

SELECTED FCM FINANCIAL DATA AS OF
 March 31, 2019
 FROM REPORTS FILED BY
 April 25, 2019

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(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)	
1 ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	03/31/2019	662,016,595	143,288,833	518,727,762	2,569,833,838	2,243,140,378	326,693,460	200,090,158	119,301,679	96,455,570	22,846,109	9,645,557	0	0	0	0	0
2 ADM INVESTOR SERVICES INC	FCM	CBOT	03/31/2019	320,860,932	173,650,429	147,210,503	4,279,460,737	4,070,254,917	209,205,820	120,000,000	334,971,263	287,960,434	47,010,829	20,000,000	14,855,697	4,135,872	10,719,825	8,000,000	0
3 ADVANTAGE FUTURES LLC	FCM	CME	03/31/2019	2,703,856	5,435,447	15,268,409	288,245,051	265,924,396	22,320,655	15,000,000	35,828,925	33,120,857	2,708,068	1,000,000	0	0	0	0	0
4 AMP GLOBAL CLEARING LLC	FCM	NFA	03/31/2019	4,957,391	1,000,000	3,957,391	53,002,044	48,046,132	4,955,132	900,000	2,130,295	1,769,407	360,888	150,000	0	0	0	0	0
5 APEX CLEARING CORPORATION	FCM BD	NFA	03/31/2019	127,678,245	9,652,520	118,025,725	29,077,754	17,376,917	11,701,617	2,500,000	0	0	0	0	0	0	0	0	0
6 BAKKT CLEARING LLC	FCM	NFA	03/31/2019	4,436,070	1,000,000	3,436,070	0	0	0	0	0	0	0	0	0	0	0	0	0
7 BARCLAYS CAPITAL INC	FCM BD	NYME	03/31/2019	6,314,526,168	1,063,236,566	5,251,289,602	5,612,617,326	5,223,217,816	389,399,510	339,509,158	3,336,821,655	3,136,550,687	200,270,968	104,760,793	6,662,077,562	6,264,510,903	397,566,659	249,953,985	0
8 BGC FINANCIAL LP	FCM BD	NFA	03/31/2019	28,606,928	1,877,835	26,729,093	0	0	0	0	0	0	0	0	0	0	0	0	0
9 BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	03/31/2019	2,202,045,218	382,951,223	1,819,093,995	2,762,388,489	2,574,892,604	187,495,885	151,000,000	204,125,336	134,115,684	70,009,652	30,000,000	1,208,757,279	1,059,472,255	149,285,024	120,000,000	0
10 BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	03/31/2019	6,140,012	1,000,000	5,140,012	6,929,205	3,203,793	3,725,412	1,000,000	6	0	6	1	6	0	6	1	0
11 BOFA FUTURES INC	FCM BD	NFA	03/31/2019	2,025,721,264	1,500,000	2,024,221,264	0	0	0	0	0	0	0	0	0	0	0	0	0
12 CANTOR FITZGERALD & CO	FCM BD	CBOT	03/31/2019	309,655,254	2,338,333	307,316,921	4,969,921	4,969,921	3,000,000	0	0	0	0	0	0	0	0	0	0
13 CHARLES SCHWAB FUTURES, INC.	FCM	NFA	03/31/2019	68,182,373	4,257,505	63,924,868	122,560,778	60,785,114	61,775,664	10,333,469	50,000	0	50,000	1	0	0	0	0	0
14 CHS HEDGING LLC	FCM	CBOT	03/31/2019	53,115,049	8,368,846	44,746,203	187,328,050	135,525,502	51,802,548	13,600,000	1,528,510	0	1,528,510	200,000	503,912	0	503,912	120,000	0
15 CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	03/31/2019	9,562,081,714	2,655,776,878	6,906,304,836	9,892,329,403	9,333,293,707	559,036,696	401,500,000	3,072,348,760	2,888,201,283	184,147,477	150,000,000	26,841,883,076	26,316,455,988	525,427,088	436,700,000	0
16 CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	03/31/2019	10,230,847,746	1,345,114,983	8,885,732,763	5,572,224,037	5,263,023,153	309,200,884	263,151,158	4,734,033,744	3,875,159,676	858,874,068	193,757,984	11,376,525,899	10,330,897,318	1,045,628,581	516,544,866	0
17 CUNNINGHAM COMMODITIES LLC	FCM	CBOT	03/31/2019	5,660,940	1,415,793	4,245,147	72,655,339	69,006,664	3,648,679	3,050,000	2,355,263	1,822,985	532,278	100,000	0	0	0	0	0
18 DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	03/31/2019	988,540,950	3,294,896	985,246,054	2,169,379	0	2,169,379	1	554,516	0	554,516	1	0	0	0	0	0
19 DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	03/31/2019	13,596,784,800	233,559,213	13,363,225,587	2,485,122,325	2,282,966,666	202,155,659	125,000,000	734,728,063	608,607,014	126,121,049	75,000,000	0	0	0	0	0
20 DIRECT ACCESS USA LLC	FCM	CME	03/31/2019	8,171,872	1,000,000	7,171,872	22,408,890	17,824,047	4,584,843	2,500,000	0	0	0	0	0	0	0	0	0
21 DORMAN TRADING LLC	FCM	CME	03/31/2019	13,238,109	1,227,564	12,010,545	165,504,419	160,913,573	4,590,846	2,000,000	5,456,990	4,670,626	786,364	200,000	0	0	0	0	0
22 E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	03/31/2019	177,785,189	60,716,106	117,069,083	1,472,149,018	1,402,958,416	69,190,602	41,250,000	75,535,682	65,125,451	10,410,231	5,000,000	1,956,687	739,824	1,216,863	500,000	0
23 E*TRADE FUTURES LLC	FCM	NFA	03/31/2019	26,062,418	1,590,326	24,472,092	72,853,853	48,319,507	24,534,346	5,000,000	0	0	0	0	0	0	0	0	0
24 GAIN CAPITAL GROUP LLC	FCMRFD	NFA	03/31/2019	54,940,287	33,340,406	21,599,881	232,146,110	214,731,826	17,414,284	10,000,000	4,774,473	2,383,398	2,391,075	1,000,000	0	0	0	253,693,418	0
25 GH FINANCIALS LLC	FCM	CME	03/31/2019	20,539,319	5,427,624	15,111,695	98,955,095	80,844,849	18,110,246	3,100,000	6,385,541	5,276,531	1,109,010	300,000	0	0	0	0	0
26 GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	03/31/2019	17,895,867,044	2,319,992,863	15,575,874,181	21,305,427,254	20,421,287,681	884,139,573	675,000,000	9,390,229,147	8,812,045,869	578,183,278	475,000,000	7,200,767,727	6,705,794,318	494,973,409	350,000,000	0
27 HSBC SECURITIES USA INC	FCM BD	CBOT	03/31/2019	984,308,195	283,687,859	700,620,336	2,097,031,088	1,985,661,959	111,369,129	100,000,000	181,220,180	145,024,645	36,195,535	25,000,000	1,124,532,285	988,295,317	136,236,968	113,000,000	0
28 HUATAI FINANCIAL USA INC	FCM	NFA	03/31/2019	5,226,396	1,000,000	4,226,396	1,501,191	1,180	1,500,011	600,000	300,006	0	300,006	150,000	0	0	0	0	0
29 INTERACTIVE BROKERS LLC	FCM BD	CME	03/31/2019	5,078,108,000	445,369,869	4,632,738,131	3,905,935,121	3,704,395,667	201,539,454	155,000,000	558,970,522	435,825,088	123,145,434	80,000,000	0	0	0	0	71,718,030
30 INTL FCSTONE FINANCIAL INC	FCM BD	CME	03/31/2019	165,282,123	85,471,517	79,810,606	2,120,744,626	2,064,676,510	56,068,116	40,000,000	129,686,365	114,058,762	15,627,603	8,000,000	0	0	0	0	0
31 IRONBEAM INC	FCM	NFA	03/31/2019	4,984,937	1,000,000	3,984,937	61,064,881	56,708,459	4,356,422	1,600,000	416,477	264,547	151,930	50,000	0	0	0	0	0
32 JEFFERIES LLC	FCM BD	NFA	03/31/2019	1,469,321,539	103,482,377	1,365,839,162	0	0	0	0	0	0	0	0	0	0	0	0	0
33 JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	03/31/2019	18,067,174,461	3,160,119,706	14,907,054,755	21,618,462,447	20,440,095,197	1,178,367,250	1,022,040,760	4,571,625,841	4,187,972,616	383,653,225	251,278,357	14,282,320,290	13,431,147,427	851,172,863	705,135,240	0
34 MACQUARIE FUTURES USA LLC	FCM	CBOT	03/31/2019	259,964,280	175,042,411	84,921,869	2,278,951,005	2,023,622,879	255,328,127	100,000,000	40,109,541	22,463,530	17,646,011	7,000,000	23,834,597	2,871,640	20,962,957	1,000,000	0
35 MAREX NORTH AMERICA LLC	FCM	CME	03/31/2019	88,497,909	63,695,207	24,802,702	1,423,636,664	1,394,699,183	28,937,481	20,330,000	71,701,085	53,648,066	18,053,019	10,250,000	0	0	0	0	0
36 MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	03/31/2019	14,474,352	1,751,840	12,722,512	711,696,256	690,147,523	21,548,733	18,000,000	2,567,861	0	2,567,861	1,000,000	0	0	0	0	0
37 MERRILL LYNCH PIERCE FENNER & SMITH INCORPORATED	FCM BD	CBOT	03/31/2019	13,252,788,462	2,137,683,131	11,115,105,331	16,849,939,044	16,505,411,121	344,527,923	200,000,000	5,090,974,179	4,828,663,455	262,310,724	150,000,000	7,716,094,858	7,425,287,984	290,806,874	150,000,000	0
38 MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	03/31/2019	4,878,250,228	587,652,179	4,290,598,049	1,944,506,265	571,534,144	1,372,972,121	300,000,000	0	0	0	0	0	0	0	0	0
39 MID CO COMMODITIES INC	FCM	NFA	03/31/2019	8,353,232	3,368,204	4,985,028	48,192,080	47,327,735	8,819,345	5,138,000	0	0	0	0	0	0	0	0	0
40 MINT BROKERS	FCM BD	NFA	03/31/2019	2,281,866	1,000,000	1,281,866	0	0	0	0	0	0	0	0	0	0	0	0	0
41 MITSUBI BUSSAN COMMODITIES USA INC	FCM	NFA	03/31/2019	15,404,552	1,000,000	14,404,552	0	0	0	0	0	0	0	0	0	0	0	0	0
42 MIZUHO SECURITIES USA LLC	FCM BD	CME	03/31/2019	816,236,147	233,123,643	583,112,504	3,243,022,731	3,043,617,035	199,405,696	125,000,000	718,344,736	593,328,984	125,015,752	70,000,000	21,384,317	1,119,157	20,265,160	10,000,000	0
43 MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	03/31/2019	13,924,559,111	2,521,281,641	11,403,277,470	17,051,593,998	16,758,580,889	293,013,109	235,000,000	5,604,283,419	5,413,157,787	191,125,632	140,000,000	16,333,671,816	16,148,257,624	185,414,192	92,000,000	0
44 NANHUA USA LLC	FCM	CME	03/31/2019	16,601,896	1,000,000	15,601,896	30,189,362	19,065,140	11,124,222	3,500,000	0	0	0	0	0	0	0	0	0
45 NATWEST MARKETS SECURITIES INC	FCM BD	CBOT	03/31/2019	844,457,593	34,756,693	809,701,300	559,211,549	483,777,542	75,434,007	60,000,000	18,949,910	11,099,604	7,850,306	5,000,000	0	0	0	0	0
46 NIMORA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	03/31/2019	2,052,865,464	164,498,281	1,888,367,183	321,840,315	213,279,513	108,560,802	15,000,000	17,563,716	0	17,563,716	1,000,000	0	0	0	0	0
47 ONADA CORPORATION	FCMRFD	NFA	03/31/2019	71,952,076	59,636,398	12,315,678	0	0	0	0	0	0	0	0	0	0	0	0	217,134,497
48 PHILIP CAPITAL INC	FCM BD	CME	03/31/2019	33,702,572	11,985,588	21,716,984	331,337,668	320,876,486	10,461,182	7,500,000	9,623,430	6,607,405	3,016,025	2,000,000	0	0	0	0	0
49 PICTET OVERSEAS INC	FCM BD	NFA	03/31/2019	16,184,349	2,611,294	13,573,055	2,106,706	301,584	1,805,122	1,500,000	54,168,120	51,541,740	2,626,380	500,000	0	0	0	0	0</

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(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: <ul style="list-style-type: none"> • 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.