

SELECTED FCM FINANCIAL DATA AS OF
April 30, 2013
FROM REPORTS FILED BY
June 3, 2013

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1			Reg As	DSRO	A/O	Adjusted	Net Capital	Excess	Customers'	Customers'	Excess/Deficient	Funds in Separate	Customer	Excess/Deficient	Total Amount
2		Futures Commission Merchant / Retail Foreign Exchange Dealer			Date	Net Capital	Requirement	Net Capital	Assets	Seg Required	Funds in Seg	Section 30.7	Amount Pt. 30	Funds in Separate	of Retail Forex
3									in Seg	4d(a)(2)		Accounts	Required	Section 30.7	Obligation
4														Accounts	
5			(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
6															
7	1	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	4/30/2013	442,065,545	149,344,234	292,721,311	2,740,080,435	2,486,797,607	253,282,828	165,486,063	123,929,510	41,556,553	0
8	2	ADM INVESTOR SERVICES INC	FCM	CBOT	4/30/2013	276,916,418	139,592,983	137,323,435	3,165,875,619	2,935,661,757	230,213,862	206,509,009	141,901,651	64,607,358	0
9	3	ADVANCED MARKETS LLC	FCMRFD	NFA	4/30/2013	10,511,786	1,000,000	9,511,786	0	0	0	0	0	0	0
10	4	ADVANTAGE FUTURES LLC	FCM	CME	4/30/2013	23,121,168	10,955,433	12,165,735	430,982,204	417,809,711	13,172,493	28,107,296	26,254,083	1,853,213	0
11	5	ALPARI (US) LLC	FCMRFD	NFA	4/30/2013	25,238,318	20,125,154	5,113,164	6,395,756	2,396,645	3,999,111	1,811,763	1,582,081	229,682	12,503,088
12	6	AMERIPRISE FINANCIAL SERVICES INC	FCM BD	NFA	4/30/2013	123,446,783	1,000,000	122,446,783	0	0	0	0	0	0	0
13	7	AMP GLOBAL CLEARING LLC	FCM	NFA	4/30/2013	2,507,793	1,500,000	1,007,793	42,322,501	40,968,470	1,354,031	762,685	404,308	358,377	0
14	8	BARCLAYS CAPITAL INC	FCM BD	NYME	4/30/2013	6,020,774,967	1,113,713,660	4,907,061,307	7,033,041,364	6,739,781,032	293,260,332	4,198,976,373	3,992,487,369	206,489,004	0
15	9	BGC FINANCIAL LP	FCM BD	NFA	4/30/2013	59,496,466	1,331,501	58,164,965	0	0	0	0	0	0	0
16	10	BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME	4/30/2013	2,507,689,632	238,426,037	2,269,263,595	2,184,789,173	1,968,030,318	216,758,855	21,424,022	3,729,178	17,694,844	0
17	11	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	4/30/2013	1,569,174,367	118,474,189	1,450,700,178	811,608,181	650,593,169	161,015,012	1,000,000	0	1,000,000	0
18	12	BNY MELLON CLEARING LLC	FCM	CME	4/30/2013	290,200,766	9,489,154	280,711,612	427,907,129	241,745,643	186,161,486	37,426,783	19,554,769	17,872,014	0
19	13	BOCI COMMODITIES & FUTURES USA LLC	FCM	NFA	4/30/2013	4,792,981	1,000,000	3,792,981	0	0	0	0	0	0	0
20	14	CANTOR FITZGERALD & CO	FCM BD	CBOT	4/30/2013	202,343,545	5,888,350	196,455,195	6,170,552	1,209,398	4,961,154	0	0	0	0
21	15	CAPITAL MARKET SERVICES LLC	FCM	NFA	4/30/2013	2,243,298	1,000,000	1,243,298	0	0	0	0	0	0	0
22	16	CHS HEDGING INC	FCM	CBOT	4/30/2013	27,497,618	10,837,857	16,659,761	176,778,693	151,657,919	25,120,774	1,271,200	284,357	986,843	0
23	17	CITADEL SECURITIES LLC	FCM BD	CME	4/30/2013	454,848,596	1,000,000	453,848,596	0	0	0	0	0	0	0
24	18	CITIGROUP GLOBAL MARKETS INC	FCM BD	CBOT	4/30/2013	7,395,584,471	699,658,262	6,695,926,209	7,717,514,602	7,516,864,262	200,650,340	1,252,899,436	982,761,465	270,137,971	0
25	19	COMMONWEALTH FOREIGN EXCHANGE INC	FCM	NFA	4/30/2013	1,667,826	1,000,000	667,826	0	0	0	0	0	0	0
26	20	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	4/30/2013	6,456,009,033	1,873,121,086	4,582,887,947	7,787,995,680	6,945,770,639	842,225,041	3,206,286,216	2,768,751,872	437,534,344	0
27	21	CROSSLAND LLC	FCM	CBOT	4/30/2013	7,867,721	2,914,548	4,953,173	81,705,869	79,724,891	1,980,978	15,377,443	14,916,391	461,052	0
28	22	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	4/30/2013	2,805,330	1,261,888	1,543,442	70,864,309	69,900,115	964,194	418,976	287,316	131,660	0
29	23	CX CAPITAL MARKETS LLC	FCM BD	NFA	4/30/2013	1,019,513	1,000,000	19,513	0	0	0	0	0	0	0
30	24	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	4/30/2013	302,533,143	8,568,697	293,964,446	8,610,010	3,970,716	4,639,294	1,020,677	0	1,020,677	0
31	25	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	4/30/2013	8,080,445,880	666,818,838	7,413,627,042	14,990,927,432	14,369,030,422	621,897,010	1,165,509,673	953,559,444	211,950,229	0
32	26	DORMAN TRADING LLC	FCM	CME	4/30/2013	10,138,103	1,678,332	8,459,771	138,182,653	135,322,196	2,860,457	2,213,786	1,788,359	425,427	0
33	27	E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	4/30/2013	19,362,499	5,964,726	13,397,773	162,804,954	155,222,149	7,582,805	1,008,261	402,106	606,155	0
34	28	E TRADE CLEARING LLC	FCM BD	NFA	4/30/2013	668,846,335	125,146,148	543,700,187	42,927,147	32,825,757	10,101,390	1,557,278	557,077	1,000,201	0
35	29	ENSKILDA FUTURES LTD	FCM	CME	4/30/2013	37,865,476	16,019,035	21,846,441	228,141,802	218,108,331	10,033,471	0	0	0	0
36	30	FCSTONE LLC	FCM	CME	4/30/2013	110,344,765	68,953,182	41,391,583	1,573,677,298	1,542,536,599	31,140,699	101,604,913	90,612,324	10,992,589	0
37	31	FOREX CAPITAL MARKETS LLC	FCMRFD	NFA	4/30/2013	54,531,549	26,800,176	27,731,373	0	0	0	0	0	0	146,003,514
38	32	FRIEDBERG MERCANTILE GROUP INC	FCM	NFA	4/30/2013	4,637,016	1,000,000	3,637,016	6,290,410	5,689,472	600,938	1,199,867	1,142,321	57,546	0
39	33	FRONTIER FUTURES INC	FCM	NFA	4/30/2013	1,975,016	1,000,000	975,016	27,573,507	26,816,114	757,393	0	0	0	0
40	34	FX SOLUTIONS LLC	FCMRFD	NFA	4/30/2013	23,518,747	20,000,000	3,518,747	0	0	0	0	0	0	0
41	35	FXDIRECTDEALER LLC	FCMRFD	NFA	4/30/2013	23,551,957	20,831,556	2,720,401	0	0	0	0	0	0	26,631,125
42	36	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	4/30/2013	44,694,198	25,023,137	19,671,061	126,124,225	120,456,333	5,667,892	3,687,625	2,579,211	1,108,414	110,462,727
43	37	GH FINANCIALS LLC	FCM	CME	4/30/2013	8,867,879	1,000,000	7,867,879	1,318,101	825,828	492,273	0	0	0	0
44	38	GLOBAL FUTURES & FOREX LTD	FCMRFD	NFA	4/30/2013	3,147,684	20,000,000	-16,852,316	0	0	0	0	0	0	0
45	39	GOLDMAN SACHS & CO	FCM BD	CBOT	4/30/2013	15,181,528,816	1,932,462,042	13,249,066,774	19,554,428,613	19,062,963,790	491,464,823	9,669,986,599	9,193,885,229	476,101,370	0
46	40	GOLDMAN SACHS EXECUTION & CLEARING LP	FCM BD	CME	4/30/2013	2,040,732,557	110,588,252	1,930,144,305	1,372,429,784	790,078,224	582,351,560	61,800,442	14,360,684	47,439,758	0
47	41	GUGGENHEIM SECURITIES LLC	FCM BD	NFA	4/30/2013	59,321,384	1,311,697	58,009,687	0	0	0	0	0	0	0
48	42	HSBC SECURITIES USA INC	FCM BD	CME	4/30/2013	1,003,315,178	106,744,501	896,570,677	1,060,076,139	995,943,587	64,132,552	86,896,563	70,319,364	16,577,199	0
49	43	IBFX INC	RFED	NFA	4/30/2013	28,126,293	23,231,610	4,894,683	0	0	0	0	0	0	74,632,196
50	44	INSTINET LLC	FCM BD	NFA	4/30/2013	108,011,036	2,631,656	105,379,380	0	0	0	0	0	0	0
51	45	INSTITUTIONAL LIQUIDITY LLC	FCMRFD	NFA	4/30/2013	35,075,678	20,100,095	14,975,583	0	0	0	0	0	0	12,001,902
52	46	INTERACTIVE BROKERS LLC	FCM BD	NFA	4/30/2013	1,678,485,907	251,580,102	1,426,905,805	2,218,269,553	2,032,292,263	185,977,290	629,486,806	524,277,031	105,209,775	40,729,381
53	47	IRONBEAM INC	FCM	NFA	4/30/2013	2,524,994	1,029,153	1,495,841	42,732,134	41,282,421	1,449,713	109,960	2,288	107,672	0
54	48	ITG DERIVATIVES LLC	FCM BD	NFA	4/30/2013	4,549,873	1,000,000	3,549,873	0	0	0	0	0	0	0
55	49	JEFFERIES BACHE LLC	FCM	CBOT	4/30/2013	244,836,000	140,160,640	104,675,360	2,149,266,000	2,047,228,000	102,038,000	180,272,000	109,029,000	71,243,000	0
56	50	JP MORGAN CLEARING CORP	FCM BD	NFA	4/30/2013	6,570,744,794	1,704,872,419	4,865,872,375	917,599,692	689,831,453	227,768,239	607,711,379	352,229,438	255,481,941	0
57	51	JP MORGAN SECURITIES LLC	FCM BD	CEI	4/30/2013	14,000,013,627	1,670,285,863	12,329,727,764	19,153,165,237	17,086,024,125	2,067,141,112	3,560,095,202	3,150,200,041	409,895,161	0
58	52	KNIGHT CAPITAL AMERICAS LLC	FCM BD	CME	4/30/2013	362,605,257	22,622,809	339,982,448	482,999,446	465,936,050	17,063,396	12,096,440	8,250,638	3,845,802	34,190,762
59	53	LEK SECURITIES CORPORATION	FCM BD	NFA	4/30/2013	10,187,773	1,500,000	8,687,773	6,770,586	5,303,026	1,467,560	0	0	0	0
60	54	LINN GROUP THE	FCM	NFA	4/30/2013	3,306,332	2,188,768	1,117,564	75,177,463	71,504,842	3,672,621	347,789	0	347,789	0

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	
1			Reg As	DSRO	A/O	Adjusted	Net Capital	Excess	Customers'	Customers'	Excess/Deficient	Funds in Separate	Customer	Excess/Deficient	Total Amount	
2		Futures Commission Merchant / Retail Foreign Exchange Dealer			Date	Net Capital	Requirement	Net Capital	Assets	Seg Required	Funds in Seg	Section 30.7	Amount Pt. 30	Funds in Separate	of Retail Forex	
3									in Seg	4d(a)(2)		Accounts	Required	Section 30.7	Obligation	
4																
5			(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	
6																
61	55	LPL FINANCIAL LLC	FCM BD	NFA	4/30/2013	166,904,777	6,417,495	160,487,282	0	0	0	0	0	0	0	
62	56	MACQUARIE FUTURES USA LLC	FCM	CBOT	4/30/2013	139,614,370	90,792,751	48,821,619	1,306,197,918	1,148,668,935	157,528,983	30,300,929	23,677,540	6,623,389	0	
63	57	MAREX NORTH AMERICA LLC	FCM	CME	4/30/2013	11,400,381	6,461,092	4,939,289	86,045,347	80,305,558	5,739,789	5,887,526	5,257,777	629,749	0	
64	58	MAREX USA LIMITED	FCM	NFA	4/30/2013	2,882,518	1,000,000	1,882,518	0	0	0	0	0	0	0	
65	59	MB TRADING FUTURES INC	FCMRFD	NFA	4/30/2013	24,402,546	21,490,467	2,912,079	0	0	0	0	0	0	39,809,331	
66	60	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	4/30/2013	13,452,478	3,261,498	10,190,980	871,672,138	851,314,693	20,357,445	2,650,556	0	2,650,556	0	
67	61	MERRILL LYNCH PIERCE FENNER & SMITH	FCM BD	CBOT	4/30/2013	10,697,060,465	808,448,430	9,888,612,035	8,509,611,369	8,112,892,865	396,718,504	2,892,989,162	2,536,252,413	356,736,749	0	
68	62	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	4/30/2013	1,815,021,289	236,960,252	1,578,061,037	1,857,052,166	1,095,744,364	761,307,802	28,813,297	843,886	27,969,411	0	
69	63	MID CO COMMODITIES INC	FCM	NFA	4/30/2013	9,793,942	3,995,029	5,798,913	39,828,612	30,998,921	8,829,691	572,574	0	572,574	0	
70	64	MITSUBISHI UFJ SECURITIES USA INC	FCM BD	NFA	4/30/2013	212,084,178	1,071,998	211,012,180	0	0	0	0	0	0	0	
71	65	MITSUI BUSSAN COMMODITIES USA INC	FCM	NFA	4/30/2013	3,331,833	1,000,000	2,331,833	0	0	0	0	0	0	0	
72	66	MIZUHO SECURITIES USA INC	FCM BD	CME	4/30/2013	434,434,411	177,057,790	257,376,621	2,507,747,638	2,324,155,178	183,592,460	355,160,121	256,274,329	98,885,792	0	
73	67	MORGAN STANLEY & CO LLC	FCM BD	CME	4/30/2013	8,926,079,139	1,420,936,504	7,505,142,635	7,972,926,233	7,756,321,924	216,604,309	2,240,202,762	1,987,473,744	252,729,018	0	
74	68	MORGAN STANLEY SMITH BARNEY LLC	FCM BD	NFA	4/30/2013	2,609,544,517	135,754,370	2,473,790,147	747,912,225	661,492,113	86,420,112	102,399,419	65,974,627	36,424,792	0	
75	69	NATIXIS SECURITIES AMERICAS LLC	FCM BD	NFA	4/30/2013	369,198,255	2,092,869	367,105,386	0	0	0	0	0	0	0	
76	70	NEUBERGER BERMAN LLC	FCM BD	NFA	4/30/2013	55,567,766	1,500,000	54,067,766	0	0	0	0	0	0	0	
77	71	NEWEDGE USA LLC	FCM BD	NYME	4/30/2013	2,016,800,981	1,056,581,750	960,219,231	15,179,039,447	14,574,269,548	604,769,899	3,961,746,345	3,562,397,989	399,348,356	0	
78	72	NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	4/30/2013	2,461,166,207	27,294,749	2,433,871,458	65,118,054	49,078,913	16,039,141	7,576,164	5,493,172	2,082,992	0	
79	73	OANDA CORPORATION	FCMRFD	NFA	4/30/2013	148,427,158	26,936,912	121,490,246	0	0	0	0	0	0	148,738,246	
80	74	OPPENHEIMER & CO INC	FCM BD	NFA	4/30/2013	151,303,866	25,182,364	126,121,502	44,418,754	25,754,467	18,664,287	0	0	0	0	
81	75	OPTIONSXPRESS INC	FCM BD	NFA	4/30/2013	92,456,192	6,140,054	86,316,138	121,407,540	96,858,096	24,549,444	4,083,220	1,579,177	2,504,043	0	
82	76	PHILLIP FUTURES INC	FCM	CME	4/30/2013	27,465,940	20,000,000	7,465,940	197,276,408	174,598,457	22,677,951	3,120,324	690,676	2,429,648	0	
83	77	PIONEER FUTURES INC	FCM	NFA	4/30/2013	1,756,081	1,000,000	756,081	2,822,426	2,556,233	266,193	50,000	0	50,000	0	
84	78	RAND FINANCIAL SERVICES INC	FCM	CME	4/30/2013	77,990,375	23,886,520	54,103,855	388,446,800	347,317,500	41,129,300	36,534,800	14,421,800	22,113,000	0	
85	79	RAYMOND JAMES & ASSOCIATES INC	FCM BD	NFA	4/30/2013	330,244,182	36,442,350	293,801,832	0	0	0	0	0	0	0	
86	80	RBC CAPITAL MARKETS LLC	FCM BD	CME	4/30/2013	1,023,844,540	110,551,782	913,292,758	863,785,469	783,435,405	80,350,064	146,019,827	82,353,001	63,666,826	0	
87	81	RBS SECURITIES INC	FCM BD	CBOT	4/30/2013	4,077,240,197	176,306,611	3,900,933,586	1,865,814,745	1,719,866,182	145,948,563	160,991,924	42,573,894	118,418,030	0	
88	82	RJ OBRIEN ASSOCIATES LLC	FCM	CME	4/30/2013	200,900,877	139,267,633	61,633,244	3,872,215,873	3,753,926,215	118,289,658	189,158,460	163,501,697	25,656,763	1,624,416	
89	83	ROSENTHAL COLLINS GROUP LLC	FCM	CME	4/30/2013	81,656,656	59,387,422	22,269,234	1,514,589,405	1,492,734,715	21,854,690	45,008,018	34,903,036	10,104,982	0	
90	84	SANFORD C BERNSTEIN & CO LLC	FCM BD	NFA	4/30/2013	158,561,117	18,692,993	139,868,124	0	0	0	0	0	0	0	
91	85	SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	4/30/2013	262,266,924	7,585,709	254,681,215	639,861,347	637,468,443	2,392,904	0	0	0	0	
92	86	STATE STREET GLOBAL MARKETS LLC	FCM BD	CME	4/30/2013	509,821,361	9,741,660	500,079,701	293,483,184	137,465,423	156,017,761	48,504,280	8,897,888	39,606,392	0	
93	87	STEPHENS INC	FCM BD	NFA	4/30/2013	114,505,181	10,807,981	103,697,200	0	0	0	0	0	0	0	
94	88	STRAITS FINANCIAL LLC	FCM	CME	4/30/2013	10,044,601	3,043,469	7,001,132	101,151,211	94,124,751	7,026,460	23,016,241	20,971,543	2,044,698	0	
95	89	TD AMERITRADE INC	FCM BD	NFA	4/30/2013	256,364,589	11,031,704	245,332,885	160,511,023	136,589,101	23,921,922	0	0	0	0	
96	90	TIMBER HILL LLC	FCM BD	CME	4/30/2013	327,351,954	53,814,931	273,537,023	693,072,274	690,546,293	2,525,981	0	0	0	0	
97	91	TRADELINK LLC	FCM BD	CBOT	4/30/2013	12,247,912	1,000,000	11,247,912	0	0	0	0	0	0	0	
98	92	TRADESTATION SECURITIES INC	FCM BD	NFA	4/30/2013	50,935,970	3,313,261	47,622,709	396,159,412	386,084,453	10,074,959	15,590,310	14,600,659	989,651	0	
99	93	TULLETT PREBON FINANCIAL SERVICES LLC	FCM BD	NFA	4/30/2013	32,820,319	1,000,000	31,820,319	0	0	0	0	0	0	0	
100	94	UBS FINANCIAL SERVICES INC	FCM BD	NFA	4/30/2013	1,336,080,243	106,127,022	1,229,953,221	134,740,803	105,065,937	29,674,866	24,795,390	851,690	23,943,700	0	
101	95	UBS SECURITIES LLC	FCM BD	CBOT	4/30/2013	11,444,487,395	983,792,486	10,460,694,909	9,783,327,413	9,095,272,782	688,054,631	4,445,781,953	3,935,052,261	510,729,692	0	
102	96	VELOCITY FUTURES LLC	FCM	NFA	4/30/2013	1,149,773	1,000,000	149,773	65,169,648	64,379,438	790,210	1,826,671	1,252,890	573,781	0	
103	97	VISION FINANCIAL MARKETS LLC	FCM BD	CME	4/30/2013	34,118,074	12,060,153	22,057,921	516,027,080	503,094,530	12,932,550	12,466,521	9,882,948	2,583,573	0	
104	98	WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	FCM BD	NFA	4/30/2013	51,169,774	1,000,000	50,169,774	0	0	0	0	0	0	0	
105	99	WELLS FARGO ADVISORS LLC	FCM BD	NFA	4/30/2013	1,372,034,864	1,500,000	1,370,534,864	0	0	0	0	0	0	0	
106	100	WELLS FARGO SECURITIES LLC	FCM BD	CME	4/30/2013	1,835,259,947	16,307,895	1,818,952,052	10,026,860	0	10,026,860	0	0	0	0	
107	101	WHITE COMMERCIAL CORPORATION	FCM	NFA	4/30/2013	2,334,146	1,000,000	1,334,146	0	0	0	0	0	0	0	
108	102	XCHANGE FINANCIAL ACCESS LLC	FCM BD	NFA	4/30/2013	5,371,265	1,000,000	4,371,265	34,131,612	31,963,159	2,168,453	0	0	0	0	
109	103	XPRESSTRADE LLC	RFED	NFA	4/30/2013	22,862,666	20,000,000	2,862,666	0	0	0	0	0	0	433,235	
110	104	YORK BUSINESS ASSOCIATES LLC	FCM	NFA	4/30/2013	4,205,893	1,000,000	3,205,893	57,256,918	55,245,824	2,011,094	2,369,104	1,849,239	519,865	0	
111									157,922,371,605	147,167,693,690	10,754,677,915	40,011,978,423	35,327,066,781	4,684,911,642	647,759,923	
112																
113		Totals							157,922,371,605	147,167,693,690	10,754,677,915	40,011,978,423	35,327,066,781	4,684,911,642	647,759,923	
114																
115		March Web Page Update	105													

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