

April 30, 2011

FROM REPORTS FILED BY

May 31, 2011

	Reg As	DSRO	A/O	Adjusted	Net Capital	Excess	Customers'	Customer	Total Amount	
Futures Commission Merchant / Retail Foreign Exchange Dealer			Date	Net Capital	Requirement	Net Capital	Seg Required	Amount	of Retail Forex	
	(a)	(b)			(c)	(d)	4d(a)(2)	Pt. 30 Required	Obligation	
							(e)	(f)	(g)	
1	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	04/30/2011	203,701,981	109,428,298	94,273,683	1,767,987,694	302,172,808	0
2	ADM INVESTOR SERVICES INC	FCM	CBOT	04/30/2011	293,170,585	165,740,426	127,430,159	2,797,845,347	66,818,666	0
3	ADVANCED MARKETS LLC	RFED	NFA	04/30/2011	20,137,376	20,000,000	137,376	0	0	1,990,080
4	ADVANTAGE FUTURES LLC	FCM	CME	04/29/2011	21,629,112	13,108,648	8,520,464	430,207,984	39,316,950	0
5	ALLIANZ GLOBAL INVESTORS DISTRIBUTORS LLC *	FCM BD	NFA	03/31/2011	106,652,708	6,172,937	100,479,771	0	0	0
6	ALPARI (US) LLC	RFED	NFA	04/30/2011	25,246,389	20,000,000	5,246,389	0	0	9,073,548
7	AMERIPRISE FINANCIAL SERVICES INC	FCM BD	NFA	04/30/2011	118,972,465	1,000,000	117,972,465	0	0	0
8	AMP GLOBAL CLEARING LLC	FCM	NFA	04/30/2011	1,358,779	1,000,000	358,779	28,594,453	42,872	0
9	BARCLAYS CAPITAL INC	FCM BD	NYME	04/30/2011	5,816,202,067	781,453,356	5,034,748,711	5,659,525,534	2,514,221,419	0
10	BGC FINANCIAL LP	FCM BD	NFA	04/30/2011	52,226,131	1,000,000	51,226,131	0	0	0
11	BNP PARIBAS COMMODITY FUTURES INC	FCM	NYME	04/30/2011	340,515,702	233,554,467	106,961,235	1,609,147,270	509,531,906	0
12	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	04/30/2011	1,492,605,920	126,769,005	1,365,836,915	547,061,488	0	0
13	BNY MELLON CLEARING LLC	FCM	CME	04/30/2011	128,087,881	4,352,490	123,735,391	31,161,559	0	0
14	CANTOR FITZGERALD & CO	FCM BD	CBOT	04/30/2011	180,390,901	5,538,040	174,852,861	1,223,675	0	0
15	CAPITAL MARKET SERVICES LLC	RFED	NFA	04/30/2011	3,020,467	1,000,000	2,020,467	0	0	0
16	CIBC WORLD MARKETS CORP	FCM BD	CME	04/30/2011	463,325,611	1,500,000	461,825,611	0	0	0
17	CITADEL SECURITIES LLC	FCM BD	CME	04/30/2011	325,532,866	1,000,000	324,532,866	0	0	0
18	CITIGROUP GLOBAL MARKETS INC	FCM BD	CBOT	04/30/2011	8,049,944,000	716,078,896	7,333,865,104	10,894,715,423	1,618,408,191	0
19	COMMONWEALTH FOREIGN EXCHANGE INC	FCM	NFA	04/30/2011	1,555,156	1,000,000	555,156	0	0	0
20	COMPASS PROFESSIONAL SERVICES LLC	FCM BD	NFA	04/30/2011	3,716,435	1,000,000	2,716,435	0	0	0
21	COUNTRY HEDGING INC	FCM	NFA	04/30/2011	30,862,340	21,766,898	9,095,442	142,691,536	351,763	0
22	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	04/30/2011	6,628,798,410	1,126,135,327	5,502,663,083	5,526,935,196	2,038,061,941	0
23	CROSSLAND LLC	FCM	CBOT	04/30/2011	9,636,148	5,848,267	3,787,881	116,808,770	20,193,194	0
24	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	04/30/2011	3,339,657	1,000,000	2,339,657	53,917,287	29,431	0
25	CX CAPITAL MARKETS LLC	FCM	NFA	04/30/2011	2,796,094	1,000,000	1,796,094	26,591,840	0	0
26	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	04/30/2011	308,931,450	2,269,503	306,661,947	4,527,266	40,979	0
27	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	04/30/2011	6,292,706,657	724,837,507	5,567,869,150	17,284,351,566	1,503,310,409	0
28	DORMAN TRADING LLC	FCM	CME	04/30/2011	7,792,925	1,063,663	6,729,262	101,031,944	1,502,171	0
29	EAGLE MARKET MAKERS INC	FCM	CBOT	04/29/2011	6,818,744	1,000,000	5,818,744	2,201,733	0	0
30	EASY FOREX US LTD	FCM	NFA	04/30/2011	1,868,233	1,000,000	868,233	0	0	0
31	ELECTRONIC BROKERAGE SYSTEMS LLC	FCM BD	NFA	04/30/2011	4,527,474	1,000,000	3,527,474	0	0	0
32	ENSKILDA FUTURES LTD	FCM	CME	04/30/2011	30,620,823	20,215,073	10,405,750	388,754,287	0	0
33	FCSTONE LLC	FCM	CME	04/30/2011	108,111,363	73,645,462	34,465,901	1,164,476,821	24,835,623	4,823,306
34	FOREX CAPITAL MARKETS LLC	RFED	NFA	04/30/2011	52,771,988	26,014,351	26,757,637	0	0	130,287,017
35	FOREX CLUB LLC	RFED	NFA	04/29/2011	20,264,327	20,000,000	264,327	0	0	2,749,711
36	FRIEDBERG MERCANTILE GROUP INC	FCM	NFA	04/30/2011	3,429,935	1,000,000	2,429,935	11,350,990	939,820	0
37	FRONTIER FUTURES INC	FCM	NFA	04/30/2011	1,931,631	1,289,351	642,280	34,390,668	0	0
38	FUTURES TECH LLC	FCM	NFA	04/30/2011	1,594,332	1,000,000	594,332	0	0	0
39	FX SOLUTIONS LLC	RFED	NFA	04/30/2011	35,708,627	20,379,733	15,328,894	0	0	17,594,652
40	FXDIRECTDEALER LLC	RFED	NFA	04/30/2011	26,802,254	21,445,905	5,356,349	0	0	38,918,092

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		(a)	(b)			(c)	(d)	(e)	(f)	(g)
41	GAIN CAPITAL GROUP LLC	RFED	NFA	04/30/2011	70,214,680	24,923,609	45,291,071	0	0	108,472,172
42	GLOBAL FUTURES & FOREX LTD	RFED	NFA	04/30/2011	87,105,001	23,987,029	63,117,972	803,063	213,197	89,740,577
43	GOLDMAN SACHS & CO	FCM BD	CBOT	04/30/2011	11,069,779,018	1,997,722,365	9,072,056,653	21,789,721,459	8,174,812,247	0
44	GOLDMAN SACHS EXECUTION & CLEARING LP	FCM BD	CME	04/30/2011	1,674,784,224	137,898,452	1,536,885,772	1,255,248,187	30,397,418	0
45	HSBC SECURITIES USA INC	FCM BD	CME	04/30/2011	1,111,772,706	111,334,727	1,000,437,979	1,097,526,472	116,470,824	0
46	ICAP CORPORATES LLC	FCM BD	NFA	04/30/2011	38,879,297	1,000,000	37,879,297	0	0	0
47	ICAP FUTURES LLC	FCM	NFA	04/30/2011	8,076,822	1,000,000	7,076,822	0	0	0
48	IG MARKETS INC	FCM	NFA	04/30/2011	28,803,815	20,000,000	8,803,815	156,289	0	1,096,308
49	IKON GLOBAL MARKETS INC	FCM	NFA	04/30/2011	18,439,217	1,000,000	17,439,217	16,928,151	108,434	0
50	INSTINET LLC	FCM BD	NFA	04/29/2011	111,106,373	1,404,102	109,702,271	0	0	0
51	INSTITUTIONAL LIQUIDITY LLC	FCM	NFA	04/30/2011	21,055,811	20,000,000	1,055,811	0	0	6,534
52	INTEGRATED BROKERAGE SERVICES LLC	FCM	NFA	04/30/2011	1,663,082	1,000,000	663,082	0	0	0
53	INTERACTIVE BROKERS LLC	FCM BD	NFA	04/30/2011	1,256,997,576	230,167,437	1,026,830,139	794,439,335	263,212,746	0
54	INTERBANK FX LLC	RFED	NFA	04/30/2011	24,440,303	21,122,562	3,317,741	0	0	32,451,247
55	IRONBEAM INC	FCM	NFA	04/30/2011	2,892,040	1,615,839	1,276,201	62,508,657	242,027	0
56	ITG DERIVATIVES LLC	FCM BD	NFA	04/30/2011	2,830,576	1,000,000	1,830,576	0	0	0
57	JEFFERIES & COMPANY INC	FCM BD	NFA	04/29/2011	506,421,753	88,876,390	417,545,363	0	0	0
58	JP MORGAN CLEARING CORP	FCM BD	CME	04/30/2011	5,791,704,668	1,971,294,314	3,820,410,354	551,249,796	395,671,847	0
59	JP MORGAN FUTURES INC	FCM	NYME	04/30/2011	2,530,823,381	1,536,291,873	994,531,508	17,628,775,299	2,474,961,907	0
60	JP MORGAN SECURITIES LLC	FCM BD	NFA	04/29/2011	7,690,877,773	602,554,090	7,088,323,683	0	0	0
61	LEK SECURITIES CORPORATION	FCM BD	NFA	04/30/2011	8,723,208	1,500,000	7,223,208	213,812	0	0
62	LIMESTONE TRADING LLC	FCM	NFA	04/30/2011	5,584,733	1,000,000	4,584,733	0	0	0
63	LINN GROUP THE	FCM	NFA	04/30/2011	2,511,099	1,000,000	1,511,099	42,285,565	51,120	0
64	LPL FINANCIAL LLC	FCM BD	NFA	04/30/2011	197,027,541	6,615,684	190,411,857	0	0	0
65	MACQUARIE FUTURES USA INC	FCM	CBOT	04/30/2011	118,952,719	60,623,702	58,329,017	813,691,662	39,191,564	0
66	MAREX NORTH AMERICA LLC	FCM	CME	04/29/2011	10,624,616	4,051,227	6,573,389	59,730,683	2,726,425	0
67	MAREX USA LIMITED	FCM	NFA	04/30/2011	2,803,966	1,000,000	1,803,966	0	0	0
68	MB TRADING FUTURES INC	RFED	NFA	04/30/2011	24,257,056	21,335,422	2,921,634	0	0	36,708,438
69	MBF CLEARING CORP	FCM	NYME	04/30/2011	9,108,367	1,930,166	7,178,201	93,507,639	4,108,404	0
70	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	04/30/2011	10,927,380	2,730,328	8,197,052	845,290,957	0	0
71	MERRILL LYNCH PIERCE FENNER & SMITH	FCM BD	CBOT	04/30/2011	9,565,608,732	948,332,463	8,617,276,269	10,477,536,086	2,737,326,758	0
72	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	04/30/2011	2,133,737,487	203,841,769	1,929,895,718	1,019,829,562	55,616,901	0
73	MF GLOBAL INC	FCM BD	CME	04/29/2011	584,579,062	466,418,552	118,160,510	8,993,383,265	768,017,349	0
74	MID CO COMMODITIES INC	FCM	NFA	04/30/2011	15,175,856	8,533,951	6,641,905	25,551,108	0	0
75	MITSUBISHI UFJ SECURITIES USA INC	FCM BD	NFA	04/30/2011	97,146,838	1,894,120	95,252,718	0	0	0
76	MITSU BUSSAN COMMODITIES USA INC	FCM	NFA	04/30/2011	3,060,939	1,000,000	2,060,939	0	0	0
77	MIZUHO SECURITIES USA INC	FCM BD	CME	04/29/2011	371,752,103	80,938,447	290,813,656	911,935,551	432,412,182	0
78	MORGAN KEEGAN & COMPANY INC	FCM BD	NFA	04/30/2011	477,758,161	9,540,375	468,217,786	0	0	0
79	MORGAN STANLEY & CO INCORPORATED	FCM BD	CME	04/30/2011	6,727,864,529	1,160,609,299	5,567,255,230	5,109,168,833	1,950,082,644	0
80	MORGAN STANLEY SMITH BARNEY LLC	FCM BD	NFA	04/30/2011	1,130,298,911	40,377,335	1,089,921,576	642,050,233	1,557,144,273	0
81	NATIXIS SECURITIES NORTH AMERICA INC	FCM BD	NFA	04/30/2011	209,021,853	1,000,000	208,021,853	0	0	0
82	NEUBERGER BERMAN LLC	FCM BD	NFA	04/30/2011	77,228,695	1,500,000	75,728,695	0	0	0
83	NEWEDGE USA LLC	FCM BD	NYME	04/30/2011	2,157,538,272	1,547,291,756	610,246,516	24,754,719,591	7,480,673,242	0
84	NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	04/29/2011	2,198,038,827	37,839,706	2,160,199,121	97,369,469	737,465	0
85	OANDA CORPORATION	RFED	NFA	04/30/2011	165,698,856	28,374,369	137,324,487	0	0	177,487,375

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			Date	Net Capital	Requirement	Net Capital	Seg Required	Amount	of Retail Forex
	(a)	(b)			(c)	(d)	4d(a)(2)	Pt. 30 Required	Obligation
							(e)	(f)	(g)
March Web Page Update	127								
Additions	0								
None									
Deletions	1								
FARR FINANCIAL INC									
Name Change									
None									
April Web Page Update	126								
*Allianz Global Investors Distributors LLC files financial statements quarterly.									
(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.									
(b): DSRO: Designated Self-Regulatory Organization.									
(c): A firm's net capital requirement is the greater of :									
<ul style="list-style-type: none"> • 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 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.									
(f): 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.									
(g): This represents the total amount of funds at an FCM or RFED 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.									
Note: Any comments regarding information contained in this table may be brought to the attention of the CFTC's Division of Clearing and Intermediary Oversight via e-mail: DCIO@cftc.gov									