## SELECTED FCM FINANCIAL DATA AS OF November 30, 2020 FROM REPORTS FILED BY December 23, 2020

Futures Commission Merchant /	De eletere d As	DSRO	As of	Adjusted Net	Net Capital	Excess Net	Customers' Assets	s Customers' Seg	Excess/Deficient	Farget Residual	Funds in Separate	Customer Amount	Excess/Deficient Funds in Separate	Target Residual		e Customer Amount Cleared Swap Seg		t Target Residual	Total Amount of Retail Forex
Retail Foreign Exchange Dealer	Registered As		Date	Capital	Requirement	Capital	in Seg	Required 4d(a)(2)	Funds in Seg	Interest in Seg	Section 30.7 Accounts	Pt. 30 Required	Section 30.7 Accounts	Interest in Section 30.7	Segregation	Required	Accounts	Cleared Swap Seg	Obligation
	(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(i)	(k)	(1)	(m)	(n)	(0)	(p)	(q)
1 ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	11/30/2020	627,001,567	240,805,826	386,195,741	4,110,194,556		462,459,384	317,315,334	113,125,418	93,431,587	19,693,831	9,343,159	(	0 0	0	0	0
2 ADM INVESTOR SERVICES INC 3 ADVANTAGE FUTURES LLC	FCM	CBOT	11/30/2020	349,377,451 21,332,966	241,060,211 7,928,910	108,317,240	5,379,670,214 370,218,081		206,632,467 21,142,337	120,000,000 12,500,000	408,454,408 36,561,346	362,199,583 33,109,842	46,254,825 3,451,504	20,000,000	9,804,534	0	9,804,534	8,000,000	°
4 AMP GLOBAL CLEARING LLC	FCM	NFA	11/30/2020	6,189,495	1,000,000	5,189,495	5 68,256,690		6.332.507	900.000	2,089,381	33,109,842	3,451,504 360,285	150.000	(	0	0	0	0
5 APEX CLEARING CORPORATION	FCM BD	NFA	11/30/2020	213,633,971	26,392,715	187,241,256	56,600,799		24,505,417	7,000,000	0	0	0	0	(	0	C	0	C
6 BAKKT CLEARING LLC	FCM	NFA	11/30/2020	4,108,925	1,000,000	3,108,925	5 0	0 0	0	0	0	0	0	0	(	0	0	0	C
7 BARCLAYS CAPITAL INC 8 BNP PARIBAS SECURITIES CORP	FCM BD FCM BD	NYME CBOT	11/30/2020 11/30/2020	6,026,447,699 2,352,774,470	1,737,574,611	4,288,873,088	3 9,200,153,442 3,830,225,095	8,899,146,236	301,007,206	55,000,000	3,206,781,003 319,280,414	3,031,320,618 242.828.335	175,460,385 76,452,079	12,000,000	9,804,711,389	9,399,129,570	405,581,819	250,000,000	0
9 BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	11/30/2020	5,804,720	1,000,000	4,804,720	5,924,859	2,829,022	3,095,837	1,000,000	6	0	6	1	(	0 0	6	1	, c
10 BOFA SECURITIES INC 11 CANTOR FITZGERALD & CO	FCM BD FCM BD	CBOT	11/30/2020	14,092,103,314 411 793 102	3,053,526,838	11,038,576,476	5 22,942,411,279 3 4 969 921	22,337,443,314	604,967,965	200,000,000	5,400,780,184	5,148,361,239	252,418,945	150,000,000	11,143,729,008	10,856,370,837	287,358,171	150,000,000	C
11 CANTOR FITZGERALD & CO 12 CHARLES SCHWAB & CO INC	FCM BD	NFA	11/30/2020	411,793,102	2,514,464 587,994,141	409,278,638	4,969,921	152,331,140	4,969,921 72,318,218	3,000,000 25,896,294	50.000	0	50.000	0	(	0		0	
13 CHS HEDGING LLC	FCM	CBOT	11/30/2020	68,149,391	16,536,661	51,612,730	225,695,032	163,652,097	62,042,935	13,600,000	1,527,272	0	1,527,272	200,000	510,188	0	510,188	120,000	, c
14 CITIGROUP GLOBAL MARKETS INC	FCM BD SD		11/30/2020	11,983,732,682	3,514,796,773	8,468,935,909	14,339,143,690		636,398,168	444,500,000	3,805,928,985	3,571,829,971	234,099,014	155,400,000	33,904,383,165		714,737,706	481,600,000	C
15 CREDIT SUISSE SECURITIES (USA) LLC 16 CUNNINGHAM COMMODITIES LLC	FCM BD FCM	CBOT	11/30/2020	11,875,953,932	1,760,803,254	10,115,150,678	3 7,177,660,854		397,706,382	338,997,724	6,082,166,074	4,948,275,182	1,133,890,892	247,413,759	13,115,252,094	12,411,271,908	703,980,186	620,563,595	0
17 DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	11/30/2020	1,207,162,562	1,500,000	1,205,662,562	2 2,179,717	0	2,179,717	3,030,000	478,817	1,042,200	478,817	100,000	(	0	C	0	
18 DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	11/30/2020	8,454,242,119	218,001,801	8,236,240,318	2,805,345,205	2,553,467,508	251,877,697	125,000,000	701,195,612	549,317,274	151,878,338	75,000,000	(	0	C	0	0
19 DIRECT ACCESS USA LLC 20 DORMAN TRADING LLC	FCM FCM		11/30/2020	12,930,641 14,849,152	1,903,989 3,191,808	11,026,652	2 37,214,538 4 225,896,190	27,349,484 218,969,987	9,865,054 6,926,203	2,500,000	0 22.122.419	0 21.402.778	0 719.641	200.000	(	0	0	0	0
21 E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	11/30/2020	203,606,253	126,746,209	76,860,044	2,565,145,762	2,482,420,377	6,926,203 82,725,385	44,250,000	64,843,826	53,405,912	11,437,914	5,000,000		0		0	
22 E*TRADE FUTURES LLC	FCM		11/30/2020	33,069,371	4,563,746	28,505,625	5 107,823,121	74,793,534	33,029,587	8,000,000	0	0	0	0	(	0	C	0	
23 FUTU FUTURES INC 24 GAIN CAPITAL GROUP LLC	FCM FCMRED	NFA NFA	11/30/2020	1,978,193 63.252.764	1,000,000	978,193	2 290.398.163	0 0	16.974.039	0	0	2.318.020	0 1.842.470	1.000.000	(	0	0	0	217 927 220
24 GAIN CAPITAL GROUP LLC 25 GH FINANCIALS LLC	FCMRFD	CME	11/30/2020 11/30/2020	63,252,764 26,161,056	30,391,362	32,861,402	2 290,398,163	2/3,424,124	16,974,039	3,400,000	4,160,490	2,318,020 5,390,399	1,842,470	1,000,000 225,000	( (	0	0	0	217,827,239
26 GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	11/30/2020	20,190,488,578	4,013,133,168	16,177,355,410	34,063,100,940		898,082,405	675,000,000	11,291,498,606	10,719,367,664	572,130,942	475,000,000	11,601,388,980	11,194,548,685	406,840,295	350,000,000	č
27 HIDDEN ROAD PARTNERS CIV US LLC 28 HSBC SECURITIES USA INC	FCM BD FCM BD	NFA CMF	11/30/2020	1,622,516	1,000,000 471,057,307	622,516	6 0000	0	0 134.116.777	0	0	0	0	0	1.375.846.944	1,292,448,506	83.398.438	0 73.000.000	C
28 HSBC SECURITIES USA INC 29 HUATAL FINANCIAL USA INC	FCM BD	NFA NFA	11/30/2020	1,235,474,790	4/1,057,307	764,417,483	3,893,682,134		134,116,777	122,000,000	157,953,871	131,922,164	26,031,707 323 132	15,000,000	1,3/5,846,944	1,292,448,506	83,398,438	/3,000,000	0
30 IG US LLC	RFED		11/30/2020	30,244,145	20,727,010	9,517,135	5 0	0	0	000,000	0	0	0	0	(	0 0	C	0	24,540,193
31 INTERACTIVE BROKERS LLC	FCM BD	CME	11/30/2020	5,565,017,789	593,174,936	4,971,842,853	5,730,744,085		219,691,361	155,000,000	670,942,431	550,013,830	120,928,601	80,000,000	(	0	0	0	71,442,127
32 IRONBEAM INC 33 JEFFERIES LLC	FCM FCM BD	NFA NFA	11/30/2020 11/30/2020	5,074,846 2,161,289,242	1,000,000 95,869,149	4,074,846	66,130,900	60,695,237	5,435,663	1,600,000	349,747	155,303	194,444	50,000		0	0	0	0
34 JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	11/30/2020	27,406,652,933	5,371,765,233	22,034,887,700	46,156,409,012	44,530,697,849	1,625,711,163	890,613,957	6,994,472,107	6,545,608,920	448,863,187	229,096,312	20,395,479,596	19,387,125,229	1,008,354,367	387,742,505	
35 MACQUARIE FUTURES USA LLC	FCM	CBOT	11/30/2020	298,903,500	232,946,387	65,957,113	2,872,982,279		172,100,630	100,000,000	74,924,588	57,151,655	17,772,933	7,000,000	28,769,741	7,408,557	21,361,184	1,000,000	<u>,</u>
36 MAREX NORTH AMERICA LLC 37 MCVEAN TRADING & INVESTMENTS LLC	FCM FCM	CME	11/30/2020	142,393,112	108,470,579	33,922,533	3 2,329,511,247 3 456,210,547	2,304,548,171	24,963,076	20,330,000	74,835,036	60,784,300	14,050,736	10,250,000	(	0	0	0	0
38 MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	11/30/2020	8.061.718.217	1.312.630.447	6.749.087.770	3.240.562.589		1.367.481.241	300.000.000	2,507,601	0	2,567,661	1,000,000	(	0	0	0	
39 MID CO COMMODITIES INC	FCM	NFA	11/30/2020	12,637,935	6,325,068	6,312,867	81,974,034	69,065,804	12,908,230	5,138,000	0	0	0	0	(	0	C	0	C
40 MINT BROKERS	FCM BD FCM BD	NFA	11/30/2020	2,764,406	1,000,000	1,764,406	5 5.826.884.698	0 0	0	0	0	0	0	0	20.443.475	0 0	20.443.475	0 10.000.000	
41 MIZUHO SECURITIES USA LLC 42 MORGAN STANLEY & CO LLC	FCM BD SD	CME CME/NFA	11/30/2020	1,124,005,803	392,258,670 3.971,771,387	731,747,133	5,826,884,698	5,546,569,816	280,314,882 496,388,085	125,000,000 235,000,000	948,990,795 8.052,449,533	825,161,283 7.750,378,941	123,829,512 302,070,592	70,000,000	26.035.840.552	25.636.205.734	20,443,475	92.000.000	0
43 NANHUA USA LLC	FCM	CME	11/30/2020	15,737,219	3,261,671	12,475,548	80,412,485	70,490,978	9,921,507	3,500,000	373,468	23,559	349,909	100,000	20,000,010,000	0	077,001,010	0	
44 NATWEST MARKETS SECURITIES INC 45 NOMURA SECURITIES INTERNATIONAL INC	FCM BD FCM BD	CBOT	11/30/2020	570,978,457 2.658,934,188	1,581,427 185,439,816	569,397,030	2 47,726,754 384,672,778		34,371,633 142,920,506	20,000,000 26,000,000	2,511,887 18,492,215	18,242	2,493,645	2,000,000	(	0	0	0	0
45 NOMURA SECURITIES INTERNATIONAL INC 46 OANDA CORPORATION	FCM BD FCMRED	CBO1	11/30/2020	2,658,934,188 48,130,591	32,222,895	2,4/3,494,3/2 15,907,696	2 384,672,778	241,/52,2/2	142,920,506	26,000,000	18,492,215	0	18,492,215	1,000,000	(	0		0	200,162,673
47 PHILLIP CAPITAL INC	FCM BD	CME	11/30/2020	62,168,821	29,969,306	32,199,515	633,810,221	612,677,792	21,132,429	11,500,000	11,891,527	7,913,272	3,978,255	1,500,000	(	0	C	0	200,102,075
48 PICTET OVERSEAS INC	FCM BD	NFA	11/30/2020	49,725,879	16,706,454	33,019,425	5 227,131,643		4,301,220	2,750,000	49,737,208	46,967,355	2,769,853	1,250,000	(	0	0	0	c
49 RAND FINANCIAL SERVICES INC 50 RBC CAPITAL MARKETS LLC	FCM FCM BD	CME	11/30/2020	94,627,508	12,250,835 317,623,580	82,376,673	3 158,846,700 7 3,992,528,477		35,623,200 428,141,044	3,696,700 280.000.000	30,795,400 239,051,566	5,219,300 178,514,314	25,576,100 60,537,252	156,600	1,042,494,136	759,924,478	282,569,658	0 80,000,000	0
51 RJ OBRIEN ASSOCIATES LLC	FCM BD	CIVIE	11/30/2020	244,333,363	202,012,008	42,321,355	4,732,127,816		155,671,261	50,000,000	240,199,304	208,036,869	32,162,435	20,000,000	1,042,474,130	0	202,007,000	0,000,000	(
52 SANTANDER INVESTMENT SECURITIES INC	FCM BD		11/30/2020	397,640,142	140,212,514	257,427,628	1,930,491,693	1,858,999,667	71,492,026	70,000,000	0	0	0	0	(	0	0	0	, c
53 SCORE PRIORITY CORP 54 SCOTIA CAPITAL LISA INC	FCM BD FCM BD	NFA CME	11/30/2020	13,546,548	1,000,000	12,546,548	3 0	0 0	0	0	0	0	0	0	(	0	0	0	
55 SG AMERICAS SECURITIES LLC	FCM BD	CME	11/30/2020	4,520,160,558	1,672,951,450	2,847,209,108	3 14,972,192,328	14,269,459,410	702,732,918	500,000,000	6,890,773,052	6,285,281,662	605,491,390	355,000,000	1,270,453,114	1,049,679,030	220,774,084	75,000,000	
56 STONEX FINANCIAL INC	FCM BD	CME	11/30/2020	256,499,828	141,595,003	114,904,825	3,231,594,929	3,176,183,516	55,411,413	40,000,000	171,079,314	158,804,572	12,274,742	6,000,000	3,338,099	352,602	2,985,497	1,000,000	, c
57 STRAITS FINANCIAL LLC 58 TD AMERITRADE FUTURES & FOREX LLC	FCM FCM	CME NFA	11/30/2020 11/30/2020	26,344,578 161,627,522	9,896,603 22,963,646	16,447,975	5 411,473,136 389,852,465	392,874,865 287,735,636	18,598,271 102,116,829	2,000,000 50,000,000	25,189,637	16,218,822	8,970,815	300,000	0	0	0	0	68.350.401
59 TRADESTATION SECURITIES INC	FCM BD	CME	11/30/2020	139,542,728	6,423,316	138,663,876	2 713,530,719	700,467,603	13,063,116	9,000,000	18,080,540	15,011,462	3,069,078	800,000	(	0	0	0	00,300,401
60 TRADING.COM MARKETS INC	RFED	NFA	11/30/2020	25,393,693	20,000,000	5,393,693	3 0	0 0	0	0	0	0	0	0	(	0 0	C	0	r
61 UBS FINANCIAL SERVICES INC 62 UBS SECURITIES LLC	FCM BD FCM BD	NFA CBOT	11/30/2020	1,154,442,966	143,170,498 730,134,376	1,011,272,468	3 <u>140,811,976</u> 3 6,783.026,273	6 260 200 181	33,896,809 522,736,092	22,000,000	44,107,809 1,381,549,796	12,563,037 1.083.925.139	31,544,772 297,624,657	15,000,000	1.183.230.640	945.272.605	237,958,035	0 125,000,000	0
62 UBS SECURITIES LLC 63 WEDBUSH SECURITIES INC	FCM BD FCM BD	CBOT	11/30/2020 11/30/2020	5,583,097,674 167,613,184	37,067,580	4,852,963,298	6,783,026,273 1,326,290,831	6,260,290,181 1,298,867,789	27,423,042	425,000,000 19,000,000	1,381,549,796	1,083,925,139	297,624,657 3,566,859	200,000,000	1,183,230,640	945,272,605	237,958,035	125,000,000	0
64 WELLS FARGO SECURITIES LLC	FCM BD	CME	11/30/2020	9,402,393,798	1,428,418,857	7,973,974,941	4,582,124,399	4,377,898,268	204,226,131	110,000,000	701,529,882	536,543,385	164,986,497	40,000,000	15,077,365,407	14,476,756,916	600,608,491	465,000,000	C
65 YORK BUSINESS ASSOCIATES LLC	FCM	NFA	11/30/2020	8,113,336	1,000,000	7,113,336	42,176,247	36,624,008	5,552,239	2,000,000	1,365,541	860,607	504,934	200,000	(	0	C	0	0
Totals	+						249.417.616 763	238.035.287.774	11.382.328.989	6.272.638.010	58.296.744.871	53,281,727,196	5.015.017.675	2.398.884.833	147.893.781 581	142.312.835.695	5.580.945.886	3.265.026.101	582,322,633
October Web Page Update	64									T									
Additions																			
FUTU FUTURES INC							1	1		ł	t				1	1			
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Deletions None								+											
none	-									ł									
Name Changes																			
None										l									
November Web Page Update	65									l									

## SELECTED FCM FINANCIAL DATA AS OF November 30, 2020 FROM REPORTS FILED BY December 23, 2020

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FCM: Futures Commission Merchant that is registered with the Commodity Futures Ti	Trading Commission			1				
BD: The FCM is also registered with the Securities and Exchange Commission as a se								
RFED: Retail Foreign Exchange Dealer that is registered with the Commodity Futures								
FCMRFD: The FCM is also registered with the Commodity Futures Trading Commission								
SD: The FCM or RFED is also registered with the Commodity Futures Trading Commi								
DSRO: Designated Self-Regulatory Organization. FCM/RFED firms that are dually regi	gistered as SDs have two DSROs listed if they have a different DSRO for the FCM	/RFED and the SD. The D	SRO for the FCM/RFED	is listed first and the D	DSRO for the SD is listed second.			
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 n								
the amount of capital required by a registered futures association (currently NFA is								
for securities brokers and dealers, the amount of net capital required by Rule 15c3-								
minimum dollar amount for FCM's offering or engaged in retail forex transactions an	and REEDs (\$20,000,000); Of and REEDs (\$20,000,000) plus five percent of the ECM/s or REED/s total rate!! for	av obligation in overcos of t	10 000 000					
minimum dollar amount for FCM's offering or engaged in retail forex transactions an	and RFEDS (\$20,000,000) plus live percent of the FCM s of RFED's total retail for	ex obligation in excess or a	\$10,000,000.					
Cusses not equited is adjusted not equited, less the firm's not equited requirement								
Excess net capital is adjusted net capital, less the firm's net capital requirement.								
This represents the total amount of money, securities, and property held in segregate	ted accounts for futures and ontions sustamors in compliance with Section 4d of	the Commodity Exchange	Act					
ins represents the total amount of money, securities, and property ried in seqregate	ed accounts for futures and options customers in compliance with section 4d of	the commounty Exchanges	AUL.					
This represents the total amount of funds that an FCM is required to segregate on behavior	shalf of customers who are trading on a designated contract market or derivative	s transaction execution fac	rility This is the sum of	f all accounts that cont	tain a net liquidating equity			
is represents the total amount of failes that an Form's required to segregate on ber	nar of deservers who are trading of a designated contract market of derivative.	s indisaction excedition rad	sincy. This is the sum of	an accounts that com	tan a not indulating equity.			
Excess/Deficient funds in segregation is customer assets in segregation, less the custo	stomer segregation requirement.							
This represents the targeted excess of proprietary funds deposited into customer segr	gregated accounts above the customer segregation requirement. This target am	ount is set by the firm.						
his represents the total amount of money, securities, and property held in secured ac	accounts for futures and options customers who trade on commodity exchanges."	ocated outside the United	States in compliance w	ith Part 30 of the Com	modity Exchange Act.			
his represents the amount of funds an FCM is required to set aside for customers wh	ho trade on commodity exchanges located outside of the United States.							
Excess/Deficient funds in separate Section 30.7 accounts is funds in separate Section	1 30.7 accounts, less the customer amount Part 30 requirement.							
The second state the second state of second states for dealers the difference to for the	the 20 7	and the set has the firm						
his represents the targeted excess of proprietary funds deposited into separate Section	ion 30.7 accounts above the customer amount Part 30 requirement. This target	amount is set by the firm.						
This concepts the total amount of monoy, securities, and property hold in cleared (	swap systematic accounts for cleared swap systematic in compliance with Section	Ad(f) of the Commodity E	vehango Act					
This represents the total amount of money, securities, and property held in cleared s	swap customer accounts for cleared swap customers in compliance with section	4d(I) of the continuouty Ex	xchange Act.					
This represents the amount of funds an FCM is required to segregate for customers w	who trade cleared swaps							
ins represents the amount of rands and owns required to sequedate for castomers w	mit trade cicarca swaps.							
Excess/Deficient funds in cleared swap customer accounts is funds in separate cleared	ed swap segregation accounts, less the cleared swap customer segregation requi	rement.						
This represents the targeted excess of proprietary funds deposited into separate clear	ared swap segregation accounts above the cleared swap customer segregation r	equirement. This target a	mount is set by the firm	).				
This represents the total amount of funds at an FCM, RFED, or FCMRFD that would be	be obtained by combining all money, securities and property deposited by a retain	I forex customer into a retain	ail forex account or acco	ounts, adjusted for the	e realized and unrealized net profit or loss.			