SELECTED FCM FINANCIAL DATA AS OF September 30, 2018 FROM REPORTS FILED BY October 24, 2018

Futures Commission Merchant /	Registered As	DSRO	As of	Adjusted Net	Net Capital	Excess Net	Customers'	Customers' Seg Required	Excess/Deficient	Target Residual	Funds in Separate Section	Customer Amount Pt. 30	Excess/Deficient Funds in	Target Residual Interest in	Funds in Separate Cleared	Customer Amount Cleared	Excess/Deficient Funds in Cleared	Target Residual Interest in	Total Amount o Retail Forex
Retail Foreign Exchange Dealer	Registered A	DSKO	Date	Capital	Requirement	Capital	Assets in Seg	4d(a)(2)	Funds in Seg	Interest in Seg	30.7 Accounts	Required	Separate Section 30.7 Accounts	Section 30.7	Swap Segregation	Swap Seg Required	Swap Seg Accounts	Cleared Swap Seg	Obligation
	(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(I)	(m)	(n)	(0)	(p)	(q)
1 ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	09/30/2018	741,098,206	169,361,760	571,736,446	3,091,338,781	2,738,330,435	353,008,346	239,768,858	106,710,40	1 86,129,32	7 20,581,074	8,612,933	0	0	0 0	0	
2 ADM INVESTOR SERVICES INC	FCM	CBOT	09/30/2018	306,211,120	177,552,494	128,658,626	4,224,608,637	4,004,417,001	220,191,636	120,000,000	320,039,389			20,000,000	14,453,388	4,988,260	9,465,128	8,000,000	
3 ADVANTAGE FUTURES LLC	FCM	CME	09/30/2018	19,257,224	5,918,719	13,338,505	293,937,718	261,779,579	32,158,139	17,500,000	44,964,663		4,099,742	1,000,000	0	0	0 0	0	
4 AMP GLOBAL CLEARING LLC 5 APEX CLEARING CORPORATION	FCM FCM BD	NFA NFA	09/30/2018 09/30/2018	4,162,132 191,330,049	<u>1,000,000</u> 27,042,211	3,162,132 164,287,838	55,184,360 17,440,226	50,724,048 10,872,524	4,460,312 6,567,702	900,000 2,500,000	2,142,129	9 1,817,220	324,909	150,000	0		0 0	0	
6 BARCLAYS CAPITAL INC	FCM BD	NYME	09/30/2018	6,049,826,147	992,205,259	5,057,620,888	5,095,398,033	4,744,805,600	350,592,433	167,966,118	3,292,916,91	3,089,480,112	2 203,436,799	103,188,636	5,489,347,806	4,977,517,175	511,830,631	197,607,432	
7 BGC FINANCIAL LP	FCM BD	NFA	09/30/2018	40,380,760	2,094,270	38,286,490	0	0	0	0	(0 (0 0	0	0	C	0 0	0	
8 BNP PARIBAS SECURITIES CORP 9 BOCI COMMODITIES & FUTURES USA LLC	FCM BD FCM	CBOT	09/30/2018 09/30/2018	2,263,382,293 7 160 582	365,751,229	1,897,631,064	2,813,553,095 19.863,635	2,627,248,660 15,270,296	186,304,435 4,593,339	150,000,000	205,164,18	5 166,668,67	7 38,495,508	30,000,000	1,095,191,645	945,508,505	149,683,140	120,000,000	
10 BOFAML SECURITIES INC	FCM	NFA	09/30/2018	25,000,000	1,500,000	23,500,000	19,003,033	13,270,290	4,595,559	1,000,000		0 (0 0	0	0	0	0 0	0	
11 CANTOR FITZGERALD & CO	FCM BD	CBOT	09/30/2018	243,923,220	6,167,168	237,756,052	4,969,921	0	4,969,921	3,000,000	(0 (0 0	0	0	0	0 0	0	
12 CHARLES SCHWAB FUTURES, INC.	FCM FCM	NFA CBOT	09/30/2018	98,595,774 50,294,026	4,185,900 10,285,617	94,409,874 40,008,409	120,263,034 191,558,672	61,333,587 140,651,309	58,929,447 50,907,363	<u>9,200,038</u> 13,600,000	2,930,288	8 408,048	3 2,522,240 1,525,748	61,208	0 503,912	0	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	120 000	
4 CITIGROUP GLOBAL MARKETS INC	FCM FCM BD SD	CBOT/NFA		50,294,026	2,401,895,510	40,008,409 8,083,278,057	8,951,767,390	8,503,248,259	50,907,363	375,200,000	2,952,443,17			150,000,000	24,178,063,032	23.677.531.637	500,531,395	420,700,000	
15 CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	09/30/2018	9,895,792,796	1,324,036,660	8,571,756,136	6,554,203,507	6,205,466,889	348,736,618	310,273,344	3,682,481,935	5 3,483,177,948		174,158,897	11,314,488,759	10,712,316,173	602,172,586	535,615,809	
16 CUNNINGHAM COMMODITIES LLC	FCM	CBOT	00/00/2020	5,274,391	1,036,606	4,237,785	90,172,174	86,527,940	3,644,234	3,050,000	2,280,173	3 1,768,110	5 512,057	100,000	0	C	0	0	
17 DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	09/30/2018	953,200,032	1,500,000	951,700,032	2,165,347	0	2,165,347	125 000 000	563,139		563,139	1	0	0	0 0	0	
18 DEUTSCHE BANK SECURITIES INC 19 DIRECT ACCESS USA LLC	FCM BD FCM	CBOT CME		12,603,688,537 6,750,036	236,137,059	12,367,551,478	2,525,347,335	2,322,448,991	202,898,344	125,000,000	789,605,309	9 664,593,134	4 125,012,175	75,000,000	0	0	0 0	0	
20 DORMAN TRADING LLC	FCM	CME	09/30/2018	13,436,138	1,284,939	5,750,036 12,151,199	156,493,011	152,101,158	4,391,853	2,000,000	4,271,899			200,000	0	0	0 0	0	
21 E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	09/30/2018	162,308,686	58,062,192	104,246,494	1,377,635,495	1,301,675,953	75,959,542	41,250,000	64,488,67	4 55,071,08	9,417,585	5,000,000	2,210,218	1,012,373	1,197,845	500,000	
22 E*TRADE FUTURES LLC 23 EFL FUTURES LIMITED	FCM FCM	NFA CME	09/30/2018	25,777,516 43,570,837	2,594,145 20,249,319	23,183,371 23,321,518	77,365,547 237,886,865	51,531,271 222,040,409	25,834,276 15,846,456	5,000,000 5,000,000			0	0	0	0	0 0	0	
24 GAIN CAPITAL GROUP LLC	FCMRFD	NFA	09/30/2018	50,323,376	32,782,229	17,541,147	234,432,402	219,124,505	15,307,897	10,000,000	6,825,34		7 2,481,552	1,000,000	Ŏ	<u> </u>	0 Ő	0	244,506,1
25 GH FINANCIALS LLC	FCM PD CD	CME	09/30/2018	21,594,026	5,118,942	16,475,084	103,037,029	86,300,088	16,736,941	3,800,000	6,706,36	7 5,597,690 2 8,471,347,690	5 1,108,671	550,000	0	0	0	0	
26 GOLDMAN SACHS & CO LLC 27 HSBC SECURITIES USA INC	FCM BD SD FCM BD	CBOT/NFA CME	09/30/2018 09/30/2018	19,708,483,963 996,381,062	2,406,179,081 258,282,979	17,302,304,882 738,098,083	22,839,088,451 2,114,394,050	21,973,090,358 1,992,259,263	865,998,093 122,134,787	675,000,000 109,000,000	9,040,031,632 183,285,655		5 568,683,936 0 36,370,645	475,000,000 25,000,000	6,522,438,627 1,003,290,183	6,095,287,444 882,443,878	427,151,183 120,846,305	350,000,000	
28 HUATAI FINANCIAL USA INC	FCM BD	NFA	09/30/2018	2,228,156	1,000,000	1,228,156	2,114,234,050	1,332,233,203	122,134,787	109,000,000	103,203,053	0 140,913,010	0 0	23,000,000	1,003,290,183	002,443,878	0	100,000,000	
29 INTERACTIVE BROKERS LLC	FCM BD	CME	09/30/2018	4,699,356,540	513,506,266	4,185,850,274	4,212,045,792	4,006,842,864	205,202,928	155,000,000	576,979,574		131,320,251	80,000,000	0	0	0 0	0	32,818,4
30 INTL FCSTONE FINANCIAL INC	FCM BD	CME	09/30/2018	167,741,650	101,402,350	66,339,300	2,636,964,671	2,579,711,125	57,253,546	40,000,000	148,939,800		7 16,117,763	8,000,000	0	0	0 0	0	
31 IRONBEAM INC 32 JEFFERIES LLC	FCM FCM BD	NFA NFA	09/30/2018 09/30/2018	4,339,700 1,864,929,037	1,000,000 118,528,399	3,339,700 1,746,400,638	64,477,138	61,057,063	3,420,075	1,600,000	394,512	2 284,97	2 109,540	50,000	0	0	0 0	0	
33 JP MORGAN SECURITIES LLC	FCM BD SD		09/30/2018	18,257,835,261	2,903,121,161	15,354,714,100	19,707,233,757	18,171,657,182	1,535,576,575	863,153,716	5,279,118,32	7 4,795,242,008	483,876,319	407,595,571	12,892,836,566	11,868,179,861	1,024,656,705	623,079,443	
34 MACQUARIE FUTURES USA LLC	FCM	CBOT	09/30/2018	263,297,470	169,468,824	93,828,646	2,216,292,716	1,982,637,520	233,655,196	100,000,000	46,365,490	0 29,481,060	16,884,430	7,000,000	23,207,942	2,520,715	20,687,227	1,000,000	
35 MAREX NORTH AMERICA LLC 36 MCVEAN TRADING & INVESTMENTS LLC	FCM FCM	CME NFA	09/30/2018 09/30/2018	23,212,426 14,220,799	18,063,844 2,242,894	5,148,582	226,922,711 741,672,210	223,999,966 718,061,154	2,922,745 23,611,056	2,070,000	67,052,688	8 64,021,184	4 <u>3,031,504</u> 2,567,861	2,250,000	0	0	0 0	0	
37 MERRILL LYNCH PIERCE FENNER & SMITH INCORPORATED	FCM BD		09/30/2018	14,077,546,484	1,876,656,912	12,200,889,572	17,000,411,124	16,710,619,031	289,792,093	200,000,000	5,148,338,233	4,900,147,833		150,000,000	6,080,003,741	5,787,364,444	292,639,297	150,000,000	
38 MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	09/30/2018	4,632,056,062	614,506,396	4,017,549,666	2,457,699,100	824,480,227	1,633,218,873	300,000,000		0 (0 0	0	0	0	0 0	0	
39 MID CO COMMODITIES INC 40 MINT BROKERS	FCM FCM BD	NFA NFA		9,613,788 2,529,999	4,308,242 1,000,000	5,305,546 1,529,999	51,137,723	40,371,834	10,765,889	5,138,000			0	0	0	0	0 0	0	
41 MIZUHO SECURITIES USA LLC	FCM BD SD		09/30/2018		217,365,356	513,289,772	2,892,357,082	2,693,947,218	198,409,864	125.000.000	615,827,84	9 490.092.47	125,735,377	70,000,000	33,339,609	3,265,515	30.074.094	15,000,000	
42 MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	09/30/2018	730,655,128 12,626,951,700	2,373,729,202	10,253,222,498	17,536,561,749	17,186,597,864	349,963,885	280,000,000	5,636,494,510	5,445,527,532	2 190,966,978	140,000,000	15,453,549,568	3,265,515 15,273,260,120	180,289,448	15,000,000 92,000,000	
43 NANHUA USA LLC 44 NATWEST MARKETS SECURITIES INC	FCM FCM BD	CME		16,832,876	1,384,953	15,447,923	41,057,075	29,612,547	11,444,528	3,500,000	38,192,83	0 (1 8.049.43	0 0	25.000.000	0	0	0 0	0	
44 NATWEST MARKETS SECURITIES INC 45 NOMURA SECURITIES INTERNATIONAL INC	FCM BD		09/30/2018 09/30/2018	951,053,473 1,501,094,492	34,248,241 213,980,019	916,805,232 1,287,114,473	261,427,275	491,258,444 156,741,838	156,888,410 104,685,437	125,000,000 15,000,000	17,499,828	B 6,049,43	0 17,499,828	1,000,000	0	0	0 0	0	
46 OANDA CORPORATION	FCMRFD	NFA	09/30/2018	103,770,934	55,554,550	48,216,384	0	0	0	0	(0 (0 0	0	0	0	0 0	0	188,742,8
47 PHILLIP CAPITAL INC	FCM BD	CME	09/30/2018	32,253,989	11,518,554	20,735,435	331,281,079	321,714,646	9,566,433	7,500,000	11,911,530			2,000,000	0	0	0 0	0	
48 PICTET OVERSEAS INC 49 RAND FINANCIAL SERVICES INC	FCM BD FCM	NFA CME	09/30/2018 09/30/2018	16,702,425 89,857,403	1,000,000 16,544,645	15,702,425 73,312,758	2,116,205	313,163 138,895,300	<u>1,803,042</u> 39,941,600	1,500,000 4,166,900	43,516,720	0 41,192,460 0 18,205,700	5 2,324,254 24,537,500	<u>500,000</u> 546,200	0	0	0 0	0	
50 RBC CAPITAL MARKETS LLC	FCM BD	CME	09/30/2018	1,935,998,483	207,336,935	1,728,661,548	1,958,596,964	1,617,011,106	341,585,858	225,000,000	292,160,01	1 229,314,84	5 62,845,166	35,000,000	672,705,789	493,634,420	179,071,369	40,000,000	1
51 RJ OBRIEN ASSOCIATES LLC	FCM	CME CME	09/30/2018	206,684,129 80,856,426	138,195,958	68,488,171 26,242,136	3,787,392,053	3,694,122,470	93,269,583 27,607,088	50,000,000	225,220,094	4 200,239,480	24,980,614	20,000,000	0	0	0 0	0	
52 ROSENTHAL COLLINS GROUP LLC 53 SANTANDER INVESTMENT SECURITIES INC	FCM FCM BD	CME NYME		80,856,426 449,784,343	54,614,290 50,000,000	26,242,136 399,784,343	<u>1,298,622,702</u> 670,365,721	1,271,015,614 657,054,300	27,607,088 13,311,421	18,000,000	35,550,389	9 24,503,02	7 11,047,362	8,000,000	0	0	0 0	0	
54 SCOTIA CAPITAL USA INC	FCM BD	CME	09/30/2018	1,079,641,697	55,108,095	1,024,533,602	0,0,000,/21	037,034,300	0	11,000,000		0 0	0 0	0	0	0	0 0	0	1
55 SG AMERICAS SECURITIES LLC	FCM BD	CME	09/30/2018	4,268,273,642	1,456,109,783	2,812,163,859	14,960,631,992	14,283,546,703	677,085,289	500,000,000	7,418,066,149		4 595,322,455	355,000,000	606,475,196	384,499,809	221,975,387	75,000,000	
56 STRAITS FINANCIAL LLC	FCM	CME	09/30/2018	23,418,639	8,634,432	14,784,207	277,877,376	262,210,055	15,667,321	2,000,000	35,028,776	5 28,195,164	4 6,833,612	300,000	0	0	0 0	0	C4 305 4
57 TD AMERITRADE FUTURES & FOREX LLC 58 TRADESTATION SECURITIES INC	FCM FCM BD	NFA CME	09/30/2018 09/30/2018	128,524,950 109,325,401	22,714,255 5,379,991	105,810,695 103,945,410	305,303,214 607,724,783	210,417,498 593,401,389	94,885,716 14,323,394	<u>50,000,000</u> 9,000,000	24.007.434	21,233,709	2,773,725	0 800,000	0	0	0 0	0	64,285,1
59 UBS FINANCIAL SERVICES INC	FCM BD	NFA	09/30/2018	1,198,880,056	127,043,205	1,071,836,851	97,909,819	62,427,376	35,482,443	22,000,000	33,138,688	5,355,150	5 27,783,532	15,000,000	Ő	Č	0 0	Ő	
60 UBS SECURITIES LLC	FCM BD	CBOT	05/50/2010	5,317,898,486	615,419,754	4,702,478,732	5,938,270,857	5,437,587,189	500,683,668	425,000,000	1,923,647,130	1,540,828,52	7 382,818,603	300,000,000	938,746,999	675,392,297	263,354,702	200,000,000	
61 UOBBF CLEARING LIMITED 62 WEDBUSH SECURITIES INC	FCM FCM BD	CME CBOT	09/30/2018 09/30/2018	26,479,212 186,821,280	2,701,797 30,602,747	23,777,415 156,218,533	66,366,460 1,189,544,390	48,829,965 1,157,250,626	17,536,495 32,293,764	2,700,000 13,000,000	14,754,98	1 12,262,980	0 2,492,001	1,000,000	0	0	0 0	0	
53 WELLS FARGO SECURITIES LLC	FCM BD	CME	09/30/2018	8,227,208,914	841,397,848	7,385,811,066	3,813,350,853	3,611,705,757	201,645,096	90,000,000	375,168,152		48,519,232	25,000,000	7,050,675,094	6,716,802,230	333,872,864	250,000,000	
54 YORK BUSINESS ASSOCIATES LLC	FCM	NFA		6,090,168	1,000,000	5,090,168	43,110,489	38,705,337	4,405,152	2,000,000	2,018,293	3 1,466,550	5 551,737	200,000	0	0	0 0	0	
Totals							167.413.813.549	157.055.052.494	10.358.761.055	6.056.336.975	48,764,080,079	44.852.502.038	3 3.911.578.041	2.724.463.447	93,371,528,080	88.501.524.856	4.870.003.224	3,178,622,685	530.352.5
	64																		
August Web Page Update																			
Additions None	0																		
Deletions	0																		
None	v																		
Name Changes																			
None																			
September Web Page Update	64	+																	

SELECTED FCM FINANCIAL DATA AS OF September 30, 2018 FROM REPORTS FILED BY October 24, 2018

(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 Foreion Exchance Dealer that is registered with the Commodity Futures Tradino Commission.
FCMRFD: The FCM is also registered with the Commodity Futures Trading Commission as a Retail Foreion 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:
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 ECM's offering or engaged in retail forex transactions and REFLS (\$20,000,000); 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.
(U). Excess her capital is adusted her capital less the firms her capital requirement.
(A). This accounts the table around a feature and account head is a commutation of the commutation of the Country of the Count
(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 sequegate 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.
(q): Excess/Deficient funds in seqregation 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 compoliance with Part 30 of the Commodity Exchange Act.
(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.
(k): Excess/Deficient funds in separate Section 30.7 accounts is fund s
rki. Excessibendent nunds in separate section 30.7 accounts is tintis in separate section 30.7 accounts is tintis in separate section 30.7 accounts in the section and the section account of the section acco
(1): 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 seqregate 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 accounts, adjusted for the realized and unrealized net profit or loss.