

SELECTED FCM FINANCIAL DATA
FROM REPORTS FILED BY
October 31, 2002

| | | B/D? | DSRO | A/O | Adjusted | Net Capital | Risk Based | Excess | Customers' | Customer |
|----|--|------|------|------------|---------------|----------------------------------|-------------|---------------|---------------|-----------------|
| | Futures Commission Merchant | | | Date | Net Capital | Requirement | Requirement | Net Capital | Seg Required | Amount |
| | | (a) | (b) | | | (4% of Seg, SEC or \$250,000) | Capital | (d) | 4d(2) | Pt. 30 Required |
| | | | | | | (c) | | | (e) | (f) |
| 1 | ABN AMRO INCORPORATED | Y | CBOT | 09/30/2002 | 1,228,884,844 | 115,329,359 | 86,009,085 | 1,113,555,485 | 1,337,202,601 | 77,735,042 |
| 2 | ABN AMRO SAGE CORPORATION | Y | NFA | 09/30/2002 | 38,879,517 | 3,421,369 | 3,421,370 | 35,458,147 | 111,857,959 | 0 |
| 3 | ADM INVESTOR SERVICES INC | N | CBOT | 09/30/2002 | 60,375,797 | 16,069,447 | 18,604,464 | 41,771,333 | 422,576,862 | 15,051,506 |
| 4 | ADVEST INC | Y | NFA | 09/30/2002 | 40,013,284 | 1,000,000 | 0 | 39,013,284 | 0 | 0 |
| 5 | AG EDWARDS & SONS INC | Y | CBOT | 09/30/2002 | 573,457,568 | 42,408,474 | 2,376,669 | 531,049,094 | 60,587,488 | 40,951 |
| 6 | AGE COMMODITY CLEARING CORP | N | CBOT | 09/30/2002 | 11,390,051 | 1,330,679 | 3,131,729 | 8,258,322 | 43,453,206 | 0 |
| 7 | AIG CLEARING CORPORATION | N | NYME | 09/30/2002 | 120,525,247 | 250,000 | 4,972,480 | 115,552,767 | 0 | 0 |
| 8 | ALARON TRADING CORPORATION | N | CME | 09/30/2002 | 2,942,378 | 1,750,247 | 1,030,386 | 1,192,131 | 50,006,966 | 35,964 |
| 9 | ALCO COMMODITIES INC | N | NFA | 09/30/2002 | 453,189 | 250,000 | 0 | 203,189 | 0 | 0 |
| 10 | AMERICAN NATIONAL TRADING CORP | N | NFA | 09/30/2002 | 1,190,353 | 405,207 | 360,674 | 785,146 | 14,332,527 | 0 |
| 11 | BANC OF AMERICA FUTURES INCORPORATED | Y | CME | 09/30/2002 | 65,083,044 | 5,112,184 | 18,694,685 | 46,388,359 | 127,632,882 | 171,730 |
| 12 | BANC ONE CAPITAL MARKETS INC | Y | CBOT | 09/30/2002 | 373,631,486 | 56,250,904 | 98,106,883 | 275,524,603 | 1,951,016,729 | 8,701,168 |
| 13 | BARCLAYS CAPITAL INC | Y | CBOT | 09/30/2002 | 335,038,233 | 55,521,170 | 89,498,657 | 245,539,576 | 1,374,831,749 | 54,290,887 |
| 14 | BEAR STEARNS & CO INC | Y | CBOT | 09/30/2002 | 1,394,927,993 | 47,602,993 | 0 | 1,347,325,000 | 0 | 0 |
| 15 | BEAR STEARNS SECURITIES CORP | Y | CME | 09/30/2002 | 2,155,137,135 | 653,278,961 | 87,122,824 | 1,501,858,174 | 1,393,222,262 | 145,546,350 |
| 16 | BIELFELDT & COMPANY LLC | N | CBOT | 09/30/2002 | 408,266 | 250,000 | 0 | 158,266 | 0 | 0 |
| 17 | BNP PARIBAS BROKERAGE SERVICES INC | Y | CME | 09/30/2002 | 20,039,367 | 2,045,148 | 9,500,872 | 10,538,495 | 51,128,698 | 0 |
| 18 | BNP PARIBAS COMMODITY FUTURES INC | N | NYME | 09/30/2002 | 50,942,360 | 8,842,901 | 10,375,915 | 40,566,445 | 250,589,932 | 8,317,691 |
| 19 | BNP PARIBAS SECURITIES CORP | Y | CBOT | 09/30/2002 | 288,189,392 | 250,000 | 0 | 287,939,392 | 0 | 0 |
| 20 | BNY CLEARING SERVICES LLC | Y | CFTC | 09/30/2002 | 88,367,634 | 14,939,779 | 0 | 73,427,855 | 0 | 0 |
| 21 | BOSTON CABOT LLC | Y | NFA | 09/30/2002 | 597,779 | 250,000 | 0 | 347,779 | 0 | 0 |
| 22 | C CZARNIKOW SUGAR FUTURES INC | N | NFA | 09/30/2002 | 1,543,642 | 250,000 | 131,508 | 1,293,642 | 1,359,676 | 0 |
| 23 | CANTOR FITZGERALD & CO | Y | CBOT | 09/30/2002 | 54,744,937 | 992,484 | 1,024 | 53,752,453 | 294,789 | 0 |
| 24 | CAPITAL MARKET SERVICES LLC | N | NFA | 09/30/2002 | 410,029 | 250,000 | 0 | 160,029 | 0 | 0 |
| 25 | CARGILL INVESTOR SERVICES INC | N | CBOT | 09/30/2002 | 88,104,989 | 44,343,348 | 54,193,942 | 33,911,047 | 1,089,377,120 | 97,397,233 |
| 26 | CARR FUTURES INC | Y | CME | 09/30/2002 | 187,334,159 | 89,994,091 | 119,012,176 | 68,321,983 | 2,239,342,778 | 1,273,689,999 |
| 27 | CDC SECURITIES | Y | NFA | 09/30/2002 | 77,583,129 | 250,000 | 0 | 77,333,129 | 0 | 0 |
| 28 | CIBC WORLD MARKETS CORP | Y | NYME | 09/30/2002 | 915,831,676 | 17,107,852 | 9,357,311 | 898,723,824 | 4,593,253 | 0 |
| 29 | CLIFDEN FUTURES LLC | N | NFA | 09/30/2002 | 434,739 | 250,000 | 0 | 184,739 | 622,074 | 0 |
| 30 | COES FX CLEARING INC | N | NFA | 09/30/2002 | 490,087 | 250,000 | 0 | 240,087 | 0 | 0 |
| 31 | COMMERZ FUTURES LLC | Y | CME | 09/30/2002 | 8,217,696 | 1,500,186 | 3,907,793 | 4,309,903 | 74,750,359 | 3,891,384 |
| 32 | COUNTRY HEDGING INC | N | NFA | 09/30/2002 | 3,991,871 | 1,316,272 | 2,782,299 | 1,209,572 | 43,155,039 | 59,032 |
| 33 | CREDIT LYONNAIS ROUSE USA LIMITED | N | NYME | 09/30/2002 | 22,868,255 | 3,221,483 | 15,440,231 | 7,428,024 | 132,658,172 | 149,787 |
| 34 | CREDIT SUISSE FIRST BOSTON CORPORATION | Y | CBOT | 09/30/2002 | 3,625,013,631 | 63,633,473 | 57,390,401 | 3,561,380,158 | 1,001,569,497 | 260,743,680 |
| 35 | CROSSLAND LLC | N | CBOT | 09/30/2002 | 3,778,917 | 294,875 | 124,304 | 3,484,042 | 7,526,071 | 0 |
| 36 | CUNNINGHAM COMMODITIES INC | N | CBOT | 09/30/2002 | 1,707,730 | 250,000 | 198,836 | 1,457,730 | 5,793,216 | 108,883 |
| 37 | DAIWA SECURITIES AMERICA INC | Y | CME | 09/30/2002 | 220,831,268 | 4,699,596 | 5,345,336 | 215,485,932 | 85,673,529 | 259,766 |
| 38 | DEUTSCHE BANK FUTURES INC | N | CME | 09/30/2002 | 161,349,795 | 40,031,396 | 122,359,120 | 38,990,675 | 1,061,810,396 | 11,506,382 |
| 39 | DEUTSCHE BANK SECURITIES INC | Y | CBOT | 09/30/2002 | 942,236,054 | 107,716,035 | 56,101,400 | 834,520,019 | 1,208,828,869 | 115,374,870 |
| 40 | DIRECT TRADING GROUP LLC | N | NFA | 09/30/2002 | 442,109 | 250,000 | 25,657 | 192,109 | 2,511,451 | 0 |
| 41 | DONALDSON LUFKIN & JENRETTE SEC CORP | Y | CBOT | 09/30/2002 | 1,186,375,000 | 91,335,040 | 0 | 1,095,039,960 | 0 | 0 |
| 42 | DORMAN TRADING LLC | N | CME | 09/30/2002 | 3,987,965 | 799,765 | 244,069 | 3,188,200 | 20,010,379 | 0 |
| 43 | DUNAVANT COMMODITY CORP | N | NYCE | 09/30/2002 | 17,906,530 | 1,012,962 | 25,730 | 16,893,568 | 26,163,988 | 0 |
| 44 | EAGLE MARKET MAKERS INC | N | CBOT | 09/30/2002 | 1,931,327 | 250,000 | 32,296 | 1,681,327 | 1,681,461 | 74,492 |
| 45 | EM COMBS & SON | N | CBOT | 09/30/2002 | 2,125,905 | 250,000 | 32,479 | 1,875,905 | 1,025,055 | 0 |
| 46 | FAHNESTOCK & CO INC | Y | NFA | 09/30/2002 | 154,368,893 | 8,170,792 | 0 | 146,198,101 | 821,400 | 0 |
| 47 | FARR FINANCIAL INC | N | NFA | 09/30/2002 | 893,404 | 465,941 | 203,226 | 427,463 | 11,982,300 | 30,860 |
| 48 | FC STONE LLC | N | CME | 09/30/2002 | 15,841,453 | 10,037,576 | 13,292,985 | 2,548,468 | 304,918,023 | 864,074 |
| 49 | FCT GROUP LLC | N | CME | 09/30/2002 | 3,555,768 | 250,000 | 492,405 | 3,063,363 | 7,593,081 | 0 |
| 50 | FIMAT USA INC | Y | CME | 09/30/2002 | 152,637,269 | 40,223,389 | 114,475,710 | 38,161,559 | 2,324,569,143 | 383,825,973 |

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|-----|--|------|------|-------------|-------------------------|--|---|------------------------------|--|--|
| | Futures Commission Merchant | | | | | | | | | |
| 51 | FIRST CAPITOL GROUP LLC | N | NFA | 09/30/2002 | 1,466,112 | 736,131 | 657,885 | 729,981 | 23,749,463 | 0 |
| 52 | FIRST OPTIONS OF CHICAGO INC | Y | CME | 09/27/2002 | 275,796,649 | 8,805,599 | 19,577,747 | 256,218,902 | 485,126,605 | 14,462,952 |
| 53 | FOREX CAPITAL MARKETS LLC | N | NFA | 09/30/2002 | 7,802,890 | 250,000 | 0 | 7,552,890 | 0 | 0 |
| 54 | FORTIS CLEARING CHICAGO LLC | N | CBOT | 09/30/2002 | 5,964,095 | 1,422,735 | 170,577 | 4,541,360 | 36,670,587 | 2,165,800 |
| 55 | FRIEDBERG MERCANTILE GROUP INC | Y | NFA | 09/30/2002 | 1,394,496 | 250,000 | 58,892 | 1,144,496 | 6,133,329 | 0 |
| 56 | FRONTIER FUTURES INC | N | NFA | 09/30/2002 | 973,831 | 376,340 | 390,718 | 583,113 | 13,834,848 | 0 |
| 57 | FUTURES TECH LLC | N | NFA | 09/30/2002 | 409,276 | 250,000 | 0 | 159,276 | 0 | 0 |
| 58 | FX SOLUTIONS LLC | N | NFA | 09/30/2002 | 378,971 | 250,000 | 0 | 128,971 | 0 | 0 |
| 59 | GAIN CAPITAL | N | NFA | 09/30/2002 | 1,808,826 | 250,000 | 0 | 1,558,826 | 0 | 0 |
| 60 | GELBER GROUP LLC | N | CBOT | 09/30/2002 | 10,630,818 | 723,728 | 256,724 | 9,907,090 | 19,334,658 | 104,989 |
| 61 | GFS SECURITIES & FUTURES INC | N | NFA | 09/30/2002 | 366,245 | 250,000 | 0 | 116,245 | 0 | 0 |
| 62 | GILDER GAGNON HOWE AND CO LLC | Y | NFA | 09/30/2002 | 23,203,981 | 250,000 | 0 | 22,953,981 | 0 | 0 |
| 63 | GLOBAL FUTURES & FOREX LTD | N | NFA | 09/30/2002 | 3,066,097 | 250,000 | 0 | 2,816,097 | 0 | 0 |
| 64 | GNI INCORPORATED | N | CBOT | 09/30/2002 | 12,394,297 | 6,290,399 | 5,644,365 | 6,103,898 | 144,398,946 | 14,194,437 |
| 65 | GOLDENBERG HEHMEYER & CO | Y | CBOT | 09/30/2002 | 10,425,943 | 1,565,874 | 1,669,291 | 8,756,652 | 53,697,349 | 3,536,845 |
| 66 | GOLDMAN SACHS & CO | Y | CBOT | 09/27/2002 | 3,254,988,574 | 604,757,408 | 411,203,199 | 2,650,231,166 | 5,456,379,138 | 3,030,159,977 |
| 67 | GREENWICH CAPITAL MARKETS INC | Y | CBOT | 09/30/2002 | 952,907,000 | 21,601,000 | 15,866,800 | 931,306,000 | 176,457,000 | 15,450,000 |
| 68 | HAGERTY GRAIN CO INC | N | CBOT | 09/30/2002 | 1,684,243 | 250,000 | 68,975 | 1,434,243 | 4,610,970 | 0 |
| 69 | HORNBLOWER FISCHER & CO | Y | NFA | 09/30/2002 | 1,933,150 | 508,899 | 359,955 | 1,424,251 | 12,726,189 | 0 |
| 70 | HOTSPOT FX INC | N | NFA | 09/30/2002 | 4,397,519 | 250,000 | 0 | 4,147,519 | 0 | 0 |
| 71 | HSBC SECURITIES USA INC | Y | CME | 09/30/2002 | 192,402,783 | 8,249,330 | 24,500,393 | 167,902,390 | 216,460,477 | 22,191,096 |
| 72 | INTEGRATED BROKERAGE SERVICES INC | N | NFA | 09/30/2002 | 613,790 | 250,000 | 0 | 363,790 | 627,075 | 0 |
| 73 | INTERACTIVE BROKERS LLC | Y | NFA | 09/30/2002 | 81,160,957 | 1,938,489 | 517,688 | 79,222,468 | 32,339,926 | 16,122,288 |
| 74 | IOWA GRAIN CO | N | CBOT | 09/30/2002 | 7,761,654 | 3,783,545 | 3,274,696 | 3,978,109 | 100,805,140 | 32,435 |
| 75 | JP MORGAN FUTURES INC | N | NYME | 09/30/2002 | 428,292,547 | 149,540,939 | 253,692,195 | 174,600,352 | 3,895,720,995 | 433,110,159 |
| 76 | JULIUS BAER SECURITIES INC | Y | NFA | 09/30/2002 | 7,824,276 | 873,914 | 0 | 6,950,362 | 0 | 0 |
| 77 | KOTTKE ASSOCIATES LLC | N | CBOT | 09/30/2002 | 9,553,754 | 384,590 | 166,576 | 9,169,164 | 14,804,974 | 3,597 |
| 78 | LADENBURG THALMANN & CO INC | Y | NFA | 09/30/2002 | 3,533,480 | 1,000,000 | 0 | 2,533,480 | 0 | 0 |
| 79 | LAWRENCE-BONFITTO TRADING COMPANY | N | CBOT | 09/30/2002 | 2,574,869 | 250,000 | 76,623 | 2,324,869 | 4,637,353 | 0 |
| 80 | LBS LIMITED PARTNERSHIP | N | CBOT | 09/30/2002 | 466,891 | 250,000 | 0 | 216,891 | 0 | 0 |
| 81 | LEADER INVESTMENTS INC | N | NFA | 09/30/2002 | 778,496 | 250,000 | 0 | 528,496 | 0 | 0 |
| 82 | LEGG MASON WOOD WALKER INC | Y | NFA | 09/30/2002 | 323,407,132 | 19,469,019 | 0 | 303,938,113 | 0 | 0 |
| 83 | LEHMAN BROTHERS INC | Y | CBOT | 09/30/2002 | 1,674,317,000 | 115,949,000 | 146,500,320 | 1,527,816,680 | 1,521,736,000 | 15,716,000 |
| 84 | LINN GROUP (THE) | N | NFA | 09/30/2002 | 511,007 | 250,000 | 0 | 261,007 | 0 | 0 |
| 85 | LINSCO/PRIVATE LEDGER CORP | Y | NFA | 09/30/2002 | 91,857,132 | 3,518,750 | 0 | 88,338,382 | 0 | 0 |
| 86 | LOEB PARTNERS CORPORATION | Y | NFA | 09/30/2002 | 21,886,339 | 250,000 | 0 | 21,636,339 | 0 | 0 |
| 87 | MAN FINANCIAL INC | Y | CME | 09/30/2002 | 182,267,162 | 96,197,447 | 88,829,607 | 86,069,715 | 2,200,914,598 | 370,404,792 |
| 88 | MARQUETTE ELECTRONIC BROKERAGE LLC | N | NFA | 09/30/2002 | 2,315,396 | 250,000 | 0 | 2,065,396 | 0 | 0 |
| 89 | MAXCOR FINANCIAL INC | Y | NFA | 09/30/2002 | 22,419,898 | 250,000 | 0 | 22,169,898 | 0 | 0 |
| 90 | MBF CLEARING CORP | N | NYME | 09/30/2002 | 6,162,893 | 2,080,811 | 694,414 | 4,082,082 | 52,164,581 | 133,913 |
| 91 | MCVEAN TRADING AND INVESTMENTS LLC | N | NFA | 09/30/2002 | 6,758,923 | 4,141,799 | 1,018,038 | 2,617,124 | 103,862,156 | 0 |
| 92 | MERRILL LYNCH PIERCE FENNER & SMITH | Y | CBOT | 09/27/2002 | 3,148,725,895 | 296,374,485 | 190,610,256 | 2,852,351,410 | 4,318,347,980 | 309,801,581 |
| 93 | MERRILL LYNCH PROFESSIONAL CLEARING CORP | Y | NFA | 09/27/2002 | 1,543,180,537 | 24,759,156 | 31,056,839 | 1,512,123,698 | 710,348,727 | 0 |
| 94 | MID-CO COMMODITIES INC | N | NFA | 09/30/2002 | 3,110,773 | 904,192 | 1,065,981 | 2,044,792 | 23,490,924 | 0 |
| 95 | MIDLAND EURO INC | N | NFA | 09/30/2002 | 290,243 | 250,000 | 0 | 40,243 | 0 | 0 |
| 96 | MITSUI & CO INVESTMENT PRODUTS CORP | N | NFA | 09/30/2002 | 2,626,197 | 250,000 | 2,592 | 2,376,197 | 1,469,895 | 0 |
| 97 | MIZUHO SECURITIES USA INC | Y | CME | 09/30/2002 | 175,718,085 | 16,907,012 | 18,032,687 | 157,685,398 | 368,568,451 | 38,323,544 |
| 98 | MONEY GARDEN CORP | N | NFA | 09/30/2002 | 3,312,043 | 250,000 | 0 | 3,062,043 | 0 | 0 |
| 99 | MORGAN KEEGAN & COMPANY INC | Y | NFA | 09/30/2002 | 143,484,531 | 9,969,108 | 0 | 133,515,423 | 0 | 0 |
| 100 | MORGAN STANLEY & CO INCORPORATED | Y | CME | 09/30/2002 | 5,135,000,057 | 632,076,123 | 181,874,673 | 4,502,923,934 | 2,981,467,810 | 937,733,551 |

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|-----|---------------------------------------|------|------|------------|---------------|----------------------------------|----------------|---------------|---------------|------------------------|
| | Futures Commission Merchant | | | Date | Net Capital | Requirement | Requirement | Net Capital | Seg Required | Amount |
| | | (a) | (b) | | | (4% of Seg, SEC or \$250,000) | Capital (c) | (d) | 4d(2) (e) | Pt. 30 Required (f) |
| 101 | MORGAN STANLEY DW INC | Y | CBOT | 09/30/2002 | 1,224,270,678 | 104,195,457 | 2,344,389 | 1,120,075,221 | 653,786,668 | 1,035,123,411 |
| 102 | NATIONAL COMMODITIES CORPORATION INC | N | NFA | 09/01/2002 | 1,946,216 | 250,000 | 166,541 | 1,696,216 | 15,763,153 | 0 |
| 103 | NEUBERGER BERMAN LLC | Y | NFA | 09/30/2002 | 250,719,159 | 16,265,175 | 0 | 234,453,984 | 16,760,664 | 0 |
| 104 | NEXUS TRADING LLC | N | NFA | 09/30/2002 | 258,989 | 250,000 | 0 | 8,989 | 0 | 0 |
| 105 | NIKKO SECURITIES CO INTERNATIONAL INC | Y | NFA | 09/30/2002 | 8,344,826 | 250,000 | 0 | 8,094,826 | 0 | 0 |
| 106 | NOMURA SECURITIES INTERNATIONAL INC | Y | CBOT | 09/30/2002 | 660,934,840 | 5,971,582 | 709,352 | 654,963,258 | 7,590,906 | 0 |
| 107 | NOYES DAVID A | Y | NFA | 09/30/2002 | 1,602,561 | 250,000 | 0 | 1,352,561 | 0 | 0 |
| 108 | OCONNOR & COMPANY LLC | Y | CBOT | 09/30/2002 | 32,214,226 | 2,279,006 | 2,085,092 | 29,935,220 | 59,121,076 | 0 |
| 109 | PACKERS TRADING CO INC | N | NFA | 09/30/2002 | 3,317,416 | 250,000 | 164,957 | 3,067,416 | 6,248,372 | 0 |
| 110 | PATTERSON CAPITAL MARKETS LTD | N | CBOT | 09/30/2002 | 515,965 | 250,000 | 0 | 265,965 | 0 | 0 |
| 111 | PAX CLEARING CORPORATION | Y | CME | 09/30/2002 | 53,723,213 | 1,388,148 | 1,528,923 | 52,194,290 | 36,591,152 | 0 |
| 112 | PENSON FINANCIAL FUTURES INC | N | NFA | 09/30/2002 | 460,409 | 250,000 | 8,936 | 210,409 | 262,403 | 0 |
| 113 | PEREGRINE FINANCIAL GROUP INC | N | NFA | 09/30/2002 | 11,341,841 | 3,571,971 | 1,772,886 | 7,769,870 | 93,299,803 | 1,330,875 |
| 114 | PIONEER CAPITAL CORP | Y | NFA | 09/30/2002 | 3,976,999 | 250,000 | 0 | 3,726,999 | 0 | 0 |
| 115 | PIONEER FUTURES INC | N | NYME | 09/30/2002 | 5,503,530 | 2,630,526 | 1,236,223 | 2,873,004 | 73,050,607 | 503,366 |
| 116 | PREFERRED TRADE INC | Y | NFA | 09/30/2002 | 10,047,561 | 613,136 | 0 | 9,434,425 | 0 | 0 |
| 117 | PRUDENTIAL SECURITIES INCORPORATED | Y | CBOT | 09/27/2002 | 565,890,000 | 71,166,200 | 47,410,200 | 494,723,800 | 955,387,000 | 71,298,000 |
| 118 | RAND FINANCIAL SERVICES INC | N | CME | 09/30/2002 | 12,690,100 | 5,838,352 | 9,792,540 | 2,897,560 | 137,888,300 | 24,472,500 |
| 119 | RAYMOND JAMES & ASSOCIATES INC | Y | NFA | 09/27/2002 | 316,334,174 | 20,158,778 | 14,430 | 296,175,396 | 0 | 0 |
| 120 | RB&H FINANCIAL SERVICES LP | N | CME | 09/30/2002 | 2,978,957 | 1,865,400 | 986,486 | 1,113,557 | 49,436,198 | 186,885 |
| 121 | RBC DAIN RAUSCHER INC | Y | NFA | 09/30/2002 | 245,472,439 | 26,971,278 | 0 | 218,501,161 | 0 | 0 |
| 122 | RBC DOMINION SECURITIES CORPORATION | Y | CME | 09/30/2002 | 130,022,516 | 1,000,000 | 1,225,500 | 128,797,016 | 0 | 0 |
| 123 | REFCO LLC | N | CME | 09/30/2002 | 162,241,438 | 103,028,364 | 100,363,442 | 59,213,074 | 2,936,399,184 | 64,958,990 |
| 124 | RJ OBRIEN ASSOCIATES INC | N | CME | 09/30/2002 | 31,817,609 | 14,635,293 | 16,122,156 | 15,695,453 | 390,570,174 | 7,653,068 |
| 125 | ROBBINS FUTURES INC | N | NFA | 09/30/2002 | 434,008 | 264,608 | 73,512 | 169,400 | 6,770,991 | 0 |
| 126 | ROBERTSON STEPHENS INC | Y | NFA | 09/30/2002 | 185,639,762 | 1,000,000 | 0 | 184,639,762 | 0 | 0 |
| 127 | ROSENTHAL COLLINS GROUP LLC | N | CME | 09/30/2002 | 50,097,582 | 10,407,253 | 7,330,313 | 39,690,329 | 278,400,109 | 810,160 |
| 128 | ROSENTHAL GLOBAL SECURITIES LLC | Y | CBOT | 09/30/2002 | 10,691,654 | 1,006,525 | 0 | 9,685,129 | 0 | 0 |
| 129 | ROTHSCHILD INC | N | NYME | 09/30/2002 | 30,612,106 | 250,000 | 0 | 30,362,106 | 0 | 0 |
| 130 | SALOMON SMITH BARNEY INC | Y | CBOT | 09/30/2002 | 3,296,452,027 | 379,147,704 | 172,523,143 | 2,917,304,323 | 4,720,342,549 | 110,242,194 |
| 131 | SANFORD C BERNSTEIN & CO LLC | Y | NFA | 09/30/2002 | 149,294,680 | 9,150,588 | 0 | 140,144,092 | 0 | 0 |
| 132 | SENTINEL MANAGEMENT GROUP INC | N | NFA | 09/30/2002 | 1,008,284 | 250,000 | 0 | 758,284 | 384,839,328 | 0 |
| 133 | SG COWEN SECURITIES CORPORATION | Y | NFA | 09/30/2002 | 807,915,362 | 1,500,000 | 0 | 806,415,362 | 0 | 0 |
| 134 | SHATKIN ARBOR KARLOV & CO | N | CBOT | 09/30/2002 | 6,383,449 | 363,606 | 95,135 | 6,019,843 | 9,635,272 | 142,318 |
| 135 | SHAY GRAIN CLEARING COMPANY | N | KCBT | 09/30/2002 | 792,447 | 250,000 | 25,454 | 542,447 | 2,900,780 | 0 |
| 136 | SHEPARD INTERNATIONAL INC | N | NFA | 09/30/2002 | 2,186,841 | 250,000 | 0 | 1,936,841 | 0 | 0 |
| 137 | SHERWOOD FUTURES GROUP LLC | N | NFA | 09/30/2002 | 1,055,755 | 250,000 | 0 | 805,755 | 14,375,579 | 0 |
| 138 | SIEGEL TRADING CO INC THE | N | NFA | 09/30/2002 | 460,561 | 250,000 | 0 | 210,561 | 1,369,174 | 0 |
| 139 | SMW TRADING COMPANY INC | N | CME | 09/30/2002 | 6,517,943 | 509,444 | 2,287,880 | 4,230,063 | 12,736,096 | 0 |
| 140 | SPEAR LEEDS & KELLOG | Y | NYME | 09/27/2002 | 1,259,646,098 | 31,818,675 | 3,512,876 | 1,227,827,423 | 201,249,320 | 108,198 |
| 141 | STAFF USA INC | N | NFA | 09/30/2002 | 339,378 | 250,000 | 0 | 89,378 | 0 | 0 |
| 142 | STEPHENS INC | Y | NFA | 09/27/2002 | 64,783,214 | 9,700,985 | 0 | 55,082,229 | 0 | 0 |
| 143 | STERLING COMMODITIES CORP | N | NYME | 09/30/2002 | 5,510,486 | 777,896 | 300,632 | 4,732,590 | 19,597,232 | 609,071 |
| 144 | SWISS AMERICAN SECURITIES INC | Y | NFA | 09/30/2002 | 74,204,751 | 4,922,895 | 0 | 69,281,856 | 0 | 0 |
| 145 | TCA FUTURES LLC | N | NFA | 09/30/2002 | 411,545 | 250,000 | 0 | 161,545 | 0 | 0 |
| 146 | TENCO INC | N | CBOT | 09/30/2002 | 26,657,604 | 1,876,504 | 2,061,469 | 24,596,135 | 57,894,653 | 0 |
| 147 | TIMBER HILL LLC | Y | CME | 09/30/2002 | 351,110,880 | 427,863 | 274,062 | 350,683,017 | 10,996,704 | 0 |
| 148 | TOKYO GENERAL USA INC | N | NFA | 09/30/2002 | 497,956 | 250,000 | 4,557 | 247,956 | 1,442,435 | 0 |
| 149 | TOKYO-MITSUBISHI FUTURES USA INC | N | CME | 09/30/2002 | 18,317,580 | 250,000 | 4,239,083 | 14,078,497 | 5,275,773 | 23,424 |
| 150 | TRADELINK LLC | Y | CBOT | 09/30/2002 | 23,354,287 | 250,000 | 735,779 | 22,618,508 | 0 | 0 |

SELECTED FCM FINANCIAL DATA
FROM REPORTS FILED BY
October 31, 2002

| | B/D? | DSRO | A/O Date | Adjusted Net Capital | Net Capital Requirement (4% of Seg, SEC or \$250,000) | Risk Based Requirement Capital (c) | Excess Net Capital (d) | Customers' Seg Required 4d(2) (e) | Customer Amount Pt. 30 Required (f) |
|--|------|--|-------------|-------------------------|--|---|------------------------------|--|--|
| Futures Commission Merchant | | | | | | | | | |
| 151 | Y | CBOT | 09/30/2002 | 7,176,783 | 1,431,590 | 0 | 5,745,193 | 0 | 0 |
| 152 | N | NYME | 09/30/2002 | 19,309,266 | 731,049 | 534,547 | 18,578,217 | 18,331,767 | 0 |
| 153 | Y | CBOT | 09/30/2002 | 1,218,652,170 | 195,241,308 | 16,068,027 | 1,023,410,862 | 730,168,389 | 77,062,674 |
| 154 | Y | CBOT | 09/30/2002 | 1,768,781,233 | 134,205,885 | 170,632,145 | 1,598,149,088 | 2,805,408,997 | 549,738,125 |
| 155 | N | CME | 09/30/2002 | 15,644,268 | 250,000 | 723,987 | 14,920,281 | 0 | 0 |
| 156 | N | NFA | 09/30/2002 | 677,227 | 250,000 | 108,263 | 427,227 | 3,653,569 | 0 |
| 157 | Y | NFA | 09/30/2002 | 271,459,685 | 9,837,323 | 0 | 261,622,362 | 0 | 0 |
| 158 | Y | NFA | 09/30/2002 | 392,059 | 250,000 | 0 | 142,059 | 0 | 0 |
| 159 | N | NFA | 09/30/2002 | 412,079 | 250,000 | 0 | 162,079 | 0 | 0 |
| 160 | N | NFA | 09/30/2002 | 14,890,102 | 5,749,930 | 3,409,005 | 9,140,172 | 149,725,010 | 28,374 |
| 161 | Y | CME | 09/30/2002 | 512,679,976 | 1,427,624 | 0 | 511,252,352 | 0 | 0 |
| 162 | N | NFA | 09/30/2002 | 389,113 | 250,000 | 0 | 139,113 | 0 | 0 |
| 163 | Y | NFA | 09/27/2002 | 73,018,804 | 3,404,947 | 0 | 69,613,857 | 0 | 0 |
| 164 | N | NFA | 09/30/2002 | 1,633,765 | 250,000 | 0 | 1,383,765 | 0 | 0 |
| 165 | N | NFA | 09/30/2002 | 1,664,957 | 250,000 | 0 | 1,414,957 | 0 | 0 |
| 166 | N | NFA | 09/30/2002 | 1,759,918 | 250,000 | 0 | 1,509,918 | 88,929 | 0 |
| Totals | | | | 46,520,864,204 | | | | 54,695,375,440 | 9,625,807,293 |
| Name Changes from September 2002 Update | | | | | | | | | |
| QTECH DERIVATIVES INC to COES FX CLEARING INC | | | | | | | | | |
| Reconciliation from September Web Page Update | | | | | | | | | |
| September Web Page Update | | 169 | | | | | | | |
| Additions | | | | | | | | | |
| 1. LEADER INVESTMENTS INC | | 1 | | | | | | | |
| Deletions | | | | | | | | | |
| 1. BAXTER FINACIAL SERVICES LTD | | 4 | | | | | | | |
| 2. MACQUARIE FUTURES INC | | | | | | | | | |
| 3. SAVANT USA LIMITED | | | | | | | | | |
| 4. BLAYLOCK AND PARTNERS LP | | | | | | | | | |
| October Web Page Update | | 166 | | | | | | | |
| (a): B/D? : A 'Y' means the FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer. | | (d): Excess net capital is adjusted net capital, less the greater of the net capital requirement or risk-based requirement. | | | (f): This represents the amount of funds an FCM is required to set aside for customers who trade on commodity exchanges located outside of the United States. The amount to be set aside for a customer's foreign commodity account may be less than the net liquidating equity in the customer's account. | | | | |
| (b): DSRO: Designated Self-Regulatory Organization. | | | | | | | | | |
| (c): Risk-based net capital requirement is the sum total of 8% of customer, and 4% of non-customer risk margin for domestic and foreign future accounts (excluding proprietary accounts). The risk based minimum requirement | | (e): This represents the total amount of funds that an FCM is required to segregate on behalf of customers who are trading on commodity exchanges located in the United States. This is the sum of all accounts that contain | | | Note: Any errors in this table should be brought to the attention of the CFTC's Division of Clearing and Intermediary Oversight via e-mail: fzimmerle@cftc.gov or sgreska@cftc.gov. | | | | |

