## SELECTED FCM FINANCIAL DATA AS OF December 31, 2020 FROM REPORTS FILED BY January 27, 2021

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		Customer Amount Cleared Swap Seg Required	Excess/Deficient Funds in Cleared Swap Seg Accounts	Target Residual Interest in Cleared Swap Seg	Total Amoun Retail Fore Obligation
	(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(i)	(k)	0	(m)	(n)	(0)	(p)	(q)
ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	12/31/2020	716,477,146	190,744,814	525,732,332	2 3,500,116,718	2,981,553,554	518,563,164	272,386,954	80,922,569	65,295,664	15,626,905	6,529,566	C	0 0	0	0	
ADM INVESTOR SERVICES INC	FCM	CBOT	12/31/2020	354,677,564	252,969,771	101,707,793	3 5,520,040,188	5,313,040,992	206,999,196	120,000,000	424,208,852	377,910,587	46,298,265	20,000,000	9,805,183	3 0	9,805,183	8,000,000	
ADVANTAGE FUTURES LLC	FCM		12/31/2020	21,136,759	10,023,476	11,113,283	3 313,130,348	292,311,678	20,818,670	12,500,000	39,121,185	35,464,186	3,656,999	1,000,000	C	0 0	0	0	
AMP GLOBAL CLEARING LLC APEX CLEARING CORPORATION	FCM FCM BD	NFA NFA	12/31/2020	6,028,281 221,754,625	1,000,000	5,028,28	1 68,873,294	62,536,571 32,361,823	6,336,723 22,669,456	900,000	2,133,434	1,725,770	407,664	150,000	0	0 0	0	0	
BAKKT CLEARING LLC	FCM	NFA	12/31/2020	4,145,788	1,000,000	3,145,788	1 55,031,279	32,301,823	22,009,430	7,000,000	0	0	0	0		0 0	0	0	
BARCLAYS CAPITAL INC	FCM BD	NYME	12/31/2020	6,749,709,078	1,685,389,061	5,064,320,01	7 9,085,727,303	8,684,197,982	401,529,321	55,000,000	3,219,553,554	2,944,395,634	275,157,920	12,000,000	9,679,991,158	9,302,672,737	377,318,421	250,000,000	
BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	12/31/2020	2,449,670,825	542,384,498	1,907,286,32	7 3,580,437,385	3,280,220,004	300,217,381	240,000,000	334,483,537	255,173,283	79,310,254	30,000,000	1,868,011,669	1,693,770,878	174,240,791	95,000,000	
BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	12/31/2020	5,759,008	1,000,000	4,759,008	8 3,096,432	0	3,096,432	1,000,000	6	0	6	1	6	b 0	6	1	
BOFA SECURITIES INC	FCM BD		12/31/2020	14,067,405,475	2,902,508,488	11,164,896,98	7 21,544,470,475	21,165,330,728	379,139,747	200,000,000	5,037,156,746	4,686,200,028	350,956,718	150,000,000	11,122,334,254	10,882,936,416	239,397,838	150,000,000	
CANTOR FITZGERALD & CO CHARLES SCHWAB & CO INC	FCM BD FCM BD	NFA	12/31/2020	517,897,991 3,116,694,197	1,500,000 615,559,927	516,397,99	1 4,969,921 D 255,152,526	192,171,128	4,969,921 62,981,398	3,000,000	50.000	0	50.000	1		0	0	0	
CHARLES SERVICE & COINC	FCM		12/31/2020	69.698.301	18,420,953	51,277,348	B 175,270,502	114.015.332	61,255,170	13,600,000	1.527.272	0	1.527.272	200.000	510,188	3 0	510,188	120.000	
CITIGROUP GLOBAL MARKETS INC	FCM BD SD		12/31/2020	12,729,964,646	3,555,912,265	9,174,052,38	1 14,327,410,377	13,698,896,925	628,513,452	440,300,000	3,631,682,694	3,395,800,131	235,882,563	156,100,000	33,452,061,175	32,766,733,741	685,327,434	472,500,000	
CREDIT SUISSE SECURITIES (USA) LLC	FCM BD		12/31/2020	11,934,251,497	1,763,708,463	10,170,543,034	4 7,402,342,713	7,026,486,672	375,856,041	351,324,334	6,575,585,566	5,471,212,381	1,104,373,185	273,560,619	13,519,187,756	12,843,620,593	675,567,163	642,181,030	
CUNNINGHAM COMMODITIES LLC	FCM		12/31/2020	5,506,048	1,039,279	4,466,769	9 63,478,183	59,906,403	3,571,780	3,050,000	1,153,955	722,370	431,585	100,000	C	0 0	0	0	
DAIWA CAPITAL MARKETS AMERICA INC DEUTSCHE BANK SECURITIES INC	FCM BD FCM BD		12/31/2020	1,262,045,391 8,544,720,876	1,500,000	1,260,545,39	1 2,181,514 4 2,742,877,157	2.492.391.042	2,181,514 250,486,115	125.000.000	484,784 667,967,493	0 517.515.310	484,784 150,452,183	1 75.000.000	0	0	0	0	
DIRECT ACCESS USA LLC	FCM BD		12/31/2020	8,544,720,876	212,623,242	8,332,097,634	3 39.028.517	2,492,391,042	250,486,115	2.500.000	007,907,493	517,515,310	130,452,183	15,000,000		0	0	0	1
DORMAN TRADING LLC	FCM		12/31/2020	14,661,273	2,853,602	11,807,67	1 229,453,614	222,887,238	6,566,376	2,000,000	26,617,429	25,790,854	826,575	200,000	0	0 0	0	0	
E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	12/31/2020	200,349,704	127,387,431	72,962,273	3 2,749,321,320	2,661,361,810	87,959,510	44,250,000	66,624,326	51,998,112	14,626,214	5,000,000	C	0 0	0	0	
E*TRADE FUTURES LLC	FCM	NFA	12/31/2020	33,349,835	4,869,521	28,480,314	4 114,426,175	80,382,442	34,043,733	8,000,000	0	0	0	0	C	0	0	0	
FUTU FUTURES INC	FCM ECMRED		12/31/2020	1,978,462	1,000,000	978,462	2 00 000 000	0	17 767 917	10,000,000	0	0	1 054 507	1 000 000	0	0	0	0	207.07
GAIN CAPITAL GROUP LLC GH FINANCIALS LLC	FCMRFD	CME	12/31/2020 12/31/2020	75,013,940 26,304,864	29,893,683 7,315,514	45,120,25	7 306,033,349 0 147,360,434	288,265,432 130,953,213	17,767,917 16,407,221	10,000,000	4,375,355 5,857,805	2,520,818 4,528,169	1,854,537	1,000,000 225,000	0	0	0	0	207,87
GOLDMAN SACHS & CO LLC	FCM BD SD		12/31/2020	20,304,004	3.933.206.596	18,448,475,523	3 34.669.714.178	33.759.370.354	910.343.824	675.000.000	11.348.716.093	4,528,189	570.214.719	475.000.000	11.602.153.857	11.191.542.806	410.611.051	350.000.000	
HIDDEN ROAD PARTNERS CIV US LLC	FCM BD	NFA	12/31/2020	10,530,663	1,000,000	9,530,663	3 0	0	0	0	0	0	0	0	C	0 0	0	0	İ
HSBC SECURITIES USA INC	FCM BD	CME	12/31/2020	1,283,107,999	470,223,068	812,884,93	1 3,808,996,933	3,681,566,705	127,430,228	117,000,000	121,606,354	93,429,968	28,176,386	15,000,000	1,447,127,003	1,365,027,227	82,099,776	71,000,000	
HUATAI FINANCIAL USA INC	FCM		12/31/2020	2,482,156	1,000,000	1,482,156	6 9,446,387	7,952,862	1,493,525	600,000	323,220	61	323,159	150,000	C	0 0	0	0	
IG US LLC INTERACTIVE BROKERS LLC	RFED FCM BD	CME	12/31/2020	34,534,477 5,122,416,365	20,743,205 674,218,358	13,791,272	2 0 7 6,053,454,566	5,794,658,113	258,796,453	155,000,000	712,775,452	0 572,905,357	139,870,095	0 80,000,000	0	0 0	0	0	24,86
IRONBEAM INC	FCIVI BD		12/31/2020	3,122,410,303	1 000 000	4,446,196,00	6 68 315 004	62 768 837	256,796,455	1 600 000	712,775,452	572,905,357	139,870,095	60,000		0 0	0	0	69,74
JEFFERIES LLC	FCM BD		12/31/2020	2,248,146,250	92,317,818	2,155,828,432	2 00,313,004	02,700,037	0,540,107	1,000,000	0	133,212	174,042	00,000	0	0 0	0	0	
JP MORGAN SECURITIES LLC	FCM BD SD		12/31/2020	27,651,392,788	5,023,830,552	22,627,562,230	6 47,959,227,273	46,354,893,130	1,604,334,143	927,097,863	7,291,881,491	6,821,686,673	470,194,818	238,759,034	20,381,857,129	19,438,208,681	943,648,448	388,764,174	
MACQUARIE FUTURES USA LLC	FCM		12/31/2020	297,933,619	227,745,630	70,187,989	9 2,768,409,370	2,653,478,723	114,930,647	100,000,000	65,995,946	53,208,132	12,787,814	7,000,000	24,178,493	7,812,527	16,365,966	1,000,000	
MAREX NORTH AMERICA LLC	FCM FCM		12/31/2020	134,414,707 14,601,845	108,108,781	26,305,926	6 2,114,973,152 453,144,122	2,083,861,720	31,111,432	20,330,000	77,582,646	59,601,390	17,981,256	10,250,000	0	0 0	0	0	
MCVEAN TRADING & INVESTMENTS LLC MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD		12/31/2020	8.623.606.367	2,311,575	12,290,270	9 2.768.943.955	430,995,189 1.403.803.238	22,148,933	18,000,000	2,567,861	0	2,567,861	1,000,000		0	0	0	
MID CO COMMODITIES INC	FCM		12/31/2020	10,737,357	6,042,068	4,695,289	40,938,760	29.972.318	10,966,442	5,138,000	0	0	0	0		0	0	0	
MINT BROKERS	FCM BD		12/31/2020	2,723,392	1,000,000	1,723,392	2 0	0	0	0,100,000	0	0	0	0	C	0 0	0	0	
MIZUHO SECURITIES USA LLC	FCM BD	CME	12/31/2020	1,261,860,459	404,708,182	857,152,27	7 5,766,552,183	5,509,577,276	256,974,907	125,000,000	955,658,507	829,457,118	126,201,389	70,000,000	20,444,766	0	20,444,766	10,000,000	
MORGAN STANLEY & CO LLC	FCM BD SD		12/31/2020	12,868,922,690	3,834,810,153	9,034,112,53	7 26,253,216,357	25,865,846,125	387,370,232	235,000,000	7,323,148,628	7,104,383,250	218,765,378	140,000,000	26,026,327,508	25,630,385,208	395,942,300	92,000,000	
NANHUA USA LLC NATWEST MARKETS SECURITIES INC	FCM FCM BD	CME CBOT	12/31/2020 12/31/2020	17,080,847 584,418,274	4,053,376	13,027,47	1 103,621,180 9 35,435,014	93,270,829 832,408	10,350,351 34,602,606	3,500,000	417,747 2,299,835	66,609	351,138 2,299,835	100,000 2,000,000	0	0 0	0	0	
NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT		3.133.040.430	192,134,583	2,940,905,84	7 373.093.252	229,745,765	143,347,487	26,000,000	18,739,011	0	18,739,011	1,000,000	0	0	0	0	
OANDA CORPORATION	FCMRFD		12/31/2020	44,716,933	31,682,417	13,034,516	6 0	0	0	0	0	0	0	0	C	0 0	0	0	190,52
PHILLIP CAPITAL INC	FCM BD		12/31/2020	61,577,204	34,753,146	26,824,058	B 723,311,751	703,751,599	19,560,152	11,500,000	16,679,829	13,828,791	2,851,038	1,500,000	C	0	0	0	
PICTET OVERSEAS INC	FCM BD FCM		12/31/2020	51,401,415	12,515,245	38,886,170	180,943,257	176,602,240	4,341,017	2,750,000	35,830,417	32,980,929	2,849,488	1,250,000	C	0 0	0	0	
RAND FINANCIAL SERVICES INC RBC CAPITAL MARKETS LLC	FCM BD		12/31/2020 12/31/2020	79,349,816 3,090,883,041	1,000,000 335,434,725	78,349,816	6 4,628,400 6 3,648,984,861	3,216,164,634	4,628,400 432,820,227	240,000,000	261,580,785	201,155,615	60,425,170	20,000,000	1,011,089,469	727,596,619	283,492,850	80,000,000	
RIG CAPITAL MARKETS LLC RJ OBRIEN ASSOCIATES LLC	FCM BD		12/31/2020	247.638.871	204,211,796	43.427.075	5 4,838,788,940	4,696,794,242	432,820,227	240,000,000	261,580,785	201,155,615	31,650,461	20,000,000	1,011,009,409	) 121,390,019	203,492,850	80,000,000	
SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	12/31/2020	459,143,755	138,385,841	320,757,914	4 1,777,144,931	1,705,252,171	71,892,760	70,000,000	0	0	0,000,401	0	C C	0 0	0	0	
SCORE PRIORITY CORP	FCM BD	NFA	12/31/2020	11,904,113	1,000,000	10,904,113	3 0	0	0	0	0	0	0	0	C	0 0	0	0	
SCOTIA CAPITAL USA INC	FCM BD		12/31/2020	1,341,744,135	139,013,800	1,202,730,335	5 0	0	0	0	0	0	0	0	0	0 0	0	0	
SG AMERICAS SECURITIES LLC STONEX FINANCIAL INC	FCM BD FCM BD		12/31/2020 12/31/2020	4,725,167,041 253,191,150	1,662,969,107 146,764,584	3,062,197,934	4 14,753,107,430 6 3,115,487,851	14,052,755,054 3,051,041,165	700,352,376 64,446,686	500,000,000 40,000,000	6,911,232,171 254,929,870	6,315,808,424 242,901,044	595,423,747 12,028,826	355,000,000 6,000,000	1,320,841,495	5 1,100,385,461 337,602	220,456,034	75,000,000	
STONEX FINANCIAL INC	FCM BD		12/31/2020	253,191,150	146,764,584	16.335.28	3,115,487,851	3,051,041,165	18.261.829	2.000.000	254,929,870	242,901,044	9.011.300	6,000,000	3,323,112	337,602	2,900,510	1,000,000	1
TD AMERITRADE FUTURES & FOREX LLC	FCM	NFA	12/31/2020	167,752,044	22,871,493	144,880,55	1 408,143,700	306,571,357	101,572,343	50,000,000	20,000,011	0	0	000,000		0 0	0	0	66,49
TRADESTATION SECURITIES INC	FCM BD	CME	12/31/2020	143,026,645	8,516,111	134,510,534	4 773,774,188	756,952,879	16,821,309	9,000,000	18,429,267	15,334,690	3,094,577	800,000	C	0 0	0	0	
TRADING.COM MARKETS INC	RFED		12/31/2020	25,188,358	20,000,000	5,188,358	B 0	0	0	0	0	0	0	0	C	0 0	0	0	
UBS FINANCIAL SERVICES INC	FCM BD FCM BD		12/31/2020	1,194,492,475	145,302,084	1,049,190,39	1 127,088,170 5 6,704,952,778	91,764,585 6,183,224,341	35,323,585	22,000,000	39,995,436 1,441,046,763	13,611,675	26,383,761	15,000,000	1.244.834.877	0 0	239.041.411	125.000.000	<u> </u>
UBS SECURITIES LLC WEDBUSH SECURITIES INC	FCM BD FCM BD		12/31/2020	5,708,247,831	719,662,896	4,988,584,93	5 6,704,952,778 1 1.330,117,938	6,183,224,341	521,728,437 29,464,549	425,000,000	1,441,046,763	1,145,853,552 24,251,049	295,193,211 3.701.540	200,000,000	1,244,834,877	1,005,793,466	239,041,411	125,000,000	ł
WELLS FARGO SECURITIES LLC	FCM BD		12/31/2020	9,940,221,327	1,438,123,545	8,502,097,782	2 4,301,200,351	4,015,743,914	285,456,437	110,000,000	711,033,029	545,824,310	165,208,719	40,000,000	14,993,797,631	14,385,590,126	608,207,505	465,000,000	1
ORK BUSINESS ASSOCIATES LLC	FCM		12/31/2020	4,496,077	1,000,000	3,496,07	7 39,675,313	36,353,313	3,322,000	2,000,000	1,245,711	840,908	404,803	200,000	C	0 0	0	0	
otals							248.553.177.382	237.392.722.737	11.160.454.645	6.230.396.245	58.025.180.675	52.925.033.268	5.100.147.407	2.432.434.222	147.727.876.729	142.342.414.088	5.385.462.641	3.276.565.205	559.49
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December Web Page Update	65																		

## SELECTED FCM FINANCIAL DATA AS OF December 31, 2020 FROM REPORTS FILED BY January 27, 2021

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(a): ECM: Eutures Commission Merchant that is register	ad with the Commodity Eutures Tradi	a Commission							
(a): FCM: Futures Commission Merchant that is registered BD: The FCM is also registered with the Securities a									
RFED: Retail Foreign Exchange Dealer that is regist FCMRFD: The FCM is also registered with the Comr									
SD: The FCM or RFED is also registered with the Co	ommounty Futures mading commissio	n as a provisionally registered swap dealer.							
(b): DSBO: Designated Solf Regulatory Organization EC	M/REED firms that are dually register	od as SDs have two DSPOs listed if they have a	a different DSBO for the ECM/REED and the SD	The DSPO for the ECM/PE	ED is listed first and the	DSPO for the SD is lie	tod cocond		
(b): DSRO: Designated Self-Regulatory Organization. FC	W/RIED HITTS that are dually register	ed as 3Ds have two D3R0s listed if they have a	a unerent bako for the row/kreb and the ab	. The D3k0 for the r cliv ki	LD is listed first and the	DORO TOT LITE OD IS II:	aeu seconu.		
(c): A firm's net capital requirement is the greater of:									
(c). A limits her capital requirement is the greater of.									
<ul> <li>FCM minimum dollar amount (\$1,000,000); or</li> </ul>									
<ul> <li>risk based capital requirement, the sum of 8% of t</li> </ul>	lotal customer risk maintenance marc	in and 8% of total non-customer risk maintena	ance margin: or						
<ul> <li>the amount of capital required by a registered future</li> </ul>			ance margin, or						
<ul> <li>for securities brokers and dealers, the amount of r</li> </ul>									
<ul> <li>minimum dollar amount for FCM's offering or enga</li> </ul>									
<ul> <li>minimum dollar amount for FCM's offering or enga</li> <li>minimum dollar amount for FCM's offering or enga</li> </ul>	iged in retail forex transactions and R	FEDs (\$20,000,000), of FEDs (\$20,000,000) plus five percent of the EC	'M's or REED's total retail forex obligation in exc	cess of \$10,000,000					
minimum dollar amount for Follip onering of eliga	ged in retain forex transactions and re	Ebs (#20,000,000) plus into portoint of the Fo	Sin's of the EB's total rotal forex obligation in ex						
(d): Excess net capital is adjusted net capital, less the fir	m's net canital requirement								
(d). Excess her capital is adjusted her capital, less the li	ins net capital requirement.								
(e): This represents the total amount of money, securitie	and property held in segregated a	counts for futures and ontions customers in co	ampliance with Section 4d of the Commodity Ex	change Act					
(c). This represents the total amount of money, securite	s, and property neid in seqredated a		Simpliance with Section 44 of the commodity Ex	change Act.					
(f): This represents the total amount of funds that an FC	M is required to segregate on behalf	of customers who are trading on a designated of	contract market or derivatives transaction execu	ution facility This is the sur	m of all accounts that co	ntain a net liquidating	equity		
(i). This represents the total amount of failes that an ro	in is required to segregate on benan	si dasterners who are trading on a designated t		ation facility. This is the sa	in or an accounts that co	intain a not inquidating	oquitj.		
(g): Excess/Deficient funds in segregation is customer as	sets in segregation, less the custome	r segregation requirement							
(g). Excess/Benefork rands in Seq equation is easterned as		sociedation redaironnent.							
(h): This represents the targeted excess of proprietary fu	unds deposited into customer segrega	ted accounts above the customer segregation r	requirement. This target amount is set by the t	firm.					
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(i): This represents the total amount of money, securities	s, and property held in secured accou	nts for futures and options customers who trad	de on commodity exchanges located outside the	United States in compliance	e with Part 30 of the Co	mmodity Exchange Ac			
(j): This represents the amount of funds an FCM is require	red to set aside for customers who tra	ade on commodity exchanges located outside o	of the United States.						
(k): Excess/Deficient funds in separate Section 30.7 according	ounts is funds in separate Section 30.	7 accounts, less the customer amount Part 30 r	requirement.						
(I): This represents the targeted excess of proprietary fu	nds deposited into separate Section 3	0.7 accounts above the customer amount Part	30 requirement. This target amount is set by 1	he firm.					
(m): This represents the total amount of money, securiti	es, and property held in cleared swap	customer accounts for cleared swap customer	rs in compliance with Section 4d(f) of the Comm	nodity Exchange Act.					
(n): This represents the amount of funds an FCM is requi	ired to segregate for customers who	rade cleared swaps.							
(o): Excess/Deficient funds in cleared swap customer account of the state of the	counts is funds in separate cleared sw	ap segregation accounts, less the cleared swap	p customer segregation requirement.						
(p): This represents the targeted excess of proprietary f	unds deposited into separate cleared	swap segregation accounts above the cleared s	swap customer segregation requirement. This	target amount is set by the	firm.				
(q): This represents the total amount of funds at an FCM	I, RFED, or FCMRFD that would be ob	tained by combining all money, securities and p	property deposited by a retail forex customer in	to a retail forex account or	accounts, adjusted for the	he realized and unreal	zed net profit or loss.	 	