SELECTED FCM FINANCIAL DATA AS OF October 31, 2019 FROM REPORTS FILED BY November 26, 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(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)	(I)	(m)	(n)	(0)	(p)	(q)
ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	10/31/2019	571,247,057	198,753,909	372,493,148	3,310,016,176	2,931,664,559	378,351,617	248,775,001	118,687,228	98,266,486	20,420,742	9,826,649	9 (0 0	0	0	J
ADM INVESTOR SERVICES INC	FCM	CBOT	10/31/2019	340,333,012	195,960,737	144,372,275	4,430,129,513	4,218,649,330	211,480,183	120,000,000	336,588,569	289,861,955	46,726,614	20,000,000	0 10,123,828	3 725,314	9,398,514	8,000,000	1
ADVANTAGE FUTURES LLC	FCM	CME	10/31/2019	23,033,198	6,879,456	16,153,742	255,040,240	231,372,193	23,668,047 5,481,679	12,000,000	49,939,223	46,716,242	3,222,981	1,000,000	0 0	0 0	0	0	
AMP GLOBAL CLEARING LLC APEX CLEARING CORPORATION	FCM BD		10/31/2019 10/31/2019	5,122,100 140,581,866	10,972,945	4,122,100 129,608,921	44,198,901	51,626,123 31,408,090	12,790,811	6,000,000	1,876,446	1,525,581	350,865	150,000) (0	0	0	1
BAKKT CLEARING LLC	FCM		10/31/2019	11,344,524	1,000,000	10,344,524	0	0	0	0,000,000 C	0	0	0	C	0 0	0 0	0	0	1
BARCLAYS CAPITAL INC	FCM BD	NYME	10/31/2019	5,636,962,800	1,366,872,024	4,270,090,776	6,050,872,698	5,663,107,304	387,765,394	316,001,387	3,945,141,416	3,744,660,902	200,480,514	125,071,674	4 7,821,873,420	7,368,409,590	453,463,830	286,631,133	Ś.
BGC FINANCIAL LP	FCM BD	NFA	10/31/2019	24,050,149	2,538,787	21,511,362	0	0	0	0	0 0	0 0	0	0	0 (0 0	0	0	4
BNP PARIBAS SECURITIES CORP BOCI COMMODITIES & FUTURES USA LLC	FCM BD FCM	CBOT	10/31/2019 10/31/2019	2,107,394,547 6,514,843	442,410,652 1,000,000	1,664,983,895	3,018,125,712	2,776,158,271 4,350,149	241,967,441 3,536,989	195,000,000 1,000,000	724,725,914	226,308,659	498,417,255	30,000,000	1,355,797,529	9 1,205,861,808	149,935,721	120,000,000	
BOFA SECURITIES INC	FCM BD	CBOT		11,209,187,988	2,399,803,346	8,809,384,642	17,111,239,868	16,827,833,841	283,406,027	200,000,000	4,418,481,467	4,163,031,395	255,450,072	150,000,000	9,058,747,910	8,498,747,034	560,000,876	150,000,000	j
CANTOR FITZGERALD & CO	FCM BD	CBOT		270,684,344	3,087,639	267,596,705	4,969,921	0	4,969,921	3,000,000	0 0	0	0	C	0 (0 0	0	0	1
CHARLES SCHWAB FUTURES, INC.	FCM		10/31/2019	68,489,615	6,732,176	61,757,439	163,638,840	100,967,225	62,671,615	17,164,428	50,000	0 0	50,000	1	1 (0 0	0	0	4
CHS HEDGING LLC CITIGROUP GLOBAL MARKETS INC	FCM FCM BD SD	CBOT/NFA	10/31/2019	57,154,482 10.207.256.510	9,698,547 3.264,106,262	47,455,935 6,943,150,248	182,526,997	129,291,681 11,429,013,740	53,235,316 677,325,709	13,600,000 428,000,000	1,527,272	3.512.493.336	1,527,272 771,859,057	200,000	0 503,912 0 31,006,331,743	2 29.589.285.908	503,912 1,417,045,835	120,000 504,000,000	
CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT		10,275,618,011	1,651,929,302	8,623,688,709	5,437,986,264		339,835,973	254,907,515	5,125,898,339	3,953,215,337	1,172,683,002	197,660,767	7 13,034,693,013	12,069,205,298	965,487,715	603,460,265	i
CUNNINGHAM COMMODITIES LLC	FCM	CBOT	10/31/2019	5,818,707	1,095,526	4,723,181	84,931,422	81,323,194	3,608,228	3,050,000	2,146,232	1,609,316	536,916	100,000	0 (0 0	0	0	1
DAIWA CAPITAL MARKETS AMERICA INC DEUTSCHE BANK SECURITIES INC	FCM BD FCM BD	CME CBOT	10/31/2019 10/31/2019	1,006,593,803	1,527,846	1,005,065,957 10.823,115,961	2,173,725 2,810,512,325	2,605,118,069	2,173,725 205,394,256	125,000,000	557,455 722,546,035	0 592,826,521	557,455 129,719,514	75,000,000		0	0	0	
DIRECT ACCESS USA LLC	FCM BD FCM	CBOT		11,069,394,026	246,278,065 1,184,654	10,823,115,961	2,810,512,325 32,948,592	2,605,118,069	205,394,256	2,500,000	/22,546,035	592,826,521	129,719,514	/5,000,000		0 0	0	0	
DORMAN TRADING LLC	FCM	CME	10/31/2019	15,390,020	1,598,558	13,791,462	189,439,473	184,363,947	5,075,526	2,000,000	5,221,886		781,693	200,000		0 0	0	0	i
E D & F MAN CAPITAL MARKETS INC	FCM BD		10/31/2019	198,104,153	89,155,867	108,948,286	1,790,063,827	1,700,218,492	89,845,335	44,250,000	64,283,711	54,813,488	9,470,223	5,000,000	1,934,236	694,192	1,240,044	500,000	4
E*TRADE FUTURES LLC GAIN CAPITAL GROUP LLC	FCM FCMRFD		10/31/2019 10/31/2019	27,918,485	2,643,364 33,271,194	25,275,121 24,034,407	77,000,258 225,786,519	50,065,292 213,172,692	26,934,966 12,613,827	5,000,000	0 5.029.642	2,409,390	0 2,620,252	1.000.000		0	0	0	246,845,5
GATIN CAPITAL GROUP LLC	FCM		10/31/2019	22,492,531	6,340,347	16,152,184	115,283,112	93,284,969	21,998,143	3,500,000	3,565,007	2,409,390	1,143,835	400,000		0 0	0	0	240,045,5
GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	10/31/2019	20,414,820,163	2,754,092,794	17,660,727,369	24,066,906,200	23,223,260,264	843,645,936	675,000,000	9,207,402,676	8,633,231,333	574,171,343	475,000,000	7,530,939,175	7,090,211,692	440,727,483	350,000,000	1
HSBC SECURITIES USA INC	FCM BD		10/31/2019	1,105,684,617	318,589,311	787,095,306	2,504,515,461		134,937,453	123,000,000	157,376,321	117,221,058	40,155,263	25,000,000	1,221,406,06	1,029,577,884	191,828,177	177,000,000	/
HUATAI FINANCIAL USA INC	FCM	NFA NFA	10/31/2019	4,350,384	1,000,000	3,350,384	18,512,389	16,999,663	1,512,726	600,000	349,531	25,464	324,067	150,000	0 (0 0	0	0	13 268 7
INTERACTIVE BROKERS LLC	FCM BD	CME	10/31/2019	5,178,929,081	436,508,420	4,742,420,661	4,368,161,554	4,161,814,250	206,347,304	155,000,000	621,448,916	501,349,354	120,099,562	80,000,000) (0	0	0	70.113.5
INTL FCSTONE FINANCIAL INC	FCM BD		10/31/2019	171,861,698	100,890,369	70,971,329	2,309,959,810	2,254,599,063	55,360,747	40,000,000	176,414,341	162,900,584	13,513,757	6,000,000		187,480	1,502,520	1,000,000)
IRONBEAM INC	FCM	NFA	10/31/2019	4,702,756	1,000,000	3,702,756	60,867,402	55,813,400	5,054,002	1,600,000	342,148	172,016	170,132	50,000	0 (0 0	0	0	4
JEFFERIES LLC JP MORGAN SECURITIES LLC	FCM BD FCM BD SD	NFA	10/31/2019 10/31/2019	1,392,479,798 22,953,685,456	114,803,557 3,907,919,378	1,277,676,241 19,045,766,078	24,669,284,834	23,237,851,492	0 1,431,433,342	0 1,161,892,575	0 5,387,302,678	5,015,913,858	0 371,388,820	0 300,954,831	1 17,125,833,653	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	1,071,924,506	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	
MACQUARIE FUTURES USA LLC	FCW BD SD	CBOT	10/31/2019	22,953,665,456	205.618.923	63.361.104	2,641,365,233	2,453,575,190	1,431,433,342	1,161,692,575	34.010.806	15.644.478	18.366.328	7 000 000		2.952.988	21.279.810	1 000 000	1
MAREX NORTH AMERICA LLC	FCM	CME		91,621,962	73,013,130	18,608,832	1,522,203,139	1,492,594,874	29,608,265	20,330,000	58,913,421	40,865,684	18,047,737	10,250,000	0 (0 0	0	0	j
MCVEAN TRADING & INVESTMENTS LLC	FCM		10/31/2019	13,965,831	2,016,271	11,949,560	683,234,080	660,735,892	22,498,188	18,000,000	2,567,861	0	2,567,861	1,000,000	0 (0 0	0	0	/
MERRILL LYNCH PROFESSIONAL CLEARING CORP MID CO COMMODITIES INC	FCM BD FCM	NFA NFA		4,443,789,474 10.521.322	1,143,856,761 4,271,779	3,299,932,713 6,249,543	2,341,790,499 45,143,534	855,976,291	1,485,814,208	300,000,000 5,138,000	0 0	0	0		0 0	0	0	0	<u></u>
MINT BROKERS	FCM BD	NFA		2.073.456	1,000,000	1.073.456	45,145,554	0	0	5,138,000	0	0	0		0 0	0 0	0	0	
MITSUI BUSSAN COMMODITIES USA INC	FCM		10/31/2019	17,829,558	1,000,000	16,829,558	3,838,238	820,094	3,018,144	2,500,000	0 0	0	0	C	0 (0 0	0	. 0	J.
MIZUHO SECURITIES USA LLC MORGAN STANIEY & COLLC	FCM BD		10/31/2019	721,820,423	315,769,556	406,050,867	4,586,784,784	4,381,244,053	205,540,731 290,548.801	125,000,000 235,000,000	916,979,597	789,826,788	127,152,809	70,000,000		3 1,060,750	20,095,988	92 000 000	4
MORGAN STANLEY & COLLC NANHUA USA LLC	FCM BD SD FCM		10/31/2019	13,626,968,187 16,417,596	2,948,973,392	10,677,994,795 14,639,880	18,545,505,782 47,740,349	18,254,956,981	290,548,801	235,000,000 3,500,000	1,807,248	5,274,232,818	191,967,805 273,419	140,000,000	22,064,857,238	3 21,109,145,323	955,711,915	92,000,000	
NATWEST MARKETS SECURITIES INC	FCM BD		10/31/2019	622,670,641	42,530,713	580,139,928	639,475,809	601,122,780	38,353,029	20,000,000	17,052,961	9,616,258	7,436,703	2,000,000	0 0	0 0	0	0	1
NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	10/31/2019	2,278,615,434	151,555,241	2,127,060,193	307,141,890	193,872,656	113,269,234	19,000,000	17,786,877	0	17,786,877	1,000,000	0 (0 0	0	0	/
OANDA CORPORATION PHILLIP CAPITAL INC	FCMRFD FCM BD		10/31/2019	51,582,086 33,956,121	32,275,821 18,933,506	19,306,265	444.931.352	434,228,701	0 10.702.651	9,000.000	9.072.715	6.306.367	2.766.348	2.000.000	0 0	0 0	0	0	242,184,4
PICTET OVERSEAS INC	FCM BD	NFA		29,398,507	7,905,665	21,492,842	87,138,791	84,301,425	2,837,366	9,000,000	47,170,703	44,236,778	2,766,346	2,000,000	0 (0 0	0	0	
RAND FINANCIAL SERVICES INC	FCM	CME	10/31/2019	94,575,041	13,126,172	81,448,869	150,089,600	112,795,600	37,294,000	3,383,900	37,367,500	12,060,600	25,306,900	361,800) 0	0	0	1
RBC CAPITAL MARKETS LLC	FCM BD FCM		10/31/2019	1,841,076,664	241,275,274	1,599,801,390	1,829,518,236	1,621,721,315	207,796,921	120,000,000	290,173,179	223,111,638	67,061,541	20,000,000	0 859,470,595	5 592,841,440	266,629,155	80,000,000	
RJ OBRIEN ASSOCIATES LLC SANTANDER INVESTMENT SECURITIES INC	FCM FCM BD	CME	10/31/2019 10/31/2019	228,905,499 444,856,601	177,808,484 64,264,054	51,097,015 380,592,547	4,397,693,978 757,366,048	4,276,121,430 739,439,585	121,572,548 17,926,463	50,000,000 15,000,000	156,992,343	130,033,887	26,958,456	20,000,000		0 0	0	0	1
SCOTIA CAPITAL USA INC	FCM BD	CME	10/31/2019	881,643,481	87,395,385	794,248,096	0	0	0	0	0	0	0	0	0 0	0 0	0	0	1
SG AMERICAS SECURITIES LLC	FCM BD	CME		4,238,371,186	1,547,910,037	2,690,461,149	13,872,861,711	13,224,201,496	648,660,215	500,000,000	6,377,643,815	5,767,424,177	610,219,638	355,000,000		748,694,125	220,160,019	75,000,000	4
STRAITS FINANCIAL LLC TD AMERITRADE FUTURES & FOREX LLC	FCM FCM		10/31/2019 10/31/2019	25,401,038 144,435,920	8,613,382 22,599,199	16,787,656	254,991,352	238,495,758	16,495,594 96,812,653	2,000,000	22,969,305	15,153,601	7,815,704	300,000		0	0	0	0 61.710.4
TRADESTATION SECURITIES INC	FCM BD	CME	10/31/2019	127,176,606	5,458,919	121,030,721	584,884,050	568,578,022	16,306,028	9,000,000	25,248,326	22,242,854	3,005,472	800,000		0 0	0	0)
UBS FINANCIAL SERVICES INC	FCM BD	NFA		1,157,208,589	126,420,515	1,030,788,074	110,618,134	80,401,179	30,216,955	22,000,000	38,137,840	9,664,043	28,473,797	15,000,000	D (0 0	0	0	1
UBS SECURITIES LLC UOBBF CLEARING LIMITED	FCM BD FCM	CBOT	10/31/2019 10/31/2019	5,041,737,083	576,085,062	4,465,652,021	5,780,048,856	5,273,062,707	506,986,149	425,000,000	1,492,838,111	1,198,153,597	294,684,514	200,000,000	998,224,76	7 760,434,409	237,790,358	125,000,000	
WEDBUSH SECURITIES INC	FCM BD		10/31/2019	21,010,205	30,470,979	180,912,102	958,994,841	931,915,317	27,079,524	19,000,000	15,928,475	12,617,933	3,310,542	1.000.000) 0	0	0	1
WELLS FARGO SECURITIES LLC	FCM BD	CME	10/31/2019	8,130,423,205	1,245,056,984	6,885,366,221	4,010,269,549	3,786,869,876	223,399,673	135,000,000	600,426,822	508,534,611	91,892,211	30,000,000	12,168,847,118	10,445,831,268	1,723,015,850	315,000,000	1
YORK BUSINESS ASSOCIATES LLC	FCM	NFA	10/31/2019	7,278,158	1,000,000	6,278,158	41,567,502	34,995,730	6,571,772	2,000,000	1,761,503	1,194,346	567,157	200,000	0 (0 0	0	0	4
Totals		+'	++	+			180 432 864 059	170 321 109 042	10 111 754 997	6 380 092 807	50 992 304 892	45 207 867 927	5 784 436 OF4	2 529 275 724	125 275 517 994	116 567 775 650	8 707 742 224	3,741,541,629	634,122,75
	1	+	++	+			.30,732,004,039	. 70,521,107,002	.0,111,/34,77/	0,000,072,007	30,772,304,003	43,201,001,721	5,704,430,730	2,327,213,124	.23,213,311,004	.10,307,773,050	0,101,142,234	5,741,541,629	034,122,75
September Web Page Update	64	<u> </u>							['							1		ļ'	1
Additions	-	<u> </u>	───┤	├ ─────────					<u>├</u> ────									└──── ′	+
Additions None	0	<u>├</u> ────┘	++	+			1	+	<u>├</u> ────┘		+	+			+			<u>├</u> ────┘	+
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None	-	<u> </u>	───┤	├ ─────					<u>├</u> ────────────────────────────────────	·					-			└──── ′	+
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Name Changes None									<u> </u>									<u> </u>	
Name Changes	64																		

SELECTED FCM FINANCIAL DATA AS OF October 31, 2019 FROM REPORTS FILED BY November 26, 2019

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(a): FCM: Futures Commission Merchant that is registered with the Commodity Futures Trading Commission.				. I			-					
(a): FCM: Tube's Contributes Contributes and Exchange Contributions as a securities broken. (b): The FCM is also registered with the Securities and Exchange Commission as a securities broken.												
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												
So: The FCW rs ED is also registered with the Commodity Futures Trading Commission as a provisionally registered wash bealer.												
b. The follower with the bis also registered with the commonly ratines mading commission as a provisional	j registered shup dealer.											
(b): DSRO: Designated Self-Regulatory Organization. ECM/REED firms that are dually registered as SDs have tw	wo DSROs listed if they have	e a different DSR	O 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.				-					
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(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; 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 reguired 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 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.												
(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	s and options customers in c	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	d contract marke	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 requ	Jirement.											
(h): This represents the targeted excess of proprietary funds deposited into customer segregated accounts above	ve the customer segregation	n requirement.	his target amount is set by the firm.									
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(i): This represents the total amount of money, securities, and property held in secured accounts for futures and	a options customers who tra	ade on commodi	y exchanges located outside the United States in compliance with Part 30 of the Commodity Exchange Act.									
(i). This concepts the amount of funds an ECM is required to set aside for sustamors who trade on commodity	workbanges located outside	of the United St										
(j): This represents the amount of funds an FCM is required to set aside for customers who trade on commodity	excitatiges located outside	e of the officed St	IICS.									
(k): Excess/Deficient funds in separate Section 30.7 accounts is funds in separate Section 30.7 accounts, less th	no customor amount Part 20	0 roquiromont										
(K). Excess/Deficient funds in separate section 30.7 accounts is funds in separate section 30.7 accounts, less in	e customer amount Part 30	o requirement.										
(I): This represents the targeted excess of proprietary funds deposited into separate Section 30.7 accounts above	ve the customer amount Par	rt 30 requiremen	This target amount is set by the firm									
(i). This represents the targeted excess of proprietary rands deposited into separate section 50.7 accounts above	the eastomer amount ran	int so requiremen										
(m): This represents the total amount of money, securities, and property held in cleared swap customer account	ts for cleared swap custom	ers in compliance	with Section 4d(f) of the Commodity Exchange Act									
(iii). This represents the total amount of money, securities, and property near molecular shap easterner account	to for cleared swap custome						-					
(n): This represents the amount of funds an FCM is required to segregate for customers who trade cleared swap	DS.						-					
III. This represents the amount of roma and one to acquied to acquied the dation and the acceleration and the												
(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.												
(g): This represents the total amount of funds at an FCM, RFED, or FCMRFD that would be obtained by combining	ng all money, securities and	d property depos	ted by a retail forex customer into a retail forex account or accounts, adjusted for the realized and unrealized net profit or loss.									