

SELECTED FCM FINANCIAL DATA AS OF
 November 30, 2018
 FROM REPORTS FILED BY
 January 27, 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(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)	(r)	(s)	(t)
1 ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	11/30/2018	646,059,102	200,734,875	445,324,227	3,448,435,305	3,082,479,519	365,955,786	242,721,871	120,483,750	100,387,362	20,096,388	10,038,736	0	0	0	0	0
2 ADM INVESTOR SERVICES INC	FCM	CBOT	11/30/2018	317,215,877	178,639,320	138,576,557	4,450,824,708	4,229,143,268	221,681,440	120,000,000	333,672,840	286,341,077	47,331,763	20,000,000	14,540,489	5,002,321	9,538,168	8,000,000	0
3 ADVANTAGE FUTURES LLC	FCM	CME	11/30/2018	19,730,213	7,995,770	11,734,443	29,730,443	301,607,640	25,210,874	17,500,000	34,017,185	31,398,240	2,618,945	1,000,000	0	0	0	0	0
4 AMP GLOBAL CLEARING LLC	FCM	NFA	11/30/2018	4,450,001	1,000,000	3,450,001	53,490,542	48,836,742	4,653,800	900,000	2,231,910	1,873,226	358,684	150,000	0	0	0	0	0
5 APEX CLEARING CORPORATION	FCM BD	NFA	11/30/2018	195,894,546	10,348,791	185,545,755	23,007,446	12,767,931	10,239,515	2,500,000	0	0	0	0	0	0	0	0	0
6 BARCLAYS CAPITAL INC	FCM BD	NYME	11/30/2018	5,116,798,112	958,526,077	4,158,272,035	4,645,995,139	4,296,369,887	349,625,252	157,676,775	3,151,275,792	2,951,163,945	200,111,847	98,568,876	5,755,724,458	5,364,735,803	390,988,655	192,057,542	0
7 BGC FINANCIAL LP	FCM BD	NFA	11/30/2018	1,696,220	0	30,448,121	0	0	0	0	0	0	0	0	0	0	0	0	0
8 BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	11/30/2018	2,167,352,817	407,304,464	1,760,048,353	3,216,922,958	3,030,487,924	186,435,034	150,000,000	176,057,403	137,888,301	38,169,102	30,000,000	1,025,057,635	875,724,945	149,332,690	120,000,000	0
9 BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	11/30/2018	6,796,751	1,018,655	5,778,096	19,825,781	15,706,262	4,119,519	1,000,000	6	6	6	1	6	6	6	1	0
10 BOFAM SECURITIES INC	FCM	NFA	11/30/2018	25,000,000	1,500,000	23,500,000	0	0	0	0	0	0	0	0	0	0	0	0	0
11 CANTOR FITZGERALD & CO	FCM BD	CBOT	11/30/2018	215,398,790	11,984,223	203,414,567	4,969,921	0	4,969,921	3,000,000	0	0	0	0	0	0	0	0	0
12 CHARLES SCHWAB FUTURES, INC.	FCM	NFA	11/30/2018	98,517,653	4,172,664	94,344,989	121,883,655	61,600,473	60,283,182	10,472,080	2,967,256	443,210	2,524,046	75,346	0	0	0	0	0
13 CHS HEDGING LLC	FCM	CBOT	11/30/2018	52,586,339	9,714,676	42,871,663	176,949,790	124,448,067	52,501,723	13,600,000	1,528,205	0	1,528,205	200,000	503,912	0	503,912	120,000	0
14 CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	11/30/2018	8,712,403,167	2,550,833,039	6,161,570,128	10,090,624,831	9,574,379,266	516,245,565	380,800,000	2,978,273,276	2,784,185,987	194,087,289	150,000,000	24,603,591,927	24,091,753,287	511,838,640	429,700,000	0
15 CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	11/30/2018	8,728,951,664	1,266,861,398	7,462,090,266	5,940,030,550	5,613,813,356	326,217,194	280,690,668	3,350,056,757	3,162,657,360	187,399,397	158,132,868	10,535,487,519	9,842,587,435	692,900,084	492,129,372	0
16 CUNNINGHAM COMMODITIES LLC	FCM	CBOT	11/30/2018	5,328,990	1,038,865	4,290,125	7,199,582	75,592,229	3,607,353	3,050,000	2,297,167	1,770,342	526,825	100,000	0	0	0	0	0
17 DAINIA CAPITAL MARKETS AMERICA INC	FCM BD	CME	11/30/2018	945,332,701	2,690,900	942,641,801	2,165,289	0	2,165,289	1	0	0	0	0	0	0	0	0	0
18 DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	11/30/2018	12,766,460,278	223,134,025	12,543,326,253	2,312,618,492	2,109,710,302	202,908,190	125,000,000	859,427,633	731,983,946	127,443,687	75,000,000	0	0	0	0	0
19 DIRECT ACCESS USA LLC	FCM	CME	11/30/2018	7,645,680	1,000,000	6,645,680	2,372,289	6,276,233	1,096,056	2,500,000	0	0	0	0	0	0	0	0	0
20 DORMAN TRADING LLC	FCM	CME	11/30/2018	14,435,251	1,216,512	13,218,739	162,295,444	157,275,277	5,020,167	2,000,000	4,201,603	3,605,298	596,305	200,000	0	0	0	0	0
21 E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	11/30/2018	168,135,231	56,894,948	111,240,283	1,485,482,539	1,405,044,866	80,437,670	41,250,000	46,502,600	36,798,508	9,704,092	5,000,000	1,879,881	676,163	1,203,718	500,000	0
22 E-TRADE FUTURES LLC	FCM	NFA	11/30/2018	25,927,824	1,095,870	24,831,954	53,883,391	28,137,266	25,746,125	5,000,000	0	0	0	0	0	0	0	0	0
23 EFL FUTURES LIMITED	FCM	NFA	11/30/2018	42,711,646	1,000,000	41,711,646	0	0	0	0	0	0	0	0	0	0	0	0	0
24 GAIN CAPITAL GROUP LLC	FCMRFD	NFA	11/30/2018	50,949,288	33,112,498	17,836,790	233,192,597	216,124,042	17,068,555	10,000,000	7,694,531	5,391,945	2,302,586	1,000,000	0	0	0	0	252,881,175
25 GH FINANCIALS LLC	FCM	CME	11/30/2018	19,774,031	4,416,865	15,357,166	87,452,504	66,190,070	21,262,434	3,800,000	5,752,030	4,643,787	1,082,243	550,000	0	0	0	0	0
26 GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	11/30/2018	15,925,150,166	2,372,858,444	13,552,291,722	22,974,338,812	22,119,043,428	855,295,384	675,000,000	8,717,958,563	8,130,257,879	587,700,684	475,000,000	6,706,922,617	6,283,110,572	423,812,045	350,000,000	0
27 HSBC SECURITIES USA LLC	FCM BD	CME	11/30/2018	1,084,250,992	281,540,738	802,710,254	2,486,603,370	2,359,175,454	127,427,916	109,000,000	145,403,455	120,654,093	34,749,362	25,000,000	999,295,138	882,979,625	116,315,513	100,000,000	0
28 HUATAI FINANCIAL USA INC	FCM	NFA	11/30/2018	2,023,426	1,000,000	1,023,426	0	0	0	0	0	0	0	0	0	0	0	0	0
29 INTERACTIVE BROKERS LLC	FCM BD	CME	11/30/2018	4,868,094,164	450,358,476	4,417,735,688	4,037,237,023	3,829,078,153	208,158,870	155,000,000	572,763,927	448,440,713	124,323,214	80,000,000	0	0	0	0	56,039,802
30 INTL FCSTONE FINANCIAL INC	FCM BD	CME	11/30/2018	184,354,046	94,808,529	89,545,517	2,299,736,921	2,203,355,098	96,381,823	40,000,000	125,526,960	108,850,502	16,676,458	8,000,000	0	0	0	0	0
31 IRONBEAM INC	FCM	NFA	11/30/2018	4,530,467	1,000,000	3,530,467	61,718,957	57,899,424	3,819,533	1,600,000	445,580	306,994	138,586	50,000	0	0	0	0	0
32 JEFFERIES LLC	FCM BD	NFA	11/30/2018	1,739,435,039	103,474,787	1,635,960,252	10,300,000	0	0	0	0	0	0	0	0	0	0	0	0
33 JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	11/30/2018	15,546,555,206	2,964,063,623	12,582,491,583	21,582,391,529	19,829,235,010	1,753,156,519	991,461,751	4,743,384,288	4,300,895,505	442,488,783	258,053,730	12,940,143,963	11,906,555,399	1,033,588,564	625,094,158	0
34 MACQUARIE FUTURES USA LLC	FCM	CBOT	11/30/2018	264,578,151	186,424,432	78,153,719	2,444,109,754	2,209,033,125	235,076,629	100,000,000	43,881,871	26,648,006	17,233,665	7,000,000	23,021,380	2,273,967	20,747,413	1,000,000	0
35 MAREX NORTH AMERICA LLC	FCM	CME	11/30/2018	27,236,099	17,642,698	9,593,401	238,935,843	235,731,593	3,204,250	2,330,000	52,044,910	49,109,112	2,935,798	2,250,000	0	0	0	0	0
36 MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	11/30/2018	14,433,416	1,000,000	13,433,416	731,103,982	708,871,210	22,232,772	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	11/30/2018	13,953,583,191	2,146,570,156	11,807,013,035	16,438,881,533	16,141,158,425	297,723,108	200,000,000	5,716,056,589	5,358,921,229	357,135,360	150,000,000	6,628,965,842	6,281,951,992	347,013,850	150,000,000	0
38 MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	11/30/2018	4,474,157,939	589,642,639	3,884,515,300	2,945,350,518	1,015,966,471	1,929,384,047	300,000,000	0	0	0	0	0	0	0	0	0
39 MID CO COMMODITIES INC	FCM	NFA	11/30/2018	7,854,012	4,060,353	3,793,659	36,470,184	27,752,994	8,717,190	5,138,000	0	0	0	0	0	0	0	0	0
40 MINT BROKERS	FCM BD	NFA	11/30/2018	2,461,958	1,000,000	1,461,958	0	0	0	0	0	0	0	0	0	0	0	0	0
41 MIZUHO SECURITIES USA LLC	FCM BD	CME	11/30/2018	650,305,000	241,405,473	408,899,527	3,653,172,162	3,456,359,392	196,812,770	125,000,000	683,838,796	558,620,396	125,218,400	70,000,000	32,486,874	2,638,580	29,848,294	15,000,000	0
42 MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	11/30/2018	12,982,171,208	2,435,852,432	10,546,318,776	17,726,834,410	17,392,094,690	334,739,720	280,000,000	5,017,123,279	4,823,460,638	193,662,641	140,000,000	15,691,809,042	15,442,741,421	249,067,621	92,000,000	0
43 NANHUA USA LLC	FCM	CME	11/30/2018	16,794,650	1,000,000	15,794,650	34,588,665	22,516,493	12,072,172	3,500,000	0	0	0	0	0	0	0	0	0
44 NATWEST MARKETS SECURITIES INC	FCM BD	CBOT	11/30/2018	933,011,875	37,635,720	895,376,155	599,660,612	523,166,753	76,499,859	60,000,000	21,186,810	15,221,720	5,965,090	5,000,000	0	0	0	0	0
45 NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	11/30/2018	1,267,348,658	258,185,083	1,009,163,575	300,034,202	194,162,782	105,871,420	15,000,000	17,378,583	0	17,378,583	1,000,000	0	0	0	0	0
46 OANDA CORPORATION	FCMRFD	NFA	11/30/2018	66,585,817	57,047,102	9,538,715	0	0	0	0	0	0	0	0	0	0	0	0	196,349,617
47 PHILLIP CAPITAL INC	FCM BD	CME	11/30/2018	24,524,304	12,635,208	11,889,096	336,457,829	325,802,808	10,655,021	7,500,000	11,982,306	7,944,657	4,037,649	2,000,000	0	0	0	0	0
48 PICTET OVERSEAS INC	FCM BD	NFA	11/30/2018	16,224,780	1,439,259	14,785,521	2,113,962	310,250	1,803,712	1,500,000	36,435,942	34,065,937	2,370,005	500,000	0	0	0	0	0
49 RAND FINANCIAL SERVICES INC	FCM	CME	11/30/2018	90,668,339	8,675,643	81,992,696	156,129,200	117,101,800	39,027,400	3,513,100	3								

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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.
FCMRFED:	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 FCMRFED 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.