

SELECTED FCM FINANCIAL DATA AS OF

April 30, 2014

FROM REPORTS FILED BY

June 01, 2014

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U
1		Futures Commission Merchant /	Registered	DSRO	As of	Adjusted Net Capital	Net Capital	Excess Net Capital	Customers' Assets	Customers' Seg	Excess/Deficient	Target Residual	Funds in Separate	Customer Amount	Excess/Deficient	Target Residual	Funds in Separate	Customer Amount	Excess/Deficient	Target Residual	Total Amount of
2		Retail Foreign Exchange Dealer	As		Date		Requirement		in Seg	Required Ad(a)(2)	Funds in Seg	Interest in Seg	Section 30.7	Pt. 30 Required	Funds in Separate	Interest in Section	Cleared Swap	Cleared Swap Seg	Funds in Cleared	Interest in Cleared	Retail Forex
3													Accounts		Section 30.7	30.7	Segregation	Required	Swap Seg Accounts	Swap Seg	Obligation
4			(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	(n)	(o)	(p)	(q)
5																					
6	1	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	4/30/2014	490,994,594	129,541,965	361,452,629	2,867,078,926	2,485,493,021	381,585,905	127,972,430	183,802,608	137,204,758	46,597,850	20,580,714	0	0	0	0	0
7	2	ADM INVESTOR SERVICES INC	FCM	CBOT	4/30/2014	287,066,894	175,969,548	111,097,346	3,467,068,160	3,228,066,646	239,001,514	120,000,000	255,642,013	194,990,207	60,651,806	20,000,000	12,550,840	2,672,610	9,878,230	8,000,000	0
8	3	ADVANTAGE FUTURES LLC	FCM	CME	4/30/2014	21,709,645	11,817,722	9,891,923	435,735,441	424,495,476	11,239,965	7,500,000	39,435,144	37,659,656	1,775,488	1,000,000	0	0	0	0	0
9	4	ALPARI (US) LLC	FCM	NFA	4/30/2014	3,215,272	1,000,000	2,215,272	0	0	0	0	0	0	0	0	0	0	0	0	32,249
10	5	AMERIPRISE FINANCIAL SERVICES INC	FCM BD	NFA	4/30/2014	178,011,319	1,000,000	177,011,319	0	0	0	0	0	0	0	0	0	0	0	0	0
11	6	AMP GLOBAL CLEARING LLC	FCM	NFA	4/30/2014	2,504,338	1,500,000	1,004,338	56,665,889	55,160,977	1,504,912	900,000	890,510	467,916	422,594	150,000	0	0	0	0	0
12	7	BARCLAYS CAPITAL INC	FCM BD	NYME	4/30/2014	6,646,608,043	1,416,801,097	5,229,806,946	6,984,934,496	6,253,894,897	731,039,599	125,077,898	4,460,245,986	4,219,819,303	240,426,683	126,594,579	5,748,312,435	4,876,409,676	871,902,759	536,405,064	0
13	8	BGC FINANCIAL LP	FCM BD	NFA	4/30/2014	56,018,222	5,276,700	50,741,522	0	0	0	0	0	0	0	0	0	0	0	0	0
14	9	BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME	4/30/2014	3,311,250,349	220,027,925	3,091,222,424	3,303,108,086	2,922,862,462	380,245,624	292,286,246	20,176,529	2,170,090	18,006,439	10,000,000	10,100,000	0	10,100,000	5,000,000	0
15	10	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	4/30/2014	1,775,420,341	186,381,266	1,589,039,075	1,156,883,276	930,516,725	226,366,551	186,103,345	34,077,207	10,428,246	23,648,961	1,042,825	265,641,887	205,045,319	60,596,568	20,504,532	0
16	11	BOCI COMMODITIES & FUTURES USA LLC	FCM	NFA	4/30/2014	3,912,715	1,000,000	2,912,715	0	0	0	0	0	0	0	0	0	0	0	0	0
17	12	CANTOR FITZGERALD & CO	FCM BD	CBOT	4/30/2014	283,462,537	7,839,301	275,623,236	4,969,921	0	4,969,921	3,000,000	0	0	0	0	0	0	0	0	0
18	13	CHS HEDGING LLC	FCM	CBOT	4/30/2014	25,578,329	14,664,121	10,914,208	184,286,422	158,787,710	25,498,712	13,100,000	949,761	228,751	721,010	235,000	640,943	0	640,943	310,000	0
19	14	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	4/30/2014	5,978,993,109	941,952,335	5,037,040,774	5,235,415,609	4,936,932,636	298,482,973	299,700,000	1,172,683,128	917,656,554	255,026,574	180,000,000	4,874,577,612	4,518,100,081	356,477,531	258,184,670	0
20	15	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	4/30/2014	8,819,168,181	2,172,341,560	6,646,826,621	9,181,927,607	7,367,847,870	1,814,079,737	368,392,393	3,426,355,220	2,541,723,400	884,631,820	127,086,170	8,377,889,722	5,539,217,467	2,838,672,255	276,960,873	0
21	16	CROSSLAND LLC	FCM	CBOT	4/30/2014	9,718,224	1,736,951	7,981,273	79,550,163	77,369,935	2,180,228	1,000,000	6,688,774	5,836,195	852,579	500,000	0	0	0	0	0
22	17	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	4/30/2014	5,451,720	1,195,093	4,256,627	56,835,429	52,670,372	4,165,057	3,050,000	530,235	326,436	203,799	100,000	0	0	0	0	0
23	18	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	4/30/2014	562,265,131	10,311,334	551,953,797	9,542,256	4,060,249	5,482,007	4,060,249	632,239	0	632,239	1	0	0	0	0	0
24	19	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	4/30/2014	9,697,444,554	668,950,878	9,028,493,676	13,439,141,835	12,807,347,362	631,794,473	500,000,000	1,384,713,189	1,007,959,750	376,753,439	200,000,000	1,611,047,847	1,272,215,601	338,832,246	250,000,000	0
25	20	DORMAN TRADING LLC	FCM	CME	4/30/2014	11,417,370	1,791,119	9,626,251	142,854,861	136,230,972	3,376,111	2,000,000	2,885,232	560,188	0	200,000	0	0	0	0	0
26	21	E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	4/30/2014	50,815,909	13,243,042	37,572,867	345,695,030	328,545,047	17,149,983	2,000,000	7,594,636	5,896,532	1,698,104	294,827	0	0	0	0	0
27	22	E TRADE CLEARING LLC	FCM BD	NFA	4/30/2014	715,612,759	158,568,275	557,044,484	48,473,515	36,746,693	11,726,822	10,000,000	1,760,754	751,997	1,008,757	1,000,000	0	0	0	0	0
28	23	EFL FUTURES LIMITED	FCM	CME	4/30/2014	38,721,721	17,992,412	20,729,309	253,759,521	240,823,454	12,936,067	5,000,000	0	0	0	0	0	0	0	0	0
29	24	FCSTONE LLC	FCM	CME	4/30/2014	116,890,299	83,969,709	32,920,590	1,874,780,672	1,850,286,330	24,494,342	20,000,000	63,325,193	46,688,406	16,636,787	14,000,000	0	0	0	0	0
30	25	FIXI AMERICAS LLC	FCM	NFA	4/30/2014	1,518,963	1,000,000	518,963	0	0	0	0	0	0	0	0	0	0	0	0	0
31	26	FOREX CAPITAL MARKETS LLC	FCMRFD SD	NFA	4/30/2014	67,037,296	27,932,891	39,104,405	0	0	0	0	0	0	0	0	0	0	0	168,657,814	0
32	27	FRIEDBERG MERCANTILE GROUP INC	FCM	NFA	4/30/2014	3,632,458	1,000,000	2,632,458	3,513,889	2,446,795	1,067,094	1,000,000	1,126,083	107,657	1,018,426	1,000,000	0	0	0	0	0
33	28	FRONTIER FUTURES INC	FCM	NFA	4/30/2014	1,807,888	1,000,000	807,888	22,984,397	21,862,321	1,122,076	299,890	0	0	0	0	0	0	0	0	0
34	29	FXDIRECTDEALER LLC	FCMRFD SD	NFA	4/30/2014	21,292,832	20,869,181	423,651	0	0	0	0	0	0	0	0	0	0	0	27,383,621	0
35	30	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	4/30/2014	40,398,512	24,685,978	15,712,534	161,201,114	153,316,710	7,884,404	2,500,000	5,685,615	3,759,710	1,925,905	312,500	0	0	0	103,719,550	0
36	31	GH FINANCIALS LLC	FCM	CME	4/30/2014	10,267,765	1,188,695	9,079,070	20,193,089	17,510,424	2,682,665	575,000	633,382	371,078	262,304	75,000	0	0	0	0	0
37	32	GLOBAL FUTURES & FOREX LTD	FCMRFD SD	NFA	4/30/2014	5,584,591	1,000,000	4,584,591	0	0	0	0	0	0	0	0	0	0	0	0	0
38	33	GOLDMAN SACHS & CO	FCM BD SD	CBOT/NFA	4/30/2014	17,454,414,123	2,109,556,993	15,344,857,130	20,127,925,991	19,526,680,990	601,245,001	475,000,000	8,930,656,127	8,365,519,701	565,136,426	475,000,000	2,466,474,865	2,169,755,203	296,719,662	150,000,000	0
39	34	GOLDMAN SACHS EXECUTION & CLEARING LP	FCM BD	CME	4/30/2014	1,584,670,698	141,900,207	1,442,770,491	1,361,571,010	786,418,153	575,152,857	540,000,000	64,916,258	18,262,639	46,653,619	40,000,000	0	0	0	0	0
40	35	GUGGENHEIM SECURITIES LLC	FCM BD	NFA	4/30/2014	70,858,255	1,454,329	69,403,926	0	0	0	0	0	0	0	0	0	0	0	0	0
41	36	HSBC SECURITIES USA INC	FCM BD	CME	4/30/2014	957,321,200	163,015,269	794,305,931	1,178,273,519	1,081,540,285	96,733,234	50,000,000	162,670,804	104,051,124	58,619,680	44,468,937	349,510,992	293,186,435	56,324,557	30,000,000	0
42	37	IBFX INC	RFED SD	NFA	4/30/2014	29,602,158	23,028,151	6,574,007	0	0	0	0	0	0	0	0	0	0	0	67,634,783	0
43	38	INSTITUTIONAL LIQUIDITY LLC	FCMRFD	NFA	4/30/2014	34,527,685	20,000,000	14,527,685	1,609,891	0	1,609,891	500,000	0	0	0	0	0	0	0	745,997	0
44	39	INTERACTIVE BROKERS LLC	FCM BD	NFA	4/30/2014	2,146,826,499	320,338,888	1,826,487,611	2,318,769,335	2,103,161,147	215,608,188	150,000,000	403,659,716	302,512,006	101,147,710	80,000,000	0	0	0	41,791,409	0
45	40	IRONBEAM INC	FCM	NFA	4/30/2014	2,375,941	1,000,000	1,375,941	33,227,269	31,974,406	1,252,863	800,000	111,499	0	111,499	50,000	0	0	0	0	0
46	41	ITG DERIVATIVES LLC	FCM BD	NFA	4/30/2014	4,402,172	1,000,000	3,402,172	0	0	0	0	0	0	0	0	0	0	0	0	0
47	42	JEFFERIES BACHE LLC	FCM	CBOT	4/30/2014	202,483,000	117,990,160	84,492,840	2,106,671,000	2,005,081,000	101,590,000	90,000,000	203,215,000	131,533,000	71,682,000	50,000,000	51,131,000	30,660,000	20,471,000	5,000,000	0
48	43	JP MORGAN CLEARING CORP	FCM BD	NFA	4/30/2014	7,243,015,734	1,930,784,764	5,312,230,970	946,184,049	625,647,758	320,536,291	56,308,298	576,992,634	364,851,883	212,140,751	32,836,669	250,000	0	250,000	1	0
49	44	JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	4/30/2014	13,176,043,406	2,199,327,409	10,976,715,997	19,478,816,961	17,379,401,530	2,099,415,431	1,564,146,138	3,612,425,993	3,259,890,884	352,535,109	293,390,180	3,910,272,937	3,361,293,348	548,979,589	302,516,401	0
50	45	KCG AMERICAS LLC	FCM BD	CME	4/30/2014	384,544,473	31,593,109	352,951,364	617,815,028	600,358,143	17,456,885	15,000,000	10,551,913	7,011,855	3,540,058	2,500,000	0	0	0	31,425,262	0
51	46	LEK SECURITIES CORPORATION	FCM BD	NFA	4/30/2014	8,604,028	1,500,000	7,104,028	853,788	595,589	258,199	200,000	0	0	0	0	0	0	0	0	0
52	47	LINN GROUP THE	FCM	NFA	4/30/2014	3,429,873	2,079,379	1,350,494	76,802,899	73,254,07											

	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U
1																				
2	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
3		(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	(n)	(o)	(p)	(q)
4																				
5																				
88	83 WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	FCM BD	NFA	4/30/2014	61,979,248	1,000,000	60,979,248	0	0	0	0	0	0	0	0	0	0	0	0	0
89	84 WELLS FARGO ADVISORS LLC	FCM BD	NFA	4/30/2014	2,096,246,657	1,500,000	2,094,746,657	0	0	0	0	0	0	0	0	0	0	0	0	0
90	85 WELLS FARGO SECURITIES LLC	FCM BD	CME	4/30/2014	2,736,683,192	215,871,191	2,520,812,001	604,727,851	463,140,197	141,587,654	25,000,000	11,483,728	1,443,571	10,040,157	3,000,000	1,317,557,958	1,136,985,319	180,572,639	100,000,000	0
91	86 WHOTRADES FX LLC	FCM	NFA	4/30/2014	1,903,714	1,000,000	903,714	0	0	0	0	0	0	0	0	0	0	0	0	0
92	87 XCHANGE FINANCIAL ACCESS LLC	FCM BD	NFA	4/30/2014	6,546,357	1,203,114	5,343,243	28,228,307	26,146,022	2,082,285	1,000,000	0	0	0	0	0	0	0	0	0
93	88 YORK BUSINESS ASSOCIATES LLC	FCM	NFA	4/30/2014	4,934,582	1,000,000	3,934,582	49,670,547	46,366,186	3,304,361	700,000	2,085,798	1,756,557	329,241	200,000	0	0	0	0	0
94																				
95																				
96	Totals							161,655,442,500	148,977,043,218	12,678,399,282	7,551,027,319	39,785,045,761	34,624,074,642	5,160,971,119	3,038,688,699	36,672,734,101	30,228,158,799	6,444,575,302	2,615,190,088	595,243,894
97																				
98	March Web Page Update	90																		
99																				
100	Additions	0																		
101	None																			
102																				
103	Deletions	2																		
104	CAPITAL MARKET SERVICES LLC																			
105	WHITE COMMERCIAL CORPORATION																			
106																				
107	Name Changes																			
108	CHS HEDGING INC to CHS HEDGING LLC																			
109																				
110	April Web Page Update	88																		
111																				
112	(a): FCM: Futures Commission Merchant that is registered with the Commodity Futures Trading Commission.																			
113	BD: The FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer.																			
114	RFED: Retail Foreign Exchange Dealer that is registered with the Commodity Futures Trading Commission.																			
115	FCMRFD: The FCM is also registered with the Commodity Futures Trading Commission as a Retail Foreign Exchange Dealer.																			
116	SD: The FCM or RFED is also registered with the Commodity Futures Trading Commission as a provisionally registered swap dealer.																			
117																				
118	(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.																			
119																				
120	(c): A firm's net capital requirement is the greater of:																			
121																				
122	• FCM minimum dollar amount (\$1,000,000); or																			
123	• risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk maintenance margin; or																			
124	• the amount of capital required by a registered futures association (currently NFA is the only such association); or																			
125	• for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; or																			
126	• minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000); or																			
127	• 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.																			
128																				
129	(d): Excess net capital is adjusted net capital, less the firm's net capital requirement.																			
130																				
131	(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.																			
132																				
133	(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.																			
134																				
135	(g): Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.																			
136																				
137	(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.																			
138																				
139	(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.																			
140																				
141	(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.																			
142																				
143	(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.																			
144																				
145	(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.																			
146																				
147	(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.																			
148																				
149	(n): This represents the amount of funds an FCM is required to segregate for customers who trade cleared swaps.																			
150																				
151	(o): Excess/Deficient funds in cleared swap customer accounts is funds in separate cleared swap segregation accounts, less the cleared swap customer segregation requirement.																			
152																				
153	(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.																			
154																				
155	(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.																			