

SELECTED FCM FINANCIAL DATA AS OF
October 31, 2009
FROM REPORTS FILED BY
November 30, 2009

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	3DFOREX LLC	N	NFA	10/31/2009	5,018,448	500,000	4,518,448	0	0
2	ACM USA LLC	N	NFA	10/31/2009	773,210	500,000	273,210	0	0
3	ADM INVESTOR SERVICES INC	N	CBOT	10/31/2009	169,156,501	95,118,168	74,038,333	2,051,211,637	88,092,617
4	ADVANCED MARKETS LLC	N	NFA	10/31/2009	20,582,254	20,000,000	582,254	0	0
5	ADVANTAGE FUTURES LLC	N	CME	10/30/2009	18,537,325	9,211,544	9,325,781	275,209,561	19,803,120
6	AIG CLEARING CORPORATION	N	NYME	10/31/2009	227,628,621	568,426	227,060,195	0	0
7	ALLIANZ GLOBAL INVESTORS DISTRIBUTORS LLC*	Y	NFA	09/30/2009	20,468,279	7,257,790	13,210,489	0	0
8	ALPARI (US) LLC	N	NFA	10/30/2009	20,917,062	20,000,000	917,062	0	0
9	AMERIPRISE ADVISOR SERVICES INC	Y	NFA	10/31/2009	20,488,571	500,000	19,988,571	0	0
10	AMERIPRISE FINANCIAL SERVICES, INC.	Y	NFA	10/30/2009	52,420,496	500,000	51,920,496	0	0
11	BANC OF AMERICA SECURITIES LLC	Y	CME	10/30/2009	2,323,526,860	131,285,014	2,192,241,846	0	0
12	BARCLAYS CAPITAL INC	Y	NYME	10/30/2009	5,505,961,169	612,737,897	4,893,223,272	4,289,735,371	1,928,270,402
13	BGC FINANCIAL LP	Y	NFA	10/31/2009	28,889,788	500,000	28,389,788	0	0
14	BNP PARIBAS COMMODITY FUTURES INC	N	NYME	10/31/2009	305,100,341	190,695,161	114,405,180	2,017,964,165	599,488,485
15	BNP PARIBAS SECURITIES CORP	Y	CBOT	10/31/2009	1,832,887,737	74,827,369	1,758,060,368	345,075,800	0
16	CADENT FINANCIAL SERVICES LLC	N	NFA	10/31/2009	3,006,416	500,000	2,506,416	290,327	0
17	CANTOR FITZGERALD & CO	Y	CBOT	10/31/2009	143,716,505	4,088,898	139,627,607	11,118,509	0
18	CAPITAL MARKET SERVICES LLC	N	NFA	10/31/2009	24,293,726	20,000,000	4,293,726	0	0
19	CIBC WORLD MARKETS CORP	Y	CME	10/30/2009	1,362,511,002	1,500,000	1,361,011,002	0	0
20	CITADEL SECURITIES LLC	Y	CME	10/31/2009	324,775,467	1,000,000	323,775,467	0	0
21	CITIGROUP GLOBAL MARKETS INC	Y	CBOT	10/30/2009	8,907,918,611	715,312,769	8,192,605,842	10,686,178,262	1,102,827,144
22	COMMONWEALTH FOREIGN EXCHANGE INC	N	NFA	10/31/2009	960,888	500,000	460,888	0	0
23	COMPASS PROFESSIONAL SERVICES LLC	Y	NFA	10/31/2009	3,334,737	500,000	2,834,737	0	0
24	COUNTRY HEDGING INC	N	NFA	10/31/2009	14,125,370	7,064,278	7,061,092	124,422,745	50,691
25	CREDIT SUISSE SECURITIES (USA) LLC	Y	CBOT	10/30/2009	9,063,849,309	701,253,755	8,362,595,554	3,867,328,474	1,589,778,565
26	CROSSLAND LLC	N	CBOT	10/31/2009	7,695,953	6,120,284	1,575,669	77,486,012	29,499,746
27	CUNNINGHAM COMMODITIES LLC	N	CBOT	10/31/2009	3,270,652	695,278	2,575,374	36,637,852	29,040
28	CX CAPITAL MARKETS LLC	N	NFA	10/31/2009	766,654	500,000	266,654	8,270,109	0
29	DAIWA SECURITIES AMERICA INC	Y	CME	10/31/2009	277,880,769	1,068,743	276,812,026	3,443,687	46,698
30	DEUTSCHE BANK SECURITIES INC	Y	CBOT	10/30/2009	8,187,943,756	503,663,118	7,684,280,638	12,336,926,264	1,113,274,638
31	DORMAN TRADING LLC	N	CME	10/31/2009	8,214,126	617,245	7,596,881	86,179,150	96,143
32	EAGLE MARKET MAKERS INC	N	CBOT	10/31/2009	5,505,256	500,000	5,005,256	4,969,143	0
33	EASY FOREX US LTD	N	NFA	10/31/2009	20,741,481	20,000,000	741,481	0	0
34	ELECTRONIC BROKERAGE SYSTEMS LLC	Y	NFA	10/31/2009	8,449,884	561,412	7,888,472	0	0
35	ENSKILDA FUTURES LTD	N	CME	10/31/2009	26,877,854	18,270,018	8,607,836	275,978,631	0
36	FARR FINANCIAL INC	N	NFA	10/31/2009	948,246	508,955	439,291	33,505,572	14,273
37	FCSTONE LLC	N	CME	10/31/2009	71,130,909	34,284,455	36,846,454	901,885,966	7,062,491
38	FOREX CAPITAL MARKETS LLC	N	NFA	10/31/2009	58,476,917	20,000,000	38,476,917	0	0
39	FOREX CLUB FINANCIAL COMPANY INC	N	NFA	10/31/2009	23,265,616	20,000,000	3,265,616	0	0
40	FORTIS CLEARING AMERICAS LLC	Y	CBOT	10/30/2009	194,811,233	47,530,346	147,280,887	1,090,407,137	48,387,028
41	FRIEDBERG MERCANTILE GROUP INC	N	NFA	10/31/2009	3,363,497	500,000	2,863,497	4,932,231	0

October 31, 2009
FROM REPORTS FILED BY
November 30, 2009

	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)
42	FRONTIER FUTURES INC	N	NFA	10/31/2009	1,388,191	812,356	575,835	29,086,557	0
43	FUTURES TECH LLC	N	NFA	10/31/2009	829,834	500,000	329,834	0	0
44	FX SOLUTIONS LLC	N	NFA	10/31/2009	51,363,406	20,000,000	31,363,406	0	0
45	GAIN CAPITAL GROUP LLC	N	NFA	10/31/2009	88,480,392	20,000,000	68,480,392	0	0
46	GENESIS FUTURES LLC	N	NFA	10/31/2009	762,217	500,000	262,217	0	0
47	GFS FOREX & FUTURES INC	N	NFA	10/31/2009	3,344,534	500,000	2,844,534	0	0
48	GILDER GAGNON HOWE & CO LLC	Y	NFA	10/31/2009	17,342,879	500,000	16,842,879	0	0
49	GLOBAL FUTURES & FOREX LTD	N	NFA	10/31/2009	72,387,067	20,000,000	52,387,067	297,559	215,506
50	GOLDMAN SACHS & CO	Y	CBOT	10/31/2009	12,967,754,549	1,818,122,992	11,149,631,557	16,291,493,811	6,787,548,538
51	GOLDMAN SACHS EXECUTION & CLEARING LP	Y	CME	10/30/2009	1,864,218,375	103,952,992	1,760,265,383	1,272,002,551	20,597,630
52	HOTSPOT FXR LLC	N	NFA	10/31/2009	6,608,657	500,000	6,108,657	0	0
53	HSBC SECURITIES USA INC	Y	CME	10/30/2009	1,476,512,068	70,363,915	1,406,148,153	744,991,310	110,815,037
54	I TRADE FX LLC	N	NFA	10/31/2009	1,572,484	500,000	1,072,484	0	0
55	ICAP FUTURES LLC	N	NFA	10/31/2009	13,262,459	500,000	12,762,459	0	0
56	IG MARKETS INC	N	NFA	10/31/2009	30,879,366	20,000,000	10,879,366	0	0
57	IKON GLOBAL MARKETS INC	N	NFA	10/31/2009	21,934,409	20,000,000	1,934,409	2,791,654	740,115
58	INSTINET LLC	Y	NFA	10/30/2009	113,797,139	1,500,000	112,297,139	0	0
59	INTEGRATED BROKERAGE SERVICES LLC	N	NFA	10/31/2009	1,275,305	500,000	775,305	0	0
60	INTERACTIVE BROKERS LLC	Y	NFA	10/31/2009	717,067,516	78,358,228	638,709,288	389,739,372	143,427,041
61	INTERBANK FX LLC	N	NFA	10/31/2009	34,157,710	20,000,000	14,157,710	0	0
62	ITG DERIVATIVES LLC	Y	NFA	10/31/2009	3,509,646	526,729	2,982,917	0	0
63	JP MORGAN CLEARING CORP	Y	CME	10/31/2009	4,895,466,187	1,539,141,452	3,356,324,735	508,358,508	276,421,594
64	JP MORGAN FUTURES INC	N	NYME	10/31/2009	2,216,498,601	1,104,850,944	1,111,647,657	14,140,187,312	1,867,905,720
65	JP MORGAN SECURITIES INC	Y	NFA	10/31/2009	8,500,495,186	539,283,137	7,961,212,049	0	0
66	LADENBURG THALMANN & CO INC	Y	NFA	10/31/2009	2,773,571	500,000	2,273,571	0	0
67	LEK SECURITIES CORPORATION	Y	NFA	10/31/2009	13,458,667	1,500,000	11,958,667	209,264	0
68	LIMESTONE TRADING LLC	N	NFA	10/31/2009	13,057,346	500,000	12,557,346	0	0
69	LINN GROUP THE	N	NFA	10/31/2009	2,824,550	690,908	2,133,642	33,231,708	1,020
70	LPL FINANCIAL CORPORATION	Y	NFA	10/30/2009	95,784,784	5,933,457	89,851,327	0	0
71	MACQUARIE FUTURES USA INC	N	CBOT	10/30/2009	67,662,414	42,885,187	24,777,227	735,997,500	699,418
72	MAREX USA LIMITED	N	NFA	10/31/2009	1,463,244	500,000	963,244	0	0
73	MB TRADING FUTURES INC	N	NFA	10/31/2009	22,950,790	20,000,000	2,950,790	0	0
74	MBF CLEARING CORP	N	NYME	10/31/2009	10,979,055	1,509,734	9,469,321	81,994,896	6,496,867
75	MCVEAN TRADING & INVESTMENTS LLC	N	NFA	10/31/2009	8,504,928	2,301,322	6,203,606	536,508,699	0
76	MERRILL LYNCH PIERCE FENNER & SMITH	Y	CBOT	10/31/2009	5,456,487,605	606,505,782	4,849,981,823	8,215,483,732	829,087,730
77	MERRILL LYNCH PROFESSIONAL CLEARING CORP	Y	NFA	10/31/2009	1,411,995,342	100,850,748	1,311,144,594	1,232,025,946	29,020,704
78	MF GLOBAL INC	Y	CME	10/30/2009	627,325,972	370,322,213	257,003,759	7,919,452,806	433,445,933
79	MG FINANCIAL LLC	N	NFA	10/31/2009	5,025,247	500,000	4,525,247	0	0
80	MID CO COMMODITIES INC	N	NFA	10/31/2009	11,247,246	1,953,642	9,293,604	28,269,120	0
81	MITSUBISHI UFJ SECURITIES USA INC	Y	NFA	10/31/2009	70,483,154	1,359,029	69,124,125	0	0
82	MITSUMI BUSSAN COMMODITIES USA INC	N	NYME	10/31/2009	7,841,230	2,680,621	5,160,609	0	0
83	MIZUHO SECURITIES USA INC	Y	CME	10/30/2009	331,959,992	37,569,917	294,390,075	624,502,301	251,008,641

October 31, 2009
FROM REPORTS FILED BY
November 30, 2009

	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)
84	MORGAN KEEGAN & COMPANY INC	Y	NFA	10/31/2009	395,340,547	9,971,324	385,369,223	0	0
85	MORGAN STANLEY & CO INCORPORATED	Y	CME	10/30/2009	9,630,591,564	932,853,457	8,697,738,107	4,382,889,484	3,393,938,749
86	MORGAN STANLEY SMITH BARNEY LLC	Y	NFA	10/30/2009	488,891,939	500,000	488,391,939	0	0
87	NATIXIS SECURITIES NORTH AMERICA INC	Y	NFA	10/30/2009	211,796,118	500,000	211,296,118	0	0
88	NEUBERGER BERMAN LLC	Y	NFA	10/31/2009	99,904,399	1,500,000	98,404,399	0	0
89	NEWEDGE USA LLC	Y	NYME	10/31/2009	2,364,720,485	1,302,715,831	1,062,004,654	19,185,392,530	7,501,020,400
90	NOMURA SECURITIES INTERNATIONAL INC	Y	CBOT	10/30/2009	753,057,404	4,038,125	749,019,279	0	0
91	OANDA CORPORATION	N	NFA	10/31/2009	162,232,690	20,000,000	142,232,690	0	0
92	OPEN E CRY LLC	N	NFA	10/31/2009	3,327,725	560,783	2,766,942	71,462,543	781,755
93	OPPENHEIMER & CO INC	Y	NFA	10/30/2009	159,824,688	21,094,326	138,730,362	22,809,941	0
94	OPTIONSXPRESS INC	Y	NFA	10/30/2009	92,718,307	11,624,722	81,093,585	56,097,722	1,111,347
95	PENSON GHCO	N	CBOT	10/31/2009	21,078,408	14,767,830	6,310,578	417,865,565	25,705,804
96	PEREGRINE FINANCIAL GROUP INC	N	NFA	10/31/2009	32,753,161	20,000,000	12,753,161	341,626,545	32,202,414
97	PIONEER FUTURES INC	N	NYME	10/31/2009	1,511,451	500,000	1,011,451	0	0
98	PRUDENTIAL BACHE COMMODITIES LLC	N	CBOT	10/31/2009	221,208,000	180,519,680	40,688,320	3,030,797,000	316,198,000
99	RAND FINANCIAL SERVICES INC	N	CME	10/31/2009	59,990,812	9,625,082	50,365,730	89,861,000	39,902,900
100	RAYMOND JAMES & ASSOCIATES INC	Y	NFA	10/31/2009	402,571,122	25,802,762	376,768,360	0	0
101	RBC CAPITAL MARKETS CORPORATION	Y	CME	10/30/2009	1,084,624,191	105,478,517	979,145,674	765,339,940	831,332,837
102	RBS SECURITIES INC	Y	CBOT	10/31/2009	1,354,132,000	184,650,000	1,169,482,000	1,325,222,000	113,111,000
103	RJ OBRIEN ASSOCIATES LLC	N	CME	10/31/2009	112,011,810	61,589,834	50,421,976	2,012,149,864	34,229,967
104	ROBBINS FUTURES INC	N	NFA	10/31/2009	560,383	500,000	60,383	2,422,245	0
105	ROSENTHAL COLLINS GROUP LLC	N	CME	10/31/2009	56,153,626	34,512,146	21,641,480	1,246,272,363	17,238,772
106	ROSENTHAL GLOBAL SECURITIES LLC	Y	NFA	10/31/2009	30,004,982	805,696	29,199,286	0	0
107	SANFORD C BERNSTEIN & CO LLC	Y	NFA	10/30/2009	158,319,897	10,844,081	147,475,816	0	0
108	SANTANDER INVESTMENT SECURITIES INC	Y	NFA	10/31/2009	83,279,837	963,421	82,316,416	0	0
109	SHAY GRAIN CLEARING COMPANY	N	KCBT	10/31/2009	2,561,219	500,000	2,061,219	12,742,972	0
110	SMW TRADING COMPANY INC	N	CME	10/31/2009	33,193,196	500,000	32,693,196	4,395,114	0
111	STATE STREET GLOBAL MARKETS LLC	Y	NFA	10/31/2009	278,689,635	500,000	278,189,635	0	0
112	STEPHENS INC	Y	NFA	10/31/2009	57,651,235	11,461,417	46,189,818	0	0
113	STERLING COMMODITIES CORP	N	NYME	10/31/2009	8,043,816	713,399	7,330,417	28,801,553	813,427
114	TCA FUTURES LLC	N	NFA	10/31/2009	861,177	500,000	361,177	0	0
115	TD AMERITRADE INC	Y	NFA	10/31/2009	297,070,337	500,000	296,570,337	0	0
116	TENCO INC	N	CBOT	10/31/2009	47,184,063	6,883,030	40,301,033	188,932,133	0
117	TERRA NOVA FINANCIAL LLC	Y	NFA	10/31/2009	11,329,636	1,500,000	9,829,636	0	0
118	TIMBER HILL LLC	Y	CME	10/31/2009	1,026,813,621	26,707,931	1,000,105,690	291,569,314	0
119	TOWER RESEARCH CAPITAL EUROPE LLC	N	NFA	10/31/2009	3,108,467	500,000	2,608,467	0	0
120	TRADELINK LLC	Y	CBOT	10/31/2009	23,454,317	500,000	22,954,317	0	0
121	TRADESTATION SECURITIES INC	Y	NFA	10/31/2009	89,526,799	1,778,802	87,747,997	0	0
122	TRADITION SECURITIES AND FUTURES INC	N	NFA	10/31/2009	770,389	500,000	270,389	0	0
123	TRANSMARKET GROUP LLC	Y	CBOT	10/31/2009	12,871,501	500,000	12,371,501	0	0
124	TRILAND USA INC	N	NYME	10/31/2009	30,990,975	12,368,627	18,622,348	186,872,401	38,785,450
125	UBS FINANCIAL SERVICES INC	Y	NFA	10/30/2009	934,601,902	87,242,133	847,359,769	122,100,887	1,278,567

SELECTED FCM FINANCIAL DATA AS OF
October 31, 2009
FROM REPORTS FILED BY
November 30, 2009

4 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)
126	UBS SECURITIES LLC	Y	CBOT	10/30/2009	13,142,775,009	925,932,890	12,216,842,119	9,142,059,437	6,026,706,228
127	VELOCITY FUTURES LLC	N	NFA	10/31/2009	1,305,848	500,000	805,848	35,359,395	1,043,821
128	VISION FINANCIAL MARKETS LLC	Y	CME	10/31/2009	21,501,297	6,692,825	14,808,472	293,478,584	1,047,606
129	WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	Y	NFA	10/31/2009	22,860,647	3,486,845	19,373,802	0	0
130	WELLS FARGO ADVISORS LLC	Y	NFA	10/30/2009	557,375,870	1,500,000	555,875,870	0	0
131	WELLS FARGO SECURITIES LLC	Y	CME	10/30/2009	1,938,811,579	1,000,000	1,937,811,579	0	0
132	WHITE COMMERCIAL CORPORATION	N	NFA	10/31/2009	2,381,707	500,000	1,881,707	0	0
133	WSD FINANCIAL USA INC	N	NFA	10/31/2009	1,239,308	500,000	739,308	0	0
134	YORK BUSINESS ASSOCIATES LLC	N	NFA	10/31/2009	1,730,784	500,000	1,230,784	49,124,544	1,375,252
	Totals							134,621,426,287	35,661,976,871

SELECTED FCM FINANCIAL DATA AS OF
October 31, 2009
FROM REPORTS FILED BY
November 30, 2009

5 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)
	September Web Page Update	132							
	Additions								
	AMERIPRISE FINANCIAL SERVICES, INC.	2							
	STATE STREET GLOBAL MARKETS LLC								
	Deletions	0							
	NONE								
	Name Change								
	NONE								
	October Web Page Update	134							
	*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.								
	(d): Excess net capital is adjusted net capital, less the firm's net capital requirement.								

[illegible]