

SELECTED FCM FINANCIAL DATA AS OF
 October 31, 2013
 FROM REPORTS FILED BY
 December 4, 2013

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	
1			Reg As	DSRO	A/O	Adjusted	Net Capital	Excess	Customers'	Customers'	Excess/Deficient	Funds in Separate	Customer	Excess/Deficient	Total Amount	
2		Futures Commission Merchant / Retail Foreign Exchange Dealer			Date	Net Capital	Requirement	Net Capital	Assets	Seg Required	Funds in Seg	Section 30.7	Amount Pt. 30	Funds in Separate	of Retail Forex	
3								in Seg	4d(a)(2)		Accounts	Required	Section 30.7	Accounts	Obligation	
4																
5				(a)	(b)		(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	
6																
122																
123		(a): FCM: Futures Commission Merchant that is registered with the Commodity Futures Trading Commission;														
124		BD: The FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer;														
125		RFED: Retail Foreign Exchange Dealer that is registered with the Commodity Futures Trading Commission;														
126		FCMRFD: The FCM is also registered with the Commodity Futures Trading Commission as a Retail Foreign Exchange Dealer;														
127																
128		(b): DSRO: Designated Self-Regulatory Organization.														
129																
130		(c): A firm's net capital requirement is the greater of:														
131																
132		• FCM minimum dollar amount (\$1,000,000); or														
133		• risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk maintenance margin; or														
134		• the amount of capital required by a registered futures association (currently NFA is the only such association); or														
135		• for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; or														
136		• minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000); or														
137		• 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.														
138																
139		(d): Excess net capital is adjusted net capital, less the firm's net capital requirement.														
140																
141		(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.														
142																
143		(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.														
144																
145		(g): Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.														
146																
147		(h): 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.														
148																
149		(i): 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.														
150																
151		(j): Excess/Deficient funds in separate Section 30.7 accounts is funds in separate Section 30.7 accounts, less the customer amount Part 30 requirement.														
152																
153		(k): 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.														