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	Required 4d(a)(2)	Funds in Seg	Interest in Seg	Funds in Separate Section 30.7 Accounts	Pt. 30 Required	Excess/Deficient Funds in Separate Section 30.7 Accounts	Interest in Section 30.7	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 o Retail Forex Obligation
	(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(i)	(k)	(1)	(m)	(n)	(0)	(p)	(p)
I 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	C	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	120,000,000	408,454,408	362,199,583	46,254,825	20,000,000	9,804,534	0	9,804,534	8,000,000	
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	36,561,346	33,109,842	3,451,504	1,000,000	C	0		0	
4 AMP GLOBAL CLEARING LLC 5 APEX CLEARING CORPORATION	FCM FCM BD	NFA NFA	11/30/2020 11/30/2020	6,189,495 213,633,971	1,000,000 26,392,715	5,189,495 187,241,256	68,256,690 56,600,799	61,924,183 32,095,382	6,332,507 24,505,417	7 900,000	2,089,381	1,729,096	360,285	150,000		0		0	
6 BAKKT CLEARING LLC	FCM	NFA	11/30/2020	4.108.925	1,000,000	3.108.925	30,000,799	32,095,382	24,505,417	7,000,000	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	
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	
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		1	
BOFA SECURITIES INC I CANTOR FITZGERALD & CO	FCM BD FCM BD	CBOT	11/30/2020	14,092,103,314 411,793,102	3,053,526,838	11,038,576,476	22,942,411,279 4,969,921	22,337,443,314	604,967,965 4,969,921	3,000,000	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	
2 CHARLES SCHWAB & CO INC	FCM BD	NFA		1.934.478.885	587 994 141			152,331,140	72,318,218		50.000	0	50,000	1	0	0		0	
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	
4 CITIGROUP GLOBAL MARKETS INC	FCM BD SD		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	
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	
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	C	0		0	
7 DAIWA CAPITAL MARKETS AMERICA INC B DEUTSCHE BANK SECURITIES INC	FCM BD FCM BD	CME	11/30/2020	1,207,162,562 8,454,242,119	1,500,000 218.001.801	1,205,662,562 8,236,240,318	2,179,717 2.805.345.205	2.553.467.508	2,179,717 251,877,697	125.000.000	478,817 701,195,612	549.317.274	478,817 151,878,338	75,000,000	0	0		0	
DIRECT ACCESS USA LLC	FCM BD	CMF	11/30/2020	8,454,242,119 12,930,641	1,903,989	8,236,240,318	2,805,345,205 37,214,538	2,553,467,508	9.865.054	2,500,000	/U1,195,612 n	549,317,274 n	131,878,338	/5,000,000		0	(	0	
DORMAN TRADING LLC	FCM	CME	11/30/2020	14,849,152	3,191,808	11,657,344	225,896,190	218,969,987	6,926,203	2,000,000	22,122,419	21,402,778	719,641	200,000	0	0		0	
1 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	
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	
3 FUTU FUTURES INC 4 GAIN CAPITAL GROUP LLC	FCM FCMRFD	NFA NFA	11/30/2020 11/30/2020	1,978,193 63,252,764	1,000,000 30,391,362	978,193 2 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	047.007.0
4 GAIN CAPITAL GROUP LLC 5 GH FINANCIALS LLC	FCMRFD FCM	NFA CMF	11/30/2020	63,252,764 26,161,056	30,391,362 7,271,117	32,861,402 18,889,939	290,398,163 144,968,672	273,424,124 125,144,948	16,974,039 19,823,724	10,000,000	4,160,490 6,701,388	2,318,020 5,390,399	1,842,470 1,310,989	1,000,000 225.000	0	0		0	217,827,2
6 GOLDMAN SACHS & COLLIC	FCM BD SD	CROT/NFA	11/30/2020	20,161,056	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	
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	03,103,013,333	070,002,403	073,000,000	11,271,478,000	10,717,307,004	372,130,742	473,000,000	11,001,300,780	0	100,040,270	0 330,000,000	
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	26,031,707	15,000,000	1,375,846,944	1,292,448,506	83,398,438	73,000,000	
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	C	0		0	
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	C	0		0	24,540,1
I INTERACTIVE BROKERS LLC	FCM BD FCM	CME NFA	11/30/2020	5,565,017,789 5.074,846	593,174,936 1.000.000	4,971,842,853	5,730,744,085 66,130,900	5,511,052,724 60,695,237	219,691,361 5,435,663	155,000,000	670,942,431 349,747	550,013,830 155,303	120,928,601 194,444	80,000,000 50,000	0	0		0	71,442,1
3 IFFFERIES LLC	FCM BD	NFA	11/30/2020 11/30/2020	2,161,289,242	95,869,149	2,065,420,093	66,130,900	60,695,237	5,435,663	1,600,000	349,747	155,303	194,444	50,000		0		0	
4 JP MORGAN SECURITIES LLC	FCM BD SD	CFI/NFA	11/30/2020	27.406.652.933	5.371.765.233	22.034.887.700	46.156.409.012	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	
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	
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	C	0	
7 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	C	0		0	
MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD FCM	NFA NFA	11/30/2020	8,061,718,217	1,312,630,447	6,749,087,770	3,240,562,589 81,974,034	1,873,081,348	1,367,481,241	300,000,000	0	0	0	0	0	0		0	
MID CO COMMODITIES INC	FCM FCM BD	NFA NFA	11/30/2020 11/30/2020	12,637,935 2,764,406	6,325,068 1,000,000	6,312,867	81,974,034	69,065,804	12,908,230	5,138,000	0	0	0	0	0	0		0	
1 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	
MORGAN STANLEY & CO LLC	FCM BD SD		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	
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	
4 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	C	0		0	
NOMURA SECURITIES INTERNATIONAL INC	FCM BD FCMRFD	CBOT NFA	11/30/2020 11/30/2020	2,658,934,188 48,130,591	185,439,816 32,222,895	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	200,162,6
7 PHILLIP CAPITAL INC	FCMRFD FCM RD	CME	11/30/2020	48,130,591 62 168 821	32,222,895	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	200,162,6
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	
RAND FINANCIAL SERVICES INC	FCM	CME	11/30/2020	94,627,508	12,250,835	82,376,673	158,846,700	123,223,500	35,623,200	3,696,700	30,795,400	5,219,300	25,576,100	156,600	C	0	C	0	
RBC CAPITAL MARKETS LLC	FCM BD	CME	11/30/2020	3,052,397,337	317,623,580	2,734,773,757	3,992,528,477	3,564,387,433	428,141,044	280,000,000	239,051,566	178,514,314	60,537,252	20,000,000	1,042,494,136	759,924,478	282,569,658	80,000,000	
RJ OBRIEN ASSOCIATES LLC SANTANDER INVESTMENT SECURITIES INC	FCM FCM BD	CME NYME	11/30/2020 11/30/2020	244,333,363 397,640,142	202,012,008 140,212,514	42,321,355 257,427,628	4,732,127,816 1,930,491,693	4,576,456,555 1,858,999,667	155,671,261 71,492,026	50,000,000 70,000,000	240,199,304	208,036,869	32,162,435	20,000,000	C	0		0	
SCORE PRIORITY CORP	FCM BD	NYME	11/30/2020	397,640,142 13.546.548	140,212,514	257,427,628	1,930,491,693	1,858,999,667	/1,492,026	/0,000,000	0	0	0	0	-	0	(	0	
4 SCOTIA CAPITAL USA INC	FCM BD	CME	11/30/2020	1.360.636.164	131.028.524	1,229,607,640	0	0	0	0	0	0	n	n	,	0		0	
SG AMERICAS SECURITIES LLC	FCM BD	CME	11/30/2020	4,520,160,558	1,672,951,450	2,847,209,108	14,972,192,328	14,269,459,410	702,732,918	500,000,000	6,890,773,052	6,285,281,662	605,491,390	355,000,000	1,270,453,114	1,049,679,030	220,774,084	75,000,000	
STONEX FINANCIAL INC	FCM BD	CME	11/30/2020	256,499,828	141,595,003	114,904,825	3,231,594,929	3,176,183,516	55,411,413	40,000,000	171,079,314	158,804,572	12,274,742	6,000,000	3,338,099	352,602	2,985,497	1,000,000	
7 STRAITS FINANCIAL LLC	FCM	CME	11/30/2020	26,344,578	9,896,603	16,447,975	411,473,136	392,874,865	18,598,271	2,000,000	25,189,637	16,218,822	8,970,815	300,000	C	0	(	0	
TD AMERITRADE FUTURES & FOREX LLC TRADESTATION SECURITIES INC	FCM FCM BD	NFA CMF	11/30/2020	161,627,522	22,963,646		389,852,465	287,735,636	102,116,829 13,063,116	50,000,000	18.080.540	15.011.462	3,069,078	000.000	C	0		0	68,350,4
TRADING.COM MARKETS INC	RFED	NFA	11/30/2020 11/30/2020	139,542,728 25,393,693	6,423,316 20,000,000	133,119,412 5,393,693	713,530,719	700,467,603	13,003,116	9,000,000	10,000,540	13,011,462	3,07,070,0	800,000		0	(	0	
I UBS FINANCIAL SERVICES INC	FCM BD	NFA	11/30/2020	1,154,442,966	143,170,498	1,011,272,468	140,811,976	106,915,167	33,896,809	22,000,000	44,107,809	12,563,037	31,544,772	15,000,000	0	0		0	
UBS SECURITIES LLC	FCM BD	CBOT	11/30/2020	5,583,097,674	730.134.376	4.852.963.298	6.783.026.273	6,260,290,181	522,736,092	425,000,000	1,381,549,796	1.083.925.139	297,624,657	200,000,000	1,183,230,640	945,272,605	237,958,035	125,000,000	
WEDBUSH SECURITIES INC	FCM BD	CBOT	11/30/2020	167,613,184	37,067,580	130,545,604	1,326,290,831	1,298,867,789	27,423,042	19,000,000	22,886,293	19,319,434	3,566,859	1,000,000	C	0		0	
4 WELLS FARGO SECURITIES LLC	FCM BD	CME		9,402,393,798	1,428,418,857	7,973,974,941	4,582,124,399	4,377,898,268	204,226,131	110,000,000	701,529,882	536,543,385	164,986,497	40,000,000	15,077,365,407	14,476,756,916	600,608,491	465,000,000	
5 YORK BUSINESS ASSOCIATES LLC	FCM	NFA	11/30/2020	8,113,336	1,000,000	7,113,336	42,176,247	36,624,008	5,552,239	2,000,000	1,365,541	860,607	504,934	200,000	C	0	(	0	
Totals							249.417.616.763	238.035.287.774	11.382.328.989	6.272.638.010	58.296.744.871	53.281.727.196	5.015.017.675	2.398.884.833	147.893.781.581	142.312.835.695	5.580.945.886	3.265.026.101	582.322.6
October Web Page Update  Additions	64																		
FUTU FUTURES INC																			
Deletions None																			
Name Changes None																			
November Web Page Update	65		1	1			1	1		1								1	

## SELECTED FCM FINANCIAL DATA AS OF November 30, 2020 FROM REPORTS FILED BY December 23, 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.												
The state of the s												
(b): DSRO: Designated Self-Regulatory Organization. FCW/RFED firms that are dually registered as SDs have two DSROs listed if they have a different DSRO for the FCW/RFED and the SD. The DSRO for the FCW/RFED is listed second.												
					·							
(c): A firm's net capital requirement is the greater of:												
10. This are suprain requirements as the greates on												
FCM minimum dollar amount (\$1,000,000); or												
Town minimum rounal amount (§1,000,000), or     Figure 1. In the sum of 8% of total customer risk maintenance margin; or												
* This based capital requirement, the south of 85 of the distribution of 85 o												
• for securities brokers and dealers, the affection and earliers the securities and Exchange Commission; or security for the securities and Exchange Commission; or securities are securities and Exchange Commission; or security for the securities and Exchange Commission; or securities and Exchange Commission; o												
• minimum dollar amount for FCMs 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) just five percent of the FCMs or RFEDs total retail forex obligation in excess of \$10,000,000												
• Infinition until attribute to the strains and the strains are strains and the strains and th												
(d) Forest and a gifted by adjusted and a gifted by the forest and a gifted a grid and a gifted and a gifted by the forest and a gifted by the gifted by th												
(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.												
(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 segregated accounts above the customer segregation re	quirement. 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 re	quirement.											
(I): This represents the targeted excess of proprietary funds deposited into separate Section 30.7 accounts above the customer amount Part 3	0 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.			·	<u> </u>							
		<u> </u>			<u> </u>							
(p): This represents the targeted excess of proprietary funds deposited into separate cleared swap segregation accounts above the cleared sw	vap customer segregation requirement. This target amount is set by the fir	m										
				·	<u>-                                    </u>							

(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 customer into a retail forex account or accounts, adjusted for the realized and unrealized net profit or loss.