

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U
		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	Total Amount of Retail Forex Obligation
		(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	(n)	(o)	(p)	(q)	
1																					
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6	1	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	1/31/2014	476,822,434	146,225,899	330,596,535	2,693,289,504	2,455,837,724	237,451,780	118,759,392	167,420,797	125,036,174	42,384,623	18,755,426	0	0	0	0	0
7	2	ADM INVESTOR SERVICES INC	FCM	CBOT	1/31/2014	275,831,889	162,875,487	112,956,402	3,208,390,803	2,969,910,209	238,480,594	120,000,000	236,470,732	173,054,136	63,416,596	20,000,000	16,021,821	6,862,983	9,158,838	8,000,000	0
8	3	ADVANTAGE FUTURES LLC	FCM	CME	1/31/2014	22,432,385	13,957,217	8,475,168	445,836,171	441,284,525	4,551,646	3,500,000	39,778,044	37,416,149	2,361,895	1,000,000	0	0	0	0	0
9	4	ALPARI (US) LLC	FCMRFD	NFA	1/31/2014	4,025,726	1,000,000	3,025,726	2,766,866	300,365	2,466,501	375,456	2,125,230	286,201	1,839,029	357,751	0	0	0	0	33,978
10	5	AMERIPRISE FINANCIAL SERVICES INC	FCM BD	NFA	1/31/2014	127,192,093	1,000,000	126,192,093	0	0	0	0	0	0	0	0	0	0	0	0	0
11	6	AMP GLOBAL CLEARING LLC	FCM	NFA	1/31/2014	2,524,134	1,500,000	1,024,134	52,031,267	50,512,502	1,518,765	900,000	605,892	380,528	225,364	150,000	0	0	0	0	0
12	7	BARCLAYS CAPITAL INC	FCM BD	NYME	1/31/2014	5,950,283,579	1,374,653,986	4,575,629,593	6,637,848,810	6,316,079,645	321,769,165	126,321,593	4,044,994,997	3,865,856,386	179,138,611	115,975,693	5,600,821,377	4,658,649,416	942,171,961	512,451,436	0
13	8	BGC FINANCIAL LP	FCM BD	NFA	1/31/2014	59,694,359	1,980,870	57,713,489	0	0	0	0	0	0	0	0	0	0	0	0	0
14	9	BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME	1/31/2014	3,309,040,859	224,139,899	3,084,900,960	2,829,557,731	2,518,168,696	311,389,035	251,816,870	19,041,029	2,056,633	16,984,396	10,000,000	5,100,000	0	5,100,000	5,000,000	0
15	10	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	1/31/2014	1,698,564,044	210,297,942	1,488,266,102	1,206,858,949	989,778,371	217,080,578	197,955,674	33,068,740	12,235,573	20,833,167	1,223,557	224,908,379	164,545,657	60,362,722	16,454,566	0
16	11	BNY MELLON CLEARING LLC	FCM	CME	1/31/2014	283,101,473	20,000,000	263,101,473	212,748,180	116,832,549	95,915,631	50,000,000	24,261,578	4,663,374	19,598,204	5,000,000	142,042,865	53,569,970	88,472,895	5,000,000	0
17	12	BOCI COMMODITIES & FUTURES USA LLC	FCM	NFA	1/31/2014	4,179,949	1,000,000	3,179,949	0	0	0	0	0	0	0	0	0	0	0	0	0
18	13	CANTOR FITZGERALD & CO	FCM BD	CBOT	1/31/2014	181,454,514	8,637,754	172,816,760	4,969,921	0	4,969,921	3,000,000	0	0	0	0	0	0	0	0	0
19	14	CAPITAL MARKET SERVICES LLC	FCM	NFA	1/31/2014	1,403,730	1,000,000	403,730	0	0	0	0	0	0	0	0	0	0	0	0	0
20	15	CHS HEDGING INC	FCM	CBOT	1/31/2014	23,458,343	12,392,070	11,066,273	150,855,153	127,268,302	23,586,851	13,100,000	964,027	243,654	720,373	235,000	1,401,715	811,570	590,145	310,000	0
21	16	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	1/31/2014	5,635,349,692	894,739,493	4,740,610,199	5,335,258,721	5,011,879,696	323,379,025	254,000,000	1,045,492,056	818,955,313	226,536,743	180,000,000	4,602,878,403	4,225,800,358	377,078,045	270,690,000	0
22	17	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	1/31/2014	7,169,226,226	2,137,494,858	5,031,731,368	8,691,859,784	6,961,323,157	1,730,536,627	348,066,158	3,512,969,097	2,700,966,471	812,002,626	135,048,324	4,912,339,153	3,590,374,774	1,321,964,379	179,518,739	0
23	18	CROSSLAND LLC	FCM	CBOT	1/31/2014	9,995,347	1,393,892	8,601,455	77,057,852	75,036,678	2,021,174	1,000,000	6,752,874	5,893,408	859,466	500,000	0	0	0	0	0
24	19	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	1/31/2014	3,661,353	1,657,333	2,004,020	71,434,072	70,310,884	1,123,188	600,000	538,892	348,752	190,140	100,000	0	0	0	0	0
25	20	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	1/31/2014	485,303,655	9,133,306	476,170,349	9,500,491	4,019,049	5,481,442	4,019,049	623,911	0	0	1	0	0	0	0	0
26	21	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	1/31/2014	8,400,686,241	682,691,120	7,717,995,121	13,159,725,124	12,584,237,069	575,488,055	500,000,000	1,165,319,603	874,400,228	290,919,375	200,000,000	1,588,508,719	1,234,712,249	353,796,470	250,000,000	0
27	22	DORMAN TRADING LLC	FCM	CME	1/31/2014	11,415,906	1,756,209	9,659,697	142,756,918	140,206,778	2,549,140	2,000,000	3,540,915	453,727	0	0	0	0	0	0	0
28	23	E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	1/31/2014	32,232,662	9,915,245	22,317,417	274,548,750	260,982,203	13,566,547	2,000,000	14,762,818	13,301,950	1,460,868	665,098	0	0	0	0	0
29	24	E TRADE CLEARING LLC	FCM BD	NFA	1/31/2014	714,712,754	158,306,506	556,406,248	47,663,235	36,345,637	11,317,598	10,000,000	1,747,540	742,605	1,004,935	1,000,000	0	0	0	0	0
30	25	EFL FUTURES LIMITED	FCM	CME	1/31/2014	37,736,368	17,695,252	20,041,116	239,666,543	226,734,772	12,931,771	5,000,000	0	0	0	0	0	0	0	0	0
31	26	FCSTONE LLC	FCM	CME	1/31/2014	102,323,777	71,192,716	31,131,061	1,667,364,337	1,644,469,839	22,894,498	20,000,000	61,963,501	45,176,953	16,786,548	14,000,000	0	0	0	0	0
32	27	FIXI AMERICAS LLC	FCM	NFA	1/31/2014	1,512,046	1,000,000	512,046	0	0	0	0	0	0	0	0	0	0	0	0	0
33	28	FOREX CAPITAL MARKETS LLC	FCMRFD SD	NFA	1/31/2014	63,225,214	27,616,705	35,608,509	0	0	0	0	0	0	0	0	0	0	0	0	162,334,107
34	29	FRIEDBERG MERCANTILE GROUP INC	FCM	NFA	1/31/2014	3,180,525	1,000,000	2,180,525	4,934,841	3,879,914	1,054,927	1,000,000	1,210,096	190,663	1,019,433	1,000,000	0	0	0	0	0
35	30	FRONTIER FUTURES INC	FCM	NFA	1/31/2014	1,851,640	1,000,000	851,640	25,122,728	24,170,818	951,910	262,777	0	0	0	0	0	0	0	0	0
36	31	FXDIRECTDEALER LLC	FCMRFD SD	NFA	1/31/2014	23,008,909	20,909,342	2,099,567	0	0	0	0	0	0	0	0	0	0	0	0	28,186,833
37	32	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	1/31/2014	36,882,661	24,686,748	12,195,913	149,494,365	142,780,511	6,713,854	2,500,000	5,064,978	3,888,616	1,176,362	312,500	0	0	0	0	103,734,955
38	33	GH FINANCIALS LLC	FCM	CME	1/31/2014	9,822,642	1,000,000	8,822,642	8,097,852	6,776,213	1,321,639	250,000	749,241	498,886	250,355	75,000	0	0	0	0	0
39	34	GLOBAL FUTURES & FOREX LTD	FCMRFD SD	NFA	1/31/2014	9,421,424	1,000,000	8,421,424	0	0	0	0	0	0	0	0	0	0	0	0	0
40	35	GOLDMAN SACHS & CO	FCM BD SD	CBOT/NFA	1/31/2014	16,819,306,945	2,099,575,879	14,719,731,066	20,795,730,282	20,239,753,880	555,976,402	475,000,000	8,536,551,150	7,701,792,500	834,758,650	475,000,000	2,757,334,660	2,439,108,966	318,225,694	125,000,000	0
41	36	GOLDMAN SACHS EXECUTION & CLEARING LP	FCM BD	CME	1/31/2014	1,586,260,594	152,284,240	1,433,976,354	1,406,016,987	829,641,487	576,375,500	540,000,000	70,317,273	24,232,095	46,085,178	40,000,000	0	0	0	0	0
42	37	GUGGENHEIM SECURITIES LLC	FCM BD	NFA	1/31/2014	91,794,917	1,340,707	90,454,210	0	0	0	0	0	0	0	0	0	0	0	0	0
43	38	HSBC SECURITIES USA INC	FCM BD	CME	1/31/2014	1,048,002,955	133,733,277	914,269,678	1,036,486,351	948,878,264	87,608,087	47,443,913	132,722,875	87,359,066	45,363,809	17,471,813	191,601,400	135,409,445	56,191,955	25,000,000	0
44	39	IBFX INC	RFED SD	NFA	1/31/2014	29,978,808	23,008,483	6,970,325	0	0	0	0	0	0	0	0	0	0	0	0	67,159,507
45	40	INSTINET LLC	FCM BD	NFA	1/31/2014	105,557,440	3,022,464	102,534,976	0	0	0	0	0	0	0	0	0	0	0	0	0
46	41	INSTITUTIONAL LIQUIDITY LLC	FCMRFD	NFA	1/31/2014	33,354,167	20,119,349	13,234,818	57,405,154	56,147,436	1,257,718	500,000	707,880	255,824	452,056	250,000	0	0	0	0	0
47	42	INTERACTIVE BROKERS LLC	FCM BD	NFA	1/31/2014	2,129,199,113	311,763,509	1,817,435,604	2,199,406,050	1,978,406,671	220,999,379	200,000,000	382,672,882	275,865,044	108,807,838	100,000,000	0	0	0	0	37,088,359
48	43	IRONBEAM INC	FCM	NFA	1/31/2014	2,347,685	1,000,000	1,347,685	37,016,807	35,660,624	1,356,183	800,000	111,539	4,037	107,502	50,000	0	0	0	0	0
49	44	ITG DERIVATIVES LLC	FCM BD	NFA	1/31/2014	5,566,862	1,000,000	4,566,862	0	0	0	0	0	0	0	0	0	0	0	0	0
50	45	JEFFERIES BACHE LLC	FCM	CBOT	1/31/2014	183,507,000	117,830,000	65,677,000	2,166,586,000	2,065,352,000	101,234,000	90,000,000	222,237,000	127,070,000	95,167,000	50,000,000	62,577,000	40,986,000	21,591,000	5,000,000	0
51	46	JP MORGAN CLEARING CORP	FCM BD	NFA	1/31/2014	6,903,337,905	1,915,131,437	4,988,206,468	1,045,015,603	747,688,848	297,326,755	67,291,996	651,245,330	443,							

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U
		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	Total Amount of Retail Forex Obligation
		(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	(n)	(o)	(p)	(q)	
95	90	WHITE COMMERCIAL CORPORATION	FCM	NFA	1/31/2014	2,305,820	1,000,000	1,305,820	0	0	0	0	0	0	0	0	0	0	0	0	0
96	91	WHOTRADES FX LLC	FCM	NFA	1/31/2014	2,249,478	1,000,000	1,249,478	0	0	0	0	0	0	0	0	0	0	0	0	0
97	92	XCHANGE FINANCIAL ACCESS LLC	FCM BD	NFA	1/31/2014	6,139,394	1,000,000	5,139,394	26,424,774	24,335,241	2,089,533	1,000,000	0	0	0	0	0	0	0	0	0
98	93	YORK BUSINESS ASSOCIATES LLC	FCM	NFA	1/31/2014	4,887,387	1,000,000	3,887,387	51,013,760	48,062,695	2,951,065	700,000	2,150,369	1,816,032	334,337	200,000	0	0	0	0	0
101		Totals							160,563,114,559	148,925,764,722	11,637,349,837	7,837,103,531	38,665,707,226	33,240,686,977	5,425,020,249	3,036,862,446	30,693,480,968	25,539,276,630	5,154,204,338	2,347,673,898	605,138,474
103		December Web Page Update	94																		
105		Additions	0																		
106		None																			
108		Deletions	1																		
109		GFI SECURITIES LLC																			
111		Name Changes																			
112		None																			
114		January Web Page Update	93																		
116		(a): FCM: Futures Commission Merchant that is registered with the Commodity Futures Trading Commission.																			
117		BD: The FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer.																			
118		RFED: Retail Foreign Exchange Dealer that is registered with the Commodity Futures Trading Commission.																			
119		FCMRFD: The FCM is also registered with the Commodity Futures Trading Commission as a Retail Foreign Exchange Dealer.																			
120		SD: The FCM or RFED is also registered with the Commodity Futures Trading Commission as a provisionally registered swap dealer.																			
122		(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.																			
124		(c): A firm's net capital requirement is the greater of:																			
125		• FCM minimum dollar amount (\$1,000,000); or																			
126		• risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk maintenance margin; or																			
127		• the amount of capital required by a registered futures association (currently NFA is the only such association); or																			
128		• for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; or																			
129		• minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000); or																			
130		• 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.																			
133		(d): Excess net capital is adjusted net capital, less the firm's net capital requirement.																			
135		(e): This represents the total amount of money, securities, and property held in segregated accounts for futures and options customers in compliance with Section 4d of the Commodity Exchange Act.																			
137		(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.																			
139		(g): Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.																			
141		(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.																			
143		(i): This represents the total amount of money, securities, and property held in secured accounts for futures and options customers who trade on commodity exchanges located outside the United States in compliance with Part 30 of the Commodity Exchange Act.																			
145		(j): 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.																			
147		(k): Excess/Deficient funds in separate Section 30.7 accounts is funds in separate Section 30.7 accounts, less the customer amount Part 30 requirement.																			
149		(l): 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.																			
151		(m): This represents the total amount of money, securities, and property held in cleared swap customer accounts for cleared swap customers in compliance with Section 4d(f) of the Commodity Exchange Act.																			
153		(n): This represents the amount of funds an FCM is required to segregate for customers who trade cleared swaps.																			
155		(o): Excess/Deficient funds in cleared swap customer accounts is funds in separate cleared swap segregation accounts, less the cleared swap customer segregation requirement.																			
157		(p): This represents the targeted excess of proprietary funds deposited into separate cleared swap segregation accounts above the cleared swap customer segregation requirement. This target amount is set by the firm.																			
159		(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.																			