

SELECTED FCM FINANCIAL DATA AS OF
January 31, 2019
FROM REPORTS FILED BY
February 28, 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 (m)	Customer Amount Cleared Swap Seg Required (n)	Excess/Deficient Funds in Cleared Swap Seg Accounts (o)	Target Residual Interest in Cleared Swap Seg (p)	Total Amount of Retail Forex Obligation (q)
		(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)					
1	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	01/31/2019	694,919,672	162,273,508	532,646,164	2,958,993,371	2,594,792,314	364,201,057	235,826,895	126,732,661	105,522,808	21,209,853	10,552,281	0	0	0	0	0
2	ADM INVESTOR SERVICES INC	FCM	CBOT	01/31/2019	305,089,870	175,002,988	130,086,882	4,230,766,796	4,019,791,368	210,975,428	120,000,000	338,898,181	292,075,582	46,822,599	20,000,000	14,722,133	4,569,861	10,152,272	8,000,000	0
3	ADVANTAGE FUTURES LLC	FCM	CME	01/31/2019	20,282,624	6,802,364	13,480,260	302,024,968	278,456,139	23,568,829	15,000,000	32,331,405	29,869,926	2,461,479	1,000,000	0	0	0	0	0
4	AMP GLOBAL CLEARING LLC	FCM	NFA	01/31/2019	4,762,881	1,000,000	3,762,881	52,337,030	47,343,744	4,993,286	900,000	1,860,462	1,528,606	331,856	150,000	0	0	0	0	0
5	APEX CLEARING CORPORATION	FCM BD	NFA	01/31/2019	151,659,771	9,542,644	142,117,127	23,261,982	12,334,296	10,927,686	2,500,000	0	0	0	0	0	0	0	0	0
6	BARCLAYS CAPITAL INC	FCM BD	NYME	01/31/2019	5,527,427,053	1,021,257,330	4,506,169,723	4,806,413,055	4,456,089,585	350,323,470	163,538,488	3,256,385,577	3,053,307,745	203,077,832	101,980,479	6,437,455,294	5,990,645,815	446,809,479	214,465,120	0
7	BGC FINANCIAL LP	FCM BD	NFA	01/31/2019	25,588,826	1,943,924	23,644,902	0	0	0	0	0	0	0	0	0	0	0	0	0
8	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	01/31/2019	2,015,567,073	430,088,778	1,585,478,295	3,067,844,844	2,839,334,245	228,510,599	151,000,000	183,516,677	145,403,741	38,112,936	30,000,000	1,070,984,281	921,577,067	149,407,214	120,000,000	0
9	BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	01/31/2019	6,439,002	1,000,000	5,439,002	15,380,839	11,715,091	3,665,748	1,000,000	6	0	6	1	6	0	0	1	0
10	BOFA SECURITIES INC	FCM	NFA	01/31/2019	2,025,167,410	1,500,000	2,023,667,410	0	0	0	0	0	0	0	0	0	0	0	0	0
11	CANTOR FITZGERALD & CO	FCM BD	CBOT	01/31/2019	295,017,766	4,630,971	290,386,795	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	NFA	01/31/2019	97,860,191	4,402,169	93,458,022	120,495,418	59,164,306	61,331,112	10,057,932	2,524,465	408	2,524,057	69	0	0	0	0	0
13	CHS HEDGING LLC	FCM	CBOT	01/31/2019	54,011,663	8,679,767	45,331,896	188,925,539	134,784,632	54,140,907	13,600,000	1,529,371	0	1,529,371	200,000	503,912	0	503,912	120,000	0
14	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	01/31/2019	8,901,136,051	2,586,909,685	6,314,226,366	10,451,081,625	9,934,500,869	516,580,756	397,300,000	3,236,185,270	3,038,071,561	198,113,709	150,000,000	25,060,273,891	24,530,839,780	529,434,111	441,200,000	0
15	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	01/31/2019	8,868,279,566	1,347,266,977	7,521,012,589	5,681,145,941	5,328,093,818	353,052,123	266,404,691	4,017,487,732	3,495,277,092	522,210,640	174,763,855	10,870,732,771	9,918,430,207	952,302,564	495,921,510	0
16	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	01/31/2019	5,421,516	1,178,562	4,242,954	68,445,640	64,809,343	3,636,297	3,050,000	2,930,220	2,399,409	536,811	100,000	0	0	0	0	0
17	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	01/31/2019	956,452,012	1,905,739	954,546,273	2,172,331	0	2,172,331	1	566,557	0	566,557	1	0	0	0	0	0
18	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	01/31/2019	13,785,379,674	208,542,598	13,576,837,076	2,180,724,626	1,978,523,832	202,200,794	125,000,000	681,756,039	553,120,761	128,635,278	75,000,000	0	0	0	0	0
19	DIRECT ACCESS USA LLC	FCM	CME	01/31/2019	8,142,781	1,000,000	7,142,781	10,762,510	7,368,823	3,393,687	2,500,000	0	0	0	0	0	0	0	0	0
20	DORMAN TRADING LLC	FCM	CME	01/31/2019	13,562,539	1,093,384	12,469,155	154,499,939	149,890,514	4,609,425	2,000,000	4,512,741	3,944,466	568,275	200,000	0	0	0	0	0
21	E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	01/31/2019	167,729,277	62,614,881	105,114,396	1,486,208,648	1,412,147,249	74,061,299	41,250,000	66,525,862	55,920,811	10,605,051	5,000,000	1,890,614	680,296	1,210,318	500,000	0
22	E*TRADE FUTURES LLC	FCM	NFA	01/31/2019	25,978,531	1,765,054	24,213,477	60,064,394	34,377,082	25,687,312	5,000,000	0	0	0	0	0	0	0	0	0
23	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	01/31/2019	55,768,736	32,929,043	22,839,693	233,090,107	215,910,511	17,179,596	10,000,000	5,175,372	2,893,945	2,281,427	1,000,000	0	0	0	0	248,327,491
24	GH FINANCIALS LLC	FCM	CME	01/31/2019	19,937,266	4,848,155	15,089,111	94,149,360	74,409,459	19,739,901	3,100,000	5,479,550	4,368,905	1,110,645	300,000	0	0	0	0	0
25	GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	01/31/2019	17,338,523,078	2,409,515,565	14,929,007,513	23,743,168,679	22,885,798,679	857,369,755	675,000,000	8,857,748,286	8,284,716,907	573,031,379	475,000,000	6,549,557,751	6,115,340,801	434,216,950	350,000,000	0
26	HSBC SECURITIES USA INC	FCM BD	CME	01/31/2019	1,160,444,450	303,814,676	856,629,774	2,346,159,426	2,226,425,262	119,734,164	109,000,000	174,427,614	139,590,951	34,836,663	25,000,000	981,388,160	875,802,937	105,585,223	83,000,000	0
27	HUATAI FINANCIAL USA INC	FCM	NFA	01/31/2019	5,512,494	1,000,000	4,512,494	0	0	0	0	0	0	0	0	0	0	0	0	0
28	INTERACTIVE BROKERS LLC	FCM BD	CME	01/31/2019	5,011,873,332	410,023,927	4,601,849,405	4,106,389,744	3,856,565,723	249,824,021	155,000,000	554,081,532	436,209,350	117,872,182	80,000,000	0	0	0	0	54,323,202
29	INTL ECSTONE FINANCIAL INC	FCM BD	CME	01/31/2019	182,984,748	87,798,412	95,186,336	2,180,433,896	2,121,345,622	59,088,274	40,000,000	119,918,080	103,826,601	16,091,479	8,000,000	0	0	0	0	0
30	IRONBEAM INC	FCM	NFA	01/31/2019	4,785,683	1,000,000	3,785,683	58,317,157	54,173,958	4,143,199	1,600,000	435,794	280,618	155,176	50,000	0	0	0	0	0
31	JEFFERIES LLC	FCM BD	NFA	01/31/2019	1,498,925,182	102,049,550	1,396,875,632	0	0	0	0	0	0	0	0	0	0	0	0	0
32	JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	01/31/2019	16,127,576,418	3,098,209,512	13,029,366,906	21,679,983,364	20,442,430,092	1,237,553,272	1,022,121,505	5,011,584,010	4,635,280,244	376,303,766	278,116,815	13,020,535,465	12,220,527,297	800,008,168	641,577,683	0
33	MACQUARIE FUTURES USA LLC	FCM	CBOT	01/31/2019	267,941,458	191,473,971	76,467,487	2,399,568,678	2,134,272,010	265,296,468	100,000,000	39,010,261	21,522,948	17,487,313	7,000,000	23,540,210	2,679,588	20,860,622	1,000,000	0
34	MAREX NORTH AMERICA LLC	FCM	CME	01/31/2019	101,774,025	21,111,207	80,662,818	249,998,560	246,412,476	3,586,084	2,330,000	64,311,662	61,221,219	3,090,443	2,250,000	0	0	0	0	0
35	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	01/31/2019	14,445,451	2,281,004	12,164,447	713,277,732	690,533,735	22,743,997	18,000,000	2,567,861	0	2,567,861	1,000,000	0	0	0	0	0
36	MERRILL LYNCH PIERCE FENNER & SMITH INCORPORATED	FCM BD	CBOT	01/31/2019	14,061,870,316	2,000,841,635	12,061,028,681	15,186,139,154	14,840,567,149	345,572,005	200,000,000	4,571,745,657	4,350,136,195	221,609,462	150,000,000	7,083,561,836	6,713,507,637	370,054,199	150,000,000	0
37	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	01/31/2019	4,539,546,060	660,189,531	3,879,356,529	1,697,252,521	642,955,955	1,054,296,566	300,000,000	0	0	0	0	0	0	0	0	0
38	MID CO COMMODITIES INC	FCM	NFA	01/31/2019	8,054,034	3,789,894	4,264,140	43,235,496	34,522,667	8,712,829	5,138,000	0	0	0	0	0	0	0	0	0
39	MINT BROKERS	FCM BD	NFA	01/31/2019	2,357,065	1,000,000	1,357,065	0	0	0	0	0	0	0	0	0	0	0	0	0
40	MITSUI BUSSAN COMMODITIES USA INC	FCM	NFA	01/31/2019	13,918,948	1,000,000	12,918,948	0	0	0	0	0	0	0	0	0	0	0	0	0
41	MIZUHO SECURITIES USA LLC	FCM BD	CME	01/31/2019	753,861,054	257,705,147	496,155,907	3,623,714,564	3,422,048,064	201,666,500	125,000,000	748,966,528	623,899,635	125,066,893	70,000,000	29,572,807	1,068,385	28,504,422	15,000,000	0
42	MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	01/31/2019	14,644,690,467	2,506,588,705	12,138,101,762	17,817,205,887	17,481,041,808	336,164,079	280,000,000	5,307,182,479	5,118,379,569	188,802,910	140,000,000	15,329,126,806	14,925,510,242	403,616,564	92,000,000	0
43	NANHUA USA LLC	FCM	CME	01/31/2019	16,705,217	1,000,000	15,705,217	34,914,055	23,258,724	11,655,331	3,500,000	0	0	0	0	0	0	0	0	0
44	NATWEST MARKETS SECURITIES INC	FCM BD	CBOT	01/31/2019	931,672,581	39,101,809	892,570,772	602,779,754	523,497,918	79,281,836	60,000,000	21,395,738	15,249,660	6,146,078	5,000,000	0	0	0	0	0
45	NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	01/31/2019	1,436,881,488	122,824,217	1,314,057,271	292,486,093	184,927,317	107,558,776	15,000,000	17,836,795	0	17,836,795	1,000,000	0	0	0	0	0
46	OANDA CORPORATION	FCMRFD	NFA	01/31/2019	73,202,250	57,322,726	15,879,524	0	0	0	0	0	0	0	0	0	0	0	0	202,722,353
47	PHILLIP CAPITAL INC	FCM BD	CME	01/31/2019	30,271,888	13,627,441	16,644,447	336,660,332	326,196,590	10,463,742	7,500,000	11,691,061	8,706,881	2,984,180	2,000,000	0	0	0	0	0
48	PICTET OVERSEAS INC	FCM BD	NFA	01/31/2019	17,142,577	2,532,261	14,610,316	2,102,589	298,208	1,804,381	1,500,000	42,799,251	40,301,264	2,497,987	500,000	0	0	0	0	0
49	RAND FINANCIAL SERVICES INC																			

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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:
• 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.