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	Funds in Separate Cleared Swap Segregation	Customer Amount Cleared Swap Seg Required	Excess/Deficient Funds in Cleared Swap Seg Accounts	Target Residual Interest in Cleared Swap Seg	Retail Forex
	(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(1)	(m)	(n)	(0)	(p)	(q)
1 ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	05/31/2021	602,912,650	232,603,226	370,309,424	4.133.948.200	3,614,882,152	519,066,048	322,337,112	91,359,647	76,347,119	15,012,528	7,634,712	2	0	0	0	1
2 ADM INVESTOR SERVICES INC	FCM		05/31/2021	419,393,798	337,397,605	81,996,193	6,467,081,788	6,255,220,966	211,860,822	120,000,000	528,939,133	482,849,391	46,089,742	20,000,000	9,808,341	0	9,808,341	8,000,000	j e
3 ADVANTAGE FUTURES LLC	FCM	CME		22,859,417	12,483,236	10,376,181	349,217,665	328,600,537	20,617,128	11,500,000	29,576,602	25,665,791	3,910,811	1,000,000		0	0	0	<u>'</u>
4 AMP GLOBAL CLEARING LLC 5 APEX CLEARING CORPORATION	FCM FCM BD	NFA NFA	05/31/2021 05/31/2021	6,197,945 405,805,841	1,000,000 43,437,642	5,197,945 362,368,199	70,487,551 85,766,018	63,939,411 57,165,866	6,548,140 28,600,152	900,000 7,000,000	2,035,629	1,685,977	349,652	150,000) (0	0	0	 '
6 BAKKT CLEARING LLC	FCM	NFA	05/31/2021	4,245,728	1,000,000	3,245,728	3 03,700,010	0 0	20,000,132	7,000,000	Ö	0	0	Č	0 0	0	0	0	j
7 BARCLAYS CAPITAL INC	FCM BD	NYME		4,775,605,974	1,751,091,432	3,024,514,542	7,447,049,063	7,122,734,301	324,314,762	55,000,000	3,686,614,215	3,486,436,879	200,177,336	12,000,000			464,481,513	250,000,000	<u> </u>
8 BNP PARIBAS SECURITIES CORP 9 BOFA SECURITIES INC	FCM BD FCM BD	CBOT	05/51/2021	2,361,576,730 13,333,834,386	596,824,855 3,004,537,322	1,764,751,875 10,329,297,064	4,018,931,934 21,209,870,748	3,393,950,944 20,169,492,351	624,980,990 1,040,378,397	503,000,000 200,000,000	579,851,802 5,531,542,214	372,406,059 5,274,900,991	207,445,743 256,641,223	30,000,000 150,000,000		1,764,285,705 11,228,297,379	175,253,014 227,187,539	85,000,000 150,000,000	4
10 CANTOR FITZGERALD & CO	FCM BD		05/31/2021 05/31/2021	360,008,338	3,219,673	356,788,665	4,969,921	20,109,492,331	4,969,921	3,000,000	3,331,342,214	3,274,900,991	230,041,223	130,000,000	11,455,464,910	11,220,297,379	227,107,539	150,000,000	,
11 CHARLES SCHWAB & CO INC	FCM BD	NFA	05/31/2021	3,494,166,403	789,045,911	2,705,120,492	348,712,874	261,704,696	87,008,178	44,489,798	50,000	0	50,000	i	1 (0	0	0	j e
2 CHS HEDGING LLC	FCM	CBOT		59,604,083	29,101,524	30,502,559	315,688,027	256,675,897	59,012,130	14,100,000	1,527,272	0	1,527,272	200,000	510,188	0	510,188	120,000	1
.3 CITIGROUP GLOBAL MARKETS INC .4 CREDIT SUISSE SECURITIES (USA) LLC	FCM BD SD FCM BD	CBOT/NFA	05/31/2021 05/31/2021	12,919,516,537 12,564,909,713	3,769,685,282 1,495,592,480	9,149,831,255 11,069,317,233	16,526,976,061 6,236,654,870	16,037,272,822 5,880,753,951	489,703,239 355,900,919	330,400,000 294,037,698	4,256,765,880 5,622,288,454	4,085,182,280 5,189,338,916	171,583,600 432,949,538	159,600,000 259,466,946		32,372,661,694 10,117,652,149	669,024,400 601,123,226	462,700,000 505,882,607	7
IS CUNNINGHAM COMMODITIES (USA) ELC	FCM	CBOT	05/31/2021	5,534,975	1,495,592,460	3,947,444	100,312,541	96,695,805	3,616,736	3,050,000	986,169	5,109,530,910	404,157	100,000		0 10,117,632,149	001,123,220	303,862,807	,
6 DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	05/31/2021	1,246,048,092	1,500,000	1,244,548,092	2,171,347	0	2,171,347	1	480,128	0	480,128	1	1 (0	0	0	7
17 DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	05/31/2021	8,394,946,841	200,118,064	8,194,828,777	2,525,103,049	2,274,740,275	250,362,774	125,000,000	720,481,001	569,789,410	150,691,591	75,000,000	0 0	0	0	0	<u> </u>
18 DIRECT ACCESS USA LLC 19 DORMAN TRADING LLC	FCM FCM	CME CME	05/31/2021 05/31/2021	11,379,660 15,986,235	2,004,071 3,358,380	9,375,589 12,627,855	43,641,375 252,395,865	29,873,838 245,961,081	13,767,537 6,434,784	2,500,000 2,000,000	9,702,415	9,082,517	619,898	200,000	n (0	0	0	 '
20 E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	05/31/2021	201,765,724	132,944,279	68,821,445	3,031,921,718	2,937,115,404	94,806,314	44,250,000	122,488,943	106,818,082	15,670,861	5,000,000		0	0	0	<u>, </u>
21 E*TRADE FUTURES LLC	FCM	NFA	05/31/2021	36,518,915	6,829,534	29,689,381	1 144,012,802	107,875,818	36,136,984	8,000,000	0	0	0		0 0	0	0	0	4
22 FUTU FUTURES INC	FCM ECMPED	NFA NFA	05/31/2021	1,964,477	1,000,000	964,477	216 741 257	207 075 201	10 765 076	10,000,000	4 005 051	2 510 261	1 576 500	1 000 000) (0	0	0	200 204 50
23 GAIN CAPITAL GROUP LLC 24 GH FINANCIALS LLC	FCMRFD FCM	CME	05/31/2021 05/31/2021	47,254,348 27,048,673	29,514,729 9,962,779	17,739,619 17,085,894	316,741,257 166,759,860	297,975,281 149,679,993	18,765,976 17,079,867	10,000,000	4,095,851 8,821,226	2,519,261 7,438,236	1,576,590 1,382,990	1,000,000 250,000) 0	0	0	200,294,587
25 GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	05/31/2021	20,582,873,598	4,119,906,779	16,462,966,819	35,511,993,751	34,607,009,495	904,984,256	675,000,000	11,117,235,368	10,542,429,488	574,805,880	475,000,000	14,071,899,746	13,632,792,321	439,107,425	350,000,000	<u>, </u>
P6 HIDDEN ROAD PARTNERS CIV US LLC	FCM BD	NFA	05/31/2021	8,684,680	1,000,000	7,684,680	0	0	0	0	0	0	0	0	0 (0	. 0	0	4
27 HSBC SECURITIES USA INC 28 HUATAI FINANCIAL USA INC	FCM BD FCM	CME NFA	05/31/2021	1,220,373,665 2,297,714	412,463,393	807,910,272 1,297,714	3,413,860,097 17,617,881	3,305,935,092 16,369,421	107,925,005 1,248,460	96,000,000 600,000	166,560,935 293,295	141,036,720	25,524,215 293,234	15,000,000 150,000		1,244,891,507	77,919,601	67,000,000	4
29 TG US LLC	RFED	NFA NFA	05/31/2021 05/31/2021	31,181,336	1,000,000 21,032,159	1,297,714	/ 17,617,881	16,369,421	1,248,460	000,000	293,295	0	293,234	150,000	0 (0	0	0	30.643.178
80 INTERACTIVE BROKERS LLC	FCM BD	CME	05/31/2021	5,363,364,852	836,496,897	4,526,867,955	7,358,558,872	7,106,996,519	251,562,353	155,000,000	655,060,397	528,868,713	126,191,684	80,000,000	0 0	0	0	0	67,689,078
I IRONBEAM INC	FCM	NFA	05/31/2021	6,028,330	1,000,000	5,028,330	77,937,130	71,753,883	6,183,247	1,600,000	331,480	142,399	189,081	60,000	0 (0	0	0	1
32 JEFFERIES LLC 33 JP MORGAN SECURITIES LLC	FCM BD FCM BD SD	NFA CEI/NFA	05/31/2021 05/31/2021	1,518,185,943 27,053,842,528	123,721,236 5,271,761,179	1,394,464,707 21,782,081,349	52,621,555,010	50,850,561,450	1,770,993,560	1,017,011,229	7,512,992,407	7,227,469,823	285,522,584	252,961,444	20,044,135,595	19,075,006,894	969,128,701	381,500,138	<u> </u>
34 MACQUARIE FUTURES USA LLC	FCM	CBOT		354,148,942	304,790,170	49,358,772	3,672,686,696	3,476,982,739	195,703,957	100,000,000	79,782,485	66,807,169	12,975,316	7,000,000			16,381,423	1,000,000	J
35 MAREX NORTH AMERICA LLC	FCM	CME	05/31/2021	192,728,150	165,070,339	27,657,811	1 3,478,298,388	3,449,607,019	28,691,369	20,330,000	101,777,906	87,739,048	14,038,858	10,250,000	0 (0	0	0	J
36 MCVEAN TRADING & INVESTMENTS LLC	FCM FCM BD	NFA	05/31/2021	14,754,536 5,907,392,442	1,750,145 1,412,909,894	13,004,391 4,494,482,548	421,462,293 3 2,069,982,494	399,540,463 1,038,447,680	21,921,830 1,031,534,814	18,000,000 300,000,000	2,567,861	0	2,567,861	1,000,000	0 0	0	0	0	4
87 MERRILL LYNCH PROFESSIONAL CLEARING CORP 88 MID CO COMMODITIES INC	FCM BD	NFA NFA	05/31/2021 05/31/2021	16,683,325	11,412,909,894	5,232,725	108,415,351	91,603,416	16,811,935	5,138,000	0	0	0) (0 0	0	0	
99 MINT BROKERS	FCM BD	NFA	05/31/2021	2,630,350	1,000,000 470,278,149	1,630,350	0	0	0	0	0	0	0	Č	0 0	0	0	ő	j i
10 MIZUHO SECURITIES USA LLC	FCM BD	CME	05/31/2021	1,283,059,718		812,781,569	7,513,263,950	6,774,927,582	738,336,368	150,000,000	1,097,951,468	974,252,896	123,698,572	70,000,000		506,410	21,309,918	10,000,000	<u> </u>
11 MORGAN STANLEY & CO LLC 12 NANHUA USA LLC	FCM BD SD FCM	CME/NFA		16,346,280,472	3,916,529,415	12,429,751,057	26,252,250,295	25,868,889,718	383,360,577	235,000,000	8,103,812,176	7,884,069,287 60,094	219,742,889	140,000,000		25,471,635,139	275,406,586	92,000,000	4
13 NATWEST MARKETS SECURITIES INC	FCM BD	CME CBOT	05/31/2021 05/31/2021	16,716,554 633,365,038	9,184,070 1,465,767	7,532,484 631,899,271	156,971,892 1 7,500,031	145,437,243 0	11,534,649 7,500,031	3,500,000 5,000,000	412,561	00,094	352,467 0	100,000	0 0	0 0	0	0	
14 NINJATRADER CLEARING LLC	FCM	NFA	05/31/2021	4,335,052	1,000,000	3,335,052	39,344,385	35,431,979	3,912,406	2,000,000	1,324,869	805,615	519,254	200,000		0	0	0	J
IS NOMURA SECURITIES INTERNATIONAL INC IS OANDA CORPORATION	FCM BD FCMRFD	CBOT NFA		3,792,136,104 43,606,901	173,949,017	3,618,187,087	385,897,380	241,999,795	143,897,585	26,000,000	18,138,568	0	18,138,568	1,000,000	0 0	0	0	0	102 212 20
PHILLIP CAPITAL INC	FCM BD	CME	05/31/2021 05/31/2021	74,437,953	31,677,129 41,492,558	11,929,772 32,945,395	899,695,538	872,220,494	27,475,044	11,500,000	15,119,345	11,307,047	3,812,298	1.500.000) (0	0	0	183,213,303
18 PICTET OVERSEAS INC	FCM BD	NFA	05/31/2021	50,456,031	10,917,890	39,538,141	149,262,653	144,767,421	4,495,232	2,750,000	44,699,182	41,799,934	2,899,248	1,250,000	0 0	0	0	ő	j i
19 RBC CAPITAL MARKETS LLC	FCM BD	CME	05/31/2021	3,013,365,553	376,487,826	2,636,877,727	3,396,405,467	3,012,462,772	383,942,695	180,000,000	257,958,887	196,701,378	61,257,509	20,000,000		894,180,867	260,655,527	80,000,000	Ĵ.
50 RJ OBRIEN ASSOCIATES LLC 51 SANTANDER INVESTMENT SECURITIES INC	FCM FCM BD	CME NYMF	05/31/2021 05/31/2021	321,381,061 442,935,338	276,546,823 158,758,864	44,834,238 284,176,474	6,335,251,921 1,975,402,240	6,111,278,189 1,903,748,477	223,973,732 71,653,763	50,000,000 70,000,000	267,203,634	236,013,126	31,190,508	20,000,000	0 (0	0	0	 '
22 SCORE PRIORITY CORP	FCM BD	NFA		9,107,343	1,000,000	8,107,343		1,903,748,477	46,102	20,000	40,449	447	40,002	20,000	0 0	0	0	0	; '
33 SCOTIA CAPITAL USA INC	FCM BD	CME	05/31/2021	1,463,226,367	135,693,053	1,327,533,314	1 0	0	0	0	0	0	0	C) (0	0	0	J
54 SG AMERICAS SECURITIES LLC	FCM BD	CME	05/31/2021	4,002,875,866	2,003,127,432	1,999,748,434	15,613,237,182	14,906,543,563	706,693,619	500,000,000	7,109,518,199	6,502,248,163	607,270,036	355,000,000		1,685,983,572	228,687,380	75,000,000	4
55 STONEX FINANCIAL INC 66 STRAITS FINANCIAL LLC	FCM BD FCM	CME CME	05/31/2021 05/31/2021	278,005,785 25,700,256	194,819,972 11,372,114	83,185,813 14,328,142	3,916,790,730 421,353,830	3,852,924,193 406,357,936	63,866,537 14,995,894	50,000,000	232,156,666 45,730,454	218,993,777 36,457,770	13,162,889 9,272,684	6,000,000 300,000		0	997,091	250,000	 '
7 TD AMERITRADE FUTURES & FOREX LLC	FCM	NFA	05/31/2021 05/31/2021 05/31/2021	192,238,052	30,342,877	161,895,175	522,300,473	418,707,423	103,593,050	50,000,000	0	0	0	C	0 (0 0	0		61,236,786
58 TRADESTATION SECURITIES INC	FCM BD	CME		161,009,831	14,205,098	146,804,733	5 522,300,473 935,073,597	418,707,423 921,090,916	13,982,681	9,000,000	24,925,708	21,741,923	3,183,785	800,000	0 0	0	0	0	4
59 TRADING.COM MARKETS INC	RFED ECM RD	NFA NFA	05/31/2021	24,196,905	20,000,000	4,196,905	140.017.157	116 053 350	33.063.007	22,000,000	E2 704 205	17 130 007	36,655,378	15.000.000	0 0	0	0	0	4
50 UBS FINANCIAL SERVICES INC 51 UBS SECURITIES LLC	FCM BD FCM BD	CBOT	05/31/2021 05/31/2021	1,165,898,202 5,333,212,500	141,167,576 737,371,580	1,024,730,626 4,595,840,920	5 149,017,157 6,566,800,511	116,953,350 6,066,396,732	32,063,807 500,403,779	22,000,000 400,000,000	53,794,265 1,716,241,679	17,138,887 1,446,475,833	36,655,378 269,765,846	15,000,000 200,000,000		871,811,441	242,525,042	125,000,000	; '
32 WEDBUSH SECURITIES INC	FCM BD	CBOT	05/31/2021	211,405,182	56,776,660	154,628,522	1,842,095,709	1,812,364,982	29,730,727	19,000,000	34,173,016	29,039,026	5,133,990	1,000,000	0	0	0	0	<u> </u>
3 WELLS FARGO SECURITIES LLC	FCM BD	CME	05/31/2021	9,628,269,813	1,417,620,733	8,210,649,080	5,195,953,243	4,703,308,374	492,644,869	270,000,000	612,658,502	482,450,122	130,208,380	40,000,000	14,026,822,380	13,100,022,313	926,800,067	400,000,000	4
Totals							264,824,699,281	252,312,932,203	12,511,767,078	6,551,913,838	60,470,068,343	56,385,091,667	4,084,976,676	2,435,193,104	148,231,039,351	142,624,732,369	5,606,306,982	3,043,452,745	543,076,932
April Web Page Update	63																		1
Additions None							+								+				+
															1				
Deletions				· '			ļ		ļ										
None										ļ					1				4
Name Changes				<u> </u>			 		<u> </u>						+				+
YORK BUSINESS ASSOCIATES LLC to NINJATRADER CLEAR	INGLIC						+			 					+				+
May Web Page Update	63			1			i i												

SELECTED FCM FINANCIAL DATA AS OF May 31, 2021 FROM REPORTS FILED BY June 24, 2021

(a): FCM: Futures Commission Merchant that is registered with the Commodity F											
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 of	ually registered as SDs have two DSROs listed if they have	a different DSRO for the FCM/RFED a	and the SD. The DSRO for the FCM/RFE	D 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 maint 	enance margin and 8% of total non-customer risk maintena	ance margin; or									
the amount of capital required by a registered futures association (currently NEA social in its the only such association); or											
one amount or capital required by a recapital required by Rule 15/3-1(a) of the Societies and Exchange Commission; or for securities brokers and dealers, the amount of net capital required by Rule 15/3-1(a) of the Societies and Exchange Commission; or											
* In sections and useries, the amount on rect capital regulate by Nucl 15C3-1(1) or the Section exhibits of the section of the Commission, or including the section of the Commission of th											
minimum dollar amount for FCM's offering or engaged in retail forex transactions.	actions and RFEDs (\$20,000,000) plus five percent of the FC	CM's or RFED's total retail forex obliga	ation in excess of \$10,000,000.								
(d): Excess net capital is adjusted net capital, less the firm's net capital requirem	ent										
(d) Excess for capital is dejusced for capital fees the first for capital requirem	210										
(e): This represents the total amount of money, securities, and property held in s	segregated accounts for futures and ontions customers in co	ampliance with Section 4d of the Com	modity Eychange Act								
(c). This represents the total amount of money, securities, and property held in s	equequed accounts for facules and options customers in co	omphanice with Section 14 of the com	initially Exchange Act.								
(f): This represents the total amount of funds that an FCM is required to segrega	te on behalf of customers who are trading on a designated	contract market or derivatives transac	ction execution facility. This is the sum	of all accounts that contain a net liquidating equity							
(1). This represents the total amount of funds that an Ferris required to segrega	e on behalf of customers who are trading on a designated t	contract market or derivatives transact	cuon execution facility. This is the sum	or all accounts that contain a fict inquidating equity.							
(q): Excess/Deficient funds in segregation is customer assets in segregation, less	the customer cogregation requirement										
(q). Excess/Deficient funds in segregation is customer assets in segregation, less	tile customer segregation requirement.										
(h): This represents the targeted excess of proprietary funds deposited into custo	omer cogregated accounts above the customer cogregation	requirement. This target amount is s	of by the firm								
(11). This represents the targeted excess or proprietary runus deposited into custo	iner segregateu accounts above the customer segregation i	requirement. This target amount is s	et by tile IIIII.								
(i): This represents the total amount of money, securities, and property held in s		d		with Deat 30 of the Commodity Evaluation Act							
(1): This represents the total amount or money, securities, and property field in s	acured accounts for futures and options customers who trad	de on commodity exchanges located of	butside the United States in compilance	with Part 30 of the Commodity Exchange Act.							
(A). This are not the area of 6 and an ECM is a solid to act and 6		f H I I-it- d Ch-t									
(j): This represents the amount of funds an FCM is required to set aside for custo	mers who trade on commodity exchanges located outside o	or the United States.									
(I). F/D-6-i	- Cti 20 7t- tht										
(k): Excess/Deficient funds in separate Section 30.7 accounts is funds in separate	Section 30.7 accounts, less the customer amount Part 30 r	requirement.									
(0 T)		20									
(I): This represents the targeted excess of proprietary funds deposited into separ	ate 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 swap customer	s 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 cus	comers who trade cleared swaps.										
(o): Excess/Deficient funds in cleared swap customer accounts is funds in separa	te cleared swap segregation accounts, less the cleared swap	customer segregation requirement.									
(p): This represents the targeted excess of proprietary funds deposited into separate proprietary.	arate cleared swap segregation accounts above the cleared	swap customer segregation requirement	ent. This target amount is set by the fi	rm.							

(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.