

SELECTED FCM FINANCIAL DATA AS OF  
November 30, 2020  
FROM REPORTS FILED BY  
December 23, 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 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)	(l)	(m)	(n)	(o)	(p)	(q)
1	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	11/30/2020	627,001,567	240,805,826	386,195,741	4,110,194,556	3,647,735,172	462,459,384	317,315,334	113,125,418	93,431,587	19,693,831	9,343,159	0	0	0	0	0
2	ADM INVESTOR SERVICES INC	FCM	CBOT	11/30/2020	349,377,451	241,060,211	108,317,240	5,379,670,214	5,173,037,747	206,632,467	170,000,000	408,454,408	362,199,583	46,254,825	20,000,000	9,804,534	0	9,804,534	8,000,000	0
3	ADVANTAGE FUTURES LLC	FCM	CME	11/30/2020	21,332,966	7,928,910	13,404,056	370,218,081	349,075,744	21,142,337	12,500,000	349,075,744	33,109,842	3,451,504	1,000,000	0	0	0	0	0
4	AMP GLOBAL CLEARING LLC	FCM	NFA	11/30/2020	6,189,495	1,000,000	5,189,495	68,256,690	61,924,183	6,332,507	900,000	2,089,381	1,729,096	360,285	150,000	0	0	0	0	0
5	APEX CLEARING CORPORATION	FCM BD	NFA	11/30/2020	213,633,971	26,392,715	187,241,256	56,600,799	32,095,382	24,505,417	7,000,000	0	0	0	0	0	0	0	0	0
6	BAKKT CLEARING LLC	FCM	NFA	11/30/2020	4,108,925	1,000,000	3,108,925	0	0	0	0	0	0	0	0	0	0	0	0	0
7	BARCLAYS CAPITAL INC	FCM BD	NYME	11/30/2020	6,026,447,699	1,737,574,611	4,288,873,088	9,200,153,442	8,899,146,236	301,007,206	55,000,000	3,206,781,003	3,031,320,618	175,460,385	12,000,000	9,804,711,389	9,399,129,570	405,581,819	250,000,000	0
8	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	11/30/2020	2,352,774,470	555,461,279	1,797,313,191	3,830,225,095	3,529,279,420	300,945,675	240,000,000	319,280,414	242,828,335	76,452,079	30,000,000	1,880,740,513	1,706,695,579	174,044,934	95,000,000	0
9	BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	11/30/2020	5,804,720	1,000,000	4,804,720	5,924,859	2,829,022	3,095,837	1,000,000	6	0	6	1	6	0	6	1	0
10	BOFA SECURITIES INC	FCM BD	CBOT	11/30/2020	14,092,103,314	3,053,526,838	11,038,576,476	22,942,411,279	22,337,443,314	604,967,965	200,000,000	5,400,780,184	5,148,361,239	252,418,945	150,000,000	11,143,729,008	10,856,370,837	287,358,171	150,000,000	0
11	CANTOR FITZGERALD & CO	FCM BD	CBOT	11/30/2020	411,793,102	2,514,464	409,278,638	4,969,921	0	4,969,921	3,000,000	0	0	0	0	0	0	0	0	0
12	CHARLES SCHWAB & CO INC	FCM BD	NFA	11/30/2020	1,934,478,885	587,994,141	1,346,484,744	224,649,358	152,331,140	72,318,218	25,896,294	50,000	0	50,000	1	0	0	0	0	0
13	CHS HEDGING LLC	FCM	CBOT	11/30/2020	68,149,391	16,536,661	51,612,730	225,695,032	163,652,097	62,042,935	13,600,000	1,527,272	0	1,527,272	200,000	510,188	0	510,188	120,000	0
14	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	11/30/2020	11,983,732,682	3,514,796,773	8,468,935,909	14,339,143,690	13,702,745,522	636,398,168	444,500,000	3,805,928,985	3,571,829,971	234,099,014	155,400,000	33,904,383,165	33,189,645,459	714,737,706	481,600,000	0
15	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	11/30/2020	11,875,953,932	1,760,803,254	10,115,150,678	7,177,660,854	6,779,954,472	397,706,382	338,997,724	6,082,166,074	4,948,275,182	1,133,890,892	247,413,759	13,115,252,094	12,411,271,908	703,980,186	620,563,595	0
16	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	11/30/2020	5,549,022	1,131,760	4,417,262	55,863,801	52,272,924	3,590,877	3,050,000	1,575,621	1,042,208	533,413	100,000	0	0	0	0	0
17	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	11/30/2020	1,207,162,562	1,500,000	1,205,662,562	2,179,717	0	2,179,717	0	478,817	0	478,817	1	0	0	0	0	0
18	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	11/30/2020	8,454,242,119	218,001,801	8,236,240,318	2,805,345,205	2,553,467,508	251,877,697	125,000,000	701,195,612	549,317,274	151,878,338	75,000,000	0	0	0	0	0
19	DIRECT ACCESS USA LLC	FCM	CME	11/30/2020	12,930,641	1,903,989	11,026,652	37,214,538	27,349,484	9,865,054	2,500,000	0	0	0	0	0	0	0	0	0
20	DORMAN TRADING LLC	FCM	CME	11/30/2020	14,849,152	3,191,808	11,657,344	225,856,190	218,969,987	6,926,203	2,000,000	22,122,419	21,402,778	719,641	200,000	0	0	0	0	0
21	E.D. & F.MAN CAPITAL MARKETS INC	FCM BD	CME	11/30/2020	203,606,253	126,746,209	76,860,044	2,565,145,762	2,482,420,377	82,725,385	44,250,000	64,843,826	53,405,912	11,437,914	5,000,000	0	0	0	0	0
22	E*TRADE FUTURES LLC	FCM	NFA	11/30/2020	33,069,371	4,563,746	28,505,625	107,823,121	74,793,534	33,029,587	8,000,000	0	0	0	0	0	0	0	0	0
23	FUTU FUTURES INC	FCM	NFA	11/30/2020	1,978,193	1,000,000	978,193	0	0	0	0	0	0	0	0	0	0	0	0	0
24	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	11/30/2020	63,252,764	30,391,362	32,861,402	290,398,163	273,424,124	16,974,039	10,000,000	4,160,490	2,318,020	1,842,470	1,000,000	0	0	0	0	217,827,239
25	GH FINANCIALS LLC	FCM	CME	11/30/2020	26,161,056	7,271,117	18,889,939	144,968,672	125,144,948	19,823,724	3,400,000	6,701,388	5,390,399	1,310,989	225,000	0	0	0	0	0
26	GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	11/30/2020	20,190,488,578	4,013,133,168	16,177,355,410	34,063,100,940	33,165,018,535	898,082,405	675,000,000	11,291,498,606	10,719,367,664	572,130,942	475,000,000	11,601,388,980	11,194,548,685	406,840,295	350,000,000	0
27	HIDDEN ROAD PARTNERS CIV US LLC	FCM BD	NFA	11/30/2020	1,622,516	1,000,000	622,516	0	0	0	0	0	0	0	0	0	0	0	0	0
28	HSBC SECURITIES USA INC	FCM BD	CME	11/30/2020	1,235,474,790	471,057,307	764,417,483	3,893,682,134	3,759,565,357	134,116,777	122,000,000	157,953,871	131,922,164	26,031,727	15,000,000	1,375,846,944	1,292,448,506	83,398,438	73,000,000	0
29	HUATAI FINANCIAL USA INC	FCM	NFA	11/30/2020	2,633,111	1,000,000	1,633,111	13,952,764	12,281,378	1,671,386	600,000	323,193	61	323,132	150,000	0	0	0	0	0
30	IG US LLC	RFED	NFA	11/30/2020	30,244,145	20,727,010	9,517,135	0	0	0	0	0	0	0	0	0	0	0	0	24,540,193
31	INTERACTIVE BROKERS LLC	FCM BD	CME	11/30/2020	5,565,017,789	593,174,936	4,971,842,853	5,730,744,085	5,511,052,724	219,691,361	155,000,000	670,942,431	550,013,830	120,928,601	80,000,000	0	0	0	0	71,442,127
32	IRONBEAM INC	FCM	NFA	11/30/2020	5,074,846	1,000,000	4,074,846	66,130,900	60,695,237	5,435,663	1,600,000	349,747	155,303	194,444	50,000	0	0	0	0	0
33	JEFFRIES LLC	FCM BD	NFA	11/30/2020	2,161,289,242	95,869,149	2,065,420,093	0	0	0	0	0	0	0	0	0	0	0	0	0
34	J.P. MORGAN SECURITIES LLC	FCM BD SD	CELNFA	11/30/2020	27,406,652,333	5,371,765,233	22,034,887,100	46,156,490,072	44,530,697,849	1,625,711,163	890,613,957	6,994,472,107	6,545,608,920	448,863,187	229,096,312	20,395,479,596	19,387,125,229	1,008,354,367	387,742,505	0
35	MACQUARIE FUTURES USA LLC	FCM	CBOT	11/30/2020	298,903,500	232,946,387	65,957,113	2,872,982,279	2,700,881,649	172,100,630	100,000,000	74,924,588	57,151,655	17,772,933	7,000,000	28,769,741	7,408,557	21,361,184	1,000,000	0
36	MAREX NORTH AMERICA LLC	FCM	CME	11/30/2020	142,393,112	108,470,579	33,922,533	2,329,511,247	2,304,548,171	24,963,076	20,330,000	74,835,036	60,784,300	14,050,736	10,250,000	0	0	0	0	0
37	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	11/30/2020	14,978,473	1,757,140	13,221,333	456,210,547	433,594,845	22,615,702	18,000,000	2,567,861	0	2,567,861	1,000,000	0	0	0	0	0
38	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	11/30/2020	8,061,718,217	1,312,630,447	6,749,087,770	3,240,562,589	1,873,081,348	1,367,481,241	300,000,000	0	0	0	0	0	0	0	0	0
39	MID CO COMMODITIES INC	FCM	NFA	11/30/2020	12,637,935	6,325,068	6,312,867	81,974,034	69,065,804	12,908,230	5,138,000	0	0	0	0	0	0	0	0	0
40	MINT BROKERS	FCM BD	NFA	11/30/2020	2,764,406	1,000,000	1,764,406	0	0	0	0	0	0	0	0	0	0	0	0	0
41	MIZUHO SECURITIES USA LLC	FCM BD	CME	11/30/2020	1,124,005,803	392,258,670	731,747,133	5,826,884,698	5,546,569,816	280,314,882	125,000,000	948,990,795	825,161,283	123,829,512	70,000,000	20,443,475	0	20,443,475	10,000,000	0
42	MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	11/30/2020	13,127,028,324	3,971,771,387	9,155,256,937	25,734,040,625	25,237,652,540	496,388,085	235,000,000	8,052,449,533	7,750,378,941	302,070,592	140,000,000	26,035,840,552	25,636,205,734	399,634,818	92,000,000	0
43	NANHUA USA LLC	FCM	CME	11/30/2020	15,737,219	3,261,671	12,475,548	80,412,485	70,490,978	9,921,507	3,500,000	373,468	23,559	349,909	100,000	0	0	0	0	0
44	NATWEST MARKETS SECURITIES INC	FCM BD	CBOT	11/30/2020	570,978,457	1,581,427	569,397,030	47,726,754	13,355,121	34,371,633	20,000,000	2,511,887	18,242	2,493,645	2,000,000	0	0	0	0	0
45	NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	11/30/2020	2,658,934,188	185,439,816	2,473,494,372	384,672,778	241,752,272	142,920,506	26,000,000	18,492,215	0	18,492,215	1,000,000	0	0	0	0	0
46	OANDA CORPORATION	FCMRFD	NFA	11/30/2020	48,130,591	32,222,895	15,907,696	0	0	0	0	0	0	0	0	0	0	0	0	200,162,673
47	PHILLIP CAPITAL INC	FCM BD	CME	11/30/2020	62,168,821	29,969,306	32,199,515	633,810,221	612,677,792	21,132,429	11,500,000	11,891,527	7,913,272	3,978,255	1,500,000	0	0	0	0	0
48	PICTET OVERSEAS INC	FCM BD	NFA	11/30/2020	49,725,879	16,706,454	33,019,425	227,131,643	222,830,423	4,301,220	2,750,000	49,737,208	46,967,355	2,769,853	1,250,000	0	0	0	0	0
49	RAND FINANCIAL SERVICES INC	FCM	CME	11/30/2020	94,627,508	12,250,835														

