| MINT BROKERS | RFED | | 05/31/2020 | 1,395,154,719 | 2,742,641,405 | 38,162,499 | 0 | 37,042,316,981 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| WEDBUSH SECURITIES INC | RFED | | 05/31/2020 | 11,239,525 | 11,468,172 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| MCVEAN TRADING & INVESTMENTS LLC | FCM BD | | 05/31/2020 | 8,005,371,305 | 27,717,780 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| SANTANDER INVESTMENT SECURITIES INC | RFED | | 05/31/2020 | 4,741,372,068 | 4,123,529,391 | 38,259,875 | 0 | 44,230,843 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| MORGAN STANLEY & CO LLC | CBOT | | 05/31/2020 | 710,121,883 | 503,715 | 1,000,000 | 0 | N/A | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| CITIGROUP GLOBAL MARKETS INC | NFA | | 05/31/2020 | 1,336,415,875 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| SANTANDER INVESTMENT SECURITIES INC | RFED | | 05/31/2020 | 443,368,447 | 4,741,372 | 38,259,875 | 0 | 44,230,843 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| MID CO COMMODITIES INC | RFED | | 05/31/2020 | 3,050,000 | 6,411,451,799 | 163,813,070 | 0 | 55,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| MCVEAN TRADING & INVESTMENTS LLC | FCM BD | | 05/31/2020 | 8,005,371,305 | 27,717,780 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| SANTANDER INVESTMENT SECURITIES INC | RFED | | 05/31/2020 | 443,368,447 | 4,741,372 | 38,259,875 | 0 | 44,230,843 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| MORGAN STANLEY & CO LLC | CBOT | | 05/31/2020 | 710,121,883 | 503,715 | 1,000,000 | 0 | N/A | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| CITIGROUP GLOBAL MARKETS INC | NFA | | 05/31/2020 | 1,336,415,875 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

**Note:** The table contains financial data for various futures commission merchants and retail foreign exchange dealers as of May 31, 2020.
### SELECTED FCM FINANCIAL DATA AS OF May 31, 2020

FROM REPORTS FILED BY June 23, 2020

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>RFED</td>
<td>Retail Foreign Exchange Dealer that is registered with the Commodity Futures Trading Commission.</td>
</tr>
<tr>
<td>FCM</td>
<td>Futures Commission Merchant that is registered with the Commodity Futures Trading Commission.</td>
</tr>
<tr>
<td>BD</td>
<td>The FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer.</td>
</tr>
<tr>
<td>FCMRFD</td>
<td>The FCM is also registered with the Commodity Futures Trading Commission as a Retail Foreign Exchange Dealer.</td>
</tr>
<tr>
<td>SD</td>
<td>The FCM or RFED is also registered with the Commodity Futures Trading Commission as a provisionally registered swap dealer.</td>
</tr>
</tbody>
</table>

(a): DSRO: Designated Self-Regulatory Organization. FCM/RFED firms that are dually registered as SDs have two DSROs— the DSRO for the FCM/RFED and the DSRO for the SD. The DSRO for the FCM/RFED is listed first and the DSRO for the SD is listed second.

(b): A firm's net capital requirement is the greater of:

- the firm's net capital requirement in the form of cash and free and unrestricted marketable securities and the sum of its net current assets and its net capital computed in accordance with the rules of the DSRO.
- the amount of capital required to be maintained by a registered entity as specified by the CFTC in the firm's registration application.
- the amount of capital required to be maintained by a registered entity as specified by the CFTC in a notification the CFTC sent to the firm.
- the firm's net capital operated for more than three consecutive calendar months in excess of the amount of the DSRO's liquidating deficit and the amount of the DSRO's total retail and financial obligation.
- the amount of capital required to be maintained by a registered entity as specified by the CFTC in the firm's registration application.

(b): A firm's net capital requirement is the greater of:

- the firm's net capital requirement in the form of cash and free and unrestricted marketable securities and the sum of its net current assets and its net capital computed in accordance with the rules of the DSRO.
- the amount of capital required to be maintained by a registered entity as specified by the CFTC in the firm's registration application.
- the amount of capital required to be maintained by a registered entity as specified by the CFTC in a notification the CFTC sent to the firm.
- the firm's net capital operated for more than three consecutive calendar months in excess of the amount of the DSRO's liquidating deficit and the amount of the DSRO's total retail and financial obligation.
- the amount of capital required to be maintained by a registered entity as specified by the CFTC in the firm's registration application.

(c): A firm's net capital requirement is the greater of:

- the firm's net capital requirement in the form of cash and free and unrestricted marketable securities and the sum of its net current assets and its net capital computed in accordance with the rules of the DSRO.
- the amount of capital required to be maintained by a registered entity as specified by the CFTC in the firm's registration application.
- the amount of capital required to be maintained by a registered entity as specified by the CFTC in a notification the CFTC sent to the firm.
- the firm's net capital operated for more than three consecutive calendar months in excess of the amount of the DSRO's liquidating deficit and the amount of the DSRO's total retail and financial obligation.
- the amount of capital required to be maintained by a registered entity as specified by the CFTC in the firm's registration application.

(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 trade on a regulated commodity exchange or derivatives transaction execution facility. This is the sum of all accounts that contain customer segregating equity.

(g): This represents the total amount of proprietary funds deposited into customer accounts to segregate under the customer segregation requirements.

(h): This represents the total amount of proprietary funds deposited into customer accounts to segregate under the customer segregation requirements.

(i): This represents the total amount of money, securities, and property held in secured accounts for futures and options customers in compliance with Section 4d(f) of the Commodity Exchange Act.

(j): This represents the amount of funds an FCM is required to segregate for customers who trade on commodity exchange located outside the United States.

(k): Excess/Deficient funds in separate Section 30.7 accounts is the amount of 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 the amount of funds in cleared swap segregation accounts, less the cleared swap customer segregation requirement.

(p): This represents the targeted excess of proprietary funds deposited into 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 money, securities, and property held in segregated accounts for futures and options customers in compliance with Section 4d and the Commodity Exchange Act.

(r): This represents the total amount of funds that an FCM is required to segregate on behalf of customers who trade on a regulated commodity exchange or derivatives transaction execution facility. This is the sum of all accounts that contain customer segregating equity.

(s): This represents the total amount of funds that an FCM is required to segregate on behalf of customers who trade on a regulated commodity exchange or derivatives transaction execution facility. This is the sum of all accounts that contain customer segregating equity.

(t): This represents the total amount of proprietary funds deposited into customer accounts to segregate under the customer segregation requirements.

(u): This represents the total amount of proprietary funds deposited into customer accounts to segregate under the customer segregation requirements.

(v): This represents the total amount of money, securities, and property held in secured accounts for futures and options customers in compliance with Section 4d(f) of the Commodity Exchange Act.

(w): This represents the amount of funds an FCM is required to segregate for customers who trade on commodity exchange located outside the United States.

(x): Excess/Deficient funds in separate Section 30.7 accounts is the amount of funds in separate Section 30.7 accounts, less the customer amount Part 30 requirement.

(y): 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.

(z): This represents the amount of funds an FCM is required to segregate for customers who trade cleared swaps.

(aa): Excess/Deficient funds in cleared swap customer accounts is the amount of funds in cleared swap segregation accounts, less the cleared swap customer segregation requirement.

(bb): This represents the targeted excess of proprietary funds deposited into cleared swap segregation accounts above the cleared swap customer segregation requirement. This target amount is set by the firm.

(cc): This represents the total amount of money, securities, and property held in segregated accounts for futures and options customers in compliance with Section 4d and the Commodity Exchange Act.

(dd): This represents the total amount of funds that an FCM is required to segregate on behalf of customers who trade on a regulated commodity exchange or derivatives transaction execution facility. This is the sum of all accounts that contain customer segregating equity.

(ee): This represents the total amount of funds that an FCM is required to segregate on behalf of customers who trade on a regulated commodity exchange or derivatives transaction execution facility. This is the sum of all accounts that contain customer segregating equity.

(ff): This represents the total amount of proprietary funds deposited into customer accounts to segregate under the customer segregation requirements.

(gg): This represents the total amount of proprietary funds deposited into customer accounts to segregate under the customer segregation requirements.

(hh): This represents the total amount of money, securities, and property held in secured accounts for futures and options customers in compliance with Section 4d(f) of the Commodity Exchange Act.

(ii): This represents the amount of funds an FCM is required to segregate for customers who trade on commodity exchange located outside the United States.

(jj): Excess/Deficient funds in separate Section 30.7 accounts is the amount of funds in separate Section 30.7 accounts, less the customer amount Part 30 requirement.

(kk): 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.

(ll): This represents the amount of funds an FCM is required to segregate for customers who trade cleared swaps.

(mm): Excess/Deficient funds in cleared swap customer accounts is the amount of funds in cleared swap segregation accounts, less the cleared swap customer segregation requirement.

(nn): This represents the targeted excess of proprietary funds deposited into cleared swap segregation accounts above the cleared swap customer segregation requirement. This target amount is set by the firm.

(oo): This represents the total amount of money, securities, and property held in segregated accounts for futures and options customers in compliance with Section 4d and the Commodity Exchange Act.

(pp): This represents the total amount of funds that an FCM is required to segregate on behalf of customers who trade on a regulated commodity exchange or derivatives transaction execution facility. This is the sum of all accounts that contain customer segregating equity.

(qq): This represents the total amount of funds that an FCM is required to segregate on behalf of customers who trade on a regulated commodity exchange or derivatives transaction execution facility. This is the sum of all accounts that contain customer segregating equity.

(rr): This represents the total amount of proprietary funds deposited into customer accounts to segregate under the customer segregation requirements.

(ss): This represents the total amount of proprietary funds deposited into customer accounts to segregate under the customer segregation requirements.

(tt): This represents the total amount of money, securities, and property held in secured accounts for futures and options customers in compliance with Section 4d(f) of the Commodity Exchange Act.

(uu): This represents the amount of funds an FCM is required to segregate for customers who trade on commodity exchange located outside the United States.

(vv): Excess/Deficient funds in separate Section 30.7 accounts is the amount of funds in separate Section 30.7 accounts, less the customer amount Part 30 requirement.

(ww): 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.

(xx): This represents the amount of funds an FCM is required to segregate for customers who trade cleared swaps.

(yy): Excess/Deficient funds in cleared swap customer accounts is the amount of funds in cleared swap segregation accounts, less the cleared swap customer segregation requirement.

(zz): This represents the targeted excess of proprietary funds deposited into cleared swap segregation accounts above the cleared swap customer segregation requirement. This target amount is set by the firm.