<table>
<thead>
<tr>
<th>Futures Commission Merchant / Retail Foreign Exchange Dealer</th>
<th>Registered As</th>
<th>DIIID</th>
<th>As of Date</th>
<th>Adjusted Net Capital</th>
<th>Net Capital Requirement</th>
<th>Excess Net Capital</th>
<th>Customers' Assets in Long</th>
<th>Customers' Liabilities in Short</th>
<th>Excess Deficient in Long</th>
<th>Target Residual Capital in Long</th>
<th>Funds in Separate Section 36.7 Accounts</th>
<th>Funds in Separate Section 36.7 Accounts</th>
<th>Customer Amount</th>
<th>Target Residual Capital in Separated Swap Accounts</th>
<th>Funds in Separate Section 36.7 Accounts</th>
<th>Funds in Separate Section 36.7 Accounts</th>
<th>Total Amount of Mandated Capital Requirement</th>
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<tr>
<td>76</td>
<td>FCM BD</td>
<td>0</td>
<td>07/31/2018</td>
<td>2,610,000</td>
<td>72,565,909</td>
<td>228,771,514</td>
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<td>0</td>
<td>0</td>
<td>2,700,000</td>
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<td>8,000,000</td>
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<td>152,663,741</td>
<td>8,274,497,913</td>
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<td>77</td>
<td>FCM</td>
<td>CBOT</td>
<td>NFA</td>
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<td>07/31/2018</td>
<td>2,610,000</td>
<td>72,565,909</td>
<td>228,771,514</td>
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<td>0</td>
<td>2,700,000</td>
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<td>8,000,000</td>
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<td>152,663,741</td>
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<td>78</td>
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<td>IRONBEAM INC</td>
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<td>WELLS FARGO SECURITIES LLC</td>
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<td>DEUTSCHE BANK SECURITIES INC</td>
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<td>CME</td>
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<td>UBS FINANCIAL SERVICES INC</td>
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</tr>
</tbody>
</table>
### Selected FCM Financial Data as of July 31, 2018

From reports filed by August 27, 2018

- **(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.
- **(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 held in customer segregated accounts of the FCM into one or more retail forex accounts, adjusted for the realized and unrealized net profit or loss.
- **(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.
- **(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.
- **(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 in compliance with Section 4d 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.
- **(f):** This represents the total amount of funds that an FCM is required to segregate on behalf of customers who are trading or executing swap transactions through an agency trading floor 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.

### Net Capital

- **(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.

### Capital Requirements

- **(a):** FCM: Futures Commission Merchant that is registered with the Commodity Futures Trading Commission.
- **(b):** DSRO: Designated Self-Regulatory Organization. FCM/RFED firms that are dually registered as SDs have two DSROs. 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 FCM's offering or engaged in retail forex transactions and RFEDs ($20,000,000); or

### Definitions

- **RFED:** Retail Foreign Exchange Dealer 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.
- **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.