| Futures Commission Merchant / Retail Foreign Exchange Dealer | DBID | As of Date | Adjusted Net Capital | Net Capital Requirement | Excess Net Capital | Customers’ Assets in Seg | Customers’ Seg Requested Net Capital | Excess/Deficit Funds in Seg | Target Reserve Requirement | Funds in Separate Section 36.7 Accounts | Customer Amount Requested | Target Amount of Funds in Separate Section 28.7 Accounts | Target Reserve Amount Required | Funds in Separate Section 28.7 Accounts | Target Residual Amount in Defined Perpetual Obligation | Total Amount of Net Capital Obligation |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Nomura Securities Co., Ltd | 7247-01 | 05/21/2021 | 253,620,000 | 209,845,000 | 43,775,000 | 30,194,000,000 | 30,194,000,000 | 0 | 168,775,000 | 30,194,000,000 | 15,000,000 | 30,194,000,000 | 15,000,000 | 30,194,000,000 | 15,000,000 | 30,194,000,000 | 15,000,000 | 30,194,000,000 | 15,000,000 |
| Pictet Overseas Inc. FCM BD | 5105-01 | 05/21/2021 | 262,615,000 | 222,409,000 | 40,206,000 | 215,370,000 | 215,370,000 | 0 | 148,926,000 | 215,370,000 | 15,000,000 | 215,370,000 | 15,000,000 | 215,370,000 | 15,000,000 | 215,370,000 | 15,000,000 | 215,370,000 | 15,000,000 |
| SG Americas Securities LLC FCM BD | 3238-01 | 05/21/2021 | 318,138,000 | 263,104,000 | 55,034,000 | 0 | 0 | 0 | 149,133,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Trading.com Markets Inc RFED | 3887-01 | 05/21/2021 | 161,675,000 | 253,709,000 | -92,034,000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| UBS Securities LLC FCM BD | 7249-01 | 05/21/2021 | 247,370,000 | 202,956,000 | 44,414,000 | 309,998,000 | 309,998,000 | 0 | 167,456,000 | 309,998,000 | 15,000,000 | 309,998,000 | 15,000,000 | 309,998,000 | 15,000,000 | 309,998,000 | 15,000,000 | 309,998,000 | 15,000,000 |

**Total:**

- Adjusted Net Capital: 1,375,148,000
- Total Amount of Net Capital Obligation: 650,179,000
SELECTED FCM FINANCIAL DATA AS OF May 31, 2021
FROM REPORTS FILED BY June 20, 2021

(a): FCM: Futures Commission Merchant that is registered with the Commodity Futures Trading Commission.

(b): DSRO: Designated Stone Ranch Organization. A firm's net capital requirement is the greater of:

- FCM minimum dollar amount or

- the amount of capital required to segregate on behalf of customers who trade cleared swap contracts. This is the sum of all accounts that contain a net liability.

- Excess net capital is adjusted net capital less the firm's net capital requirement.

(c): Excess capital represents the total amount of money, securities, and property held in segregated accounts for futures and options transactions in compliance with Section 30 of the Commodity Exchange Act.

(d): Excess capital required to segregate on behalf of customers who are trading on a designated contract market or derivatives transaction execution facility.

(e): Excess capital represented by the total amount of money, securities, and property held in segregated accounts for futures and options transactions in compliance with Section 4d of the Commodity Exchange Act.

(f): Excess capital represents the total amount of money, securities, and property held in cleared swap customer accounts for cleared swap customers in compliance with Section 4d of the Commodity Exchange Act.

(g): Excess capital represents the total amount of money, securities, and property deposited into separate Section 30.7 accounts above the customer amount Part 30 requirement. This target amount is set by the firm.

(h): Excess capital represents the total amount of money, securities, and property deposited into separate Section 30.7 accounts less the cleared swap customer segregation requirement. This target amount is set by the firm.

(i): Excess capital represents the total amount of money, securities, and property held in cleared swap secured accounts for futures and options transactions in compliance with Section 4d of the Commodity Exchange Act.

(j): Excess capital represents the total amount of money, securities, and property held in cleared swap secured accounts for customers who trade cleared swap contracts. This is the sum of all moneys, securities, and property held in cleared swap segregated accounts.

(k): Excess capital represents the amount of funds an FCM is required to segregate for customers who trade cleared swap contracts. This is the sum of all moneys, securities, and property held in cleared swap segregated accounts.

(l): Excess capital represents the amount of funds deposed into cleared swap segregated accounts. This is the sum of all moneys, securities, and property held in cleared swap segregated accounts.