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	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	Target Decidual	Total Amount of Retail Forex Obligation
	(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	Accounts (k)	(1)	(m)	(n)	Accounts (o)	(p)	(q)
1 ABN AMRO CLEARING CHICAGO LLC	FCM BD	СВОТ	03/31/2020	838.812.048	236.997.491	601.814.557	7 4.183.046.267	3.645.339.914	537.706.353	279,282,365	127.401.436	91.434.549	35.966.887	9.143.455	:) 0			
2 ADM INVESTOR SERVICES INC	FCM	CBOT	03/31/2020	334.932.961	211,522,351		.,		216,222,524		310.891.184	265.299.998	45,591,186	20.000.000		168.937	9.630.492	2 8.000.000	0
3 ADVANTAGE FUTURES LLC	FCM	CME	03/31/2020	24,587,045	6,504,892		322,172,743	299,781,319	22,391,424	12,000,000	50,816,707	47,238,409	3,578,298	1,000,000		0	C	0	0
4 AMP GLOBAL CLEARING LLC	FCM	NFA	03/31/2020	5,030,277	1,000,000	4,030,277		58,521,303	5,220,732	900,000	1,899,269	1,544,767	354,502	150,000	0	0	C) 0	0
5 APEX CLEARING CORPORATION	FCM BD FCM	NFA	03/31/2020	172,447,715	11,672,995		41,705,589	25,512,733	16,192,856	6,000,000	. 0	0	0	0	9	0	<u> </u>	<u>)</u>	0
6 BAKKT CLEARING LLC 7 BARCLAYS CAPITAL INC	FCM BD	NFA NYME	03/31/2020	12,030,414 5,104,998,737	1,000,000 1,561,438,841			9.592.806.287	463.238.929	199 530 371	2.814.358.375	2.559.891.847	254.466.528	85 500 388	9.521.442.969	8.952.579.408	568.863.561	1 265.891.608	0
8 BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	03/31/2020	0,101,000,101	772,498,783	0,0.0,000,000		4.242.337.793	299.714.999	240.000.000	231.257.649	140.427.481	90.830.168	30,000,000	1.773.614.610	1.623.691.929	149,922,681		0
9 BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	03/31/2020	6,217,141	1,000,000	5,217,141	.,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	11,243,105	3,628,624		6	0	6	1	6	, 0	f 10,022,001	3 1	0
10 BOFA SECURITIES INC	FCM BD	CBOT	03/31/2020	12,045,330,393	3,404,850,570	8,640,479,823	3 27,246,508,964	26,744,325,263	502,183,701	200,000,000	6,434,458,382	5,976,875,351	457,583,031	150,000,000	12,684,318,738	12,341,456,583	342,862,155	5 150,000,000	. 0
11 CANTOR FITZGERALD & CO	FCM BD	CBOT	03/31/2020	379,416,777	7,838,323			0	4,969,921	3,000,000	0	0	0	0	0	0	Ç	0	0
12 CHARLES SCHWAB FUTURES, INC.	FCM	NFA	03/31/2020	42,665,746	11,419,292				46,545,222	23,826,356	50,000		50,000	1	0	0	<u>C</u>) 0	0
13 CHS HEDGING LLC 14 CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	03/31/2020	61,262,074 6,767,095,455	10,347,615 4,177,174,190			118,774,164 17,587,576,602	53,150,698 1,142,645,414	13,600,000 768,600,000	1,527,272 5,789,513,581	4.720.545.647	1,527,272 1,068,967,934	200,000 188,300,000	581,052	70,524 37,825,880,387	510,528 797,712,078	0,000	0
15 CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	03/31/2020	7.699.492.978	2.046.691.085			11 1001 101 01002	585,646,523	458.286.194	5.769.513.561		1.262.666.542	.00,000,000	36,623,592,465 14.993,185,563	37.625.660.367 3 14.026.438.397	966.747.166	0= .,000,00	0
16 CUNNINGHAM COMMODITIES LLC	FCM	CBOT	03/31/2020	5,942,710	1,044,075		40,407,161	34,397,572	6,009,589	3,050,000	1,518,375	982.272	536,103	100,000) 14,000,100,000	14,020,400,007	300,747,100	0	0
17 DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	03/31/2020	1,139,965,596	4,087,152				2,174,200		545,706	0	545,706	1	0	0	(5 0	0
18 DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	03/31/2020	7,343,573,533	409,509,835	6,934,063,698	5,101,321,623	4,506,963,285	594,358,338	125,000,000	881,434,415	501,267,557	380,166,858	75,000,000) 0	0	(0	0
19 DIRECT ACCESS USA LLC	FCM	CME	03/31/2020	13,109,307	1,156,561			20,591,972	8,521,248	2.500,000	, , , , , , , , , ,	0	0	. 5,555,556	0	0	r	ان آر	<u> </u>
20 DORMAN TRADING LLC	FCM	CME	03/31/2020	14,430,451	1,650,766	//	178,563,078	172,889,117	5,673,961	2,000,000	9,728,223	9,102,024	626,199	200,000	0	0	(ار ا	0
21 E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	03/31/2020	162,140,071	89,150,602	/ - /		1.700.938.095	108,175,408	44,250,000	89,807,319	81,071,497	8,735,822	5,000,000	1,376,219	326,075	1,050,144	4 500,000	<u> </u>
22 E*TRADE FUTURES LLC	FCM	NFA	03/31/2020	29,443,601	3,031,060			54,387,449	28,905,162	5,000,000	0	0.,571,457	0,700,022	0)0	0 0 0	.,000,144	J 0	
23 GAIN CAPITAL GROUP LLC	FCMRFD	NFA	03/31/2020	60,764,079	29,787,236	30,976,843	3 205,161,974	185,562,889	19,599,085	10,000,000	3,987,497	2,569,292	1,418,205	1,000,000		0	, (0	205,744,722
24 GH FINANCIALS LLC	FCM	CME	03/31/2020	24,288,342	7,273,816	17,014,526	152,795,756	119,539,391	33,256,365	3,500,000	3,427,978	2,206,891	1,221,087	200,000		0	C	0ر	0
25 GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	03/31/2020	18,660,795,245	4,399,103,650	14,261,691,595	41,572,555,124	40,603,677,549	968,877,575	675,000,000	10,760,668,977	10,151,904,519	608,764,458	475,000,000	10,524,909,503	10,078,848,988	446,060,515	5 350,000,000	0
26 HIDDEN ROAD PARTNERS CIV US LLC	FCM BD	NFA	03/31/2020	1,565,452	1,000,000			0	0	0	0	0	0	0	0	0	(0 ر	0
27 HSBC SECURITIES USA INC	FCM BD	CME	03/31/2020	1,474,721,791	531,762,828			.,	255,424,549	186,000,000	353.878.629	292,165,364	61,713,265	25,000,000	1,430,065,292	1,212,453,805	217,611,487	7 177,000,000	0
28 HUATAI FINANCIAL USA INC	FCM	NFA	03/31/2020	3,632,597	1,000,000	2,632,597	7 14,222,507	12,646,287	1,576,220	600,000	345,431	4,544	340,887	150,000	<u>/</u> 0	0	<u>C</u>	0	0
29 IG US LLC	RFED	NFA	03/31/2020	31,091,508	20,294,980		<u>s</u> 0	0	0	0	0	0	0	0	<u>/</u> 0	0	<u>C</u>	0	15,899,604
30 INTERACTIVE BROKERS LLC	FCM BD	CME	03/31/2020	5,136,877,599	343,058,708	4,793,818,891	1 6,354,613,934	6,149,774,289	204,839,645	155,000,000	670,679,564	550,253,077	120,426,487	80,000,000	0	0	C) 0	72,950,126
31 INTL FCSTONE FINANCIAL INC	FCM BD	CME	03/31/2020	175,748,337	108,304,044		3 2,543,578,897	2,485,873,808	57,705,089	40,000,000	162,502,373	149,951,287	12,551,086	6,000,000		265,569	3,005,249	9 1,000,000	0
32 IRONBEAM INC	FCM	NFA	03/31/2020	5,190,688	1,000,000	4,190,688	49,485,951	43,846,125	5,639,826	1,600,000	350,057	192,145	157,912	50,000	0	0	0	1 0	0
33 JEFFERIES LLC	FCM BD	NFA CET/NEA	03/31/2020	1,000,111,010	91,507,064	1,210,201,100		44 000 007 540	0 404 050 006	0	7 404 400 040	0 045 000 000	405 504 250	070 007 047	7 04 040 440 606	10.070.000.074	4 670 400 044	5 000 004 700	0
34 JP MORGAN SECURITIES LLC 35 MACQUARIE FUTURES USA LLC	FCM BD SD FCM		03/31/2020		 		3 43,354,965,834 5 2,934,584,465					-	485,504,359 17,842,001	7.000.000	7 21,349,110,686 22,726,725	- / / / -			0
36 MAREX NORTH AMERICA LLC	FCM	CME	03/31/2020		78,117,967						54,608,187 61,626,711			10,250,000		1,406,408	21,320,317	7 1,000,000	<u>_</u>
37 MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	03/31/2020	14,949,292	3,573,100				24,299,599		2,567,861		2,567,861	1,000,000		0		2 0	0
38 MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	03/31/2020		1,018,915,275							0	2,307,801	1,000,000	, 0	0		<u>1 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0</u>	0
39 MID CO COMMODITIES INC	FCM	NFA	03/31/2020	11,524,569	4,284,602			25,907,308	11,819,845			0	0	0	0	0	Č		0
40 MINT BROKERS	FCM BD	NFA	03/31/2020	2,919,575	1,000,000			0	0	C	0	0	0	0	Ō	, O	ſ	ن ا	0
41 MIZUHO SECURITIES USA LLC	FCM BD	CME	03/31/2020	905,319,289	377,083,394	1		5,901,260,470	233,813,742	125,000,000	1,054,591,897	918,694,570	135,897,327	70,000,000	21,425,911	325,068	21,100,843	3 10.000.000	0
42 MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA			4,266,827,692								630,604,044		30,326,551,351				0
43 NANHUA USA LLC	FCM	CME	03/31/2020	16,191,699	2,176,135			41,959,924		3,500,000	1,897,981	1,566,575	331,406	100,000		0	(J 0	0
44 NATWEST MARKETS SECURITIES INC	FCM BD	CBOT	03/31/2020	634,908,093	103,657,119					20,000,000	20,776,290	11,776,534	8,999,756	2,000,000	0	0	ſ	٥	0
45 NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	03/31/2020	2,469,101,193	115,614,408	2,353,486,785	436,611,193	295,862,567	140,748,626	19,000,000	17,771,818	0	17,771,818	1,000,000	0	0	ſ	٥ (د	0
46 OANDA CORPORATION	FCMRFD	NFA	03/31/2020	60,263,566	30,039,459	30,224,107	<u>′</u> 0	, <u>o</u> '	0	0	0	0	0	0	0	0	ſ	0	201,011,043
47 PHILLIP CAPITAL INC	FCM BD	CME	03/31/2020	50,796,068	30,472,665	20,323,403	602,304,204	582,085,624	20,218,580	11,500,000	13,465,397	7,846,824	5,618,573	1,500,000	0	<u>0</u>	ſ	0	0
48 PICTET OVERSEAS INC	FCM BD	NFA	03/31/2020	45,551,945	22,066,068	23,485,877	7 243,114,415	240,033,559	3,080,856	1,500,000	99,465,292	96,198,942	3,266,350	500,000	0	0	ſ	٥ (د	0
49 RAND FINANCIAL SERVICES INC	FCM	CME	03/31/2020	94,436,232	6,349,261		1 127,293,800	,,	36,747,200		28,225,600		25,572,100	79,600	0	0	(0 ر	0
50 RBC CAPITAL MARKETS LLC	FCM BD	CME	03/31/2020	1,890,913,819	370,999,275	1,519,914,544	3,239,877,634	2,693,656,590	546,221,044	200,000,000	365,324,219	263,426,711	101,897,508	20,000,000	1,192,424,519	794,180,040	398,244,479	9 80,000,000	0
51 RJ OBRIEN ASSOCIATES LLC	FCM	CME	03/31/2020	258,401,881	206,917,936	51,483,945	4,834,670,083	4,681,064,378	153,605,705	50,000,000	177,976,557	146,132,789	31,843,768	20,000,000	0	0	(0ر	0
52 SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	03/31/2020	428,315,228	172,926,001	255,389,227	7 2,118,331,562	2,040,858,417	77,473,145	70,000,000	0	0	0	0	0	0	ſ	0	0
53 SCOTIA CAPITAL USA INC	FCM BD	CME	03/31/2020	+	184,616,497		-	0	0	0	0	0	0	0	0	0	(0 ر	0
54 SG AMERICAS SECURITIES LLC	FCM BD	CME	03/31/2020	4,315,850,938	1,768,260,988				826,531,632	500,000,000	6,902,179,643	6,230,577,040	671,602,603	355,000,000	1,106,615,252	884,733,660	221,881,592	2 75,000,000	0
55 STRAITS FINANCIAL LLC	FCM	CME	03/31/2020	23,865,221	14,929,824				15,826,022	2,000,000	30,404,178	21,869,170	8,535,008	300,000	0	0		0 0	0
56 TD AMERITRADE FUTURES & FOREX LLC	FCM	NFA	03/31/2020	152,776,883	22,544,935				126,771,980	50,000,000	0	0	0	0	<u>/</u> 0	0		0 (ر	60,600,697
57 TRADESTATION SECURITIES INC	FCM BD	CME	03/31/2020	133,655,857	4,599,010				20,537,228		20,195,844	17,141,834	3,054,010	800,000		0		0 ر	0
58 UBS FINANCIAL SERVICES INC	FCM BD	NFA	03/31/2020	 	128,616,641				39,188,756		38,943,951	12,054,177	26,889,774	15,000,000		0		0 (0
59 UBS SECURITIES LLC	FCM BD	CBOT	03/31/2020	1- 1-1	878,134,235					425,000,000	1 1 1		354,345,660	200,000,000		995,881,664	232,190,741	1 125,000,000	0
60 WEDBUSH SECURITIES INC	FCM BD	CBOT	03/31/2020	 	34,365,799			 		 	14,659,897	/ - /	3,549,501	1,000,000		0		0 (0
61 WELLS FARGO SECURITIES LLC	FCM BD	CME	03/31/2020	-,,,-	/ -//			 	601,013,779	- / /	.,,	0 := , : 0 0 , 0 0 0	340,237,595		16,455,035,555	15,249,138,957	1,205,896,598	8 345,000,000	0
62 YORK BUSINESS ASSOCIATES LLC	FCM	NFA	03/31/2020	6,335,174	1,000,000			, ,		2,000,000	1,357,558		454,650	200,000		0	0	0	0
Totals							279,109,881,247	264,622,419,883	14,487,461,364	7,564,565,989	60,967,832,842	53,654,632,186	7,313,200,656	2,527,212,289	161,268,119,068	153,344,557,074	7,923,561,994	3,714,815,259	556,206,192
February Web Page Update	63	<u> </u>	+				+					+		<u> </u>				+	·
Additions	0	<u> </u>	+				+					+						+	
None																			
Dalations					+						1						1		
Deletions MITSUI BUSSAN COMMODITIES USA INC	1	 						-				+							<u> </u>
INITI SOT DOSSAIN COMMUNICIDITIES OSA TINC		<u> </u>	+			+	+	+				+						+	
Name Changes						<u> </u>	<u> </u>	<u> </u>							<u> </u>				
							T						1		T			_	
None		ļ .	1	1			+	+		+	1			·		+		+	
March Web Page Update	62							+			+								

SELECTED FCM FINANCIAL DATA AS OF March 31, 2020 FROM REPORTS FILED BY April 23, 2020

(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.	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) DCDO Designated CAS Developed Considering COMPTED State Hollows deally assistant as CD based on DCDO State History and CAS Developed Company (State History and Cas DCDO) and Cas DCDO State History and Cas D	L DCDO for the ECM/DEED and the CD. The DCDO for the ECM/DEED	is listed first and the DCDO for the CD is listed assent									
(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:											
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. 											
• 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 RFI	ED's total retail forex obligation in excess of \$10,000,000.										
(A). For each control to adjust a direct of control to a the Construction of the Const											
(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 Eychange Act										
(e). This represents the total amount of money, securities, and property field in segregated accounts for futures and options customers in compilance	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 m	narket or derivatives transaction execution facility. This is the sum of	fall 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 requireme	nt. 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 com-	modity exchanges located outside the United States in compliance wi	ith Part 30 of the Commodity Exchange Act.									
(i). This was wear to the constant of fineds on ECM is wear inside for a substance who had on a constant when the constant of the Hall with	to d Charles										
(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	ed 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	unt .										
(k). Excess/Deficient funds in separate Section 50.7 accounts is funds in separate Section 50.7 accounts, less the customer amount Part 50 requirement	<u>, it.</u>										
(I): This represents the targeted excess of proprietary funds deposited into separate Section 30.7 accounts above the customer amount Part 30 require	ement. This target amount is set by the firm										
(1). This represents the targeted excess of proprietary familia deposited into separate section 30.7 decounts above the castoliter amount fact 50 regards	inche. 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 complete	pliance 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	r segregation requirement.										
(p): This represents the targeted excess of proprietary funds deposited into separate cleared swap segregation accounts above the cleared swap customers.	omer segregation requirement. 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 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.