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)		Target Residual Interest in Seg	Funds in Separate Section 30.7 Accounts		Excess/Deficient Funds in Separate Section 30.7 Accounts			Customer Amount Cleared Swap Seg Required		Target Residual Interest in Cleared Swap Seg	Total Amount of Retail Forex Obligation
	(a)	(b)	1		(c)	(d)	(e)	(f)	(g)	(h)	(i)	(i)	(k)	(1)	(m)	(n)	(0)	(p)	(p)
1 ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	02/28/2021	633,415,623	3 263,124,564	370,291,059	4,802,029,839	4,291,513,498	510,516,341	347,434,551	125,004,576	102,869,101	22,135,475	10,286,910		J 0	C	0	
2 ADM INVESTOR SERVICES INC	FCM	CBOT		412,649,504	4 295,028,923	117,620,581	6,244,030,112	6,038,443,747	205,586,365	120,000,000	489,347,423	443,615,481	45,731,942	20,000,000	0 9,806,417	/ 0	9,806,417	7 8,000,000	
3 ADVANTAGE FUTURES LLC 4 AMP GLOBAL CLEARING LLC	FCM FCM	CME NFA	02/28/2021	20,792,956 5,975,032	6 9,924,418 2 1,000,000	10,868,538 4,975,032	306,897,560 68,631,045	286,271,744	20,625,816 6,719,640	12,500,000	39,007,453 1,983,069	35,374,882 1.640.432	3,632,571 342,637	1,000,000	) (	0		1 0	<del>}</del>
5 APEX CLEARING CORPORATION	FCM BD	NFA	02/28/2021	381,702,334	4 46,100,871	335,601,463	65,791,078	44,149,541	21,641,537	7 7,000,000	1,963,009	1,040,432	342,037	130,000	á ř	5 0	, <u>, , , , , , , , , , , , , , , , , , </u>	3 0	,
6 BAKKT CLEARING LLC	FCM	NFA	02/28/2021	4,208,455	5 1,000,000	3,208,455	0	0	0	0	0	0	0	ſ	) (	) 0	0	0	
7 BARCLAYS CAPITAL INC 8 BNP PARIBAS SECURITIES CORP	FCM BD FCM BD	NYME	02/28/2021	4,624,276,365 2,414,134,046	5 1,751,636,656 6 624,861,550	2,872,639,709 1,789,272,496	9,275,962,496 4,208,982,040	8,924,277,355 3,580,194,246	351,685,141 628,787,794	1 55,000,000 4 503,000,000	3,304,449,339 431,912,247	3,130,829,693 331,382,365	173,619,646 100.529.882	12,000,000	0 10,330,192,287 0 1.852,803,613	7 9,796,460,736 3 1,684,661,293	533,731,551 168,142,320	1 250,000,000	
9 BOCI COMMODITIES & FUTURES USA LLC	FCM BD	NFA		5,539,909	9 1,000,000	4,539,909	4,208,982,040	3,580,194,246	628,787,794	503,000,000	431,912,247	331,382,365	100,529,882	30,000,000	1,852,803,613	1,084,001,293	168,142,320	90,000,000	1
IO BOFA SECURITIES INC	FCM BD	CBOT	02/28/2021	13,478,739,400	3,016,679,930	10,462,059,470	21,376,214,361	20,993,831,353	382,383,008	3 200,000,000	5,748,426,359	5,440,528,020	307,898,339	150,000,000	0 11,526,256,785	5 11,152,015,865	374,240,920	150,000,000	, <del>                                     </del>
11 CANTOR FITZGERALD & CO	FCM BD	CBOT		519,312,690	0 10,077,155	509,235,535	4,969,921	. 0	4,969,921	3,000,000	0	0	0'	C	<u>)</u>	) 0	0	0	
12 CHARLES SCHWAB & CO INC 13 CHS HEDGING LLC	FCM BD FCM	NFA CBOT	02/28/2021 02/28/2021	2,908,122,449 62,507,673	9 682,309,020 3 23,271,045	2,225,813,429 39,236,628	298,572,831 249,933,091	224,385,160 189,734,175	74,187,671 60,198,916	1 38,145,477 5 13,600,000	50,000 1,527,272	0	50,000 1,527,272	2 200,000	1 0 0 510,188	0	510,188	0 8 120,000	<del>}</del>
14 CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA		10,340,524,844	4 3,630,807,840	6,709,717,004	15.415.212.775	14,735,149,498	680,063,277	7 459,900,000	4.139.838.793	3,921,875,414	217,963,379	158,200,000		3 32,530,205,369	685,481,884	4 470,400,000	,
15 CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	02/28/2021	11,986,330,932	2 1,704,332,100	10,281,998,832	6,467,598,190	5,962,000,271	505,597,919	298,100,014	5,093,719,684	4,396,905,515	696,814,169	219,845,276		2 12,762,920,077	723,900,075	638,146,004	i I
L6 CUNNINGHAM COMMODITIES LLC	FCM	CBOT		5,438,030	1,551,334	3,886,696	77,441,899	73,864,216	3,577,683	3,050,000	1,203,153	772,397	430,756	100,000	) (	) 0	- 0	0	
17 DAIWA CAPITAL MARKETS AMERICA INC 18 DEUTSCHE BANK SECURITIES INC	FCM BD FCM BD	CME CBOT	02/28/2021	1,246,479,859 8,501,203,660	9 1,500,000 0 238,032,372	1,244,979,859 8,263,171,288	2,175,963 2,640,559,609	2,389,233,736	2,175,963 251,325,873	125,000,000	479,450 837,736,061	689,766,969	479,450 147,969,092	75,000,000	å V	0 0	<u> </u>	1 0	1
19 DIRECT ACCESS USA LLC	FCM	CME		11,341,359	9 1,624,622	9,716,737	54,652,255	41,304,293	13,347,962	2,500,000	0	0	0	0	0	J 0	C	0	,
20 DORMAN TRADING LLC	FCM	CME	02/28/2021	15,385,789	9 2,743,868	12,641,921	234,472,835	227,331,673	7,141,162	2 2,000,000	32,790,288	32,137,245	653,043	200,000	)	) 0	0	4 0	
21 E D & F MAN CAPITAL MARKETS INC	FCM BD FCM	CME NFA	02/28/2021 02/28/2021	208,976,708 33,812,487	8 145,328,112 7 5,468,275	63,648,596 28,344,212	3,044,592,033 134,377,243	2,957,173,321 98,714,790	87,418,712 35,662,453	2 44,250,000 8,000,000	78,552,508	66,563,627 0	11,988,881 0	5,000,000	<del>}</del>	1 0	<u> </u>	1 0	<del> </del>
23 FUTU FUTURES INC	FCM	NFA	02/28/2021	1,965,963	3 1,000,000	965,963	157,577,243	0	0	0	0	0	0	, <del>                                     </del>	á ř	5 0	0	1 0	, <del>                                     </del>
24 GAIN CAPITAL GROUP LLC	FCMRFD	NFA	02/28/2021	65,911,518	8 30,109,835	35,801,683	313,560,911	296,353,385	17,207,526	10,000,000	4,144,887	2,314,987	1,829,900	1,000,000	J C	0	Ū	<u> 0</u>	212,196,707
25 GH FINANCIALS LLC 26 GOLDMAN SACHS & CO LLC	FCM FCM BD SD	CME CBOT/NFA	02/28/2021	26,718,312 21,305,871,766	2 6,962,989 6 4,076,634,834	19,755,323 17,229,236,932	141,560,050 34,221,062,762	125,009,912 33,289,138,033	16,550,138 931,924,729	3 4,100,000 675,000,000	5,421,702 10,551,141,591	4,069,771 9,993,896,591	1,351,931 557,245,000	400,000 475,000,000	0 0 0 12.731.329.375	0 0 5 12,294,459,669	436,869,706	0 0 6 350,000,000	
26 GOLDMAN SACHS & CO LLC 27 HIDDEN ROAD PARTNERS CIV US LLC	FCM BD SD FCM BD	NFA NFA	02/28/2021	21,305,8/1,/66 8,788,175	5 4,076,634,834 5 1,000,000	17,229,236,932 7,788,175	34,221,062,762 n	33,289,138,033	931,924,729	6/5,000,000	10,551,141,591	9,993,896,591	557,245,000	4/5,000,000	12,/31,329,375	12,294,459,669	436,869,706	350,000,000	,——-
28 HSBC SECURITIES USA INC	FCM BD	CME	02/28/2021	1,196,541,722	2 469,779,500	726,762,222	3,590,680,642	3,463,083,086	127,597,556	117,000,000	161,208,165	135,267,512	25,940,653	15,000,000	0 1,469,068,292	2 1,388,039,127	81,029,165	71,000,000	
29 HUATAI FINANCIAL USA INC	FCM	NFA	02/28/2021	2,228,629	1,000,000	1,228,629	12,624,374	11,411,576	1,212,798	600,000	293,177	61	293,116	150,000	) (	0	0	0	
30 IG US LLC	RFED FCM BD	NFA CME	02/28/2021	32,976,839 4,969,023,920	20,890,926	12,085,913	6,744,851,551	6 527 910 726	207 021 915	155,000,000	621 400 525	500,488,288	120,912,247	80,000,000	0	0		0	27,818,515 58,131,999
31 INTERACTIVE BROKERS LLC 32 IRONBEAM INC	FCM	NFA	02/28/2021 02/28/2021	5,022,094	0 771,056,100 4 1,000,000	4,197,967,820 4,022,094	69,479,907	6,537,819,736 64,271,196	207,031,815 5,208,711	1 1,600,000	621,400,535 302,778	103,825	198,953	60,000		0	<u> </u>	J 0	30,131,333
33 JEFFERIES LLC	FCM BD	NFA	02/28/2021	2,019,268,222	2 116,355,694	1,902,912,528	0	0	0	0	0	0	0	0	0 0	<u>J</u> 0	0	0	
34 JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	02/28/2021	24,930,549,070	5,115,561,524	19,814,987,546	47,611,197,761	45,957,606,620	1,653,591,141	919,152,132	7,201,823,871	6,686,089,233	515,734,638	234,013,123			1,026,568,609		
35 MACQUARIE FUTURES USA LLC 36 MAREX NORTH AMERICA LLC	FCM FCM	CROT	02/28/2021 02/28/2021	294,663,291 158,995,447	1 253,326,672 7 131,762,364	41,336,619 27,233,083	3,172,402,592 2,616,611,243	2,999,087,873	173,314,719 28,915,988	9 100,000,000 8 20,330,000	63,785,521 93,028,950	50,955,234 76,968,015	12,830,287 16,060,935	7,000,000	0 25,367,815	5 8,997,353 0 0	16,370,462	1,000,000	1
37 MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA		15,073,061	2,207,454	12,865,607	453,423,143	431,383,667	22,039,476	18,000,000	2,567,861	0	2,567,861	1,000,000		J 0	C	0	, <del>                                     </del>
88 MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	02/28/2021	7,838,566,013	3 1,435,306,341	6,403,259,672	3,091,629,717	2,132,876,694	958,753,023	300,000,000	0	0	0'	C	<u>)</u>	) 0	0	0	
89 MID CO COMMODITIES INC 40 MINT BROKERS	FCM FCM BD	NFA NFA	02/28/2021	14,241,225 2,697,343	5 9,081,093 3 1,000,000	5,160,132 1,697,343	87,384,162	73,013,567	14,370,595	5,138,000	0	0	0	. 0	) (	0		0	,——
11 MIZUHO SECURITIES USA LLC	FCM BD	CME		1,270,169,947	7 427,265,156	842,904,791	6,480,363,583	6,131,506,578	348,857,005	150,000,000	857,900,400	731,774,522	126,125,878	70,000,000	0 21,266,218	8 1,080,092	20,186,126	6 10,000,000	<del>                                     </del>
12 MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA		11,782,484,921	1 3,863,919,212	7,918,565,709	25,250,668,903	24,772,010,749	478,658,154	235,000,000	7,664,872,846	7,456,346,521	208,526,325	140,000,000			493,392,410	92,000,000	,
13 NANHUA USA LLC	FCM	CME	02/28/2021	14,928,094	4 4,732,497	10,195,597	97,311,520	86,101,310	11,210,210	3,500,000	417,816	66,532	351,284	100,000		) 0	<u> </u>	1 0	
14 NATWEST MARKETS SECURITIES INC 15 NOMURA SECURITIES INTERNATIONAL INC	FCM BD FCM BD	CBOT	02/28/2021 02/28/2021	542,473,167 489,056,633	7 3,488,977 3 187,212,741	538,984,190 301,843,892	34,043,044 374,590,577	231,140,647	34,043,044 143,449,930	20,000,000	2,944,422 18,340,685	0	2,944,422 18,340,685	2,000,000		0	<u> </u>	1 0	,——-
46 OANDA CORPORATION	FCMRFD	NFA	02/28/2021	45,995,765	33,692,734	12,303,031	371,330,377	251,110,017	1 13,113,330	20,000,000	0	0	10,5 10,005	1,000,000	á	0	Č	J ö	192,821,985
47 PHILLIP CAPITAL INC	FCM BD	CME	02/28/2021	75,176,123	3 43,989,054	31,187,069	900,980,382	880,278,439	20,701,943		17,615,714	13,141,571	4,474,143			0	0	0	Í .
18 PICTET OVERSEAS INC 19 RBC CAPITAL MARKETS LLC	FCM BD FCM BD	NFA CME	02/28/2021	50,098,728 3,159,102,880	8 13,316,665 0 347,525,661	36,782,063 2,811,577,219	205,491,597 3,741,228,336	201,100,112 3,273,514,508	4,391,485 467,713,828	2,750,000 3 240,000,000	40,676,812	37,832,025 211,967,258	2,844,787 60,754,047	7 1,250,000 7 20,000,000	0 0 0 1,018,166,872	0 0 2 733,979,468	284,187,404	0 4 80,000,000	
50 R1 OBRIEN ASSOCIATES LLC	FCM BD	CME	02/28/2021 02/28/2021	274.369.512	2 227,005,485	47,364,027	5,488,857,895	5,335,704,626	153.153.269	50.000.000	272,721,305 208,331,727	178.057,236	30,274,555	20,000,000	0 1,010,100,072	. 733,979,400	204,107,404	00,000,000	<del>                                     </del>
51 SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	02/28/2021	440,794,309	9 147,944,842	292,849,467	1,665,244,103	1,593,715,060	71,529,043	70,000,000	0	0	0		<u>J</u>	7 0	<u> </u>	<u> </u>	
52 SCORE PRIORITY CORP	FCM BD	NFA		10,959,572	2 1,000,000	9,959,572	0	0	0	. 0	0	0	0'		) (	) 0	- 0	0,	
53 SCOTIA CAPITAL USA INC 54 SG AMERICAS SECURITIES LLC	FCM BD FCM BD	CME CME			5 136,625,044 7 1,870,619,864	1,247,513,121 2,729,648,713	15,715,482,581	15,003,132,520	712,350,061	500,000,000	6,882,806,596	6,284,835,834	597,970,762	2 355,000,000	0 1,336,978,757	0 0 7 1,115,027,313	221,951,444	0 4 75,000,000	,——-
55 STONEX FINANCIAL INC	FCM BD	CME	02/28/2021	299,763,525	5 175,374,848	124,388,677	3,651,786,973	3,586,933,166	64,853,807	7 40,000,000	282,540,561 34,369,530	270,357,995 25,259,713	12,182,566	6,000,000			2,970,596	6 1,000,000	
56 STRAITS FINANCIAL LLC	FCM	CME	02/28/2021	27,033,484	4 12,590,240	14,443,244	347,789,932	331,248,728	16,541,204	2,000,000	34,369,530	25,259,713	9,109,817	300,000	) (	) 0	0	1 0	4
57 TD AMERITRADE FUTURES & FOREX LLC 58 TRADESTATION SECURITIES INC	FCM FCM BD	NFA CMF	02/28/2021	177,289,411 151,473,286	1 32,904,563 6 10,135,415	144,384,848 141,337,871	523,995,859 750,616,865	423,788,765 733,603,687	100,207,094 17,013,178	50,000,000 9,000,000	18,810,560	0 15,663,136	0 3,147,424	0 0	<u>,</u>	0 0	<u> </u>	0	64,091,993
59 TRADING.COM MARKETS INC	RFED	NFA	02/28/2021 02/28/2021	151,473,286 24,970,500	0 20,000,000	4,970,500	/30,010,865	/33,003,08/	17,013,178	3,000,000	10,010,500	13,003,136	0 0	000,000	á ř	á 0	( C	J 0	<del>                                     </del>
50 UBS FINANCIAL SERVICES INC	FCM BD	NFA	02/28/2021	1,082,633,437	7 143,281,686	939,351,751	167,712,838	135,076,016	32,636,822		37,421,111	10,362,283	27,058,828	15,000,000		0	Ū	J 0	
51 UBS SECURITIES LLC	FCM BD	CBOT	02/28/2021	4,490,782,810	716,697,575	3,774,085,235	6,696,242,285	6,168,799,650	527,442,635	425,000,000	1,344,870,126	1,051,768,141	293,101,985	200,000,000		0 908,986,441	241,117,879	125,000,000	<del>, </del>
52 WEDBUSH SECURITIES INC 53 WELLS FARGO SECURITIES LLC	FCM BD FCM BD	CBOT CME	02/28/2021 02/28/2021	204,920,858 9,162,589,681	8 54,251,916 1 1,478,772,030	150,668,942 7,683,817,651	1,950,291,601 5,524,144,464	1,921,198,553 4,604,725,519	29,093,048 919,418,945	19,000,000 125,000,000	34,659,676 669,315,631	29,064,038 484,124,504	5,595,638 185,191,127	1,000,000 40,000,000	0 15,140,473,002	0 2 14,013,906,768	1,126,566,234	450,000,000	<del> </del>
54 YORK BUSINESS ASSOCIATES LLC	FCM		02/28/2021	4,523,012	2 1,000,000	3,523,012	37,459,380	33,945,946	3,513,434	1 2,000,000	1,304,591	828,571	476,020	200,000		J 0	(1)120,500,251	0	
		-	ļ	<u> </u>		·			40.400						1.00	440.005			
Totals			+	<del> </del>	+		256,703,868,709	244,535,759,201	12,168,109,508	6,572,050,175	57,421,066,822	52,845,864,474	4,575,202,348	2,380,005,311	148,746,888,788	142,299,865,398	6,447,023,390	3,239,224,796	555,061,199
January Web Page Update	65		#							<b></b>					#	#		#	<u> </u>
Additions										<u> </u>		<u> </u>			<u> </u>	<u> </u>		<u> </u>	<u> </u>
None																'			
Deletions					<del></del>														
RAND FINANCIAL SERVICES INC			+		+					+				+	+	+		+	+
										<del>                                     </del>			i	<del>                                     </del>	<del>                                     </del>				<del>                                     </del>
Name Changes																			
None								1	A. Control of the Con	1				1	1		i .	1	1
None		<u> </u>	+		++					+	<b></b>			+	+	+		+	-
February Web Page Update	64		+											<del></del>	<del>                                     </del>	<del>                                     </del>			

## SELECTED FCM FINANCIAL DATA AS OF February 28, 2021 FROM REPORTS FILED BY March 23, 2021

(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.												
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): 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.												
<ul> <li>minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000) plus five perc</li> </ul>	ent 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 requirement.												
(e): This represents the total amount of money, securities, and property held in segregated accounts for futures and options cut	stomers in compliance with Section 4d of the Commodity Exchange Act.											
161 THE LOW COME WHICH CALL WHITE AND ADDRESS AND ADDR												
(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 market or derivatives transaction execution facility. This is the sum of all accounts that contain a net liquidating equity.												
	<u> </u>											
(q): 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 requirement. 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 custom	ners who trade on commodity exchanges located outside the United States in compliance w	rith Part 30 of the Commodity Exchange Act.										
		The state of the s										
(j): This represents the amount of funds an FCM is required to set aside for customers who trade on commodity exchanges loca	ited outside of the United States.											
(k): Excess/Deficient funds in separate Section 30.7 accounts is funds in separate Section 30.7 accounts, less the customer amo	ount Part 30 requirement.											
(I): 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 sw	vap 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.												
The state of the s												
(o): Excess/Deficient funds in cleared swap customer accounts is funds in separate cleared swap segregation accounts, less the cleared swap customer segregation requirement.												
The state of the s												
(p): This represents the targeted excess of proprietary funds deposited into separate cleared swap segregation accounts above	the cleared swan customer segregation requirement. This target amount is set by the firm	1										
1057 This represents the targetest encess of proprietary raines deposited into separate cicared swap segregation accounts above	and cleared strap easterner sequegation regalitement. This target amount is set by the first											

(q): 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.