

SELECTED FCM FINANCIAL DATA AS OF
JANUARY 31, 2010
FROM REPORTS FILED BY
FEBRUARY 28, 2010

1 of 6

	Futures Commission Merchant	B/D?	DSRO	A/O Date	Adjusted Net Capital	Net Capital Requirement	Excess Net Capital	Customers' Seg Required	Customer Amount
		(a)	(b)			(c)	(d)	4d(a)(2) (e)	Pt. 30 Required (f)
1	ACM USA LLC	N	NFA	01/31/2010	778,709	500,000	278,709	0	0
2	ADM INVESTOR SERVICES INC	N	CBOT	01/31/2010	172,497,687	87,660,909	84,836,778	1,962,192,198	85,210,091
3	ADVANCED MARKETS LLC	N	NFA	01/31/2010	20,408,037	20,000,000	408,037	0	0
4	ADVANTAGE FUTURES LLC	N	CME	01/29/2010	22,465,736	9,186,430	13,279,306	288,216,041	36,014,160
5	AIG CLEARING CORPORATION	N	NYME	01/31/2010	226,007,114	500,000	225,507,114	0	0
6	ALLIANZ GLOBAL INVESTORS DISTRIBUTORS LLC*	Y	NFA	12/31/2009	28,024,917	8,706,179	19,318,738	0	0
7	ALPARI (US) LLC	N	NFA	01/31/2010	21,426,200	20,000,000	1,426,200	0	0
8	AMERIPRISE FINANCIAL SERVICES INC	Y	NFA	01/31/2010	56,687,953	500,000	56,187,953	0	0
9	BANC OF AMERICA SECURITIES LLC	Y	CME	01/29/2010	2,383,944,260	142,933,197	2,241,011,063	0	0
10	BARCLAYS CAPITAL INC	Y	NYME	01/29/2010	6,061,218,264	608,331,071	5,452,887,193	4,003,291,239	2,137,335,675
11	BGC FINANCIAL LP	Y	NFA	01/31/2010	29,363,433	500,000	28,863,433	0	0
12	BNP PARIBAS COMMODITY FUTURES INC	N	NYME	01/31/2010	390,652,687	162,503,838	228,148,849	1,618,705,895	432,725,790
13	BNP PARIBAS SECURITIES CORP	Y	CBOT	01/31/2010	1,684,833,230	11,245,172	1,673,588,058	355,010,174	0
14	CADENT FINANCIAL SERVICES LLC	N	NFA	01/31/2010	909,327	350,000	559,327	0	0
15	CANTOR FITZGERALD & CO	Y	CBOT	01/31/2010	135,261,656	1,735,718	133,525,938	12,949,469	0
16	CAPITAL MARKET SERVICES LLC	N	NFA	01/31/2010	25,841,837	21,126,974	4,714,863	0	0
17	CIBC WORLD MARKETS CORP	Y	CME	01/29/2010	1,403,319,836	1,500,000	1,401,819,836	0	0
18	CITADEL SECURITIES LLC	Y	CME	01/31/2010	321,667,167	19,102,686	302,564,481	0	0
19	CITIGROUP GLOBAL MARKETS INC	Y	CBOT	01/29/2010	8,068,472,758	683,228,225	7,385,244,533	10,317,535,658	2,344,871,405
20	COMMONWEALTH FOREIGN EXCHANGE INC	N	NFA	01/31/2010	1,126,099	500,000	626,099	0	0
21	COMPASS PROFESSIONAL SERVICES LLC	Y	NFA	01/31/2010	3,219,724	500,000	2,719,724	0	0
22	COUNTRY HEDGING INC	N	NFA	01/31/2010	15,472,747	7,324,969	8,147,778	120,352,332	48,080
23	CREDIT SUISSE SECURITIES (USA) LLC	Y	CBOT	01/29/2010	8,609,040,256	766,644,822	7,842,395,434	4,493,520,171	1,844,799,929
24	CROSSLAND LLC	N	CBOT	01/31/2010	8,454,267	5,794,094	2,660,173	73,677,568	29,281,002
25	CUNNINGHAM COMMODITIES LLC	N	CBOT	01/31/2010	3,814,213	1,187,078	2,627,135	41,177,216	39,095
26	CX CAPITAL MARKETS LLC	N	NFA	01/31/2010	1,020,630	500,000	520,630	9,383,448	0
27	DAIWA SECURITIES AMERICA INC	Y	CME	01/31/2010	280,975,579	1,000,000	279,975,579	5,012,100	40,979
28	DEUTSCHE BANK SECURITIES INC	Y	CBOT	01/29/2010	7,727,995,254	447,379,820	7,280,615,434	13,401,102,618	1,032,070,172
29	DORMAN TRADING LLC	N	CME	01/31/2010	7,607,492	810,060	6,797,432	90,605,193	90,774
30	EAGLE MARKET MAKERS INC	N	CBOT	01/31/2010	5,284,918	500,000	4,784,918	4,424,482	0
31	EASY FOREX US LTD	N	NFA	01/31/2010	20,462,615	20,000,000	462,615	0	0
32	ELECTRONIC BROKERAGE SYSTEMS LLC	Y	NFA	01/31/2010	9,192,706	500,000	8,692,706	0	0
33	ENSKILDA FUTURES LTD	N	CME	01/31/2010	26,281,682	15,579,255	10,702,427	259,058,250	0
34	FARR FINANCIAL INC	N	NFA	01/31/2010	1,279,421	774,024	505,397	36,199,078	6,489
35	FCSTONE LLC	N	CME	01/31/2010	65,597,028	35,224,723	30,372,305	865,236,737	7,145,915
36	FOREX CAPITAL MARKETS LLC	N	NFA	01/31/2010	56,714,777	24,623,317	32,091,460	0	0
37	FOREX CLUB FINANCIAL COMPANY INC	N	NFA	01/31/2010	19,607,859	20,000,000	-392,141	0	0
38	FORTIS CLEARING AMERICAS LLC	Y	CBOT	01/31/2010	212,296,783	46,727,835	165,568,948	1,145,005,504	58,352,627
39	FRIEDBERG MERCANTILE GROUP INC	N	NFA	01/31/2010	3,374,715	500,000	2,874,715	5,114,789	118,550
40	FRONTIER FUTURES INC	N	NFA	01/31/2010	1,366,089	773,609	592,480	29,010,721	0
41	FUTURES TECH LLC	N	NFA	01/31/2010	838,745	500,000	338,745	0	0

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2 of 6

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		(a)	(b)			(c)	(d)	4d(a)(2) (e)	Pt. 30 Required (f)
42	FX SOLUTIONS LLC	N	NFA	01/31/2010	34,602,038	20,556,898	14,045,140	0	0
43	FXDIRECTDEALER LLC	N	NFA	01/31/2010	40,641,052	25,372,414	15,268,638	0	0
44	GAIN CAPITAL GROUP LLC	N	NFA	01/31/2010	69,952,754	26,063,436	43,889,318	0	0
45	GENESIS FUTURES LLC	N	NFA	01/31/2010	761,467	500,000	261,467	0	0
46	GFS FOREX & FUTURES INC	N	NFA	01/31/2010	1,473,543	500,000	973,543	0	0
47	GILDER GAGNON HOWE & CO LLC	Y	NFA	01/31/2010	12,903,401	500,000	12,403,401	0	0
48	GLOBAL FUTURES & FOREX LTD	N	NFA	01/31/2010	68,079,338	25,592,962	42,486,376	265,900	209,034
49	GOLDMAN SACHS & CO	Y	CBOT	01/31/2010	11,436,869,932	1,870,307,556	9,566,562,376	16,973,258,052	6,281,425,100
50	GOLDMAN SACHS EXECUTION & CLEARING LP	Y	CME	01/31/2010	1,996,221,249	137,756,661	1,858,464,588	1,266,373,458	28,017,620
51	HG CLEARING SERVICES LLC	N	NFA	01/31/2010	598,962	500,000	98,962	0	0
52	HSBC SECURITIES USA INC	Y	CME	01/29/2010	1,090,862,521	70,384,318	1,020,478,203	735,345,705	105,100,284
53	I TRADE FX LLC	N	NFA	01/31/2010	636,534	500,000	136,534	0	0
54	ICAP FUTURES LLC	N	NFA	01/31/2010	12,423,201	500,000	11,923,201	0	0
55	IG MARKETS INC	N	NFA	01/31/2010	30,674,932	20,000,000	10,674,932	0	0
56	IKON GLOBAL MARKETS INC	N	NFA	01/31/2010	21,573,904	20,526,681	1,047,223	2,152,970	992,005
57	INSTINET LLC	Y	NFA	01/31/2010	118,093,490	1,500,000	116,593,490	0	0
58	INTEGRATED BROKERAGE SERVICES LLC	N	NFA	01/31/2010	1,520,099	500,000	1,020,099	0	0
59	INTERACTIVE BROKERS LLC	Y	NFA	01/31/2010	855,382,673	92,346,602	763,036,071	509,977,748	148,980,386
60	INTERBANK FX LLC	N	NFA	01/31/2010	32,293,496	21,429,498	10,863,998	0	0
61	ITG DERIVATIVES LLC	Y	NFA	01/31/2010	2,521,665	500,000	2,021,665	0	0
62	JP MORGAN CLEARING CORP	Y	CME	01/31/2010	5,129,706,608	1,482,185,420	3,647,521,188	407,770,839	264,265,225
63	JP MORGAN FUTURES INC	N	NYME	01/31/2010	2,227,278,228	1,057,553,884	1,169,724,344	14,211,024,519	1,653,983,293
64	JP MORGAN SECURITIES INC	Y	NFA	01/31/2010	6,592,395,646	537,319,388	6,055,076,258	0	0
65	LADENBURG THALMANN & CO INC	Y	NFA	01/29/2010	2,456,553	500,000	1,956,553	0	0
66	LEK SECURITIES CORPORATION	Y	NFA	01/31/2010	12,528,980	1,500,000	11,028,980	208,930	0
67	LIMESTONE TRADING LLC	N	NFA	01/31/2010	2,144,569	500,000	1,644,569	0	0
68	LINN GROUP THE	N	NFA	01/31/2010	2,623,065	676,348	1,946,717	34,169,111	56,204
69	LPL FINANCIAL CORPORATION	Y	NFA	01/31/2010	91,876,829	5,906,673	85,970,156	0	0
70	MACQUARIE FUTURES USA INC	N	CBOT	01/29/2010	87,703,709	36,293,773	51,409,936	647,568,618	1,633,461
71	MAREX USA LIMITED	N	NFA	01/31/2010	718,547	500,000	218,547	0	0
72	MB TRADING FUTURES INC	N	NFA	01/31/2010	22,314,186	20,000,000	2,314,186	0	0
73	MBF CLEARING CORP	N	NYME	01/31/2010	10,998,118	1,359,468	9,638,650	75,576,512	8,300,470
74	MCVEAN TRADING & INVESTMENTS LLC	N	NFA	01/31/2010	9,102,774	2,039,796	7,062,978	547,263,802	0
75	MERRILL LYNCH PIERCE FENNER & SMITH	Y	CBOT	01/31/2010	5,470,350,577	570,971,802	4,899,378,775	7,857,635,226	695,012,618
76	MERRILL LYNCH PROFESSIONAL CLEARING CORP	Y	NFA	01/31/2010	1,714,897,176	190,400,919	1,524,496,257	1,037,427,131	25,158,029
77	MF GLOBAL INC	Y	CME	01/29/2010	562,369,840	369,789,973	192,579,867	7,701,531,498	404,841,078
78	MG FINANCIAL LLC	N	NFA	01/31/2010	5,001,037	500,000	4,501,037	0	0
79	MID CO COMMODITIES INC	N	NFA	01/31/2010	11,285,963	2,387,674	8,898,289	32,730,579	0
80	MITSUBISHI UFJ SECURITIES USA INC	Y	NFA	01/31/2010	79,499,572	1,207,057	78,292,515	0	0
81	MITSUMI BUSSAN COMMODITIES USA INC	N	NYME	01/31/2010	8,182,523	2,105,894	6,076,629	0	0
82	MIZUHO SECURITIES USA INC	Y	CME	01/29/2010	344,014,462	32,973,134	311,041,328	537,212,920	234,152,251
83	MORGAN KEEGAN & COMPANY INC	Y	NFA	01/31/2010	408,528,369	9,401,534	399,126,835	0	0

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3 of 6

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	Futures Commission Merchant			Date	Net Capital	Requirement	Net Capital	Seg Required	Amount
		(a)	(b)			(c)	(d)	4d(a)(2)	Pt. 30 Required
84	MORGAN STANLEY & CO INCORPORATED	Y	CME	01/29/2010	7,553,220,325	1,074,175,827	6,479,044,498	5,399,782,121	3,768,823,031
85	MORGAN STANLEY SMITH BARNEY LLC	Y	NFA	01/31/2010	511,944,495	500,000	511,444,495	0	0
86	NATIXIS SECURITIES NORTH AMERICA INC	Y	NFA	01/29/2010	158,814,232	500,000	158,314,232	0	0
87	NEUBERGER BERMAN LLC	Y	NFA	01/29/2010	56,262,429	1,500,000	54,762,429	0	0
88	NEWEDGE USA LLC	Y	NYME	01/31/2010	2,392,117,315	1,225,388,284	1,166,729,031	17,435,444,292	6,211,469,847
89	NOMURA SECURITIES INTERNATIONAL INC	Y	CBOT	01/29/2010	1,336,459,681	15,635,783	1,320,823,898	55,530,729	92,504
90	OANDA CORPORATION	N	NFA	01/31/2010	165,696,395	28,991,890	136,704,505	0	0
91	OPEN E CRY LLC	N	NFA	01/31/2010	3,422,871	845,661	2,577,210	78,756,776	762,812
92	OPPENHEIMER & CO INC	Y	NFA	01/29/2010	167,071,739	22,249,763	144,821,976	28,778,370	0
93	OPTIONSXPRESS INC	Y	NFA	01/31/2010	102,781,573	23,214,917	79,566,656	66,492,659	580,365
94	PENSON GHCO	N	CBOT	01/31/2010	23,423,363	15,713,127	7,710,236	436,567,491	21,955,095
95	PEREGRINE FINANCIAL GROUP INC	N	NFA	01/31/2010	32,741,377	20,000,000	12,741,377	354,217,437	32,803,376
96	PIONEER FUTURES INC	N	NYME	01/31/2010	1,087,305	500,000	587,305	0	0
97	PRUDENTIAL BACHE COMMODITIES LLC	N	CBOT	01/31/2010	212,335,000	161,691,000	50,644,000	2,605,531,000	224,969,000
98	RAND FINANCIAL SERVICES INC	N	CME	01/31/2010	67,991,074	10,968,956	57,022,118	98,264,500	31,996,300
99	RAYMOND JAMES & ASSOCIATES INC	Y	NFA	01/31/2010	412,885,999	26,532,717	386,353,282	0	0
100	RBC CAPITAL MARKETS CORPORATION	Y	CME	01/29/2010	1,146,393,938	87,229,623	1,059,164,315	868,826,860	354,144,637
101	RBS SECURITIES INC	Y	CBOT	01/29/2010	1,330,035,000	166,374,000	1,163,661,000	1,201,092,000	62,039,000
102	RJ OBRIEN ASSOCIATES LLC	N	CME	01/31/2010	116,368,661	62,056,999	54,311,662	1,766,872,467	27,752,770
103	ROBBINS FUTURES INC	N	NFA	01/31/2010	577,774	500,000	77,774	3,142,983	0
104	ROSENTHAL COLLINS GROUP LLC	N	CME	01/31/2010	56,938,914	35,462,598	21,476,316	1,164,903,726	19,964,067
105	ROSENTHAL GLOBAL SECURITIES LLC	Y	NFA	01/31/2010	37,216,023	580,477	36,635,546	0	0
106	SANFORD C BERNSTEIN & CO LLC	Y	NFA	01/29/2010	159,934,918	11,765,969	148,168,949	0	0
107	SANTANDER INVESTMENT SECURITIES INC	Y	NFA	01/29/2010	91,272,801	722,027	90,550,774	0	0
108	SHAY GRAIN CLEARING COMPANY	N	KCBT	01/31/2010	2,577,914	767,308	1,810,606	14,703,267	0
109	SMW TRADING COMPANY INC	N	CME	01/31/2010	24,124,879	500,000	23,624,879	4,094,702	0
110	STATE STREET GLOBAL MARKETS LLC	Y	CME	01/31/2010	278,962,557	500,000	278,462,557	0	0
111	STEPHENS	Y	NFA	01/31/2010	62,646,618	10,284,786	52,361,832	0	0
112	STERLING COMMODITIES CORP	N	NYME	01/31/2010	7,864,152	1,307,153	6,556,999	40,791,504	662,133
113	TCA FUTURES LLC	N	NFA	01/31/2010	851,812	500,000	351,812	0	0
114	TD AMERITRADE INC	Y	NFA	01/31/2010	371,835,639	500,000	371,335,639	0	0
115	TENCO INC	N	CBOT	01/31/2010	47,987,172	5,917,883	42,069,289	167,136,453	0
116	TERRA NOVA FINANCIAL LLC	Y	NFA	01/29/2010	9,932,257	1,500,000	8,432,257	0	0
117	TIMBER HILL LLC	Y	CME	01/31/2010	1,038,000,478	44,022,728	993,977,750	499,971,015	0
118	TOWER RESEARCH CAPITAL EUROPE LLC	N	NFA	01/31/2010	4,126,576	500,000	3,626,576	0	0
119	TRADELINK LLC	Y	CBOT	01/31/2010	26,336,750	500,000	25,836,750	0	0
120	TRADESTATION SECURITIES INC	Y	NFA	01/29/2010	84,380,743	1,820,356	82,560,387	360,560,162	377,822
121	TRADITION SECURITIES AND FUTURES INC	N	NFA	01/29/2010	763,651	500,000	263,651	0	0
122	TRANSMARKET GROUP LLC	Y	CBOT	01/31/2010	14,545,832	500,000	14,045,832	0	0
123	TRILAND USA INC	N	NYME	01/31/2010	34,566,189	11,169,464	23,396,725	158,371,435	9,908,524
124	UBS FINANCIAL SERVICES INC	Y	NFA	01/31/2010	1,275,738,912	86,902,900	1,188,836,012	207,216,859	909,754
125	UBS SECURITIES LLC	Y	CBOT	01/29/2010	13,772,043,753	857,169,213	12,914,874,540	9,148,920,965	4,567,808,525

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5 of 6

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Futures Commission Merchant								
	(a)	(b)			(c)	(d)		
December 2009 Web Page Update	133							
Additions - None	0							
Deletions - None	0							
Name Change								
Stephens Inc to Stephens								
January 2010 Web Page Update	133							
*Allianz Global Investors Distributors LLC files financial statements quarterly.								
(a): B/D? : A 'Y' means the FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer.								
(b): DSRO: Designated Self-Regulatory Organization.								
(c): A firm's net capital requirement is the greater of								
(1) \$250,000; or								
(2) risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 4% of total noncustomer risk maintenance margin; or								
(3) The amount of capital required by a registered futures association (currently NFA is the only such association); or								
(4) for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission.								

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