SELECTED FCM FINANCIAL DATA AS OF November, 30, 2017 FROM REPORTS FILED BY December 31, 2017

Α	В	С	D	E	F	G	Н		J	K	L	М	N	0	Р	Q	R	S	Т	U
									Customers' Seg			Funds in	Customer	Excess/Deficient	Target Residual	Funds in	Customer	Excess/Deficient	Target Residual	Total Amount of
	Futures Commission Merchant /	Registered As	DSRO	As of Date	Adjusted Net Capital	Net Capital Requirement	Excess Net Capital	Customers' Assets in Seg	Required	Excess/Deficient Funds in Seg	Target Residual Interest in Seg	Separate Section	Amount Pt. 30	Funds in Separate Section	Interest in	Separate Cleared Swap	Amount Cleared Swap Seg	Funds in Cleared Swap Seg	Interest in Cleared Swap	Retail Forex
L ₁ L	Retail Foreign Exchange Dealer			Date	Capitai	Requirement	Сарітаі	Assets in Seg	4d(a)(2)	runas in Seg	Interest in Seg	30.7 Accounts	Required	30.7 Accounts	Section 30.7	Swap Segregation	Required	Accounts	Seg Swap	Obligation
2		(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(I)	(m)	(n)	(0)	(p)	(q)
<u>3</u>	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CROT	11/30/2017	542,615,128	150,408,931	392,206,197	2,841,432,855	2,494,980,490	346,452,365	163,874,851	119,095,798	99,007,602	20,088,196	9,900,760	0	0	0	0	0
5 2	ADM INVESTOR SERVICES INC	FCM	CBOT	11/30/2017	313,443,189	186,391,519	127,051,670	4,560,159,322	4,349,585,458	210,573,864	120,000,000	416,856,544	365,072,561	51,783,983	20,000,000	14,782,751	4,903,383	9,879,368	8,000,000	0
6 3	ADVANTAGE FUTURES LLC	FCM		11/30/2017	21,389,684	12,250,153	9,139,531	594,757,268	582,161,484	12,595,784	7,000,000	36,622,769	35,034,475	1,588,294	1,000,000	0	0	0	0	0
8 5	AMP GLOBAL CLEARING LLC APEX CLEARING CORPORATION	FCM BD		11/30/2017	2,865,527 139,176,523	1,000,000 18,295,282	1,865,527 120,881,241	54,227,592 8.078.384	51,065,934 2,546,039	3,161,658 5,532,345	900,000 500,000	2,681,437	2,342,899	338,538	150,000	0	0	0	0	0
	BARCLAYS CAPITAL INC	FCM BD	NYME	11/30/2017	7,163,011,543	1,090,946,383	6,072,065,160	5,771,163,606	5,268,303,089	502,860,517	316,625,016	3,757,984,115	3,505,803,146	252,180,969	170,382,033	5,409,011,685	4,906,587,568	502,424,117	194,791,526	0
10 7	BGC FINANCIAL LP	FCM BD		11/30/2017	36,849,904	2,213,453	34,636,451	0	0	0	0	0	0	0 000 055	7.500.000	0	0	0	0	0
12 9	BNP PARIBAS PRIME BROKERAGE INC BNP PARIBAS SECURITIES CORP	FCM BD FCM BD	CBOT	11/30/2017 11/30/2017	1,358,020,687 1,386,645,397	158,570,963 230,603,027	1,199,449,724 1,156,042,370	1,759,699,697 1,084,511,240	1,571,421,190 981,391,053	188,278,507 103,120,187	150,000,000 82,500,000	57,334,633 143,252,333	47,444,778 114,925,016	9,889,855 28,327,317	7,500,000 22,500,000	20,616,075 939,218,413	10,880,989 789,143,649	9,735,086 150,074,764	7,500,000 120,000,000	0
13 10	BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	11/30/2017	7,615,886	1,706,689	5,909,197	32,353,961	27,119,301	5,234,660	1,000,000	6	0	6	1	6	0	6	1	0
14 11	CANTOR FITZGERALD & CO	FCM BD		11/30/2017	202,063,439	12,894,591	189,168,848	4,969,921	0	4,969,921	3,000,000	0	0	0	0	0	0	0	0	0
16 12	CHARLES SCHWAB FUTURES, INC. CHS HEDGING LLC	FCM BD FCM		11/30/2017 11/30/2017	291,722,014 43,907,545	4,401,402 7,805,992	287,320,612 36,101,553	103,573,186 168,243,649	56,944,007 123,638,661	46,629,179 44,604,988	8,541,601 13,600,000	2,615,118 1,525,762	1,108,302	1,506,816	166,245 200,000	503.912	0	503.912	120,000	0
17 14	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	11/30/2017	10,008,033,736	2,010,977,960	7,997,055,776	7,084,755,608	6,622,982,754	461,772,854	319,000,000	2,173,336,140	1,991,301,509	182,034,631	150,000,000	21,340,493,173	20,850,679,739	489,813,434	392,200,000	0
18 15	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	11/30/2017	9,281,551,205	1,411,700,665	7,869,850,540	5,901,085,954	5,571,225,933	329,860,021	278,561,297	3,741,678,092	3,536,533,980	205,144,112	176,826,699	11,871,228,262	11,227,804,074	643,424,188	561,390,204	0
19 16 20 17	CUNNINGHAM COMMODITIES LLC DAIWA CAPITAL MARKETS AMERICA INC	FCM BD		11/30/2017 11/30/2017	5,037,383 613,279,214	1,565,189 10,185,317	3,472,194 603,093,897	85,706,915 2,166,792	82,105,677 0	3,601,238 2 166 792	3,050,000	1,428,983 573,111	973,028 0	455,955 573,111	100,000	0	0	0	0	0
21 18	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	11/30/2017	12,794,614,115	273,814,824	12,520,799,291	2,537,170,071	2,334,163,015	2,166,792 203,007,056	125,000,000	1,154,707,506	1,027,245,872	127,461,634	75,000,000	0	0	0	0	0
22 19	DORMAN TRADING LLC	FCM	CME	11/30/2017	12,894,787	1,213,538	11,681,249	170,126,365	165,800,412	4,325,953	2,000,000	4,258,425	3,740,061	518,364	200,000	0	0	0	0	0
23 20	E D & F MAN CAPITAL MARKETS INC F*TRADE FUTURES LLC	FCM BD FCM	CME NFA	11/30/2017	141,413,990 16,772,911	47,367,307 5.863,561	94,046,683	1,255,410,222 115,525,223	1,160,534,952 103,746,994	94,875,270 11,778,229	35,000,000 5,000,000	64,925,723	56,233,736	8,691,987	5,000,000	2,884,249	1,721,267	1,162,982	500,000	0
25 22	EFL FUTURES LIMITED	FCM	CME	11/30/2017	45,206,255	17,793,875	27,412,380	240,647,899	225,790,120	14,857,779	5,000,000	0	0	0	0	0	0	0	0	0
	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	11/30/2017	46,277,710	34,368,771	11,908,939	236,653,469	222,344,628	14,308,841	10,000,000	5,123,830	3,788,781	1,335,049	1,000,000	0	0	0	0	253,602,103
	GH FINANCIALS LLC GOLDMAN SACHS & COLLIC	FCM BD SD		11/30/2017	21,669,332 17.865.748.251	5,203,915 2,630,779,964	16,465,417 15,234,968,287	98,690,235 20,310,598,750	83,391,385 19,473,888,916	15,298,850 836,709,834	4,000,000 675,000,000	4,362,628	3,257,573 11,120,676,503	1,105,055 601,361,704	550,000 475,000,000	5.520.641.273	E 007 075 445	0 452,765,858	350 000 000	0
29 26	HSBC SECURITIES USA INC	FCM BD SD	CBU I / NFA	11/30/2017 11/30/2017	950,119,141	2,630,779,964	15,234,968,287 688,176,544	20,310,598,750 1,517,690,476	19,473,888,916	836,709,834 77,023,918	67,000,000	11,722,038,207 194,703,068	11,120,676,503	601,361,704 35,784,792	4/5,000,000 25,000,000	5,520,641,273 1,170,711,834	5,067,875,415 1,015,587,211	452,765,858 155,124,623	350,000,000 138,000,000	0
_00	HUATAI FINANCIAL USA INC	FCM	NFA	11/30/2017	2,239,156	1,000,000	1,239,156	0	0	0	0	0	0	0	0	0	0	0	0	0
31 28	INTERACTIVE BROKERS LLC INTL FCSTONE FINANCIAL INC	FCM BD FCM BD	CME	11/30/2017 11/30/2017	3,883,858,902	449,106,788 82,277,878	3,434,752,114	4,743,863,419		208,457,058	155,000,000 35,000,000	584,310,073	456,515,558	127,794,515	80,000,000	0	0	0	0	47,045,064
33 30	INTL FCSTONE FINANCIAL INC IRONBEAM INC	FCM BD	NFA	11/30/2017	153,076,036 3,650,720	1,590,362	70,798,158 2,060,358	2,407,039,191 78,884,734	2,355,376,057 77,390,165	51,663,134 1,494,569	35,000,000 800,000	170,566,453 431,284	154,127,647 214,359	16,438,806 216,925	8,000,000 50,000	0	0	0	0	0
34 31	JEFFERIES LLC	FCM BD	NFA	11/30/2017	1,418,930,464	88,761,431	1,330,169,033	0	0	0	0	0	0	0	0	0	0	0	0	0
36 32	JP MORGAN SECURITIES LLC MACQUARIE FUTURES USA LLC	FCM BD SD FCM	CEI/NFA CBOT	11/30/2017	12,913,822,291 278,914,981	2,807,667,135 143,961,192	10,106,155,156 134,953,789	17,665,241,311 1,937,610,698	16,198,443,515 1,722,254,184	1,466,797,796 215,356,514	769,426,067 100,000,000	5,242,294,562 51,406,294	4,767,499,936 35,597,580	474,794,626 15,808,714	405,237,495 7,000,000	12,649,819,559 23,004,949	11,676,601,174 2,639,136	973,218,385 20,365,813	613,021,562 1,000,000	0
37 34	MAREX NORTH AMERICA LLC	FCM	CME	11/30/2017	20,132,650	14,701,754	5,430,896	181,093,874	178,534,287	2,559,587	1,820,000	70,185,569	68,593,142	1,592,427	1,100,000	0	0	0	0	0
38 35	MCVEAN TRADING & INVESTMENTS LLC MERRILL LYNCH PIERCE FENNER & SMITH INCORPORATED	FCM BD		11/30/2017	14,884,052 12,444,244,841	1,958,441 1,755,513,794	12,925,611 10,688,731,047	778,697,137 14,058,689,168	757,671,882 13,773,864,217	21,025,255 284,824,951	18,000,000 200,000,000	2,567,861 4,323,067,158	4,073,101,308	2,567,861 249,965,850	1,000,000 150,000,000	6,631,300,905	6,287,234,021	0 344.066.884	0 150,000,000	0
00 00	MERRILL LYNCH PIERCE FENNER & SMITH INCORPORATED MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD		11/30/2017 11/30/2017	3,603,170,342	558,583,512	3,044,586,830	1,554,188,773	702,798,600	851,390,173	300,000,000	4,323,067,158	4,0/3,101,308	249,965,850	150,000,000	6,631,300,905	6,287,234,021	344,066,884	150,000,000	0
41 38	MID CO COMMODITIES INC	FCM	NFA	11/30/2017	8,665,210	3,304,192	5,361,018	37,841,794	27,988,146	9,853,648	5,138,000	0	0	0	0	0	0	0	0	0
42 39	MINT BROKERS	FCM BD	NFA	11/30/2017	4,822,172	1,000,000 237,575,342	3,822,172 407,645,812	0	0	0	0	0	0	0	70 000 000	0	0	0	0	0
	MIZUHO SECURITIES USA LLC MORGAN STANLEY & CO.L.C	FCM BD SD FCM BD SD			645,221,154 10,691,633,206	2,156,816,641	407,645,812 8,534,816,565	3,035,500,973 14,042,555,855	2,835,965,193 13,698,315,267	199,535,780 344,240,588	125,000,000 285,000,000	767,386,700 5,095,075,985	641,414,492 4.902.741.470	125,972,208 192,334,515	140,000,000	33,865,266 15.111.081.302			15,000,000 92,000,000	0
45 42	NANHUA USA LLC	FCM		11/30/2017	18,258,083	2,381,435	15,876,648	51,499,170	36,000,142	15,499,028	3,500,000	0	0	0	0	0	0	0	0	0
	NOMURA SECURITIES INTERNATIONAL INC OANDA CORPORATION	FCM BD FCMRFD		11/30/2017 11/30/2017	1,345,356,328 79,833,026	225,374,945 51,793,919	1,119,981,383 28,039,107	243,506,096	138,356,888	105,149,208	15,000,000	17,753,974	33,070	17,720,904	1,000,000	0	0	0	0	0 172,863,090
48 45	PHILLIP CAPITAL INC	FCM BD	CME	11/30/2017 11/30/2017 11/30/2017		13,678,973	22,438,783 15,895,216	249,692,500	234,558,425	15,134,075	7,500,000	11,079,136	7,385,308	3,693,828	2,000,000	0	0	0	0	1/2,863,090
49 46	PICTET OVERSEAS INC	FCM BD	NFA	11/30/2017	36,117,756 16,895,216	1,000,000		1,500,000	0	1,500,000	1,500,000	500,000	0	500,000	500,000	0	0	0	0	0
51 48	RAND FINANCIAL SERVICES INC RBC CAPITAL MARKETS LLC	FCM FCM BD		11/30/2017 11/30/2017	86,029,144 1.866,588,998	14,518,699 240,262,088	71,510,445 1.626.326.910	194,556,500 3.012.086.980	153,017,400 2,718,056,197	41,539,100 294,030,783	4,590,500 200,000,000	52,024,600 368,346,140	28,022,500 324,704,584	24,002,100 43,641,556	840,700 20,000,000	553,614,861	292,472,715	261,142,146	40,000,000	0
52 49	RBS SECURITIES INC	FCM BD	CBOT	11/30/2017	530,172,401	32,870,704	497,301,697	604,491,076	451,986,595	152,504,481	125,000,000	60,255,791	28,514,117	31,741,674	25,000,000	0 0	0	0	0	0
53 50	RJ OBRIEN ASSOCIATES LLC	FCM SD		11/30/2017	210,557,435	139,072,478	71,484,957	3,896,690,408	3,802,390,235	94,300,173	50,000,000	266,641,562	242,099,185	24,542,377	20,000,000	0	0	0	0	0
55 52 55 52	ROSENTHAL COLLINS GROUP LLC SANTANDER INVESTMENT SECURITIES INC	FCM BD		11/30/2017 11/30/2017	77,025,580 198,026,959	51,612,112 50,000,000	25,413,468 148,026,959	1,305,971,058 626,763,324	1,279,846,021 614,821,488	26,125,037 11,941,836	18,000,000 9,000,000	33,756,093	23,189,021	10,567,072	8,000,000	0	0	0	0	0
56 53	SCOTIA CAPITAL USA INC	FCM BD	CME	11/30/2017	655,461,941	52,071,771	603,390,170	0	0	0	0	0	0	0	0	0	0	0	0	0
57 54	SG AMERICAS SECURITIES LLC STRAITS FINANCIAL LLC	FCM BD FCM		11/30/2017 11/30/2017	4,004,702,913	1,172,215,619 6.877,475	2,832,487,294 15,141,767	13,289,616,620 204,205,794	12,594,033,159 189,385,171	695,583,461 14.820,623	500,000,000 2,000,000	4,845,663,255	4,340,137,356	505,525,899 6,065,669	255,000,000	578,853,599	357,275,751	221,577,848	75,000,000	0
59 56	TD AMERITRADE FUTURES & FOREX LLC	FCM	NFA	11/30/2017	22,019,242 80,246,661	22,591,628	57,655,033	303,755,966	221,150,863	82,605,103	25,000,000	31,699,565 0	25,633,896 0	0	300,000	0	0	0	0	61,832,553
60 57	TRADESTATION SECURITIES INC	FCM BD	CME	11/30/2017	84,475,403	5,194,035	79,281,368	578,501,225	565,767,119	12,734,106	9,000,000	25,413,396	22,820,679	2,592,717	800,000	0	0	0	0	0
62 50	UBS FINANCIAL SERVICES INC UBS SECURITIES I.I.C.	FCM BD FCM BD	CBOT	11/30/2017 11/30/2017	1,324,485,438 5,796,082,793	127,634,773 774,559,860	1,196,850,665 5.021,522,933	123,061,499 6,736,872,166	90,567,052	32,494,447 499,735,084	22,000,000 425,000,000	32,380,462 3,588,610,825	6,419,934 3,212,936,139	25,960,528 375,674,686	15,000,000 300,000,000	901,931,731	636,453,605	265.478.126	200,000,000	0
63 60	UOBBF CLEARING LIMITED	FCM	CME	11/30/2017	25,851,676	4,374,449	21,477,227	71,431,933	53,012,294	18,419,639	2,700,000	0	0	0	0	0	0 0	0	0	0
64 61	WEDBUSH SECURITIES INC	FCM BD	CBOT	11/30/2017	175,613,729	26,517,829	149,095,900	1,477,915,774	1,461,221,217	16,694,557	13,000,000	17,659,714	12,819,560	4,840,154	1,000,000	0	0	0	0	0
65 62 66 63	WELLS FARGO SECURITIES LLC YORK BUSINESS ASSOCIATES LLC	FCM BD FCM	CME NFA	11/30/2017 11/30/2017	7,648,104,316 5.143.038	797,036,219	6,851,068,097 4,143,038	3,922,363,394 45.517.327	3,636,624,898 40,941,561	285,738,496 4.575,766	2,000,000	371,074,245 1,595,206	320,845,093 1,250,711	50,229,152 344,495	25,000,000 200,000	7,235,848,444	6,653,596,114	582,252,330 0	475,000,000 0	0
67				-1,00,2017	5/2 .5/050	1,000,000	1,2 15,050	,		.,0.0,	_,,,,,,,,	-/050/-00				l	Ĭ	Ů	Ü	Ü
68	Totals							154.000.604.397	144.378.679.731	9.621.924.666	6.026.127.333	49.636.850.131	45,770,025,486	3.866.824.645	2.677.503.934	90.009.412.249	84.696.852.325	5.312.559.924	3.433.523.293	535,342,810
 70 	October Web Page Update	63														1				
71																				
-/2	Additions None	0														1				
74	NOIC					+														
75	Deletions	0																		
76	None		1													1				
<u> </u>	Name Changes																			
79	None																			
81	November Web Page Update	63	1			+										+				
82																1	1			

SELECTED FCM FINANCIAL DATA AS OF November, 30, 2017 FROM REPORTS FILED BY December 31, 2017

Α	В	С	D	E	F	G	Н		J	K	L	М	N	0	Р	Q	R	S	T	U
83 (a): FCM: Futures Commission Merchant that is registered with the Commodity Futures Trading Commission.																			
85	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.																			
85 86	RFED: Retail Foreign Exchange Dealer that is registered with the Commodity Futures Trading Commission.																			
87	FCMRFD: The FCM is also registered with the 0	Commodity Futures	s Trading Com	mission as a Reta	l Foreign Exchange De															
88	SD: The FCM or RFED is also registered	d with the Commodi	lity Futures Tra	ading Commission	as a provisionally regi	tered swap dealer.														
90	(b): DSRO: Designated Self-Regulatory Organization.	n. FCM/RFED firms	that are dually	v registered as SD	s have two DSROs list	ed if they have a diffe	ent DSRO for the FC	M/RFED and the SD.	The DSRO for the	FCM/RFED is listed fi	rst and the DSRO for	the SD is listed second.								
91										•										
92	(c): A firm's net capital requirement is the greater of:																			
94	FCM minimum dollar amount (\$1,000,000); or																			
95	• risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-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 • ninimum dollar amount for FCM's offering or engaged in retail forex transactions and FFEDs (\$20,000); or																			
99	• minimum dollar amount for CM's offering or engaged in real in real forex transactions and RFEDs (\$2,000,000) plus five percent of the FCM's or RFED's total retail forex obligation in excess of \$10,000,000.																			
100																				
102	(d): Excess net capital is adjusted net capital, less the firm's net capital requirement.																			
103	(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.																			
104																				
106	(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.																			
107	(q): Excess/Deficient funds in segregation is custome	er assets in segrega	ation, less the	customer segrega	tion requirement.															
108	(h): This represents the targeted excess of proprieta	any funds denocited	l into custome	r coareasted accor	into above the circtom	or coareastion require	ment. This target an	ount is set by the fire	n											
110	(II). This represents the targeted excess of proprieta	ary runus deposited	into custome	i segregateu accor	ints above the custom	er segregadori reguire	ment. This target an	lount is set by the fill												
111	(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.																			
113	(i): This represents the amount of funds an FCM is n	required to set asid	le for custome	rs who trade on co	mmodity exchanges l	cated outside of the I	Inited States													
114	The trib represente the amount of tands and entre	required to see usid	ic for custoffic	as who didde on ea	minodicy excitatinges i	reaced bacolae of the	Jinea Statesi													
115	(k): Excess/Deficient funds in separate Section 30.7	accounts is funds i	in separate Se	ction 30.7 account	s, less the customer a	mount Part 30 require	ment.													
117	(I): This represents the targeted excess of proprietar	ry funds denosited	into separate	Section 30.7 accou	ints above the custom	er amount Part 30 red	uirement. This targe	amount is set by the	firm.											
118																				
119	(m): This represents the total amount of money, sec	curities, and proper	rtv held in clea	ared swap custome	r accounts for cleared	swap customers in co	mpliance with Section	4d(f) of the Commo	ditv Exchange Act											
121	(n): This represents the amount of funds an FCM is	required to segrega	ate for custom	ners who trade clea	red swaps.															
122																				
124	(o): Excess/Deficient funds in cleared swap custome	er accounts is funds	s in separate c	leared swap segre	gation accounts, less t	ne cleared swap custo	mer segregation requ	irement.												
125	(p): This represents the targeted excess of proprieta	tary funds deposited	d into separate	e cleared swap sec	regation accounts abo	ve the cleared swap o	ustomer segregation	requirement. This tar	get amount is se	by the firm.										
126															·				·	
H 28	(q): This represents the total amount of funds at an	I FCM, KFED, or FC	MKFD that wo	ouid be obtained by	compining all money	securities and proper	ty deposited by a reta	iii rorex customer into	a retail forex acc	ount or accounts, adju	usted for the realized	and unrealized net prof	t or ioss.		1					1
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