

SELECTED FCM FINANCIAL DATA AS OF
 January 31, 2018
 FROM REPORTS FILED BY
 March 08, 2018

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U
82																					
83																					
84	(a):	FCM:	Futures Commission Merchant that is registered with the Commodity Futures Trading Commission.																		
85		BD:	The FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer.																		
86		RFED:	Retail Foreign Exchange Dealer that is registered with the Commodity Futures Trading Commission.																		
87		FCMRFD:	The FCM is also registered with the Commodity Futures Trading Commission as a Retail Foreign Exchange Dealer.																		
88		SD:	The FCM or RFED is also registered with the Commodity Futures Trading Commission as a provisionally registered swap dealer.																		
89																					
90	(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.																		
91																					
92	(c):		A firm's net capital requirement is the greater of:																		
93																					
94			• FCM minimum dollar amount (\$1,000,000); or																		
95			• risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk maintenance margin; or																		
96			• the amount of capital required by a registered futures association (currently NFA is the only such association); or																		
97			• for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; or																		
98			• minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000); or																		
99			• 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.																		
100																					
101	(d):		Excess net capital is adjusted net capital, less the firm's net capital requirement.																		
102																					
103	(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.																		
104																					
105	(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.																		
106																					
107	(g):		Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.																		
108																					
109	(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.																		
110																					
111	(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.																		
112																					
113	(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.																		
114																					
115	(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.																		
116																					
117	(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.																		
118																					
119	(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.																		
120																					
121	(n):		This represents the amount of funds an FCM is required to segregate for customers who trade cleared swaps.																		
122																					
123	(o):		Excess/Deficient funds in cleared swap customer accounts is funds in separate cleared swap segregation accounts, less the cleared swap customer segregation requirement.																		
124																					
125	(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.																		
126																					
127	(q):		This represents the total amount of funds at an FCM, RFED, or FCMRED 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.																		