SELECTED FCM FINANCIAL DATA AS OF October 31, 2016 FROM REPORTS FILED BY November 27, 2016

А	В	С	D	Е	F	G	Н	I	J	K	L	М	N	0	Р	Q	R	S	T	U
1	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
2		(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(1)	(m)	(n)	(0)	(p)	(q)
3 1	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CPOT	10/31/2016	607.535.054	168,505,246	439.029.808	3.138.983.260	2,795,732,499	343,250,761	170,431,126	136,274,925	104,979,362	31,295,563	10,497,936	,) 0	0	0	
5 2	ADM INVESTOR SERVICES INC	FCM		10/31/2016	336,773,849	189,642,090	147,131,759	4,719,066,321	4,459,477,823	259,588,498	120,000,000	385,027,015	327,200,784	57,826,231	20,000,000	11,001,579	771,248	10,230,331	8,000,000	0
6 3	ADVANTAGE FUTURES LLC	FCM	Oi L	10/31/2016	24,165,244	12,994,245	11,170,999	560,494,064	546,563,000	13,931,064	9,000,000	33,712,867	31,904,487	1,808,380	1,000,000	, , ,	0	0	0	0
7 4	AMP GLOBAL CLEARING LLC APERTURE LLC	FCM FCM	NFA NFA	10/31/2016	2,577,295 17,494,984	1,500,000 1,000,000	1,077,295 16,494,984	55,990,655 2,821,040	54,152,952 2,031,286	1,837,703 789,754	900,000	2,671,087	2,353,300	317,787	150,000	(0	0	0	0
9 6	BARCLAYS CAPITAL INC	FCM BD		10/31/2016	6,591,366,640	1,178,828,357	5,412,538,283	5,623,658,953	5,015,199,176	/89,/54 608,459,777	275,835,955	3,641,476,760	3,269,987,102	371.489.658	164.153.353	5.858.110.161	5,201,055,112	657,055,049	293,339,508	0
10 7	BGC FINANCIAL LP	FCM BD	NFA	10/31/2016	41,978,166	3,616,217	38,361,949	0	0	0	0	0	0	0	0	3/030/110/10	0	037,033,013	0	0
11 8	BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME		1,484,610,832	203,863,091	1,280,747,741	2,765,694,030	2,563,622,481	202,071,549	150,000,000	26,808,048	13,781,565	13,026,483	10,000,000	16,119,525	8,019,166	8,100,359	5,000,000	0
12 9	BNP PARIBAS SECURITIES CORP BOCI COMMODITIES & FUTURES USA LLC	FCM BD FCM		10/31/2016 10/31/2016	1,581,662,601 8,832,455	203,607,875 1,000,000	1,378,054,726 7,832,455	1,090,517,810 18,984,261	1,014,810,418 17.333.964	75,707,392 1,650,297	50,000,000 1,000,000	159,164,845	133,725,416	25,439,429	13,372,542	1,013,345,286	766,060,988	247,284,298	76,606,099	0
14 11	CANTOR FITZGERALD & CO	FCM BD		10/31/2016	213,269,394	1,000,000	201,865,268	4.969.921	17,333,904	4,969,921	3,000,000	0	0	0	1		0	0	0	0
15 12	CHS HEDGING LLC	FCM		10/31/2016	36,441,324	8,681,365	27,759,959	194,231,305	128,324,237	65,907,068	13,100,000	2,012,356	487,145	1,525,211	545,000	503,912	2 0	503,912	310,000	0
16 13	CITIGROUP GLOBAL MARKETS INC		CBOT/NFA	,,	9,637,739,802	1,739,240,569	7,898,499,233	8,200,423,838	7,789,599,955	410,823,883	308,800,000	1,898,322,514	1,720,006,133	178,316,381	150,000,000	14,025,315,840		368,126,922	280,275,000	0
17 14	CREDIT SUISSE SECURITIES (USA) LLC CUNNINGHAM COMMODITIES LLC	FCM BD FCM	CBOT	10/31/2016	11,648,158,938 5,189,457	1,321,485,318	10,326,673,620	6,054,267,096 76,847,121	5,658,386,925 72,783,462	395,880,171 4,063,659	282,919,346 3,050,000	3,028,609,421	2,830,969,944	197,639,477	141,548,497	12,280,189,413	11,594,354,408	685,835,005	579,717,720	0
19 16	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CBOT	10/31/2016	5,189,457	1,254,215 6,773,296	3,935,242 599,499,972	76,847,121 5,478,676	/2,/83,462 n	4,063,659 5,478,676	3,050,000	227,999 566,413	15,954	212,045 566,413	50,000	1	0	0	0	0
20 17	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	10/31/2016	12,014,872,773	603,990,453	11,410,882,320	3,362,293,803	3,064,493,491	297,800,312	200,000,000	912,020,130	712,219,880	199,800,250	150,000,000	1,434,023,393	1,131,610,089	302,413,304	250,000,000	0
21 18	DORMAN TRADING LLC	FCM	CME	10/31/2016	10,522,959	1,935,636	8,587,323	175,389,457	171,975,571	3,413,886	2,000,000	4,843,964	3,891,345	952,619	200,000		0	0	0	0
22 19	E D & F MAN CAPITAL MARKETS INC E TRADE SECURITIES LLC	FCM BD	CME NFA	10/31/2016	125,560,903 998,464,175	60,346,032 159,565,439	65,214,871 838,898,736	1,591,877,399	1,539,061,727 49,251,200	52,815,672 17,078,283	35,000,000	126,165,229 1,370,033	118,830,736	7,334,493	5,000,000	2,603,682	1,473,761	1,129,921	500,000	0
23 20	EFL FUTURES LIMITED	FCM BD		10/31/2016	37,611,202	17,746,208	19,864,994	66,329,483 242,748,341	229,478,243	13,270,098	10,000,000 5,000,000	1,370,033	200,819	1,109,214	1,000,000		0	0	0	0
25 22	FOREX CAPITAL MARKETS LLC	FCMRFD SD	NFA	10/31/2016	50,901,175	32,332,024	18,569,151	0	0	0	0	0	0	0	0		0	0	0	175,572,998
26 23	GAIN CAPITAL GROUP LLC	FCMRFD		10/31/2016	40,774,950	27,207,177	13,567,773	345,142,713	328,580,480	16,562,233	10,000,000	5,382,697	3,749,248	1,633,449	1,000,000	(0	0	0	127,661,648
27 24	GH FINANCIALS LLC	FCM	CME	10/31/2016	21,241,768	7,484,099	13,757,669	125,374,499	114,848,299	10,526,200	6,000,000	3,352,808	2,287,172	1,065,636	550,000	(0	0	0	0
28 25	GOLDMAN SACHS & CO HSBC SECURITIES USA INC	FCM BD SD FCM BD	CBOT/NFA CME	10/31/2016 10/31/2016	17,547,002,051 1.107.825.959	2,380,065,701 202,502,248	15,166,936,350 905,323,711	21,777,966,191 1,365,601,732	20,712,123,583 1,273,073,644	1,065,842,608 92,528,088	875,000,000 60,000,000	10,958,325,539 191,405,594	10,384,721,069 158,157,210	573,604,470 33,248,384	475,000,000 25,000,000	4,364,977,778 859.853.813	3,930,857,105 769,567,904	434,120,673 90,285,909	350,000,000 80,000,000	0
30 27	INTERACTIVE BROKERS LLC	FCM BD		10/31/2016	3,229,288,662	288,324,595	2.940.964.067	3,286,529,395	3.045.563.997	240.965.398	155,000,000	480,640,003	360.345.522	120,294,481	80.000,000	039,033,013	0 709,307,904	90,263,909	0,000,000	35,288,042
31 28	INTL FCSTONE FINANCIAL INC	FCM BD		10/31/2016	146,318,420	77,618,061	68,700,359	2,148,763,659	2,097,110,660	51,652,999	35,000,000	123,881,167	106,422,838	17,458,329	8,000,000	(0	0	0	0
32 29	IRONBEAM INC	FCM		10/31/2016	3,638,990	1,651,894	1,987,096	69,156,752	67,804,309	1,352,443	800,000	580,601	417,124	163,477	50,000	(0	0	0	0
33 30	JEFFERIES LLC JP MORGAN SECURITIES LLC	FCM BD FCM BD SD		10/31/2016 10/31/2016	1,380,982,789 15.886,076,247	82,859,375 2,589,743,590	1,298,123,414 13.296,332,657	19.704.771.033	18.101.633.936	1.603.137.097	995,589,866	4.388.438.175	3.969.783.673	0 418.654.502	337.431.612	10.035.599.807	9,192,730,731	842.869.076	574,545,671	0
35 32	MACQUARTE FUTURES USA LLC	FCM BD SD		10/31/2016	258,789,261	142,545,499	13,296,332,657	2,165,280,941	1.978.078.841	187,202,100	100,000,000	58,123,552	31,808,081	26,315,471	7,000,000	24,125,152	5,563,931	18.561.221	1,000,000	0
36 33	MAREX NORTH AMERICA LLC	FCM		10/31/2016	26,788,536	20,629,479	6,159,057	286,393,935	280,394,390	5,999,545	5,200,000	45,580,859	44,280,882	1,299,977	1,000,000	(0	0	0	0
37 3 4	MCVEAN TRADING & INVESTMENTS LLC	FCM	14174	10/31/2016	14,217,867	2,405,381	11,812,486	753,158,741	731,634,591	21,524,150	18,000,000	2,417,861	0	2,417,861	1,000,000	(0	0	0	0
38 35	MERRILL LYNCH PIERCE FENNER & SMITH INCORPORATED MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	CBOT NFA	10/31/2016	12,492,357,300 3,263,646,891	1,619,986,126 471,969,179	10,872,371,174 2,791,677,712	12,613,498,347 1,360,566,273	12,333,993,911 642,358,225	279,504,436 718,208,048	200,000,000 300,000,000	3,974,431,685	3,716,293,303	258,138,382	150,000,000	6,540,328,489	5,845,257,584	695,070,905	150,000,000	0
40 37	MID CO COMMODITIES INC	FCM BD	NFA	10/31/2016	8,186,703	3,672,434	4,514,269	40,235,264	31,637,485	8,597,779	5,138,000	0	0	0	0		0	0	0	<u> </u>
41 38	MINT BROKERS	FCM BD	NFA	10/31/2016	5,221,918	1,000,000	4,221,918	0	0	0,337,773	0,130,000	0	0	0	0	i	0	0	0	0
42 39	MIZUHO SECURITIES USA INC	FCM BD SD		10/31/2016	544,429,760	245,696,731	298,733,029	3,006,480,474	2,806,961,286	199,519,188	125,000,000	943,935,004	843,189,293	100,745,711	70,000,000	38,376,600	7,045,222	31,331,378	15,000,000	0
43 40	MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA		9,610,370,878	2,103,951,099	7,506,419,779	14,318,515,485	14,053,831,380	264,684,105	210,000,000	4,330,777,319	4,128,173,460	202,603,859	160,000,000	13,407,505,106	13,182,855,790	224,649,316	92,000,000	0
44 41	MUFG SECURITIES AMERICAS INC	FCM BD		10/31/2016 10/31/2016	302,188,988 19,266,194	1,023,476 3,259,441	301,165,512 16,006,753	69.055.149	57,424,137	11.631.012	3,500,000	0	0	0	0		0	0	0	0
46 43	NEUBERGER BERMAN LLC	FCM BD		10/31/2016	28,867,154	1,500,000	27,367,154	0	0	0	0	0	0	0	0		0	0	0	0
	NOMURA SECURITIES INTERNATIONAL INC	FCM BD		10/31/2016	2,084,870,298	74,550,370	2,010,319,928	258,991,537	156,915,628	102,075,909	15,000,000	18,019,829	25,782	17,994,047	1,000,000	(0	0	0	0
48 45	OANDA CORPORATION	FCM RD	NFA	10/31/2016	72,876,806	49,629,423	23,247,383	127.937.810	07 206 552	40.651.353	12.002.003	2.040.700	0	2,004,704	132 750		0	0	0	133,771,911
50 47	OPTIONSXPRESS INC PHILLIP CAPITAL INC	FCM BD		10/31/2016	272,645,900 32,318,878	7,266,498 14.853.165	265,379,402 17.465,713	127,937,810	87,286,553 195,099,475	40,651,257 17,048,287	13,092,983 9,754,974	3,849,706 29,711,386	885,002 21,676,484	2,964,704 8.034,902	132,/50		0	0	0	0
51 48	PICTET OVERSEAS INC	FCM BD		10/31/2016	16,792,456	1,000,000	15,792,456	0	155,059,475	0	0,754,974	25,711,500	0	0,051,902	0		0	0	0	0
52 49	RAND FINANCIAL SERVICES INC	FCM	CME	10/31/2016	84,242,435	14,840,921	69,401,514	248,846,500	205,758,500	43,088,000	6,172,800	35,818,700	12,902,100	22,916,600	387,100	(0	0	0	0
53 50	RBC CAPITAL MARKETS LLC	FCM BD	CME	10/31/2016	2,030,192,747	232,854,384	1,797,338,363	2,413,014,700	2,153,795,780	259,218,920	160,000,000	177,930,829	134,761,420	43,169,409	20,000,000	933,921,185	707,742,493	226,178,692	80,000,000	0
54 51	RBS SECURITIES INC RJ OBRIEN ASSOCIATES LLC	FCM BD FCM SD		10/31/2016 10/31/2016	2,696,185,453 212,857,861	96,241,586 150,528,712	2,599,943,867 62,329,149	2,037,646,338 4,267,605,903	1,841,560,904 4,170,399,209	196,085,434 97,206,694	125,000,000 50,000,000	136,784,040 265,374,520	10,048,505 240,623,979	126,735,535 24,750,541	100,000,000 20,000,000	1 0	0	0	0	0
56 53	ROSENTHAL COLLINS GROUP LLC	FCM		10/31/2016	80,361,128	55,256,735	25,104,393	1,371,985,401	1,346,663,830	25,321,571	18,000,000	31,907,105	19,912,724	11,994,381	8,000,000		0	0	0	0
57 54	SANTANDER INVESTMENT SECURITIES INC	FCM BD		10/31/2016	147,113,135	12,869,552	134,243,583	534,991,709	529,343,329	5,648,380	4,000,000	0	0	0	0	(0	0	0	0
58 55	SCOTIA CAPITAL USA INC	FCM BD		10/31/2016	653,674,469	44,356,339	609,318,130	1,714,266	665,131	1,049,135	99,770	750,000	0	750,000	255.000.000	540.005 ===	0	0	0	0
60 57	SG AMERICAS SECURITIES LLC STATE STREET GLOBAL MARKETS LLC	FCM BD FCM BD	CME CME	10/31/2016	4,013,762,468 545,075,074	1,240,778,466	2,772,984,002 543,942,834	16,188,363,560	15,324,039,751	864,323,809	500,000,000	4,291,020,963	3,769,370,640	521,650,323 0	255,000,000	510,085,770	294,456,414	215,629,356	75,000,000	0
61 58	STRAITS FINANCIAL LLC	FCM	CME	10/31/2016	23,098,361	9,999,224	13,099,137	307,888,440	290,845,247	17,043,193	2,000,000	54,901,564	47,935,349	6,966,215	300,000		0	0	0	0
62 59	TD AMERITRADE FUTURES & FOREX LLC	FCM	NFA	10/31/2016	117,621,629	21,900,621	95,721,008	258,711,423	213,284,626	45,426,797	25,000,000	0	0	0	0	(0	0	0	48,012,412
63 60	TRADESTATION SECURITIES INC	FCM BD	CME	10/31/2016	73,108,823	3,782,399	69,326,424	528,911,785	516,667,298	12,244,487	9,000,000	30,221,960	28,554,036	1,667,924	800,000		0	0	0	0
65 63	UBS FINANCIAL SERVICES INC UBS SECURITIES LLC	FCM BD	NFA CBOT	10/31/2016	1,216,041,190 3,986,875,103	116,356,214	1,099,684,976	119,040,848 8,972,777,610	86,156,082 8,413,028,797	32,884,766 559,748,813	22,000,000 425,000,000	28,506,934 4,975,262,676	5,487,788 4,537,232,432	23,019,146 438,030,244	15,000,000 300,000,000	1,091,792,579	803,703,713	288,088,866	200,000,000	0
66 63	UOBBF CLEARING LIMITED	FCM BD	CME	10/31/2016	7,537,770	1,018,798,237	6,537,770	8,488,959	5,987,698	2,501,261	2,000,000	4,9/3,202,6/6	1,337,432,432	430,030,244	300,000,000	1,031,732,575	003,703,713	200,000,800	200,000,000	0
67 64	WEDBUSH SECURITIES INC	FCM BD	CBOT	10/31/2016	158,389,472	22,767,864	135,621,608	741,882,570	724,696,830	17,185,740	13,000,000	25,734,745	23,020,190	2,714,555	1,000,000	Ò	0	0	0	0
68 65	WELLS FARGO SECURITIES LLC	FCM BD	CME	10/31/2016	3,246,592,033	912,874,663	2,333,717,370	3,461,312,602	3,106,008,267	355,304,335	275,000,000	465,623,717	245,896,460	219,727,257	30,000,000	8,603,700,203	7,893,739,307	709,960,896	600,000,000	0
69 66	YORK BUSINESS ASSOCIATES LLC	FCM	NFA	10/31/2016	5,319,518	1,000,000	4,319,518	42,765,748	37,547,185	5,218,563	2,000,000	2,141,677	1,793,682	347,995	200,000		0	0	0	0
71	Totals							163,492,582,888	153,235,081,684	10.257.501.204	6.420.684.821	46,440,106,827	42,120,369,420	4.319.737.407	2.736.452.617	81.051.479.270	74,994.053.884	6.057.425.395	3,711,293,999	520,307,011
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SELECTED FCM FINANCIAL DATA AS OF

October 31, 2016 FROM REPORTS FILED BY November 27, 2016

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9 * the amount of capital required by an registered futures association (currently FMs is the only such association); or • In the source brokers and detects, the amount of an explain required by that IsS-16; 10; the Source because and because (\$20,000,000); or • In the source because and explain and source or capital requirements and the source or capital requirements. • In the source or capital sadjusted net capital requirements. • In the source or capital sadjusted net capital requirement. • In the source or capital sadjusted net capital requirement. • In the source or capital sadjusted net capital requirement. • In the source or capital sadjusted net capital requirement. • In the source or capital sadjusted net capital requirement. • In the source or capital sadjusted net capital requirement. • In the source or capital sadjusted net capital requirement. • In the source or capital sadjusted net capital requirement. • In the source or capital sadjusted net capital requirement. • In the source or capital sadjusted net capital requirement. • In the source or capital sadjusted net capital requirement. • In the source or capital sadjusted net capital requirement. • In the source or capital sadjusted net capital requirement. • In the source or capital sadjusted net capital requirement. • In the source or capital sadjusted net capital requirement to segregation requirement. • In the source or capital sadjusted net capital requirement to segregation requirement. • In the source or capital sadjusted net capital requirement to segregation requirement. • In the segregation is customer assets in segregation less the customer segregation requirement. • In the segregation is customer assets in segregation requirement. • In the segregation is customer assets in segregation requirement. • In the segregation is customer segregation is customer segregation requirement. • In the segregation is customer segregation is customer segregation requirement. • In the segregation is the segregation is customer	97																			
* or securities brokers and dealers, the amount of net capital required by Rule 15-0-16) of the Securities and Exchange Commission or * imminum dullar amount for FONs offerings or engaged in retail force transactions and RFDs (\$50,000,000) plus five percent of the FON's or RFD's total retail force obligation in excess of \$10,000,000 * imminum dullar amount for FON's offering or engaged in retail force transactions and RFDs (\$50,000,000) plus five percent of the FON's or RFD's total retail force obligation in excess of \$10,000,000. * imminum dullar amount for FON's offering or engaged in retail force transactions and RFDs (\$50,000,000) plus five percent of the FON's or RFD's total retail force obligation in excess of \$10,000,000. * imminum dullar amount for FON's offering or engaged in retail force in the FON's or RFD's total retail force obligation in excess of \$10,000,000. * imminum dullar amount for FON's or engaged in retail force obligation in excess of \$10,000,000. * imminum dullar amount for funds that an FON is required to segregated accounts for futures and options customers who are trading on a designated contact market or derivatives transaction execution facility. This is the sum of all accounts that contain a net liquiditing equity. * (ii): Excess/Deficient funds in segregation is customer assets in segregation. Results on segregation requirement. * (iii): This represents the total amount of funds and opposite funds disposited into customer segregation requirement. * (iv): This represents the total amount of funds an FON is required to segregated accounts for futures and options customer segregation requirement. * (iv): This represents the table amount of funds an FON is required to segregated section 30.7 accounts above the customer amount Part 30 requirement. * (iv): This represents the tamount of funds an FON is required to segregate for customers who trade cleared swap customer amount Part 30 requirement. * (iv): This represents th	98																			
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(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 customer into a retail forex account or accounts, adjusted for the realized and unrealized net profit or loss.