## SELECTED FCM FINANCIAL DATA AS OF June 30, 2020 FROM REPORTS FILED BY July 24, 2020

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	Target Residual Interest in Section 30.7	Funds in Separate Cleared Swap	Customer Amount Cleared Swap Seg	Excess/Deficient Funds in Cleared Swap Seg	Target Residual Interest in Cleared Swap	Total Amount of Retail Forex Obligation
	(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	30.7 Accounts (k)	(I)	Segregation (m)	Required (n)	Accounts (0)	Seg (p)	(q)
	FOM DD	CDOT	06/20/2020	FF0 702 220	210.000.001	240.022.450	2 604 665 260	2 102 100 211	400 504 053	204 644 042	02 705 012	77 040 450	45 777 254	7 704 046					
1 ABN AMRO CLEARING CHICAGO LLC 2 ADM INVESTOR SERVICES INC	FCM BD FCM	CBOT	06/30/2020 06/30/2020	559,792,339 332,352.042	210,969,881 218,077,960	348,822,458 114,274,082	3,681,665,268 4,779,436,963	3,192,160,311 4,569,578,959	489,504,957 209.858.004	284,614,842 120.000.000	92,795,813 308,766,011	77,018,459 263,137,480	15,777,354 45,628,531	7,701,846	9,801,333	0	9,801,333	000,000	
3 ADVANTAGE FUTURES LLC	FCM	CMF	06/30/2020	22,443,794	9,911,054	12,532,740	361,621,826	338,197,203	23,424,623	12,000,000	27,834,524	24,038,745	3,795,779	1,000,000	9,001,000	0	5,001,555	0,000,000	
4 AMP GLOBAL CLEARING LLC	FCM	NFA	06/30/2020	5,651,789	1,000,000	4,651,789	64,404,617	58,269,246	6,135,371	900,000	2,027,534	1,680,012	347,522	150,000	0	0	0	0	
5 APEX CLEARING CORPORATION	FCM BD	NFA	06/30/2020	190,092,117	15,942,495	174,149,622	43,170,716	23,880,306	19,290,410	6,000,000	0	0	0	0	0	0	0	0	
6 BAKKT CLEARING LLC 7 BARCLAYS CAPITAL INC	FCM	NFA NYME	06/30/2020	11,258,169 6.817.025.388	1,000,000	10,258,169 5,245,621,442	0	0	0	0	0	0	0	0	0	0	0	0	
8 BNP PARIBAS SECURITIES CORP	FCM BD FCM BD	CBOT	00/00/2020	6,817,025,388 2,233,326,405	1,571,403,946 617,341,709	5,245,621,442	9,736,923,868 4,307,580,104	9,322,981,752 4,006,819,844	413,942,116 300,760,260	350,544,115 240,000,000	3,196,355,297 266,830,043	2,995,310,948 166,372,624	201,044,349 100,457,419	100,043,386 30,000,000	7,916,770,120 2,131,829,810	7,515,676,120 1,963,408,990	401,094,000 168,420,820	223,215,581 90,000,000	
9 BOCI COMMODITIES & FUTURES USA LLC	FCM	CMF	00/00/2020		1,000,000	4.836.672	8,407,876	5,005,270	3.402.606	1,000,000	200,030,045	100,372,024	100,437,419	30,000,000	2,131,029,010	1,505,400,550	100,420,020	50,000,000	
0 BOFA SECURITIES INC	FCM BD	CBOT	06/30/2020	16,636,447,516	3,041,086,929	13,595,360,587	22,824,753,526	22,437,544,838	387,208,688	200,000,000	5,676,120,595	5,353,426,468	322,694,127	150,000,000	11,600,816,521	11,349,442,446	251,374,075	150,000,000	
1 CANTOR FITZGERALD & CO	FCM BD	CBOT		390,820,904	2,562,332	388,258,572	4,969,921	0	4,969,921	3,000,000	0	0	0	0	0	0	0	0	
2 CHARLES SCHWAB FUTURES, INC.	FCM	NFA	06/30/2020	43,330,125	11,364,110	31,966,015	199,546,209	144,859,829	54,686,380	24,626,171	50,000	0	50,000	1	0 580,468	0	0	0	
3 CHS HEDGING LLC 4 CITIGROUP GLOBAL MARKETS INC	FCM FCM BD SD	CBOT CBOT/NFA		63,194,523 10,195,641,912	9,159,009 3,960,856,561	54,035,514 6,234,785,351	188,950,523 16,418,679,049	134,140,158 15,982,040,970	54,810,365 436,638,079	13,600,000 331,800,000	1,527,272 4,472,681,044	4,100,982,689	1,527,272 371,698,355	200,000 163,800,000	36,787,839,624	70,024 36,047,118,146	510,444	120,000 506,800,000	
5 CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	06/30/2020	10,362,118,220	1,972,824,169	8,389,294,051	8,326,511,290	7,855,650,131	470,861,159	392,782,507	5,301,388,165	4,868,999,009	432,389,156	243,449,950	14,931,679,248	13,974,339,949	957,339,299	698,716,997	
6 CUNNINGHAM COMMODITIES LLC	FCM		06/30/2020	5,767,109	1,000,000	4,767,109	48,616,572	45,030,676	3,585,896	3,050,000	896,447	359,302	537,145	100,000	0	0	0	0	
7 DAIWA CAPITAL MARKETS AMERICA INC	FCM BD		06/30/2020		1,500,000	1,188,324,378	2,173,770	0	2,173,770	125 000 000	549,278	0	549,278	1	0	0	0	0	
8 DEUTSCHE BANK SECURITIES INC 9 DIRECT ACCESS USA LLC	FCM BD FCM	CBOT	06/30/2020	8,323,534,151	351,668,784	7,971,865,367	4,191,274,909 28.846,110	3,888,919,521	302,355,388 10,160,767	125,000,000	890,289,723	686,937,907	203,351,816	75,000,000	0	0	0	0	
0 DORMAN TRADING LLC	FCM	CME	06/30/2020	14,040,940	2,810,615	11,230,325	260,482,672	254,148,571	6,334,101	2,000,000	8,623,931	7,963,629	660,302	200,000	0	0	0	0	
1 E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	06/30/2020	187,652,721	106,007,638	81,645,083	2,276,218,372	2,194,113,658	82,104,714	44,250,000	79,735,606	67,172,980	12,562,626	5,000,000	1,051,021	0	1,051,021	500,000	
2 E*TRADE FUTURES LLC 3 GAIN CAPITAL GROUP LLC	FCM FCMRFD	NFA NFA	06/30/2020 06/30/2020	31,079,124 66,507,406	3,718,954 30,606,616	27,360,170 35,900,790	95,741,336 228,850,768	65,840,858 209,547,529	29,900,478 19,303,239	5,000,000 10,000,000	4,152,542	0 2,566,054	0 1,586,488	1,000,000	0	0	0	0	222,132,32
4 GH FINANCIALS LLC	FCMRFD		06/30/2020		6,539,135	35,900,790	228,850,768 101,102,184	209,547,529 80,126,383	20,975,801	3,700,000	4,152,542 5,180,050	2,566,054 3,921,507	1,258,543	1,000,000	0	0	0	0	222,132,32
5 GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	06/30/2020	20.839.845.557	4,052,840,281	16,787,005,276	35,579,261,687	34,685,065,274	894,196,413	675,000,000	10,711,159,993	10,140,717,783	570,442,210	475,000,000	11,362,818,188	10,916,340,130	446,478,058	350,000,000	
6 HIDDEN ROAD PARTNERS CIV US LLC	FCM BD	NFA		1,502,887	1,000,000	502,887	0	0	0	0	0	0	0	0	0	0	0	0	
7 HSBC SECURITIES USA INC 8 HUATAI FINANCIAL USA INC	FCM BD	CME	06/30/2020 06/30/2020	1,357,362,673	498,708,127	858,654,546	4,585,266,854	4,376,563,797 9,903,824	208,703,057	186,000,000 600,000	192,890,836 324,396	156,964,224 5,260	35,926,612 319,136	25,000,000	1,450,643,709	1,265,017,111	185,626,598	177,000,000	
9 IG US LLC	FCM RFED		06/30/2020	3,273,214 30,874,639	1,000,000 20,537,692	2,273,214 10,336,947	11,541,795	9,903,824	1,637,971	000,000	324,390	5,200	519,130	150,000	0	0	0	0	20,753,83
0 INTERACTIVE BROKERS LLC	FCM BD	CME	06/30/2020	5,062,619,877	452,496,423	4,610,123,454	5,653,282,476	5,449,811,607	203,470,869	155,000,000	696,033,919	574,705,107	121,328,812	80,000,000	0	0	0	0	64,422,14
1 INTL FCSTONE FINANCIAL INC	FCM BD	CME			126,046,470	72,517,157	2,705,583,382	2,650,867,171	54,716,211	40,000,000	160,641,555	148,801,722	11,839,833	6,000,000	3,337,285	330,382	3,006,903	1,000,000	
2 IRONBEAM INC 3 JEFFERIES LLC	FCM FCM BD	NFA NFA	06/30/2020 06/30/2020	5,172,215 1,502.016.970	1,000,000 81,507,735	4,172,215 1,420,509,235	57,701,998	52,050,888	5,651,110	1,600,000	342,655	168,074	174,581	50,000	0	0	0	0	
4 JP MORGAN SECURITIES LLC	FCM BD SD		06/30/2020		5,462,181,237	22,252,338,821	49,880,930,934	47,709,171,106	2,171,759,828	1,908,366,844	6,774,315,047	6,293,636,075	480,678,972	251,745,443	20,865,044,971	19,772,159,497	1.092.885.474	692,025,582	
5 MACQUARIE FUTURES USA LLC	FCM	CBOT	06/30/2020	277,691,861	226,319,418	51,372,443	2,784,293,672	2,612,287,946	172,005,726	100,000,000	76,581,469	58,556,742	18,024,727	7,000,000	22,544,049	1,209,937	21,334,112	1,000,000	
6 MAREX NORTH AMERICA LLC	FCM FCM	CME	06/30/2020	103,137,332 15,233,378	89,352,854	13,784,478 12,568,758	1,635,807,600 538,708,271	1,611,373,523	24,434,077 23,229,352	20,330,000 18,000,000	70,884,452 2,567,861	58,147,293	12,737,159 2,567.861	10,250,000	0	0	0	0	
7 MCVEAN TRADING & INVESTMENTS LLC 8 MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA NFA	06/30/2020 06/30/2020	7,353,862,800	2,664,620 1,222,750,274	6,131,112,526	2,716,742,924	515,478,919 1,399,587,878	1,317,155,046	300,000,000	2,567,861	0	2,567,861	1,000,000	0	0	0	0	
9 MID CO COMMODITIES INC	FCM	NFA	06/30/2020	11,524,551	4,115,748	7,408,803	25,257,411	12,770,390	12,487,021	5,138,000	0	0	0	0	0	0	0	0	
0 MINT BROKERS	FCM BD	NFA	06/30/2020	2,821,030	1,000,000	1,821,030	0	0	0	0	0	0	0	0	0	0	0	0	
1 MIZUHO SECURITIES USA LLC	FCM BD	CME	06/30/2020	991,333,723	463,761,979	527,571,744	6,546,540,646	6,299,317,487	247,223,159	125,000,000	917,227,494	795,357,634	121,869,860	70,000,000	20,436,893	0	20,436,893	10,000,000	
2 MORGAN STANLEY & CO LLC 3 NANHUA USA LLC	FCM BD SD FCM	CME/NFA CMF	06/30/2020 06/30/2020	13,606,116,108 15,993,721	4,195,466,808 2,751,640	9,410,649,300 13,242,081	25,975,913,344 63,085,102	25,581,082,990 52,450,152	394,830,354 10,634,950	235,000,000 3,500,000	7,927,246,258	7,702,047,201 1,430,165	225,199,057 332,974	<u>140,000,000</u> 100,000	28,152,047,516	27,292,971,156	859,076,360	92,000,000	
4 NATWEST MARKETS SECURITIES INC	FCM BD	CBOT	06/30/2020	619,596,400	69,322,246	550,274,154	995,217,273	922,640,192	72,577,081	20,000,000	13,301,560	3,851,049	9,450,511	2,000,000	0	Ő	Ŭ Û	0	
5 NOMURA SECURITIES INTERNATIONAL INC	FCM BD		06/30/2020		197,181,600	2,900,486,722	372,393,674	230,944,911	141,448,763	19,000,000	17,830,760	0	17,830,760	1,000,000	0	0	0	0	
6 OANDA CORPORATION 7 PHILLIP CAPITAL INC	FCMRFD FCM BD	NFA CMF	06/30/2020 06/30/2020	68,429,181 55,235,275	32,427,070 29,314,010	36,002,111 25,921,265	592,661,684	576.050.549	16,611,135	11.500.000	14,116,229	0 11,215,043	2,901,186	1 500 000	0	0	0	0	205,748,65
8 PICTET OVERSEAS INC	FCM BD		06/30/2020	51.026.621	21,925,397	29,101,224	251,972,401	247,866,210	4,106,191	2,750,000	85,504,611	82,883,056	2,621,555	1,250,000	0	0	0	0	
9 RAND FINANCIAL SERVICES INC	FCM	CME	06/30/2020	94,174,282	11,559,921 325,811,378	82.614.361	146,452,400	109,871,500 5,114,923,512	36,580,900	3,296,100 400,000,000	29,717,000 260,856,120	4,107,900	25,609,100	123,200	0	0	0	0	
0 RBC CAPITAL MARKETS LLC 1 RJ OBRIEN ASSOCIATES LLC	FCM BD FCM		06/30/2020 06/30/2020		325,811,378 207,917,006	2,684,177,397 53,083,155	5,648,145,706 4,958,284,482	5,114,923,512 4,794,703,694	533,222,194 163,580,788	400,000,000 50,000,000	260,856,120 205,719,019	158,383,457 174,025,635	102,472,663 31,693,384	20,000,000 20,000,000	888,884,570	668,751,642	220,132,928	80,000,000	
2 SANTANDER INVESTMENT SECURITIES INC	FCM BD		06/30/2020	431,325,183	152,785,885		2,039,879,715	1,965,349,288	74,530,427	70,000,000	205,715,015	17 1,025,055	0	20,000,000	0	0	Ő	0	
3 SCOTIA CAPITAL USA INC	FCM BD		06/30/2020	1,177,298,904	178,188,560	278,539,298 999,110,344	0	0	0	0	0	0	0	0	0	0	0	0	
4 SG AMERICAS SECURITIES LLC 5 STRAITS FINANCIAL LLC	FCM BD FCM		06/30/2020 06/30/2020	4,530,274,812	1,740,841,085 16,130,761	2,789,433,727 10,048,062	16,091,693,180	15,385,912,020	705,781,160 18,304,447	500,000,000	7,007,865,065	6,405,460,844 25,382,459	602,404,221 8,695,036	355,000,000 300,000	1,226,094,300	1,005,833,487	220,260,813	75,000,000	
6 TD AMERITRADE FUTURES & FOREX LLC	FCM	NFA	06/30/2020	26,178,823 174,513,830	22,705,094	151,808,736	402,360,914 337,553,435	384,056,467 231,954,674	105,598,761	2,000,000 50,000,000	0	23,302,439	0,053,030	0	0	0	0	0	63,727,95
7 TRADESTATION SECURITIES INC	FCM BD	CME	06/30/2020	139,137,730	4,694,110	134,443,620	637,665,191	612,888,176	24,777,015	9,000,000	18,382,947	15,326,236	3,056,711	800,000	0	0	0	0	
8 TRADING.COM MARKETS INC 9 UBS FINANCIAL SERVICES INC	RFED ECM BD	NFA NFA	06/30/2020	23,256,741 1,215,397,824	20,000,000	3,256,741 1,067,570,522	155 032 588	118 961 392	36.071.196	22.000.000	37 200 101	10 559 177	26.640.924	15 000 000	0	0	0	0	
0 UBS SECURITIES LLC	FCM BD	CBOT	00/30/2020	5,204,183,353	796,528,650	4,407,654,703	8,251,455,676	7,731,580,134	519,875,542	425,000,000	1,434,823,482	1,130,336,390	304,487,092	200,000,000	1,136.813.076	905.082.766	231,730,310	125,000,000	
1 WEDBUSH SECURITIES INC	FCM BD	CBOT	06/30/2020	171,244,338	36,132,083	135,112,255	1,315,208,039	1,289,005,484	26,202,555	19,000,000	17,930,437	14,874,196	3,056,241	1,000,000	0	0	0	0	
2 WELLS FARGO SECURITIES LLC	FCM BD		06/30/2020	9,297,810,123	1,558,833,394	7,738,976,729	4,699,669,256	4,296,631,209	403,038,047	310,000,000	606,754,630	484,641,225	122,113,405	50,000,000	16,057,323,042	15,272,551,540	784,771,502	575,000,000	
3 YORK BUSINESS ASSOCIATES LLC	FCM	NFA	06/30/2020	7,314,150	1,000,000	6,314,150	44,220,305	37,770,623	6,449,682	2,000,000	1,453,763	925,771	527,992	200,000	0		0	0	
Totals							263.879.712.464	251,896,434,343	11.983.278.121	7,865,448,580	57.653.316.174	53.072.397.531	4.580.918.643	2.532.233.828	154,566,355,750	147,950,303,323	6,616,052,427	3.855.378.161	576,784,924
May Web Page Undate	63																		
May Web Page Update	63																		
Additions None																			
Deletions																			
None																			
Name Changes																			
None																			
June Web Page Update	63																		

## SELECTED FCM FINANCIAL DATA AS OF June 30, 2020 FROM REPORTS FILED BY July 24, 2020

(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 SD 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											
<ul> <li>risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk maintenance margin; or</li> </ul>											
• the amount of capital required by a requistered futures association (currently NFA is the only such association); or											
<ul> <li>for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; or</li> </ul>											
<ul> <li>minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000); or</li> <li>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.</li> </ul>											
(d): Excess net capital is adjusted net capital, less the firm's net capital requirement.											
(U): Excess het capital is adjusted het capital, less the infinits het 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.											
(q): 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 searceated accounts above the customer searceation 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.											
III. THIS TESTESS THE TOTAL AND ONLY IN THIS PARTY AND THE CONTROL OF THE CONTROL											
(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 section 3											
(1): This represents the targeted excess of proprietary funds deposited into separate Section 30.7 accounts above the customer 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.											
(a). This represents the targeted every of promietary funds deposited into constants depart supercontion accounts above the depart of an external target to the firm											
(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 all money, securities and property deposited by a retail forex account, adjusted for the realized and unrealized and unre											