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)		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		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)	(1)	(m)	(n)	(0)	(p)	(q)
1 ABN AMRO CLEARING USA LLC	FCM BD	CBOT	09/30/2023	722,716,863	213,343,023	509,373,840	4,218,200,802	3,476,345,676	741,855,126	350,000,000	153,504,901	118,999,386	34,505,515	15,000,000		0	0	0	
2 ADM INVESTOR SERVICES INC	FCM	CBOT	09/30/2023	478,488,477	310,132,458	168,356,019	7,587,147,399	7,253,754,575	333,392,824	120,000,000	444,917,083	398,388,885	46,528,198	20,000,000	10,302,585	5 0	10,302,585	8,000,000	
3 ADVANTAGE FUTURES LLC 4 AMP GLOBAL CLEARING LLC	FCM FCM	CME NFA	09/30/2023 09/30/2023	34,897,279 11,435,353	14,238,129 1,000,000	20,659,150 10,435,353	586,073,679 77,164,794	568,265,810 65,298,424	17,807,869 11,866,370	9,000,000	55,520,953 1,981,976	51,642,552 1.656.698	3,878,401 325,278	1,000,000 150,000		0	0	0	-
5 APEX CLEARING CORPORATION	FCM BD	NFA			37,262,894	397,487,346		182,897,816	24,525,375	10,000,000	1,961,976	1,030,090	323,276	130,000		0 0	0	0	
6 BARCLAYS CAPITAL INC	FCM BD	NYME	09/30/2023	6,591,754,264	2,375,239,105	4,216,515,159	15,520,782,751	15,010,872,030	509,910,721	187,000,000	3,760,815,333	3,503,871,410	256,943,923	81,000,000	14,244,026,883	13,694,398,289	549,628,594	45,000,000	1
7 BITNOMIAL CLEARING LLC 8 BNP PARIBAS SECURITIES CORP	FCM FCM BD	NFA CBOT		1,516,340 2,354,377,640	1,000,000 775,652,722	516,340 1.578,724,918	6.354.835.471	5.667.397.223	687.438.248	570,000,000	749.894.773	467.600.505	282,294,268	98.000.000	2 822 760 027	0 7 2 646 184 804	176.575.223	145,000,000	
9 BOFA SECURITIES INC	FCM BD	CBOT	03/30/2023		4,290,854,978	18,706,451,455	28,821,753,039	27,065,694,892	1,756,058,147	200,000,000	4,988,084,009	4,721,226,174	266,857,835	150,000,000	16,293,090,915		269,415,959	150,000,000	- 0
10 CANTOR FITZGERALD & CO	FCM BD	CBOT	09/30/2023	389,552,937	2,781,311	386,771,626	5,115,279	0	5,115,279	3,000,000	0	0	0	0) (0 0	0	0	
11 CHARLES SCHWAB FUTURES AND FOREX LLC	FCM	NFA		274,709,960	49,271,510	225,438,450	852,496,006	689,228,245	163,267,761	100,000,000	0	0	0	0	((((((((((((((((((((0		0	62,881,576
12 CHS HEDGING LLC 13 CITIGROUP GLOBAL MARKETS INC	FCM FCM BD SD	CBOT/NFA	09/30/2023 09/30/2023	71,285,204 16,400,858,606	17,284,049 4,552,566,558	54,001,155 11.848,292,048	218,363,093 17,603,567,910	155,912,474 17,101,801,165	62,450,619 501,766,745	24,300,000 354,200,000	1,558,259 4.875,080,451	4,537,960,473	1,558,259 337,119,978	200,000 172,200,000	520,386 33.890.661.768		520,386 714.860,251	120,000 490,700,000	1
14 COINBASE FINANCIAL MARKETS INC	FCM	NFA		19,258,768	1,000,000	18,258,768	7,012,354	6,201	7,006,153	5,000,000	0	0	0	0	(0	0	0	
15 CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT		8,576,167,430	60,094,022	8,516,073,408	207,426,157	85,450,969	121,975,188	4,272,548	7,408,877	355,093 867,955	7,053,784	17,755	2,739,543	3 0	2,739,543	1	(
16 CUNNINGHAM COMMODITIES LLC 17 DAIWA CAPITAL MARKETS AMERICA INC	FCM FCM BD	CBOT		86,382,115 1,313,739,410	9,401,914 3,728,979	76,980,201 1,310,010,431	352,159,081 2,123,468	279,486,392	72,672,689 2,123,468	4,600,000	1,544,361 434,420	867,955	676,406 434,420	100,000	9	0	0	0	
18 DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT		3,766,408,611	189,659,687	3,576,748,924	2,123,468	2,032,819,569	149,982,632	100,000,000	740,097,084	639,509,101	100,587,983	50,000,000	1	0	1 0	0	(
19 DIRECT ACCESS USA LLC	FCM	CME	09/30/2023	17,903,953	5,606,844	12,297,109	217,874,871	209,934,967	7,939,904	2,500,000	2,464,235	735,932	1,728,303	1,000,000		0	0	0	C
20 DORMAN TRADING LLC 21 ETRADE FUTURES LLC	FCM FCM	CME NFA	09/30/2023 09/30/2023	18,536,314 57,061,059	5,173,535 4,748,861	13,362,779 52,312,198	334,588,551 164,998,452	329,058,095 108,769,601	5,530,456 56,228,851	2,000,000 11,000,000	3,101,387	1,943,445	1,157,942 0	200,000	1	0	0	0	0
22 FUTU FUTURES INC	FCM	NFA	09/30/2023	1,958,539	1,000,000	958,539		100,007	J0,220,851 0	11,000,000	0	0	0	0		0	0	0	1 0
23 GAIN CAPITAL GROUP LLC	FCMRFD	NFA	09/30/2023	50,149,708	29,261,914	20,887,794	0	0	0	0	0	0	0	0) (0	0	0	195,238,280
24 GH FINANCIALS LLC 25 GOLDMAN SACHS & CO LLC	FCM FCM BD SD	CME CBOT/NFA	09/30/2023 09/30/2023	33,656,250 21.011.574.324	13,100,833 4,757,695,483	20,555,417 16,253,878,841	168,999,840 37,035,893,334	151,930,985 36,010,743,561	17,068,855 1,025,149,773	6,300,000 775,000,000	8,934,006 10,669,500,579	6,913,178 10,077,921,564	2,020,828 591,579,015	370,000 475,000,000	20,540,243,856	0 19.924.464.763	615,779,093	350,000,000	
26 HIDDEN ROAD PARTNERS CIV US LLC	FCM RD SD	CBO1/NFA	09/30/2023	21,011,574,324 31,488,451	1,000,000	30,488,451	37,035,893,334	30,010,743,361	1,025,149,773 3,126,594		10,009,500,579	10,077,921,564	91,5/5,015	4/5,000,000	20,340,243,855	19,924,404,/63	015,7/9,093	330,000,000	0
27 HSBC SECURITIES USA INC	FCM BD	CME	09/30/2023	1,100,904,423	486,100,463	614,803,960	4,367,005,668	4,204,265,967	162,739,701	137,000,000	194,157,175	163,928,619	30,228,556	15,000,000	2,000,340,096	1,873,984,639	126,355,457	104,000,000	C
28 IG US LLC	RFED FCM BD	NFA CMF	09/30/2023	56,085,670	22,522,409 783,308,816	33,563,261 6,257,901,670	7.200.967.861	6.920.701.015	280.266.846	155,000,000	776.509.811	643.185.674	133,324,137	80,000,000	(0	0	0	60,448,170 35,850,128
29 INTERACTIVE BROKERS LLC 30 IRONBEAM INC	FCM BD FCM	CME	09/30/2023	7,041,210,486 8,186,776	783,308,816 1,000,000	6,257,901,670 7,186,776	7,200,967,861 105,582,011	6,920,701,015 93,077,024	280,266,846 12,504,987	1,600,000	776,509,811 719,432	643,185,674 459,258	133,324,137 260,174	80,000,000		0	0	0	35,850,128
31 JEFFERIES LLC	FCM BD	NFA	09/30/2023	1,210,362,760	104,669,718	1,105,693,042	0	0	0	0	0	0	0	0	(0	Ö	0	Č
32 JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	09/30/2023	25,405,614,156	5,229,088,444	20,176,525,712	40,630,595,781	39,505,824,783	1,124,770,998	750,610,671	6,878,231,516	6,402,831,776	475,399,740	224,099,112		21,493,579,000	1,043,903,785	451,365,159	0
33 LIME TRADING CORP 34 MACOUARIE FUTURES USA LLC	FCM BD FCM	NFA CBOT	09/30/2023 09/30/2023	10,083,188 607,273,185	1,000,000 363,987,256	9,083,188 243,285,929	46,093 4,008,826,958	3,789,894,847	46,093 218,932,111	20,000 100,000,000	40,010 160,595,276	116,259,580	40,010 44,335,696	20,000 7,000,000	5,179,649	0 0	5,179,649	1,000,000	- 0
35 MAREX CAPITAL MARKETS INC	FCM BD SD	CME/NFA	09/30/2023	576,726,964	314,023,118	262,703,846	7,304,057,995	7,133,434,277	170,623,718	90,000,000	233,717,198	191,251,229	42,465,969	12,000,000	3,179,043	0 0	3,173,043	1,000,000	, č
36 MAREX NORTH AMERICA LLC	FCM	NFA	09/30/2023	140,374,110	1,000,000	139,374,110	753,177	0	753,177	1	251,059	0	251,059 2,699,385	1		0		0	0
37 MCVEAN TRADING & INVESTMENTS LLC 38 MFI FUNDING LLC	FCM FCM	NFA NFA	09/30/2023 09/30/2023	12,879,704 107,174,644	1,706,146 1,000,000	11,173,558 106,174,644	431,193,305	407,230,611	23,962,694	18,000,000	2,699,385	0	2,699,385	1,000,000	1	0	0	0	
39 MID CO COMMODITIES INC	FCM	NFA	09/30/2023	16,103,863	4,603,916	11,499,947	55,672,251	37,982,976	17,689,275	5,138,000	0	0	0	0		0	0	0	, č
40 MINT BROKERS	FCM BD	NFA	09/30/2023	2,220,264	1,000,000	1,220,264	0	0	0	0	0	0	0	0	(0	0	0	0
41 MIZUHO SECURITIES USA LLC 42 MORGAN STANLEY & CO LLC	FCM BD FCM BD SD	CME CME/NFA	09/30/2023 09/30/2023	1,406,617,544 18,946,683,474	479,158,159 4,263,869,724	927,459,385 14,682,813,750	8,964,303,848 27,628,256,136	8,500,383,819 27,060,714,132	463,920,029 567,542,004	150,000,000 235,000,000	1,728,951,783 8,839,029,043	1,501,239,428 8,637,399,405	227,712,355 201,629,638	70,000,000 140,000,000	21,268,300 25,726,915,292	2 25,169,079,828	21,268,300 557,835,464	10,000,000 92,000,000	- 0
43 NANHUA USA LLC	FCM BD 3D	CME/INFA	09/30/2023	34,429,545	20,220,259	14,209,286	404,026,633	372,923,717	31,102,916	3,500,000	357,395	1.092	356,303	100,000	23,720,913,292	23,169,079,626	337,033,404	92,000,000	- 0
44 NATWEST MARKETS SECURITIES INC	FCM BD	CBOT	09/30/2023	560,332,889	2,892,104	557,440,785	7,503,655	0	7,503,655	5,000,000	0	0	0	0	(0	0	0	0
45 NINJATRADER CLEARING LLC 46 NOMURA SECURITIES INTERNATIONAL INC	FCM FCM BD	NFA CBOT	09/30/2023	21,613,769 1,824,120,502	1,000,000 149,304,409	20,613,769 1,674,816,093	257,590,389 149,623,451	234,121,964 98,195,763	23,468,425 51,427,688	4,000,000 19,000,000	3,540,890 1,250,000	2,274,687	1,266,203 1,250,000	400,000 1,000,000	(0	0	0	
47 OANDA CORPORATION	FCMRFD	NFA		41.865.017	27.832.120	14.032.897	149,023,431	90,193,703	31,427,000	19,000,000	1,230,000	0	1,230,000	1,000,000		0 0	0	0	160,885,922
48 PHILLIP CAPITAL INC	FCM BD	CME	09/30/2023	98,133,853	44,121,212	54,012,641	884,301,203	824,275,399	60,025,804	17,500,000	21,880,604	18,308,798	3,571,806	1,000,000	(0	0	0	0
49 PICTET OVERSEAS INC 50 RBC CAPITAL MARKETS LLC	FCM BD FCM BD	NFA CME	09/30/2023 09/30/2023	50,983,530 2,142,634,829	9,359,422 453,364,782	41,624,108 1.689,270,047	127,133,724 3,961,616,393	121,504,188 3.556,910,026	5,629,536 404,706,367	1,500,000 260,000,000	45,478,079 348,984,971	41,994,327 261,094,986	3,483,752 87.889,985	900,000	2.026.245.228	0 3 1,704,719,859	321,525,369	120,000,000	ļ ,
51 RJ OBRIEN ASSOCIATES LLC	FCM SD	CME/NFA		2,142,634,829 339,998,496	453,364,782 235,062,007	1,689,270,047	6,150,917,796	5,926,969,189	223,948,607	50,000,000	280,592,187	261,094,986 248,680,609	87,889,985 31,911,578	20,000,000	2,020,245,226	1,/04,/19,859	321,323,369	120,000,000	0 0
52 SANTANDER US CAPITAL MARKETS LLC	FCM BD	NYME	09/30/2023	588,117,891	178,937,299	409,180,592	2,339,110,703	2,266,157,345	72,953,358	70,000,000	0	0	0	0	i i	0	Ō	0	0
53 SCOTIA CAPITAL USA INC 54 SG AMERICAS SECURITIES LLC	FCM BD FCM BD	CME CME	09/30/2023 09/30/2023	1,239,776,904 5,219,194,991	133,327,913 1.835,447,051	1,106,448,991 3,383,747,940	18,269,490,823	0 17,811,057,909	0 458,432,914	200,000,000	7,648,011,179	7,241,382,596	406.628.583	200,000,000	1,112,243,254	0 1 891.606.354	220.636.900	000,000,08	0
55 STONEX FINANCIAL INC	FCM BD	CME	09/30/2023	346,246,307	220,529,643	125,716,664	6,166,235,565	6,091,909,538	74,326,027	40,000,000	261,035,667	248,973,790	12,061,877	6,000,000	1,112,273,23	0 091,000,334	220,030,900	0,000,000	(
56 STRAITS FINANCIAL LLC	FCM	CME	09/30/2023	33,491,638	13,841,032	19,650,606	476,270,570	461,358,189	14,912,381	2,000,000	29,695,091	18,824,116	10,870,975	300,000		0	0	0	C
57 TRADESTATION SECURITIES INC 58 TRADING.COM MARKETS INC	FCM BD RFED	CME NFA	09/30/2023 09/30/2023	188,221,017 26,592,588	11,258,162 20,000,000	176,962,855 6,592,588	922,727,433	857,458,953 0	65,268,480	9,000,000	20,549,857	16,542,806 0	4,007,051 0	800,000	 	0	0	0	1.022.393
59 UBS FINANCIAL SERVICES INC	FCM BD	NFA	09/30/2023	1,272,040,648	138,960,584	1,133,080,064	278,920,068	222,641,423	56,278,645	25,000,000	38,067,296	4,921,032	33,146,264	15,000,000	1	0	i o	0	1,022,393
60 UBS SECURITIES LLC	FCM BD	CBOT	09/30/2023	4,324,518,932	924,873,697	3,399,645,235	6,776,294,925	6,374,667,096	401,627,829	150,000,000	1,987,807,725	1,852,664,751	135,142,974	75,000,000	1,602,581,317	1,402,909,138	199,672,179	125,000,000	0
61 WEDBUSH SECURITIES INC 62 WELLS FARGO SECURITIES LLC	FCM BD FCM BD		09/30/2023 09/30/2023	265,665,542 10,041,278,194	91,693,683 1.603.521.642	173,971,859 8,437,756,552	4,353,263,172 6,262,041,989	4,331,998,927 5,630,228,088	21,264,245 631,813,901	19,000,000 115,000,000	43,184,986 528,177,004	37,518,573 425,880,447	5,666,413 102,296,557	1,000,000 30,000,000	14.557.906.478	0 3 13.929.331.786	628,574,692	285,000,000	<u> </u>
	TCHIDD	CITE	33/30/2023	10,011,270,134	1,003,321,042	0, 137,7 30,332		.,,				.,,							
Totals			1				281,214,257,893	269,281,555,835	11,932,702,058	5,474,941,221	56,538,357,306	52,605,209,930	3,933,147,376	1,984,916,869	157,394,508,362	151,929,734,933	5,464,773,429	2,457,185,160	516,326,469
August Web Page Update	62																		
Additions			1				 									+			
None																			
Deletions										<u> </u>							ļ		
None																1			
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Name Changes																			Ī
None																1			
September Web Page Update	62																		
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SELECTED FCM FINANCIAL DATA AS OF September 30, 2023 FROM REPORTS FILED BY November 6, 2023

(a): FCM: Futures Commission Merchant that is registered with the Commodity Futures Trading											
BD: The FCM is also registered with the Securities and Exchange Commission as a securitie											
RFED: Retail Foreign Exchange Dealer that is registered with the Commodity Futures Tradir											
FCMRFD: The FCM is also registered with the Commodity Futures Trading Commission as a											
SD: The FCM or RFED is also registered with the Commodity Futures Trading Commission a	as a provisionally registered swap dealer.										
(b): DSRO: Designated Self-Regulatory Organization. FCM/RFED firms that are dually registered	d as CDs have two DCDOs listed if they have a different DCDO for the ECM/DEC	ED and the CD. The DCDO for the ECM/DEED is listed first	and the DCDO for the CD is listed second								
(b). DSRO. Designated Self-Regulatory Organization. FCM/RFED firms that are dually registered	as SDS flave two DSROS listed if they flave a different DSRO for the FCM/RFE	ED 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:											
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										
instruction requirement, the summ or to the coal resolution is a management of capital required by a registered future association (common for capital required by a registered future association); or											
• the animoun to dapain required by a required real total responsibility (Principle) (In securities brokers and dealers, the amount of net capital required by Rule 15-5-1(a) of the Securities of the Securities brokers and dealers, the amount of net capital required by Rule 15-5-1(a) of the Securities of the Securities brokers and dealers, the amount of net capital required by Rule 15-5-1(a) of the Securities of the Securities brokers and dealers, the amount of net capital required by Rule 15-5-1(a) of the Securities of the Securities brokers and dealers, the amount of net capital required by Rule 15-5-1(a) of the Securities of the Securities brokers and dealers, the amount of net capital required by Rule 15-5-1(a) of the Securities of the Securities brokers and dealers, the amount of net capital required by Rule 15-5-1(a) of the Securities brokers and Securities brokers and dealers, the amount of net capital required by Rule 15-5-1(a) of the Securities brokers and Securities brokers and dealers, the amount of net capital required by Rule 15-5-1(a) of the Securities brokers and Securities brokers and dealers, the amount of net capital required by Rule 15-5-1(a) of the Securities and Securities and Securities brokers and Se											
	in securious numers and departs, are amount or net capital required by route securious and extensive continues and the securious and the securiou										
 minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEI 	EDs (\$20,000,000) plus five percent of the FCM's or RFED's total retail forex of	bligation 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 according.	ounts for futures and options customers in compliance with Section 4d of the C	Commodity Exchange Act.									
(0.71)		and the second s									
(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 tran	ansaction execution facility. This is the sum of all accounts	that contain a net liquidating equity.								
(a). Evenes/Deficient funds in convention is sustamen assets in convention, less the sustamen a	cogregation requirement										
(g): Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation.	segregation requirement.										
(h): This represents the targeted excess of proprietary funds deposited into customer segregated	ad accounts above the customer segregation requirement. This target amount	t is set by the firm									
(11). This represents the targeted excess of proprietary runus deposited into customer segregated	a accounts above the customer segregation requirement. This target amount	t is set by the firm.									
(i): This represents the total amount of money, securities, and property held in secured accounts	ts for futures and options customers who trade on commodity exchanges locat	ted outside the United States in compliance with Part 30 of	the Commodity Exchange Act.								
,, , , , , , , , , , , , , , , , , , , ,	<u> </u>										
(j): This represents the amount of funds an FCM is required to set aside for customers who trade	de 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 ac	accounts, less the customer amount Part 30 requirement.										
(I): This represents the targeted excess of proprietary funds deposited into separate Section 30.7	.7 accounts above the customer amount Part 30 requirement. This target amo	ount is set by the firm.									
(m): This represents the total amount of money, securities, and property held in cleared swap cu	ustomer accounts for cleared swap customers in compliance with Section 4d(f)	f) of the Commodity Exchange Act.									
() Ti:											
(n): This represents the amount of funds an FCM is required to segregate for customers who trace	ide cleared swaps.										
(a)). Evenes/Deficient funds in classed guan gustomer accounts is funds in consents classed guan	n convention accounts less the deared supplicatemen convention requirem	ont									
(o): Excess/Deficient funds in cleared swap customer accounts is funds in separate cleared swap	a segregation accounts, less the cleared swap customer segregation requireme	ent.									
(p): This represents the targeted excess of proprietary funds deposited into separate cleared sw	wan segregation accounts above the cleared swan customer segregation requi-	irement. This target amount is set by the firm									
(p). This represents the targeted excess or proprietary funds deposited into separate cleared sw	vap segregation accounts above the eleated swap customer segregation requir	irement. This target amount is set by the firm.									
(g): This represents the total amount of funds at an FCM, RFED, or FCMRFD that would be obtain	sined by combining all money, securities and property denosited by a retail form	ex customer into a retail forex account or accounts, adjuste	ed for the realized and unrealized net profit or los	š.							
147 157. 152.152 die total amount of fands at an i er ij in 257 of i er int b didt would be obtain	Jan money securices and property deposited by directal force	and a recall to ex decodine of decoding, dujuste	22.2.2.2.2.2.2.2.2.2.2.2.2.2.2.2.2.2.2								