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 Reguired	Excess/Deficient Funds in Cleared Swap Seg Accounts	Target Residual Interest in Cleared Swap Seq	Total Amount of Retail Forex Obligation
	(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(i)	(k)	(1)	(m)	(n)	(0)	(p)	(p)
1 ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	08/31/2018	724,188,737	164.271.255	559,917,482	3,042,584,931	2,697,607,217	344,977,714	245,142,057	111,381,150	91,955,795	19.425.355	9.195.579	0	0	0	0	
2 ADM INVESTOR SERVICES INC	FCM	CBOT	08/31/2018	326,865,790	177,698,510	149,167,280	4,232,883,150	4,014,267,119	218,616,031	120,000,000	325,731,961	278,511,635	47,220,326	20,000,000	13,432,378	4,340,010	9,092,368	8,000,000	
3 ADVANTAGE FUTURES LLC	FCM	CME	08/31/2018	19,208,369	7,670,783	11,537,586	307,414,139	277,026,645	30,387,494	17,500,000	44,091,169	39,851,838	4,239,331	1,000,000	0	0	0	0	
4 AMP GLOBAL CLEARING LLC	FCM	NFA	08/31/2018	4,183,092	1,000,000	3,183,092	53,704,404	49,306,076	4,398,328	900,000	2,069,661	1,711,078	358,583	150,000	0	0	0	0	
5 APEX CLEARING CORPORATION 6 BARCLAYS CAPITAL INC	FCM BD FCM BD	NFA NYMF	08/31/2018	185,682,006 5,751,615,868	25,703,752 950,450,063	159,978,254 4,801,165,805	14,386,872 5,277,892,129	8,097,460 4,921,469,502	6,289,412 2 356,422,627	2,500,000 174,220,020	0 3,354,215,305	3,149,932,409	204,282,896	105,207,742	4,895,362,752	4,400,040,993	495.321.759	174.681.627	
7 BGC FINANCIAL LP	FCM BD	NFA	08/31/2018	43.735.547	1.444.721	42.290.826	3,277,072,127	4,721,407,302	330,422,027	174,220,020	3,334,213,303	3,147,732,407	204,202,090	103,207,742	4,043,302,732	4,400,040,773	475,321,737	174,001,027	
8 BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	08/31/2018	2,319,691,599	365,825,762	1,953,865,837	2,828,550,599	2,641,767,282	186,783,317	150,000,000	187,162,907	148,472,794	38,690,113	30,000,000	1,079,889,570	931,547,982	148,341,588	120,000,000	
9 BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	08/31/2018	7,311,266	1,231,332	6,079,934	30,382,074	25,325,831	5,056,243	1,000,000	6	0	6	1	6	0	6	1	
0 BOFAML SECURITIES INC 1 CANTOR FITZGERALD & CO	FCM FCM RD	NFA CBOT	08/31/2018	25,000,000 329,484,252	1,500,000 4 150 352	23,500,000	4 969 921	C	0 4 969 921	3.000.000	0	0	0	0	0	0	0	0	
2 CHARLES SCHWAB FUTURES, INC.	FCM BD	NFA	08/31/2018	98,565,241	4,150,352	94,466,247	117,677,141	59,193,238	58,483,903	8,878,986	2,967,614	445,280	2,522,334	66,792	0	0	0	0	
3 CHS HEDGING LLC	FCM	CBOT	08/31/2018	51,364,289	10,441,993	40,922,296	175,969,341	125,158,112	50,811,229	13,600,000	1,526,834	0	1,526,834	200,000	503,912	0	503,912	120,000	
4 CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	08/31/2018	10,555,411,100	2,509,791,713	8,045,619,387	9,728,818,986	9,260,604,607	468,214,379	378,300,000	2,811,032,496	2,619,538,085	191,494,411	150,000,000	23,932,561,084	23,432,744,848	499,816,236	417,100,000	
5 CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	08/31/2018	9,574,188,146	1,285,684,685	8,288,503,461	6,219,955,061	5,889,581,279	330,373,782	294,479,064	3,556,692,945	3,352,021,251	204,671,694	167,601,063	11,067,429,753	10,461,421,954	606,007,799	523,071,098	
6 CUNNINGHAM COMMODITIES LLC	FCM FCM BD	CBOT	08/31/2018	5,326,602	1,027,451	4,299,151	73,063,700	69,459,866	3,603,834	3,050,000	2,168,663	1,661,212	507,451	100,000	0	0	0	0	
7 DAIWA CAPITAL MARKETS AMERICA INC 8 DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	08/31/2018 08/31/2018	964,374,616 12,688,320,331	1,845,825 283,948,351	962,528,791	2,169,096 2,682,223,008	2,482,093,913	2,169,096	125,000,000	566,613 944,524,415	817,122,904	566,613 127,401,511	75,000,000	0	0	0	0	
9 DIRECT ACCESS USA LLC	FCM	NFA	08/31/2018	6,305,404	1,000,000	5,305,404	2,002,223,000	2,402,073,913	0 200,127,095	123,000,000	74,324,413	017,122,704	127,401,311	,3,000,000	0	0	0	0	
0 DORMAN TRADING LLC	FCM	CME	08/31/2018	13,709,856	1,089,263	12,620,593	155,336,802	150,706,326	4,630,476	2,000,000	4,400,269	3,843,401	556,868	200,000	0	0	0	0	
1 E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	08/31/2018	157,248,098	64,240,296	93,007,802	1,405,863,725	1,328,806,391	77,057,334	35,000,000	73,909,929	64,624,923	9,285,006	5,000,000	2,145,499	950,516	1,194,983	500,000	
2 E*TRADE FUTURES LLC 3 FFL FUTURES LIMITED	FCM FCM	NFA CMF	08/31/2018	25,981,196 43,447,737	2,125,489 16.463.271	23,855,707	70,469,409 210,149,014	44,862,230 194,302,558	25,607,179 15,846,456	5,000,000 5,000,000	0	0	0	0	0	0	0	0	
4 GAIN CAPITAL GROUP LLC	FCMRFD	NFA	08/31/2018	50.468.077	32.137.419	18.330.658	225,313,749	210,556,567	14,757,182	10.000,000	6.440.919	3.512.875	2.928.044	1,000,000	0	0	0	0	237,073,89
5 GH FINANCIALS LLC	FCM	CME	08/31/2018	21,449,504	4,841,557	16,607,947	99,366,516	81,174,000	18,192,516	3,800,000	5,944,009	4,837,874	2,928,044 1,106,135	550,000	0	0	0	0	2.12.2107
6 GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	08/31/2018	19,021,472,773	2,398,630,842	16,622,841,931	22,025,065,293	21,160,462,039	864,603,254	675,000,000	9,514,530,504	8,939,336,485	575,194,019	475,000,000	6,181,232,019	5,761,117,229	420,114,790	350,000,000	
7 HSBC SECURITIES USA INC 8 HUATAI FINANCIAL USA INC	FCM BD FCM	CME NFA	08/31/2018 08/31/2018	918,281,142 2,294,968	274,086,848	644,194,294 1,294,968	2,348,328,759	2,187,261,941	161,066,818	147,000,000	242,977,919	207,442,330	35,535,589	25,000,000	1,040,746,051	925,359,458	115,386,593	95,000,000	
9 INTERACTIVE BROKERS LLC	FCM RD	CME	08/31/2018	4 573 616 278	492 037 259	4 081 579 019	4 206 788 707	3 982 976 243	223.812.464	155,000,000	575 973 126	455 334 641	120.638.485	80 000 000	0	0	0	0	37.317.75
0 INTL FCSTONE FINANCIAL INC	FCM BD	CME	08/31/2018	166,800,394	99,230,998	67,569,396	2,536,196,503	2,478,661,522	57,534,981	40,000,000	148,664,017	133,382,849	15,281,168	8,000,000	0	0	0	0	37,317,73
1 IRONBEAM INC	FCM	NFA	08/31/2018	4,210,260	1,217,725	2,992,535	67,604,293	64,085,399	3,518,894	1,600,000	400,858	280,318	120,540	50,000	0	0	0	0	
2 JEFFERIES LLC	FCM BD	NFA	08/31/2018	1,917,633,551	111,436,555	1,806,196,996	0	C	0	0	0	0	0	0	0	0	0	0	
3 JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	08/31/2018	18,898,561,766	2,917,322,508	15,981,239,258	20,340,323,035	18,743,895,667	1,596,427,368	890,335,044	5,315,871,755	4,813,612,611	502,259,144	409,157,072	12,848,473,506	11,809,911,374	1,038,562,132	1.000.000	
4 MACQUARIE FUTURES USA LLC 5 MAREX NORTH AMERICA LLC	FCM FCM	CBOT	08/31/2018 08/31/2018	260,688,589 23.317,207	178,238,696 16.330.173	82,449,893 6.987.034	2,269,192,577 239,238,884	2,038,261,469 235,773,741	230,931,108	100,000,000	49,977,850 45,858,217	33,261,715 44.680.511	16,716,135 1 177 706	7,000,000	23,127,463	2,427,073	20,700,390	1,000,000	
6 MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	08/31/2018	14,200,394	2,000,345	12,200,049	763,715,372	739,017,751	24,697,621	18,000,000	2,567,861	44,000,311	2,567,861	1,000,000	0	0	0	0	
7 MERRILL LYNCH PIERCE FENNER & SMITH INCORPORATED	FCM BD	CBOT	08/31/2018	13,447,977,832	1,840,212,447	11,607,765,385	15,796,584,917	15,503,226,140	293,358,777	200,000,000	5,132,258,347	4,850,854,368	281,403,979	150,000,000	5,859,287,217	5,580,822,784	278,464,433	150,000,000	
8 MERRILL LYNCH PROFESSIONAL CLEARING CORP 9 MID CO COMMODITIES INC	FCM BD FCM	NFA NFA	08/31/2018	4,576,250,721 9.378,256	578,531,035 4.408,771	3,997,719,686 4,969,485	2,226,027,817	936,914,393	1,289,113,424	300,000,000 5.138.000	0	0	0	0	0	0	0	0	
0 MINT BROKERS	FCM BD	NFA	08/31/2018	2,539,682	1,000,000	1,539,682	34,627,099	24,062,290	10,564,809	5,138,000	0	0	0	0	0	0	0	0	
1 MIZUHO SECURITIES USA LLC	FCM BD SD	CME/NFA	08/31/2018	753,751,324	226,453,738	527,297,586	3,162,032,777	2,962,429,446	199,603,331	125,000,000	660,434,673	534,732,040	125,702,633	70,000,000	33,070,461	3,189,585	29,880,876	15,000,000	
2 MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	08/31/2018	13,446,183,307	2,432,491,133	11,013,692,174	17,020,527,923	16,667,764,872	352,763,051	280,000,000	5,389,858,944	5,197,800,713	192,058,231	140,000,000	16,009,832,977	15,870,854,864	138,978,113	92,000,000	
3 NANHUA USA LLC 4 NATWEST MARKETS SECURITIES INC	FCM FCM RD	CME	08/31/2018	16,861,731 1,494,900,122	1,340,986 39,883,824	15,520,745 1,455,016,298	39,527,291	28,325,122 535,050,363	2 11,202,169 155,298,450	3,500,000	0 000 (54	9.162.385	30.130.266	0 05 000 000	0	0	0	0	
5 NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	08/31/2018	1,494,900,122	39,883,824 192,944,327	1,455,016,298	690,348,813 280,566,137	535,050,363 176,106,071	104,460,066	125,000,000 15,000,000	39,292,651 17,781,641	9,162,385	30,130,266 17,714,284	25,000,000 1,000,000	0	0	0	0	
6 OANDA CORPORATION	FCMRFD	NFA	08/31/2018	84,585,679	54,892,801	29,692,878	200,300,137	170,100,071	0 104,400,000	13,000,000	17,761,041	07,537	17,714,204	1,000,000	0	0	0	0	186.313.14
7 PHILLIP CAPITAL INC	FCM BD	CME	08/31/2018	31,251,464	12,033,929	19,217,535	330,485,568	317,139,010	13,346,558	7,500,000	13,151,734	7,718,190	5,433,544	2,000,000	0	0	0	0	
8 PICTET OVERSEAS INC 9 RAND FINANCIAL SERVICES INC	FCM BD FCM	NFA CMF	08/31/2018	16,679,546 90,076,814	1,244,716	15,434,830	2,110,645	307,950	1,802,695	1,500,000	41,724,577	39,467,302 18.535.400	2,257,275	500,000	0	0	0	0	
0 RBC CAPITAL MARKETS LLC	FCM BD	CME	08/31/2018 08/31/2018	2,054,162,937	12,743,392 190,642,943	77,333,422 1,863,519,994	173,282,700 1,956,779,365	132,973,600 1,620,327,088	40,309,100 336,452,277	3,989,400 225,000,000	42,997,200 232,594,926	170,077,267	24,461,800 62,517,659	556,100 35,000,000	685,504,494	507,045,811	178,458,683	80,000,000	
1 RJ OBRIEN ASSOCIATES LLC	FCM	CME	08/31/2018	208,781,725	137,311,472	71,470,253	3,813,750,175	3,716,562,853	97,187,322	50,000,000	219,385,111	193,754,750	25,630,361	20,000,000	0	0	0	0	
2 ROSENTHAL COLLINS GROUP LLC	FCM	CME	08/31/2018	81,267,961	54,283,487	26,984,474	1,218,064,235	1,191,256,681	26,807,554	18,000,000	33,509,066	21,525,993	11,983,073	8,000,000	0	0	0	0	
3 SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	08/31/2018	228,191,977	50,000,000	178,191,977	773,855,419	758,024,099	15,831,320	11,000,000	0	0	0	0	0	0	0	0	
4 SCOTIA CAPITAL USA INC 5 SG AMERICAS SECURITIES LLC	FCM BD FCM BD	CME CME	08/31/2018 08/31/2018	1,081,893,240 4,075,651,642	57,268,294 1,451,638,868	1,024,624,946 2,624,012,774	14,251,178,783	13,538,451,772	712,727,011	500,000,000	6,990,274,175	6,388,716,393	601,557,782	355,000,000	653,706,826	432,878,797	220,828,029	75,000,000	
6 STRAITS FINANCIAL LLC	FCM	CME	08/31/2018	23,484,618	7,826,485	15,658,133	244,870,747	228,885,339	15,985,408	2,000,000	32,546,762	25,780,676	6,766,086	300,000	033,700,820	-32,070,797	220,020,029	, 3,000,000	
7 TD AMERITRADE FUTURES & FOREX LLC	FCM	NFA	08/31/2018	127,171,656	22,618,288	104,553,368	294,111,233	198,972,568	95,138,665	50,000,000	0	0	0	0	0	0	0	0	62,365,75
8 TRADESTATION SECURITIES INC	FCM BD	CME	08/31/2018	100,915,741	4,820,229	96,095,512	597,469,930	583,805,333	13,664,597	9,000,000	24,424,269	21,663,438	2,760,831	800,000	0	0	0	0	
9 UBS FINANCIAL SERVICES INC 0 UBS SECURITIES LLC	FCM BD FCM BD	NFA CBOT	08/31/2018	1,182,862,157 6.108.177.155	127,813,980 575,634,239	1,055,048,177 5.532,542,916	138,115,041 5,874,821,829	104,808,943 5,376,599,734	33,306,098 498,222,095	22,000,000 425,000,000	30,947,330 1,797,741,557	3,320,452 1,421,491,845	27,626,878 376,249,712	15,000,000 300,000,000	769,205,821	506.049.454	263.156.367	200,000,000	
1 UOBBF CLEARING LIMITED	FCM BD	CME	08/31/2018	6,108,177,155	2,849,726	23.591.277	5,874,821,829	5,376,599,734	17,085,461	2,700,000	1,797,741,557 N	1,421,491,845 N	3/6,249,/12 N	300,000,000	/69,205,821 N	506,049,454 N	203,130,367 N	200,000,000 N	
2 WEDBUSH SECURITIES INC	FCM BD	CBOT	08/31/2018	177,785,890	30,194,116	147,591,774	1,166,426,033	1,142,943,714	23,482,319	13,000,000	16,157,044	12,970,031	3,187,013	1,000,000	0	0	0	0	
3 WELLS FARGO SECURITIES LLC	FCM BD	CME	08/31/2018	8,170,475,834	805,097,123	7,365,378,711	3,459,721,093	3,263,844,973	195,876,120	115,000,000	327,413,807	287,698,862	39,714,945	25,000,000	7,000,344,336	6,664,099,439	336,244,897	260,000,000	
4 YORK BUSINESS ASSOCIATES LLC	FCM	NFA	08/31/2018	6,244,520	1,000,000	5,244,520	43,016,765	38,830,481	4,186,284	2,000,000	2,000,555	1,482,630	517,925	200,000	0	0	0	0	
Totals							165,409,425,376	155,257,815,216	10,151,610,160	6,139,242,572	48,376,143,341	44,412,194,906	3,963,948,435	2,720,454,350	92,095,856,125	87,294,802,171	4,801,053,954	3,181,493,073	523,070,53
July Web Page Update	64		 	1											1	1	1		
Additions	0																		
None																			
Polotions	0		 	+					1						1	+	1		
Deletions None	U		 	 					1						<u> </u>	 			
Name Changes			1								·	·							
None			 	1											1	1			
August Web Page Update	64		1						+						1		1		

SELECTED FCM FINANCIAL DATA AS OF August 31, 2018 FROM REPORTS FILED BY September 27, 2018

(a): FCM: Futures Commission Merchant that is registered with the Com	nmodity 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 DSRO for 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 maintenance margin and 8% of total non-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 require		e Commission; or										
• minimum dollar amount for FCMs offering or engaged in retail forex transactions and RFEDs (\$20,000,000): or • minimum dollar amount for FCMs offering or engaged in retail forex transactions and RFEDs (\$20,000,000) plus five percent of the FCMs or RFED's total retail forex obligation in excess of \$10,000,000.												
minimum dollar amount for FCW's offering or engaged in retail forest	x transactions and RFEDS (\$20,000,000) plus five p	ercent of the FCW'S OF RFED'S total retail	Torex obligation in excess of \$10,000,000	•								
(d). Former and control in adjusted and control land the firms and control control												
(d): Excess net capital is adjusted net capital, less the firm's net capital requir	rement.											
(e): This represents the total amount of money, securities, and property held	Lin cogragated accounts for futures and entions cus	tomors in compliance with Section 4d of	the Commedity Evchange Act									
(e). This represents the total amount of money, securities, and property field	in segregated accounts for futures and options cus	storners in compliance with Section 40 or	the Commodity Exchange Act.									
(f): This represents the total amount of funds that an FCM is required to segr	rogato on hobalf of customors who are trading on a	dosignated contract market or derivative	os transaction execution facility. This is the	sum of all accounts that contain a not lig	idating equity							
177. This represents the total amount of funds that an Felix is required to seen	reduce on behalf of customers who are trading on a	designated contract market or derivative	23 If an Socion Exception racinity. This is the	2 Sum of all accounts that contain a net lide	addina cadity.							
(g): Excess/Deficient funds in segregation is customer assets in segregation.	less the customer segregation requirement											
TOT. EAGLEST DESTRUCTION OF THE SECTION OF THE SECT	TODO THE CASTOTICE SCALE CASTOTIC TO CASTOTIC TO											
(h): This represents the targeted excess of proprietary funds deposited into c	customer segregated accounts above the customer	segregation requirement. This target amo	ount is set by the firm.									
(i): This represents the total amount of money, securities, and property held	in secured accounts for futures and options custom	ers who trade on commodity exchanges	located outside the United States in compl	iance with Part 30 of the Commodity Excha	inge Act.							
(i): This represents the amount of funds an FCM is required to set aside for or	customers who trade on commodity exchanges loca	ted outside of the United States.										
(k): Excess/Deficient funds in separate Section 30.7 accounts is funds in separate	arate Section 30.7 accounts, less the customer amo	unt Part 30 requirement.										
(I): This represents the targeted excess of proprietary funds deposited into se	eparate 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	d in cleared swap customer accounts for cleared sw	ap customers in compliance with Section	4d(f) of the Commodity Exchange Act.									
() The second control of the second control												
(n): This represents the amount of funds an FCM is required to segregate for	customers who trade cleared swaps.											
(a) Funda (b) distribute (c) distrib			·									
(o): Excess/Deficient funds in cleared swap customer accounts is funds in seg	parate cleared swap segregation accounts, less the	cieared swap customer segregation requi	rement.									
(n). This represents the targeted evenes of preprinters for the described into	concrete alegred sweep cogregation assessed at the	the elegand sweep systems asser	requirement. This target amount in and in	the firm								
(p): This represents the targeted excess of proprietary funds deposited into	separate cleared swap sedredation accounts above	the cleared swap customer sedredation r	eduli ement. This tai det amount is set by	me mm.								

(o): This recresents 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 joss.