

SELECTED FCM FINANCIAL DATA AS OF
 May 31, 2019
 FROM REPORTS FILED BY
 June 25, 2019

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(1)(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 ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	05/31/2019	633,530,641	179,109,735	454,420,906	2,843,696,573	2,441,860,707	401,835,866	195,708,789	143,046,222	118,111,124	24,935,098	11,811,112	0	0	0	0	0
2 ADM INVESTOR SERVICES INC	FCM	CBOT	05/31/2019	335,356,105	177,932,729	157,423,376	4,624,023,337	4,404,652,136	219,371,201	120,000,000	310,981,343	263,512,424	47,468,919	20,000,000	13,147,072	3,759,786	9,387,286	8,000,000	0
3 ADVANTAGE FUTURES LLC	FCM	CME	05/31/2019	20,920,102	6,548,087	14,372,015	281,700,380	258,629,227	23,071,153	14,500,000	44,418,327	41,410,616	3,007,711	1,000,000	0	0	0	0	0
4 AMP GLOBAL CLEARING LLC	FCM	NFA	05/31/2019	4,802,286	1,000,000	3,802,286	48,720,337	48,720,337	5,096,694	900,000	2,190,238	1,847,683	342,555	150,000	0	0	0	0	0
5 APEX CLEARING CORPORATION	FCM BD	NFA	05/31/2019	130,710,392	12,007,285	118,703,107	33,817,774	21,232,013	12,585,761	6,000,000	0	0	0	0	0	0	0	0	0
6 BAKKT CLEARING LLC	FCM	NFA	05/31/2019	5,542,215	1,000,000	4,542,215	0	0	0	0	0	0	0	0	0	0	0	0	0
7 BARCLAYS CAPITAL INC	FCM BD	NYME	05/31/2019	5,433,454,656	1,110,405,098	4,323,049,558	4,952,929,781	4,480,477,034	472,452,747	250,010,618	3,462,914,380	3,262,511,455	200,402,925	108,967,883	6,660,689,505	6,263,905,510	396,783,995	243,665,924	0
8 BGC FINANCIAL LP	FCM BD	NFA	05/31/2019	24,747,732	1,830,020	22,917,712	0	0	0	0	0	0	0	0	0	0	0	0	0
9 BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	05/31/2019	2,188,892,426	364,139,962	1,824,752,464	2,533,901,116	2,351,741,814	182,159,302	150,000,000	249,509,782	173,922,429	75,587,353	30,000,000	1,060,858,650	910,374,232	150,484,418	120,000,000	0
10 BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	05/31/2019	6,296,216	1,000,000	5,296,216	8,106,799	4,755,970	3,350,829	1,000,000	6	0	6	1	0	0	0	1	0
11 BOFA SECURITIES INC	FCM BD	CBOT	05/31/2019	10,192,169,386	2,180,825,808	8,011,343,578	16,195,406,686	15,710,696,535	484,710,151	200,000,000	4,249,322,516	3,993,366,053	255,956,463	150,000,000	7,390,249,908	7,027,695,108	362,554,800	150,000,000	0
12 CANTOR FITZGERALD & CO	FCM BD	CBOT	05/31/2019	255,115,083	2,819,991	252,295,092	4,969,921	4,969,921	3,000,000	0	0	0	0	0	0	0	0	0	0
13 CHARLES SCHWAB FUTURES, INC.	FCM	NFA	05/31/2019	68,337,166	5,134,264	63,202,902	137,739,872	74,418,891	63,320,981	12,651,211	50,000	0	50,000	1	0	0	0	0	0
14 CHS HEDGING LLC	FCM	CBOT	05/31/2019	54,614,703	9,885,988	44,728,715	203,139,066	150,837,543	52,301,523	13,600,000	1,529,386	0	1,529,386	200,000	503,912	0	503,912	120,000	0
15 CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	05/31/2019	10,041,458,229	2,744,163,705	7,297,294,524	10,357,943,014	9,720,912,163	637,030,851	397,200,000	2,767,446,525	2,547,172,473	220,274,052	150,000,000	26,703,182,868	25,590,620,129	1,112,562,739	436,400,000	0
16 CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	05/31/2019	8,931,986,154	1,378,292,357	7,553,693,797	5,275,453,407	4,946,377,910	329,075,497	247,318,895	4,592,307,884	3,961,042,746	631,265,138	198,052,137	11,146,476,338	9,730,783,073	1,415,693,265	486,539,154	0
17 CUNNINGHAM COMMODITIES LLC	FCM	CBOT	05/31/2019	5,587,071	1,453,575	4,133,496	80,076,298	76,431,053	3,645,245	3,050,000	2,889,139	2,346,369	542,770	100,000	0	0	0	0	0
18 DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	05/31/2019	990,165,055	1,672,695	988,492,360	2,173,081	2,173,081	0	1	557,198	0	557,198	1	0	0	0	0	0
19 DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	05/31/2019	13,769,941,651	212,371,761	13,557,569,890	2,089,864,153	1,888,081,586	201,782,567	125,000,000	724,674,550	595,118,950	129,555,600	75,000,000	0	0	0	0	0
20 DIRECT ACCESS USA LLC	FCM	CME	05/31/2019	8,245,286	1,000,000	7,245,286	29,472,925	23,163,194	6,309,731	2,500,000	0	0	0	0	0	0	0	0	0
21 DORMAN TRADING LLC	FCM	CME	05/31/2019	14,310,456	1,475,478	12,834,978	163,162,579	157,923,834	5,238,745	2,000,000	7,335,216	6,632,449	702,767	200,000	0	0	0	0	0
22 E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	05/31/2019	176,477,326	64,193,863	112,283,463	1,494,136,598	1,411,296,893	82,839,705	44,250,000	60,717,573	51,158,423	9,559,150	5,000,000	2,000,931	776,890	1,224,041	500,000	0
23 E*TRADE FUTURES LLC	FCM	NFA	05/31/2019	26,469,742	2,255,050	24,214,692	75,738,655	50,235,445	25,503,210	5,000,000	0	0	0	0	0	0	0	0	0
24 GAIN CAPITAL GROUP LLC	FCM/RFD	NFA	05/31/2019	53,231,406	32,861,746	20,369,660	227,255,809	208,831,963	18,423,846	10,000,000	4,694,140	2,289,633	2,404,507	1,000,000	0	0	0	0	246,249,535
25 GH FINANCIALS LLC	FCM	CME	05/31/2019	21,017,318	5,166,489	15,850,829	98,931,841	81,034,888	17,896,953	3,100,000	8,023,580	6,903,716	1,119,864	300,000	0	0	0	0	0
26 GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	05/31/2019	18,298,301,734	2,396,092,234	15,902,209,500	19,473,989,089	18,614,206,051	859,783,038	675,000,000	9,125,574,270	8,552,360,865	573,213,405	475,000,000	6,897,785,650	6,443,831,176	453,954,474	350,000,000	0
27 HSBC SECURITIES USA INC	FCM BD	CME	05/31/2019	947,728,448	241,774,640	705,953,808	1,997,924,167	1,783,008,934	214,915,233	100,000,000	160,113,974	123,476,871	36,637,103	25,000,000	1,030,820,908	849,716,287	181,104,621	113,000,000	0
28 HUATAI FINANCIAL USA INC	FCM	NFA	05/31/2019	4,983,863	1,000,000	3,983,863	1,566,297	91,161	1,475,136	600,000	348,205	22,791	325,414	150,000	0	0	0	0	0
29 INTERACTIVE BROKERS LLC	FCM BD	CME	05/31/2019	5,201,455,429	431,460,241	4,769,995,188	4,035,750,694	3,830,776,874	204,973,820	155,000,000	568,831,794	448,322,722	120,509,072	80,000,000	0	0	0	0	95,698,143
30 INTL FCSTONE FINANCIAL INC	FCM BD	CME	05/31/2019	171,851,037	97,773,417	74,077,620	2,436,688,358	2,376,609,517	60,078,841	40,000,000	142,349,873	126,539,144	15,810,729	8,000,000	0	0	0	0	0
31 IRONBEAM INC	FCM	NFA	05/31/2019	5,343,870	1,000,000	4,343,870	61,159,559	56,305,950	4,853,609	1,600,000	0	0	0	50,000	0	0	0	0	0
32 JEFFERIES LLC	FCM BD	NFA	05/31/2019	1,395,871,324	105,813,759	1,290,057,565	0	0	0	0	0	0	0	0	0	0	0	0	0
33 JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	05/31/2019	20,257,281,835	3,209,845,861	17,047,435,974	21,820,451,755	20,557,133,723	1,263,318,032	1,027,856,686	4,713,630,360	4,328,341,832	385,288,528	259,700,510	14,177,129,131	13,325,417,949	851,711,182	699,584,442	0
34 MACQUARIE FUTURES USA LLC	FCM	CBOT	05/31/2019	266,730,853	170,053,668	96,677,185	2,383,872,587	2,147,433,996	236,438,591	100,000,000	37,889,436	20,056,445	17,832,991	7,000,000	25,760,435	4,654,458	21,105,977	1,000,000	0
35 MAREX NORTH AMERICA LLC	FCM	CME	05/31/2019	90,361,782	74,912,295	15,449,487	1,598,406,186	1,565,316,675	33,089,511	20,330,000	57,900,293	39,949,146	17,951,147	10,250,000	0	0	0	0	0
36 MCVANEY TRADING & INVESTMENTS LLC	FCM	NFA	05/31/2019	14,449,372	1,448,817	13,000,555	719,968,368	697,674,946	22,293,422	18,000,000	2,567,861	0	2,567,861	1,000,000	0	0	0	0	0
37 MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	05/31/2019	4,584,643,891	632,500,791	3,952,143,100	2,417,958,954	972,499,524	1,445,459,430	300,000,000	0	0	0	0	0	0	0	0	0
38 MID CO COMMODITIES INC	FCM	NFA	05/31/2019	8,773,714	4,236,814	4,536,900	55,171,521	45,961,244	9,210,277	5,138,000	0	0	0	0	0	0	0	0	0
39 MINT BROKERS	FCM BD	NFA	05/31/2019	2,224,111	1,000,000	1,224,111	0	0	0	0	0	0	0	0	0	0	0	0	0
40 MITSUBI BUSSAN COMMODITIES USA INC	FCM	NFA	05/31/2019	16,302,043	1,000,000	15,302,043	3,537,290	536,215	3,001,075	2,500,000	0	0	0	0	0	0	0	0	0
41 MIZUHO SECURITIES USA LLC	FCM BD	CME	05/31/2019	753,553,060	227,268,517	526,284,543	3,385,153,943	3,183,086,053	202,067,890	125,000,000	849,292,514	723,664,506	125,628,008	70,000,000	21,636,833	1,387,591	20,249,242	10,000,000	0
42 MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	05/31/2019	13,126,635,390	2,622,468,838	10,504,166,552	17,164,105,151	16,879,829,114	284,276,037	235,000,000	5,215,964,278	5,025,330,076	190,634,202	140,000,000	16,293,619,098	15,472,282,199	821,336,899	92,000,000	0
43 NANHUA USA LLC	FCM	CME	05/31/2019	16,479,470	1,000,000	15,479,470	33,401,681	21,960,227	11,441,454	3,500,000	1,300,050	1,128,016	172,034	100,000	0	0	0	0	0
44 NATWEST MARKETS SECURITIES INC	FCM BD	CBOT	05/31/2019	865,095,826	33,909,709	831,186,117	607,286,445	545,399,322	61,887,123	60,000,000	26,298,870	18,457,553	7,841,317	5,000,000	0	0	0	0	0
45 NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	05/31/2019	2,343,933,110	167,710,793	2,176,222,317	293,764,437	183,818,796	109,945,641	15,000,000	17,761,861	0	17,761,861	1,000,000	0	0	0	0	0
46 OANDA CORPORATION	FCM/RFD	NFA	05/31/2019	52,883,519	41,838,076	11,045,443	0	0	0	0	0	0	0	0	0	0	0	0	228,278,096
47 PHILLIP CAPITAL INC	FCM BD	CME	05/31/2019	34,166,409	15,959,809	18,206,600	382,446,370	372,568,994	9,877,466	7,500,000	11,272,610	8,536,363	2,736,247	2,000,000	0	0	0	0	0
48 PICMET OVERSEAS INC	FCM BD	NFA	05/31/2019	28,220,686	9,568,763	18,651,923	142,109,002	139,559,393	2,549,609	1,500,000	54,941,208	52,263,883	2,677,325	500,000	0	0	0	0	0
49 RAND FINANCIAL SERVICES INC	FCM	CME	05/31/2019	92,509,402	10,6														

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(a): FCM: Futures Commission Merchant that is registered with the Commodity Futures Trading Commission.
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 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.
(c): A firm's net capital requirement is the greater of:
<ul style="list-style-type: none"> • FCM minimum dollar amount (\$1,000,000); or • risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk maintenance margin; or • the amount of capital required by a registered futures association (currently NFA is the only such association); or • for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; or • minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000); or • 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.
(d): Excess net capital is adjusted net capital, less the firm's net capital requirement.
(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.
(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.
(g): Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.
(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.
(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.
(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.
(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.
(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.
(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.
(n): This represents the amount of funds an FCM is required to segregate for customers who trade cleared swaps.
(o): Excess/Deficient funds in cleared swap customer accounts is funds in separate cleared swap segregation accounts, less the cleared swap customer segregation requirement.
(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.
(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.