SELECTED FCM FINANCIAL DATA AS OF September 30, 2020 FROM REPORTS FILED BY October 26, 2020

| Futures Commission Merchant / | | | As of | Adjusted Net | Net Capital | Excess Net | Customers' | Customers' Seg | Excess/Deficient | Target Residual | Funds in | Customer | Excess/Deficient Funds in | Target Residual | Funds in Separate Cleared | Customer Amount Cleared | Excess/Deficient Funds in Cleared | Target Residual | Total Amount |
|--|---------------------|----------------|---------------|---------------------------------|------------------------------|------------------------------|------------------------------|--------------------------------|----------------------------|----------------------------|-----------------------------------|------------------------------|------------------------------|-----------------------------|------------------------------|----------------------------|--------------------------------------|-----------------|----------------------------|
| Retail Foreign Exchange Dealer | Registered As | DSRO | As of Date | Adjusted Net Capital | Requirement | Excess Net Capital | Assets in Seg | Required 4d(a)(2) | Funds in Seg | Interest in Seg | Separate Section 30.7 Accounts | Amount Pt. 30 Required | Separate Section | Interest in Section 30.7 | Swap | Swap Seg | Swap Seg | Cleared Swap | Retail Forex Obligation |
| | (a) | (b) | | | (c) | (d) | (e) | (f) | (g) | (h) | (i) | (j) | 30.7 Accounts (k) | (1) | Seareaation (m) | Reauired (n) | Accounts (o) | Sea (p) | (q) |
| 1 ABN AMRO CLEARING CHICAGO LLC | FCM BD | CBOT | 09/30/2020 | 590,594,477 | 213,452,139 | 377,142,338 | 3,494,270,022 | 3,082,961,717 | 411,308,305 | 243,488,022 | 119,212,498 | 98,393,332 | 20,819,166 | 9.839.333 | | 0 | 0 | 0 | |
| 2 ADM INVESTOR SERVICES INC | FCM | CBOT | 09/30/2020 | 342.773.657 | 224,832,066 | 117,941,591 | 5.168.711.317 | 4,959,700,300 | 209.011.017 | 120.000.000 | 316.056.833 | 270,033,208 | 46.023.625 | 20.000.000 | 9.803.258 | 0 | 9.803.258 | 8.000.000 | |
| 3 ADVANTAGE FUTURES LLC | FCM | CME | 09/30/2020 | 21,416,900 | 6,065,028 | 15,351,872 | 333,196,012 | 312,088,317 | 21,107,695 | 12,500,000 | 35,838,837 | 32,408,074 | 3,430,763 | 1,000,000 | | 0 0 | 0 | 0 | |
| 4 AMP GLOBAL CLEARING LLC | FCM | NFA | 09/30/2020 | 6,181,670 | 1,000,000 | 5,181,670 | 65,472,521 | 58,930,608 | 6,541,913 | 900,000 | 2,095,071 | 1,728,902 | 366,169 | 150,000 | C | 0 | 0 | 0 | |
| 5 APEX CLEARING CORPORATION | FCM BD | NFA | 09/30/2020 | 203,031,465 | 21,338,706 | 181,692,759 | 49,191,640 | 26,843,052 | 22,348,588 | 6,000,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | |
| 6 BAKKT CLEARING LLC | FCM FCM BD | NFA | 09/30/2020 | 4,144,206 | 1,000,000 | 3,144,206 | 9 317 058 006 | 0 | 0 | 0 | 0 | 3 453 451 011 | 0 | 115 345 264 | C | 0 | 0 | 0 | |
| 7 BARCLAYS CAPITAL INC 8 BNP PARIBAS SECURITIES CORP | FCM BD FCM BD | CBOT | 09/30/2020 | 5,312,530,006 2,307,734,091 | 1,713,103,356 596,155,892 | 3,599,426,650 | 9,317,058,006 | 8,931,188,657 4,036,594,467 | 385,869,349 301.033.322 | 335,812,695 240.000.000 | 3,653,555,953 294,765,078 | 3,453,451,011 205,399,564 | 200,104,942 89,365,514 | 115,345,264 30,000,000 | 9,604,824,173 | 9,191,901,014 | 412,923,159 180,153,433 | 272,999,460 | |
| 9 BOCI COMMODITIES & FUTURES USA LLC | FCM BD | CMF | 09/30/2020 | | 1,000,000 | 4,920,624 | 7,584,622 | 4,038,394,487 | 3,075,947 | 1,000,000 | 294,703,078 | 203,399,304 | 69,303,314 | 30,000,000 | 2,030,190,240 | 1,000,000,010 | 160,155,455 | 100,000,000 | |
| 0 BOFA SECURITIES INC | FCM BD | CBOT | 09/30/2020 | 17.880.987.335 | 3.035.293.288 | 14.845.694.047 | 23.764.362.004 | 23.340.996.662 | 423,365,342 | 200.000.000 | 5,136,876,554 | 4.877.577.631 | 259,298,923 | 150,000,000 | 9,997,333,707 | 9,643,295,583 | 354,038,124 | 150,000,000 | |
| 1 CANTOR FITZGERALD & CO | FCM BD | CBOT | 09/30/2020 | 459,925,925 | 3,712,077 | 456,213,848 | 4,969,921 | 0 | 4,969,921 | 3,000,000 | 0 | 0 | 0 | 0 | C | 0 | 0 | 0 | |
| 2 CHARLES SCHWAB & CO INC | FCM BD | NFA | 09/30/2020 | 2,166,473,339 | 594,670,689 | 1,571,802,650 | 263,252,652 | 202,458,307 | 60,794,345 | 34,417,912 | 50,000 | 0 | 50,000 | 1 | 0 | 0 | 0 | 0 | |
| 3 CHS HEDGING LLC | FCM | CBOT | 09/30/2020 | 66,985,806 | 15,472,914 | 51,512,892 | 175,424,682 | 116,979,910 | 58,444,772 | 13,600,000 | 1,527,272 | 0 | 1,527,272 | 200,000 | | 359 | 510,198 | 120,000 | |
| 4 CITIGROUP GLOBAL MARKETS INC | FCM BD SD FCM BD | CBOT/NFA | 09/30/2020 | 12,315,978,503 | 3,874,676,023 | 8,441,302,480 | 15,675,108,926 | 15,140,763,836 | 534,345,090 452,816,085 | 403,900,000 | 4,153,904,292 | 3,914,085,399 | 239,818,893 982,824,024 | 160,300,000 | 35,334,278,700 | 34,627,397,394 | 706,881,306 | 494,200,000 | |
| 5 CREDIT SUISSE SECURITIES (USA) LLC 6 CUNNINGHAM COMMODITIES LLC | FCM BD FCM | CBOT CBOT | 09/30/2020 | 5.689.551 | 1,750,083,365 | 9,529,405,557 4,689,551 | 7,379,593,345 53,202,282 | 49,621,863 | 452,816,085 3,580,419 | 346,338,863 | 5,735,175,229 | 4,752,351,205 832,113 | 982,824,024 530,124 | 237,617,560 | 12,970,886,051 | 12,187,930,225 | /82,955,826 | 609,396,511 | |
| 7 DAIWA CAPITAL MARKETS AMERICA INC | FCM BD | CME | 09/30/2020 | 1,196,070,004 | 1,500,000 | 1,194,570,004 | 2,177,789 | 47,021,003 | 2,177,789 | 3,030,000 | 473,785 | 032,113 | 473,785 | 100,000 | 0 | 0 | 0 | 0 | |
| 8 DEUTSCHE BANK SECURITIES INC | FCM BD | CBOT | 09/30/2020 | 8,548,627,120 | 229,339,843 | 8,319,287,277 | 2,711,370,789 | 2,459,325,858 | 252,044,931 | 125,000,000 | 897,437,107 | 734,045,987 | 163,391,120 | 75,000,000 | C | 0 | 0 | 0 | |
| 9 DIRECT ACCESS USA LLC | FCM | CME | 09/30/2020 | 12,964,110 | 1,413,584 | 11,550,526 | 30,904,964 | 21,399,313 | 9,505,651 | 2,500,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | |
| 0 DORMAN TRADING LLC | FCM ECM BD | CME | 09/30/2020 | 14,472,732 203,583,070 | 3,203,197 | 11,269,535 94,831,627 | 211,355,074 2,424,282,390 | 204,189,759 | 7,165,315 | 2,000,000 | 19,766,046 48,033,133 | 19,007,144 | 758,902 | 200,000 | 0 | 0 | 0 | 0 | |
| 21 E D & F MAN CAPITAL MARKETS INC | FCM BD | NFA | 09/30/2020 | 32,666,316 | 3.446.502 | 29,219,814 | 2,424,282,390 96,647,748 | 2,344,073,972 | 32,929,246 | 44,250,000 | 40,033,133 | ათ,404,348 ი | 12,346,785 | 3,000,000 | | 0 | 0 | 0 | |
| 23 GAIN CAPITAL GROUP LLC | FCMRFD | NFA | 09/30/2020 | 70,035,678 | 30,682,282 | 39,353,396 | 340,440,849 | 319,848,917 | 20,591,932 | 10,000,000 | 4,266,768 | 2,458,285 | 1,808,483 | 1,000,000 | 0 | 0 | 0 | 0 | 223,645,6 |
| 24 GH FINANCIALS LLC | FCM | CME | 09/30/2020 | 25,735,248 | 6,169,467 | 19,565,781 | 120,224,471 | 98,357,611 | 21,866,860 | 4,000,000 | 7,406,255 | 6,123,290 | 1,282,965 | 135,000 | 0 | 0 | 0 | 0 | |
| 25 GOLDMAN SACHS & CO LLC | FCM BD SD | CBOT/NFA | 09/30/2020 | 20,897,462,806 | 3,814,043,412 | 17,083,419,394 | 34,402,993,002 | 33,535,634,221 | 867,358,781 | 675,000,000 | 10,544,868,668 | 9,968,804,128 | 576,064,540 | 475,000,000 | 10,803,520,916 | 10,329,201,586 | 474,319,330 | 350,000,000 | |
| 26 HIDDEN ROAD PARTNERS CIV US LLC 27 HSBC SECURITIES USA INC | FCM BD FCM BD | NFA CMF | 09/30/2020 | 1,502,778 1,106,967,288 | 1,000,000 472,418,751 | 502,778 634,548,537 | 0 3.911.921.366 | 3.787.411.816 | 0 124.509.550 | 0 | 0 | 0 115.703.568 | 0 30.492.653 | 0 15.000.000 | 1.523.376.733 | 1.448.396.648 | 0 74.980.085 | 0 64.000.000 | |
| 27 HSBC SECURITIES USA INC 28 HUATAI FINANCIAL USA INC | FCM BD FCM | NFA | 09/30/2020 | | 4/2,418,751 | 634,548,537 | 3,911,921,366 | 3,787,411,816 | 124,509,550 | 600,000 | 323,142 | 115,703,568 | 30,492,653 323,081 | 15,000,000 | 1,523,376,733 | 1,448,396,648 | /4,980,085 | 64,000,000 | |
| 29 IG US LLC | RFED | NFA | 09/30/2020 | 29,366,590 | 20,585,517 | 8,781,073 | 0 | 10,104,745 | 1,032,304 | 000,000 | 0 | 0 | 525,001 | 150,000 | C C | 0 | 0 | 0 | 21,710.3 |
| 0 INTERACTIVE BROKERS LLC | FCM BD | CME | 09/30/2020 | 4,621,166,438 | 520,305,676 | 4,100,860,762 | 5,571,245,994 | 5,367,858,381 | 203,387,613 | 155,000,000 | 700,664,239 | 580,384,148 | 120,280,091 | 80,000,000 | C | 0 | 0 | 0 | 64,263,1 |
| 1 IRONBEAM INC | FCM | NFA | 09/30/2020 | 5,199,803 | 1,000,000 | 4,199,803 | 63,109,611 | 57,166,835 | 5,942,776 | 1,600,000 | 356,665 | 168,358 | 188,307 | 50,000 | 0 | 0 | 0 | 0 | |
| 32 JEFFERIES LLC 33 JP MORGAN SECURITIES LLC | FCM BD FCM BD SD | NFA CEI/NFA | 09/30/2020 | 1,620,840,673 28,047,365,472 | 88,095,687 5.150,513,248 | 1,532,744,986 | 0 0 51,402,659,043 | 49.104.359.975 | 2,298,299,068 | 1.964.174.399 | 0 6,894,365,045 | 6.444.353.486 | 450,011,559 | 257.774.139 | 20.921.435.638 | 0 19.824.164.889 | 1 097 270 7/9 | 693.845.771 | |
| 33 JP MORGAN SECURITIES LLC 34 MACQUARIE FUTURES USA LLC | FCM BD SD FCM | CEI/NFA | 09/30/2020 | 28,047,365,472 293.030,321 | 240,640,997 | 52,389,324 | 2,718,766,753 | 2,551,261,193 | 2,298,299,068 | 1,964,174,399 | 6,894,365,045 97,874,050 | 6,444,353,486 | 450,011,559 | 7,000,000 | 20,921,435,638 | 19,824,164,889 | 21,349,288 | 1.000.000 | |
| 35 MAREX NORTH AMERICA LLC | FCM | CME | 09/30/2020 | 130,268,570 | 107,466,941 | 22,801,629 | 2,027,955,499 | 2,002,843,798 | 25,111,701 | 20,330,000 | 56,741,383 | 43,758,995 | 12,982,388 | 10,250,000 | 20,001,101 | 1,703,413 | 21,347,200 | 1,000,000 | |
| 36 MCVEAN TRADING & INVESTMENTS LLC | FCM | NFA | 09/30/2020 | 15,247,864 | 2,567,688 | 12,680,176 | 474,387,373 | 450,354,316 | 24,033,057 | 18,000,000 | 2,567,861 | 0 | 2,567,861 | 1,000,000 | 0 | 0 | 0 | 0 | |
| 37 MERRILL LYNCH PROFESSIONAL CLEARING CORP | FCM BD | NFA | 09/30/2020 | 7,209,360,682 | 1,198,135,227 | 6,011,225,455 | 2,908,542,415 | 1,517,911,016 | 1,390,631,399 | 300,000,000 | 0 | 0 | 0 | 0 | C | 0 | 0 | 0 | |
| 38 MID CO COMMODITIES INC 39 MINT BROKERS | FCM FCM BD | NFA NFA | 09/30/2020 | 11,576,404 | 4,768,977 | 6,807,427 | 43,012,991 | 30,512,149 | 12,500,842 | 5,138,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | |
| 40 MIZUHO SECURITIES USA LLC | FCM BD | CMF | 09/30/2020 | 2,773,365 | 422,769,349 | 670,580,217 | 5,828,238,222 | 5,590,867,383 | 237,370,839 | 125,000,000 | 952,274,080 | 826,308,805 | 125,965,275 | 70,000,000 | 20,440,850 | 0 0 | 20,440,850 | 10,000,000 | |
| 40 MIZOHO SECORITIES USA LEC | FCM BD SD | CME/NEA | 09/30/2020 | | 3 965 753 397 | 10 217 275 229 | 25 645 304 175 | 25 263 995 130 | 381 309 045 | 235,000,000 | 7.532,160,729 | 7 316 058 571 | 216.102.158 | 140 000 000 | | 26.031.267.768 | 20,440,650 | 92 000 000 | |
| 42 NANHUA USA LLC | FCM | CME | 09/30/2020 | 15,825,859 | 2,930,099 | 12,895,760 | 74,944,416 | 64,855,374 | 10,089,042 | 3,500,000 | 632,535 | 287,550 | 344,985 | 100,000 | 20,373,100,730 | 0 | 0 | 72,000,000 | |
| 43 NATWEST MARKETS SECURITIES INC | FCM BD | CBOT | 09/30/2020 | 622,967,046 | 34,698,562 | 588,268,484 | 518,725,706 | 464,303,079 | 54,422,627 | 20,000,000 | 10,366,404 | 0 | 10,366,404 | 2,000,000 | 0 | 0 | 0 | 0 | |
| 44 NOMURA SECURITIES INTERNATIONAL INC | FCM BD | CBOT | 09/30/2020 | 2,792,665,802 | 164,727,227 | 2,627,938,575 | 412,712,627 | 270,322,105 | 142,390,522 | 19,000,000 | 18,286,412 | 0 | 18,286,412 | 1,000,000 | 0 | 0 | 0 | 0 | 004 504 / |
| 45 OANDA CORPORATION 46 PHILLIP CAPITAL INC | FCMRFD FCM BD | NFA CMF | 09/30/2020 | 69,694,096 61,708,160 | 32,210,111 31,192,438 | 37,483,985 30,515,722 | 676.868.102 | 653.455.495 | 23.412.607 | 11.500.000 | 12,797,145 | 10.368.342 | 2,428,803 | 1.500.000 | 0 | 0 0 | 0 | 0 | 201,584,6 |
| 17 PICTET OVERSEAS INC | FCM BD | NFA | 09/30/2020 | 50,409,290 | 18,089,324 | 32,319,966 | 241,030,514 | 236,774,528 | 4,255,986 | 2,750,000 | 56,412,664 | 53,672,304 | 2,420,803 | 1,250,000 | 0 | 0 | 0 | 0 | |
| 48 RAND FINANCIAL SERVICES INC | FCM | CME | 09/30/2020 | 94,710,342 | 17,262,304 | 77,448,038 | 150,191,100 | 114,419,200 | 35,771,900 | 3,432,600 | 31,524,800 | 5,973,300 | 25,551,500 | 179,200 | C | 0 | 0 | 0 | |
| 19 RBC CAPITAL MARKETS LLC | FCM BD | CME | 09/30/2020 | 3,015,880,101 | 337,312,831 | 2,678,567,270 | 4,420,208,234 | 3,989,474,529 | 430,733,705 | 280,000,000 | 250,719,280 | 190,204,210 | 60,515,070 | 20,000,000 | 961,258,820 | 779,590,314 | 181,668,506 | 80,000,000 | |
| 0 RJ OBRIEN ASSOCIATES LLC 51 SANTANDER INVESTMENT SECURITIES INC | FCM FCM BD | CME | 09/30/2020 | 255,744,303 479,378,959 | 205,144,692 | 50,599,611 328,156,798 | 4,711,793,629 | 4,542,135,172 | 169,658,457 71,803,872 | 50,000,000 70,000,000 | 208,713,194 | 179,787,725 | 28,925,469 | 20,000,000 | 0 | 0 | 0 | 0 | |
| 51 SANTANDER INVESTMENT SECURITIES INC 52 SCOTIA CAPITAL USA INC | FCM BD FCM BD | CME | 09/30/2020 | 4/9,3/8,959 | 151,222,161 135,608,523 | 328,156,798 | 1,451,724,611 | 1,879,925,739 | /1,803,8/2 | /0,000,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | |
| 53 SG AMERICAS SECURITIES LLC | FCM BD | CME | 09/30/2020 | 4,623,001,565 | 1,651,943,948 | 2,971,057,617 | 14,796,899,471 | 14,131,718,157 | 665,181,314 | 500,000,000 | 6,560,718,994 | 5,962,914,632 | 597,804,362 | 355,000,000 | 1,152,061,183 | 931,741,078 | 220,320,105 | 75,000,000 | 1 |
| 54 STONEX FINANCIAL INC | FCM BD | CME | 09/30/2020 | 230,365,717 | 137,640,731 | 92,724,986 | 3,089,942,690 | 3,030,579,779 | 59,362,911 | 40,000,000 | 162,579,296 | 150,090,698 | 12,488,598 | 6,000,000 | 3,367,323 | 372,242 | 2,995,081 | 1,000,000 | |
| 55 STRAITS FINANCIAL LLC | FCM FCM | CME | 09/30/2020 | | 12,641,154 | 13,694,938 | 402,561,506 | 385,046,129 | 17,515,377 | 2,000,000 | 22,951,561 | 13,793,492 | 9,158,069 | 300,000 | 0 | 0 | 0 | 0 | (0.420.4 |
| 6 TD AMERITRADE FUTURES & FOREX LLC 7 TRADESTATION SECURITIES INC | FCM FCM BD | NFA CME | 09/30/2020 | 154,574,140 141,618,438 | 22,966,287 7,263,333 | 131,607,853 134,355,105 | 340,334,377 723,974,839 | 238,394,199 688,889,491 | 101,940,178 35,085,348 | 50,000,000 9,000,000 | 0 17,740,814 | 0 14,668,669 | 3,072,145 | 0 800,000 | 0 | 0 | 0 | 0 | 68,432,1 |
| 8 TRADING.COM MARKETS INC | RFED | NFA | 09/30/2020 | 22,662,898 | 20,000,000 | 2,662,898 | 123,714,039 | 000,007,491 | 33,003,348 | 7,000,000 | 0 | 0,000,009 | 3,072,143 | 000,000 | 0 | 0 | 0 | 0 | |
| 9 UBS FINANCIAL SERVICES INC | FCM BD | NFA | 09/30/2020 | 1,121,698,269 | 147,525,055 | 974,173,214 | 151,473,829 | 115,301,093 | 36,172,736 | 22,000,000 | 38,144,832 | 12,545,143 | 25,599,689 | 15,000,000 | 0 | 00 | 0 | 0 | |
| 50 UBS SECURITIES LLC | FCM BD ECM BD | CBOT | 09/30/2020 | 5,352,092,190 | 706,889,607 | 4,645,202,583 | 7,195,764,105 | 6,673,246,945 | 522,517,160 | 425,000,000 | 1,204,497,204 | 921,141,399 | 283,355,805 | 200,000,000 | 1,025,091,012 | 764,705,688 | 260,385,324 | 125,000,000 | |
| 1 WEDBUSH SECURITIES INC | FCM BD FCM BD | CBOT | 09/30/2020 | 170,215,697 | 36,935,758 | 133,279,939 8,179,653,564 | 1,374,257,285 | 1,346,759,286 3,984,490,307 | 27,497,999 322,951,344 | 19,000,000 275,000,000 | 19,053,575 682,134,495 | 15,275,193 486,148,078 | 3,778,382 195,986,417 | 1,000,000 | 15.215.867.243 | 14.514.879.216 | 0 700.988.027 | 585.000.000 | |
| 32 YORK BUSINESS ASSOCIATES LLC | FCM BD | NFA | 09/30/2020 | 7.624.081 | 1,433,956,059 | 6,624,081 | 4,307,441,651 | 3,984,490,307 | 7,200,312 | 2/5,000,000 | 1,734,495 | 486,148,078 | 654,963 | 40,000,000 | 15,215,867,243 | 14,514,879,216 | 700,988,027 | 585,000,000 | |
| | | | 0770072020 | 7,62 1,001 | 1,000,000 | -/ | | | ., | -// | ., | ., | | | | | | | |
| Totals | | | | | | | 256,621,271,977 | 244,818,593,733 | 11,802,678,244 | 7,676,782,492 | 56,655,202,652 | 51,797,045,886 | 4,858,156,766 | 2,526,440,499 | 147,998,402,067 | 142,134,586,230 | 5,863,815,837 | 3,711,561,743 | 579,635,85 |
| August Web Page Update | 64 | | | | | | | | | | | | | | | | | | |
| Additions | | | | | | | | | | | | | | | | | | | |
| None | | | | | | | | | | | | | | | | | | | |
| Deletions | | | 1 | + | | | | | | | | | | | 1 | + | | | |
| CHARLES SCHWAB FUTURES, INC. | | | 1 | | | | | | | | | | | | | 1 | | | |
| | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | 1 | | | |
| Name Changes | | | | | | | | | | | | | | | | | | | |
| Name Changes None | | | | | | | | | | | | | | | | | | | |
| | 63 | | | | | | | | | | | | | | | | | | |

SELECTED FCM FINANCIAL DATA AS OF September 30, 2020 FROM REPORTS FILED BY October 26, 2020

| | | | | 1 | | | | | | | | | | 1 | 1 | | | T |
|---|------------------|-------------------------|-----------------------|------------------------|-------------------------|---|--------------------------|--------------------------|--|--------------------------|----|---|---|---|---|---|--|-----|
| (a): FCM: Futures Commission Merchant that is registered with the Commodit | v Futures Trad | ting Commission | | 1 | ! | 1 | 1 | 1 | 1 | 1 | | [| 1 | 1 | 1 | | | J/ |
| BD: The FCM is also registered with the Securities and Exchange Commis | | | | | | | | | | | | | | | | | | |
| RFED: Retail Foreign Exchange Dealer that is registered with the Commo | | | | | | | | | | | | | | | | | | |
| FCMRFD: The FCM is also registered with the Commodity Futures Tradin | | | | | | | | | | | | | | | | | | |
| SD: The FCM is also redusted with the commodity Futures Trading Commission as a return revisionally redustered with the fCM or RFED is also redustered with the Sommodity Futures Trading Commission as a return revisionally redustered swap dealer. | | | | | | | | | | | | | | | | | | |
| SD. THE FOW OF REED IS also redistered with the continuoutly Futures that | | | Idily redistered swar | uediel. | | | | | | | | | | | | | | |
| (b): DSRO: Designated Self-Regulatory Organization. FCM/RFED firms that are | a dually registe | ered as SDs have | two DSROs listed if | thev have a different | DSRO for the FCM/RE | ED and the SD. The | DSRO for the FCM/RF | ED is listed first and t | he DSRO for the SD i | 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. | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | |
| (d): Excess net capital is adjusted net capital, less the firm's net capital require | :ment. | | | | | | - | | | - | | - | | - | - | - | | |
| | | | | | | | | | | | | | | | | | | |
| (e): This represents the total amount of money, securities, and property held in | n segregated a | accounts for futur | res and options custo | mers in compliance v | vith Section 4d of the | Commodity Exchange | e Act. | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | |
| (f): This represents the total amount of funds that an FCM is required to segre | gate on behalf | of customers where | ho are trading on a o | lesignated contract m | arket or derivatives tr | ansaction execution f | acility. This is the sur | n of all accounts that | contain a net liquidati | ng equity. | | | | | | | | |
| | | | | | | | | | | | | | | | | | | ' |
| (g): Excess/Deficient funds in segregation is customer assets in segregation, le | iss the custome | er segregation re | quirement. | | | | | | | | | | | | | | | |
| <u> </u> | | | | | | | | | | | | | | | | | | |
| (h): This represents the targeted excess of proprietary funds deposited into cu | stomer segreg | ated accounts ab | ove the customer se | gregation requirement | t. This target amoun | t is set by the firm. | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | |
| (i): This represents the total amount of money, securities, and property held in | i secured accou | unts for futures a | and options custome | rs who trade on comr | nodity exchanges loca | ted outside the Unite | d States in compliance | with Part 30 of the 0 | Commodity Exchange | Act. | | | | | | | | |
| | | | | | | | | | | | | | | | | | | |
| (i): This represents the amount of funds an FCM is required to set aside for cu | stomers who tr | rade on commod | lity exchanges locate | d outside of the Unite | ed States. | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | |
| (k): Excess/Deficient funds in separate Section 30.7 accounts is funds in separate | ate Section 30. | .7 accounts. less | the customer amour | nt Part 30 requiremen | t | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | |
| (I): This represents the targeted excess of proprietary funds deposited into ser | arate Section ? | 30.7 accounts ab | ove the customer ar | nount Part 30 require | ment. This target am | ount is set by the firn | ı. | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | |
| (m): This represents the total amount of money, securities, and property held | in cleared swar | o customer accor | unts for cleared swa | o customers in compl | ance with Section 4d | f) of the Commodity | Exchange Act. | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | |
| (n): This represents the amount of funds an FCM is required to segregate for c | ustomers who | <u>trade cleared sv</u> | Vads. | | | | | | | | | | | | | | | ' |
| | | | | | | | | | | | | | | | | | | |
| (o): Excess/Deficient funds in cleared swap customer accounts is funds in sepa | rate cleared sv | wap segregation | accounts, less the cl | eared swap customer | segregation requirem | ent. | | | | | | | | | | | | ' |
| | | | | | | | | | | | | | | | | | | ' |
| (p): This represents the targeted excess of proprietary funds deposited into separate cleared swap secregation accounts above the cleared swap customer segregation requirement. This target amount is set by the firm. | | | | | | | | | | | | ' | | | | | | |
| | | | | | | | | | | | | | | | | | | |
| (g): This represents the total amount of funds at an FCM, RFED, or FCMRFD the | 1at would be of | btained by comb | ining all money, sec | urities and property d | eposited by a retail fo | rex customer into a re | etail forex account or | accounts, adjusted for | the realized and unrealized and unre | alized net profit or los | S. | | | | - | | | ' |
| | | | | | 1 | | | | | | | | | | | | | 1 / |