

SELECTED FCM FINANCIAL DATA AS OF
 November 30, 2023
 FROM REPORTS FILED BY
 December 31, 2023

	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	
	(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	(n)	(o)	(p)	(q)		
1	ABN AMRO CLEARING USA LLC	FCM BD	CBOT	11/30/2023	678,861,906	235,595,081	443,266,825	4,223,063,410	3,638,666,462	584,396,948	350,000,000	159,095,601	121,138,897	37,956,704	15,000,000	0	0	0	0	0	
2	ADM INVESTOR SERVICES INC	FCM	CBOT	11/30/2023	506,684,719	287,046,351	219,638,368	7,495,641,889	7,174,901,780	320,740,109	120,000,000	390,653,846	345,238,657	45,415,189	20,000,000	10,384,719	0	10,384,719	8,000,000	0	
3	ADVANTAGE FUTURES LLC	FCM	CME	11/30/2023	36,139,114	15,391,441	20,747,673	511,809,045	494,978,209	16,830,836	9,000,000	59,581,605	55,282,274	4,299,331	1,000,000	0	0	0	0	0	
4	AMP GLOBAL CLEARING LLC	FCM	NFA	11/30/2023	12,314,219	1,000,000	11,314,219	77,854,502	65,179,706	12,674,796	900,000	1,979,307	1,598,440	380,867	150,000	0	0	0	0	0	
5	APEX CLEARING CORPORATION	FCM BD	NFA	11/30/2023	461,266,665	34,356,002	426,910,663	214,602,409	189,829,771	24,772,638	10,000,000	0	0	0	0	0	0	0	0	0	
6	BARCLAYS CAPITAL INC	FCM BD	NYME	11/30/2023	6,077,912,720	2,453,115,281	3,624,797,489	17,176,526,390	16,818,897,288	357,629,102	187,000,000	4,233,734,606	4,006,344,685	227,389,921	81,000,000	14,105,723,988	13,613,808,867	491,915,121	45,000,000	0	
7	BITNOMIAL CLEARING LLC	FCM	NFA	11/30/2023	1,525,111	1,000,000	525,111	500,986	0	500,986	100,000	0	0	0	0	0	0	0	0	0	
8	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	11/30/2023	2,413,408,140	818,993,831	1,594,414,309	6,538,153,511	5,841,832,955	696,320,556	570,000,000	818,424,066	535,044,465	283,379,601	98,000,000	2,681,488,308	2,516,489,861	164,998,447	135,000,000	0	
9	BOFA SECURITIES INC	FCM BD	CBOT	11/30/2023	22,355,064,171	4,322,155,957	18,032,908,214	29,483,576,916	28,157,167,691	1,326,409,225	200,000,000	5,041,488,071	4,787,768,293	253,719,778	150,000,000	18,078,101,964	17,742,432,081	335,669,883	150,000,000	0	
10	CANTOR FITZGERALD & CO	FCM BD	CBOT	11/30/2023	396,855,856	1,500,000	395,355,856	5,159,829	0	5,159,829	3,000,000	0	0	0	0	0	0	0	0	0	
11	CHARLES SCHWAB FUTURES AND FOREX LLC	FCM	NFA	11/30/2023	295,665,034	48,238,210	247,426,824	773,148,063	609,469,191	163,678,872	100,000,000	0	0	0	0	0	0	0	0	62,387,912	
12	CHS HEDGING LLC	FCM	CBOT	11/30/2023	74,548,043	13,280,272	61,267,771	174,081,128	117,951,133	63,129,995	24,300,000	1,566,745	0	1,566,745	200,000	523,220	0	523,220	120,000	0	
13	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	11/30/2023	17,285,076,665	4,874,939,708	12,410,136,957	16,644,121,679	16,105,955,153	538,166,526	349,300,000	4,676,653,709	4,124,297,025	552,356,684	159,600,000	34,445,077,652	33,762,913,520	682,164,132	471,800,000	0	
14	COINBASE FINANCIAL MARKETS INC	FCM	NFA	11/30/2023	19,112,078	1,000,000	18,112,078	9,193,240	2,143,385	7,049,855	5,000,000	0	0	0	0	0	0	0	0	0	
15	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	11/30/2023	7,268,944,319	50,186,400	7,218,757,919	22,603,709	22,603,709	0	1	6,609,063	0	6,609,063	1	2,450,879	8,438	2,442,441	422	0	
16	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	11/30/2023	87,569,129	9,210,574	78,358,555	363,098,618	283,785,830	79,312,788	4,600,000	1,244,041	560,793	683,248	100,000	0	0	0	0	0	
17	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	11/30/2023	1,324,483,389	2,666,582	1,321,816,807	2,124,502	0	2,124,502	0	443,242	0	443,242	1	0	0	0	0	0	
18	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	11/30/2023	4,066,862,723	202,328,809	3,864,533,914	2,278,106,972	2,125,197,477	152,909,495	100,000,000	756,294,050	659,893,656	96,400,394	50,000,000	0	0	0	0	0	
19	DIRECT ACCESS USA LLC	FCM	CME	11/30/2023	18,213,276	5,008,983	13,204,293	259,662,074	252,160,473	7,501,601	2,500,000	2,213,912	471,784	1,742,138	1,000,000	0	0	0	0	0	
20	DORMAN TRADING LLC	FCM	CME	11/30/2023	19,376,633	3,724,371	15,652,262	337,941,006	332,048,804	5,892,202	2,000,000	2,942,570	1,868,843	1,073,727	200,000	0	0	0	0	0	0
21	ETRADE FUTURES LLC	FCM	NFA	11/30/2023	59,124,102	6,372,844	52,751,258	164,923,404	106,590,885	58,332,519	11,000,000	0	0	0	0	0	0	0	0	0	
22	FUTU FUTURES INC	FCM	NFA	11/30/2023	1,965,951	1,000,000	965,951	0	0	0	0	0	0	0	0	0	0	0	0	0	
23	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	11/30/2023	52,784,151	29,471,515	23,312,636	0	0	0	0	0	0	0	0	0	0	0	199,430,306	0	
24	GH FINANCIALS LLC	FCM	CME	11/30/2023	33,745,474	13,803,000	19,942,384	179,766,488	163,057,433	16,709,055	6,100,000	8,691,361	6,597,337	2,094,024	600,000	0	0	0	0	0	
25	GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	11/30/2023	21,170,453,427	5,012,544,057	16,157,909,370	34,645,365,922	33,638,849,633	1,006,516,289	775,000,000	10,831,934,017	10,238,988,866	592,945,151	475,000,000	20,918,994,629	20,306,678,959	612,315,670	350,000,000	0	
26	HIDDEN ROAD PARTNERS CIV US LLC	FCM	CME	11/30/2023	31,473,568	1,000,000	30,473,568	3,150,152	0	3,150,152	3,000,000	0	0	0	0	0	0	0	0	0	
27	HSBC SECURITIES USA INC	FCM BD	CME	11/30/2023	1,217,137,464	475,029,520	742,107,944	4,654,148,259	4,506,417,118	147,731,141	127,000,000	198,098,312	167,367,349	30,730,963	15,000,000	1,886,198,345	1,772,810,847	113,387,498	97,000,000	0	
28	IG US LLC	RFED	NFA	11/30/2023	55,903,725	22,336,667	33,567,058	0	0	0	0	0	0	0	0	0	0	0	56,733,349	0	
29	INTERACTIVE BROKERS LLC	FCM BD	CME	11/30/2023	7,549,177,357	802,372,618	6,746,804,739	7,300,533,353	7,088,827,286	211,706,067	155,000,000	764,048,777	634,804,115	129,244,662	80,000,000	0	0	0	0	32,469,562	
30	IRONBEAM INC	FCM	CME	11/30/2023	9,031,720	1,734,193	7,297,527	104,340,357	92,895,436	11,444,921	1,600,000	809,931	549,701	260,230	60,000	0	0	0	0	0	
31	JEFFERIES LLC	FCM BD	NFA	11/30/2023	1,088,816,742	108,229,394	980,587,348	0	0	0	0	0	0	0	0	0	0	0	0	0	
32	JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	11/30/2023	27,965,212,093	5,280,782,959	22,684,429,134	40,904,220,544	39,889,473,379	1,014,747,075	757,899,994	7,482,213,997	6,398,049,172	1,084,164,825	172,747,328	23,181,935,553	22,185,928,835	996,006,718	687,763,794	0	
33	LINE TRADING CORP	FCM BD	NFA	11/30/2023	10,165,645	1,000,000	9,165,645	46,093	0	46,093	20,000	40,010	0	40,010	20,000	0	0	0	0	0	
34	MACQUARIE FUTURES USA LLC	FCM	CBOT	11/30/2023	562,350,899	388,139,656	174,211,243	4,412,912,309	4,220,798,542	192,113,767	100,000,000	351,764,400	306,067,378	45,697,022	7,000,000	5,179,639	0	5,179,639	1,000,000	0	
35	MAREX CAPITAL MARKETS INC	FCM BD SD	CME/NFA	11/30/2023	584,245,170	312,627,984	271,617,186	6,907,040,371	6,747,089,598	159,950,773	90,000,000	205,639,683	169,762,650	35,877,033	12,000,000	0	0	0	0	0	
36	MAREX NORTH AMERICA LLC	FCM	NFA	11/30/2023	2,056,163	1,000,000	1,056,163	251,059	0	251,059	1	50,212	1	50,212	1	0	0	0	0	0	
37	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	11/30/2023	13,211,828	1,126,688	12,085,140	435,450,821	412,174,933	23,275,888	18,000,000	2,722,019	0	2,722,019	1,000,000	0	0	0	0	0	
38	MFI FUNDING LLC	FCM	NFA	11/30/2023	108,586,361	1,000,000	107,586,361	0	0	0	0	0	0	0	0	0	0	0	0	0	
39	MID CO COMMODITIES INC	FCM	NFA	11/30/2023	17,073,081	4,887,301	12,185,780	53,468,953	36,339,951	17,129,002	5,138,000	0	0	0	0	0	0	0	0	0	
40	MINI BROKERS	FCM BD	NFA	11/30/2023	2,208,892	1,000,000	1,208,892	0	0	0	0	0	0	0	0	0	0	0	0	0	
41	MIZUHO SECURITIES USA LLC	FCM BD	CME	11/30/2023	1,459,978,811	504,264,111	955,714,700	10,304,244,725	9,856,375,596	447,869,129	150,000,000	1,725,052,969	1,520,554,707	204,498,262	70,000,000	21,422,520	0	21,422,520	10,000,000	0	
42	MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	11/30/2023	18,539,040,138	4,280,012,947	14,259,027,191	26,619,353,482	25,866,415,235	752,938,247	235,000,000	8,757,569,755	8,400,423,037	357,146,718	140,000,000	27,870,590,078	27,557,322,333	313,267,745	92,000,000	0	
43	NANHUA USA LLC	FCM	CME	11/30/2023	36,740,735	23,028,279	13,712,456	392,712,405	359,845,451	32,866,954	3,500,000	357,395	1,092	356,303	100,000	0	0	0	0	0	
44	NATWEST MARKETS SECURITIES INC	FCM BD	CBOT	11/30/2023	584,537,239	4,862,211	579,675,028	7,503,655	0	7,503,655	5,000,000	0	0	0	0	0	0	0	0	0	
45	NINJATRADER CLEARING LLC	FCM	NFA	11/30/2023	20,114,258	1,000,000	19,114,258	254,526,322	230,268,734	24,257,588	4,000,000	2,968,067	1,669,929	1,298,138	400,000	0	0	0	0	0	
46	NCMIRA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	11/30/2023	1,796,403,989	161,196,265	1,635,207,724	137,391,723	96,178,653	41,213,070	15,000,000	1,250,000	0	1,250,000	1,000,000	0	0	0	0	0	
47	ONIDA CORPORATION	FCMRFD	NFA	11/30/2023	42,857,190	28,008,893	14,848,297	0	0	0	0	0	0	0	0	0	0	0	165,839,818	0	
48	PHILLIP CAPITAL INC	FCM BD	CME	11/30/2023	100,224,371	40,762,935	59,461,436	853,888,425	798,509,512	55,348,913	17,500,000	19,271,325	15,017,737	4,253,588	1,000,000	0	0	0	0	0	
49	PICTET OVERSEAS INC	FCM BD	NFA	11/30/2023	50,105,303	8,769,050	41,336,253	112,399,948	106,634,156	5,765,792	1,500,000	39,486,040	35,908,905	3,577							

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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.