANTOR FITZGERALD & CO	FCM BD	CBOT	12/31/2014	235,023,007	3,379,999	231,643,008	4,969,921	0	4,969,921	3,000,000	0	0	0	0	0	0	0	0	0
14	11	CHS HEDGING LLC	FCM	CBOT	12/31/2014	28,408,486	11,202,641	17,205,845	188,504,412	162,046,708	26,457,704	13,100,000	1,808,457	393,865	1,414,592	545,000	0	0	0	0	0
15	12	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	12/31/2014	5,521,412,067	1,145,584,487	4,375,827,580	6,475,933,961	6,165,635,653	310,298,308	282,000,000	1,028,459,681	848,228,602	180,231,079	150,000,000	5,650,251,028	5,402,092,399	248,158,629	207,475,000	0
16	13	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	12/31/2014	8,817,358,453	2,247,509,432	6,569,849,021	8,298,658,272	7,670,953,682	627,704,590	383,547,684	3,184,069,796	2,961,910,762	222,159,034	148,095,538	11,816,518,654	9,830,693,084	1,985,825,570	491,534,654	0
17	14	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	12/31/2014	5,187,397	1,433,442	3,753,955	73,072,781	69,127,914	3,944,867	3,050,000	372,013	104,624	267,389	100,000	0	0	0	0	0
18	15	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	12/31/2014	542,659,749	13,114,947	529,544,802	5,455,837	0	5,455,837	1	568,347	0	568,347	1	0	0	0	0	0
19	16	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	12/31/2014	10,761,598,573	745,873,815	10,015,724,758	10,313,157,689	9,773,050,189	540,107,500	500,000,000	1,205,184,836	971,828,860	233,355,976	200,000,000	2,164,550,040	1,875,274,411	289,275,629	250,000,000	0
20	17	DORMAN TRADING LLC	FCM	CME	12/31/2014	9,131,754	2,013,126	7,118,628	171,238,373	167,752,090	3,486,283	2,000,000	3,305,545	2,684,924	620,621	200,000	0	0	0	0	0
21	18	E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	12/31/2014	74,258,934	18,053,662	56,205,272	589,618,519	568,113,358	21,505,161	9,000,000	36,454,087	34,779,764	1,674,323	1,000,000	0	0	0	0	0
22	19	E TRADE CLEARING LLC	FCM BD	NFA	12/31/2014	795,141,524	169,877,575	625,263,949	53,433,837	40,062,441	13,371,396	10,000,000	1,458,842	449,777	1,009,065	1,000,000	0	0	0	0	0
23	20	EFL FUTURES LIMITED	FCM	CME	12/31/2014	35,692,524	15,187,780	20,504,744	214,026,063	201,086,498	12,939,565	5,000,000	0	0	0	0	0	0	0	0	0
24	21	FCSTONE LLC	FCM	CME	12/31/2014	121,295,521	67,000,511	54,295,010	1,824,524,874	1,783,893,291	40,631,583	26,000,000	83,618,272	64,762,662	18,855,610	15,000,000	0	0	0	0	0
25	22	FOREX CAPITAL MARKETS LLC	FCMRFD SD	NFA	12/31/2014	69,465,894	29,982,235	39,483,659	0	0	0	0	0	0	0	0	0	0	0	0	209,644,703
26	23	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	12/31/2014	41,954,396	24,738,861	17,215,535	206,799,088	193,743,419	13,055,669	2,500,000	5,492,647	2,927,655	2,564,992	312,500	0	0	0	0	104,777,212
27	24	GH FINANCIALS LLC	FCM	CME	12/31/2014	11,425,308	1,989,711	9,435,597	37,631,603	35,486,617	2,144,986	1,000,000	302,629	1,290	301,339	75,000	0	0	0	0	0
28	25	GOLDMAN SACHS & CO	FCM BD SD	CBOT/NFA	12/31/2014	14,834,206,816	2,364,780,578	12,469,426,238	21,123,597,936	20,285,919,590	837,678,346	475,000,000	12,069,156,519	10,072,345,156	1,996,811,363	475,000,000	3,271,746,216	2,725,820,283	545,925,933	150,000,000	0
29	26	GOLDMAN SACHS EXECUTION & CLEARING LP	FCM BD	CME	12/31/2014	1,665,662,367	138,702,442	1,526,959,925	1,361,943,240	655,681,704	706,261,536	540,000,000	70,098,071	21,581,015	48,517,056	40,000,000	0	0	0	0	0
30	27	GUGGENHEIM SECURITIES LLC	FCM BD	NFA	12/31/2014	115,245,485	1,368,597	113,876,888	0	0	0	0	0	0	0	0	0	0	0	0	0
31	28	HSBC SECURITIES USA INC	FCM BD	CME	12/31/2014	1,050,335,516	234,037,816	816,297,700	1,118,973,178	1,012,598,523	106,374,655	50,000,000	191,655,123	141,465,808	50,189,315	32,579,870	883,056,392	774,824,793	108,231,599	30,000,000	0
32	29	IBFX INC	RFED SD	NFA	12/31/2014	27,263,922	21,971,658	5,292,264	0	0	0	0	0	0	0	0	0	0	0	0	47,289,964
33	30	INTERACTIVE BROKERS LLC	FCM BD	NFA	12/31/2014	2,333,887,260	278,964,141	2,054,923,119	2,523,514,748	2,255,243,935	268,270,813	155,000,000	504,079,151	394,413,097	109,666,054	80,000,000	0	0	0	0	40,191,690
34	31	IRONBEAM INC	FCM	NFA	12/31/2014	2,234,435	1,000,000	1,234,435	39,862,904	38,587,098	1,275,806	800,000	110,914	985	109,929	50,000	0	0	0	0	0
35	32	ITG DERIVATIVES LLC	FCM BD	NFA	12/31/2014	2,434,526	1,000,000	1,434,526	0	0	0	0	0	0	0	0	0	0	0	0	0
36	33	JEFFERIES LLC	FCM BD	CBOT	12/31/2014	968,202,258	109,187,420	859,014,838	1,908,109,719	1,795,276,675	112,833,044	90,000,000	192,527,500	121,020,336	71,507,164	50,000,000	31,014,533	5,722,224	25,292,309	5,000,000	0
37	34	JP MORGAN CLEARING CORP	FCM BD	NFA	12/31/2014	7,460,842,480	1,817,712,517	5,643,129,963	1,075,426,155	724,623,847	350,802,308	65,216,146	549,692,289	357,661,627	192,030,662	32,189,547	250,000	0	250,000	1	0
38	35	JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	12/31/2014	12,767,482,206	2,125,525,577	10,641,956,629	19,458,357,129	17,447,852,777	2,010,504,352	1,570,306,750	3,348,949,090	2,883,510,990	465,438,100	259,515,989	4,900,417,324	4,344,715,886	555,701,438	391,024,430	0
39	36	LEK SECURITIES CORPORATION	FCM BD	NFA	12/31/2014	9,811,073	1,500,000	8,311,073	761,137	409,606	351,531	200,000	0	0	0	0	0	0	0	0	0
40	37	MACQUARIE FUTURES USA LLC	FCM	CBOT	12/31/2014	172,036,581	131,877,656	40,158,925	1,633,526,330	1,485,118,134	148,408,196	90,000,000	18,999,710	4,304,864	14,694,846	301,340	21,271,345	2,963,396	18,307,949	207,438	0
41	38	MAREX NORTH AMERICA LLC	FCM	CME	12/31/2014	16,235,587	9,301,092	6,934,495	124,368,396	117,014,027	7,354,369	5,850,701	28,391,399	25,459,237	2,932,162	2,545,924	0	0	0	0	0
42	39	MB TRADING FUTURES INC	RFED	NFA	12/31/2014	24,687,846	20,529,187	4,158,659	0	0	0	0	0	0	0	0	0	0	0	0	20,583,738
43	40	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	12/31/2014	13,707,003	3,029,786	10,677,217	952,832,973	932,296,760	20,536,213	18,000,000	2,417,861	0	2,417,861	400,000	0	0	0	0	0
44	41	MERRILL LYNCH PIERCE FENNER & SMITH	FCM BD	CBOT	12/31/2014	9,668,593,657	1,297,544,604	8,371,049,053	11,488,180,365	11,208,908,563	279,271,802	200,000,000	2,701,188,351	2,499,733,022	201,455,329	150,000,000	3,167,250,164	2,902,713,155	264,537,009	150,000,000	0
45	42	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	12/31/2014	3,426,548,150	507,918,235	2,918,629,915	1,494,241,158	919,817,001	574,424,157	300,000,000	5,673,495	1,968,360	3,705,135	1,000,000	0	0	0	0	0
46	43	MID CO COMMODITIES INC	FCM	NFA	12/31/2014	8,224,841	4,198,076	4,026,765	50,622,115	42,087,462	8,534,653	5,000,000	0	0	0	0	0	0	0	0	0
47	44	MINT BROKERS	FCM BD	NFA	12/31/2014	9,215,676	1,000,000	8,215,676	0	0	0	0	0	0	0	0	0	0	0	0	0
48	45	MITSUBISHI UFJ SECURITIES USA INC	FCM BD	NFA	12/31/2014	409,694,228	1,058,884	408,635,344	0	0	0	0	0	0	0	0	0	0	0	0	0
49	46	MIZUHO SECURITIES USA INC	FCM BD SD	CME/NFA	12/31/2014	551,403,983	227,602,122	323,801,861	2,989,883,658	2,790,064,668	199,818,990	150,000,000	758,608,436	656,636,326	101,972,110	80,000,000	27,936,697	2,081,195	25,855,502	20,000,000	0
50	47	MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	12/31/2014	9,262,415,920	1,665,160,004	7,597,255,916	10,238,822,274	10,031,840,202	206,982,072	105,000,000	2,793,308,461	2,582,506,173	210,802,288	105,000,000	6,625,376,790	6,504,971,009	120,405,781	92,000,000	0
51	48	NANHUA USA LLC	FCM	NFA	12/31/2014	7,548,866	1,000,000	6,548,866	250,000	0	250,000	250,000	0	0	0	0	0	0	0	0	0
52	49	NEUBERGER BERMAN LLC	FCM BD	NFA	12/31/2014	42,380,116	1,500,000	40,880,116	0	0	0	0	0	0	0	0	0	0	0	0	0
53	50	NEWEDGE USA LLC	FCM BD SD	NYME	12/31/2014	1,763,610,850	987,807,761	775,803,089	13,072,370,518	12,098,674,048	973,696,470	500,000,000	3,509,599,230	3,080,921,992	428,677,238	255,000,000	209,641,073	34,620,406	175,020,667	75,000,000	0
54	51	NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	12/31/2014	1,656,775,963	75,475,084	1,581,300,879	146,186,097	96,473,452	49,712,645	15,000,000	16,166,522	1,537,172	14,629,350	1,000,000	45,832,751	22,760,900	23,071,851	20,000,000	0
55	52	OANDA CORPORATION	FCMRFD	NFA	12/31/2014	87,217,410	25,837,592	61,379,818	0	0	0	0	0	0	0	0	0	0	0	0	126,751,849
56	53	OPTIONSXPRESS INC	FCM BD	NFA	12/31/2014	122,765,882	6,380,764	116,385,118	99,192,077	67,732,072	31,460,005	6,773,207	1,905,355	807,169	1,098,186	80,717	0	0	0	0	0
57	54	PHILLIP CAPITAL INC	FCM	CME	12/31/2014	26,192,096	20,000,000	6,192,096	197,039,602	180,849,510	16,190,092	9,027,475	10,185,786	6,892,428	3,293,358	344,621	0	0	0	0	0
58	55	RAND FINANCIAL SERVICES INC	FCM	CME	12/31/2014	80,611,100	18,511,759	62,099,341	286,262,100	242,486,200	43,775,900	7,274,600	35,652,700	13,855,400	21,797,300	415,700	0	0	0	0	0
59	56	RBC CAPITAL MARKETS LLC	FCM BD	CME	12/31/2014	1,198,350,049	153,860,938	1,044,489,111	1,569,365,823	1,430,309,450	139,056,373	80,000,000	134,393,701	94,455,802	39,937,899	20,000,000	0	0	0	0	0
60	57	RBS SECURITIES INC	FCM BD	CBOT	12/31/2014	4,848,071,006	138,701,860	4,709,369,146	1,903,786,258	1,736,079,492	167,706,766	125,000,000	181,905,898	57,354,381	124,551,517	100,000,000	87,031,980	0	87,031,980	80,000,000	0
61	58	RJ OBRIEN ASSOCIATES LLC	FCM SD	CME/NFA	12/31/2014	194,754,051	134,711,121	60,042,930	4,096,053,849	4,009,583,216	86,470,633	40,000,000	206,771,054	181,803,044	24,968,010	20,000,000	0	0	0	0	1,381,194
62	59	ROSENTHAL COLLINS GROUP LLC	FCM	CME	12/31/2014	78,271,181	54,601,480	23,669,701	1,469,632,553	1,445,199,609	24,432,944	18,000,000	34,421,804	20,138,552	14,283,252	9,000,000	0	0	0	0	0
63	60	SANFORD C BERNSTEIN & CO LLC	FCM BD	NFA	12/31/2014	171,676,896	24,489,030	147,187,866	0	0	0	0	0	0	0	0	0	0	0	0	0
64	61	SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	12/31/2014	111,599,773	10,563,374	101,036,399	683,965,231	681,530,513	2,434,718	2,000,000	0	0	0	0	0	0	0	0	0
65	62	SG AMERICAS SECURITIES LLC	FCM BD	CME	12/31/2014	1,843,010,241	9,901,405	1,833,108,836	0	0	0	0	0	0	0	0	0	0	0	0	0
66	63	STATE STREET GLOBAL MARKETS LLC	FCM BD	CME	12/31/2014	547,858,420	32,304,952	515,553,468	552,220,616	431,274,104	120,946,512	21,563,705	46,562,509	4,698,961	41,863,548	15,000,000	145,616,248	14,920,552	130,695,696	50,000,000	0
67	64	STRAITS FINANCIAL LLC	FCM	CME	12/31/2014	23,959,148	10,763,618	13,195,530	532,980,825	514,701,083	18,279,742	2,000,000	42,721,259	36,812,155	5,909,104	300,000	0	0	0	0	0
68	65	TD AMERITRADE FUTURES & FOREX LLC	FCM	NFA	12/31/2014	1,993,037	1,000,000	993,037	0	0	0	0	0	0	0	0	0	0	0	0	0
69	66	TD AMERITRADE INC	FCM BD	NFA	12/31/2014	263,036,876	11,005,447	252,031,429	226,529,966	157,029,983	69,499,983	18,000,000	0	0	0	0	0	0	0	0	0
70	67	TIMBER HILL LLC	FCM BD	CME	12/31/2014	374,238,290	63,636,290	310,602,000	889,927,524	884,879,275	5,048,249	5,000,000	0	0	0	0	0	0	0	0	0
71	68	TRADESTATION SECURITIES INC	FCM BD	NFA	12/31/2014	53,179,175	3,675,183	49,503,992	471,179,142	461,063,788	10,115,354	9,000,000	21,277,378	20,122,378	1,155,000	800,000	0	0	0	0	0
72	69	UBS FINANCIAL SERVICES INC	FCM BD	NFA	12/31/2014	1,206,948,209	99,301,444	1,107,646,765	165,161,835	112,480,728	52,681,107	22,000,000	36,046,835	3,218,121	32,828,714	15,000,000	0	0	0	0	0
73	70	UBS SECURITIES LLC	FCM BD	CBOT	12/31/2014	7,752,967,244	864,624,289	6,888,342,955	7,680,292,529	7,082,047,081	598,245,448	495,743,296	4,039,403,938	3,589,734,875	449,669,063	400,000,000	1,064,392,485	812,525,775	251,866,710	200,000,000	0
74	71	VISION FINANCIAL MARKETS LLC	FCM BD	NFA	12/31/2014	36,784,180	1,000,000	35,784,180	8,184,363	0	8,184,363	8,000,000	2,906,837	0	2,906,837	1,500,000	0	0	0	0	0
75	72	WEDBUSH SECURITIES INC	FCM BD	CBOT	12/31/2014	112,684,185	13,178,274	99,505,911	520,336,127	493,888,176	26,447,951	17,750,000	15,197,518	10,498,103	4,699,415	1,000,000	0	0	0	0	0
76	73	WELLS FARGO SECURITIES LLC	FCM BD	CME	12/31/2014	2,889,677,792	335,209,093	2,554,468,699	1,523,224,217	1,320,906,341	202,317,876	100,000,000	592,103,186	456,304,411	135,798,775	20,000,000	2,635,289,588	2,163,584,571	471,705,017	200,000,000	0
77	74	WHOTRADES FX LLC	FCM	NFA	12/31/2014	2,092,974	1,000,000	1,092,974	0	0	0	0	0	0	0	0	0	0	0	0	0
78	75	XCHANGE FINANCIAL ACCESS LLC	FCM BD	NFA	12/31/2014	6,854,151	1,116,309	5,737,842	30,090,095	27,893,100	2,196,995	1,750,000	0	0	0	0	0	0	0	0	0
79	76	YORK BUSINESS ASSOCIATES LLC	FCM	NFA	12/31/2014	4,737,683	1,000,000	3,737,683	45,104,724	41,543,043	3,561,681	2,000,000	1,776,389	1,493,104	283,285	200,000	0	0	0	0	0
80																					
81																					
82		**Totals**							**160,442,398,637**	**148,555,445,353**	**11,886,953,284**	**7,635,636,648**	**40,962,327,823**	**35,110,606,392**	**5,851,721,431**	**2,861,076,048**	**50,476,800,288**	**44,141,807,282**	**6,334,993,006**	**2,709,879,815**	**550,620,350**
83																					
84		**November Web Page Update**	**79**																		
85																					

SELECTED FCM FINANCIAL DATA AS OF
December 31, 2014
FROM REPORTS FILED BY
February 3, 2015

	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
		(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	(n)	(o)	(p)	(q)
Additions		**1**																		
SG AMERICAS SECURITIES LLC																				
Deletions		**4**																		
FRONTIER FUTURES INC																				
INSTITUTIONAL LIQUIDITY LLC																				
KCG AMERICAS LLC																				
LINN GROUP THE																				
Name Changes																				
None																				
December Web Page Update		**76**																		

(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.