SELECTED FCM FINANCIAL DATA AS OF October 31, 2017 FROM REPORTS FILED BY November 28, 2017

_12	В	С	D	E	F	G	Н	1	J	K	L	М	N	0	P	Q	R	S	T	U
Ī	Eutures Commission Marshaut /	Dogistored		Acof	Adjusted Not	Not Canital	Evenes Not	Customors'	Customers' Seg	Evenes/Deficient	Target Residual	Funds in	Customer	Excess/Deficient	Target Residual	Funds in	Customer	Excess/Deficient	Target Residual	Total Amount o
	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	Excess/Deficient Funds in Seg	Target Residual Interest in Seg	Separate Section	Amount Pt. 30	Funds in Separate Section	Interest in	Separate Cleared Swap	Amount Cleared Swap Seg	Funds in Cleared Swap Seg	Interest in Cleared Swap	Retail Forex
1 –		(2)	(b)	+		(6)	(4)	(a)	4d(a)(2)	(a)	(b)	30.7 Accounts	Required	30.7 Accounts	Section 30.7	Segregation	Required	Accounts	Seq	Obligation
3		(a)	(b)	+		(c)	(d)	(e)	(f)	(g)	(h)	(1)	(j)	(k)	(1)	(m)	(n)	(0)	(p)	(q)
4	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	10/31/2017	603,827,602	150,580,066	453,247,536	2,759,762,852	2,401,951,640	357,811,212	156,047,496	117,312,381	94,459,882	22,852,499	9,445,988	0	0	0	0	
5	ADM INVESTOR SERVICES INC B ADVANTAGE FUTURES LLC	FCM FCM	CBOT CME	10/31/2017	311,058,876 21,278,162	188,214,209 10,714,212	122,844,667 10,563,950	4,445,445,731 594,790,065	4,236,959,075 583,298,461	208,486,656 11,491,604	120,000,000 7,000,000	436,268,783 36,080,764	379,364,002 34,436,478	56,904,781 1,644,286	20,000,000 1,000,000	14,876,068	5,115,892	9,760,176	8,000,000	
7	AMP GLOBAL CLEARING LLC	FCM	NFA	10/31/2017	2,847,754	1,000,000	1,847,754	53,858,682	50,776,927	3,081,755	900,000	2,604,284	2,227,378	376,906	150,000	0	0	0	0	
8	APEX CLEARING CORPORATION	FCM BD	NFA	10/31/2017	137,725,227	17,148,644	120,576,583	2,482,237	982,082	1,500,155	500,000	0	0	0	0	0	0	0	0	
9	BARCLAYS CAPITAL INC BGC FINANCIAL LP	FCM BD	NYME NFA	10/31/2017	6,870,017,447	1,102,190,081	5,767,827,366	5,258,951,489	4,610,739,258	648,212,231	277,105,429	3,836,211,568	3,428,330,367	407,881,201	166,616,856	5,900,648,619	5,036,247,922	864,400,697	199,939,042	
1 :	B BNP PARIBAS PRIME BROKERAGE INC	FCM BD FCM BD	NYME	10/31/2017	34,391,664 1,390,728,413	2,370,635 171,006,719	32,021,029 1,219,721,694	1,682,208,470	1,494,263,644	187,944,826	150,000,000	54,267,626	44,516,255	9,751,371	7,500,000	18.793.175	9.076.281	9,716,894	7,500,000	
2 '	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	10/31/2017	1,514,235,269	229,875,533	1,284,359,736	1,113,648,366	1,010,508,427	103,139,939	82,500,000	133,385,340	104,887,231	28,498,109	22,500,000	978,963,119	821,951,988	157,011,131	120,000,000	
	BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	10/31/2017	7,906,490	1,508,101	6,398,389	33,146,287	27,666,127	5,480,160		6	0	6	1	6	0	6	1	
4 1 5 1	CANTOR FITZGERALD & CO CHARLES SCHWAB FUTURES, INC.	FCM BD FCM BD	CBOT NFA	10/31/2017	198,200,269 291,090,353	12,659,685 1,000,000	185,540,584 290,090,353	4,969,921 108,159,064	62,127,623	4,969,921 46,031,441	3,000,000 9,319,144	2,449,943	946,090	1,503,853	141,913	0	0	0	0	
6 1	CHARLES SCHWAD FOTORES, INC.	FCM	CBOT	10/31/2017	42,152,541	7,822,416	34,330,125	158,531,596	115,327,915	43,203,681		1,553,715	29,976	1,523,739	200,000	503.912	0	503,912	120,000	
7 1	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	A 10/31/2017	10,351,549,670	2,025,326,972	8,326,222,698	7,099,252,215	6,627,307,410	471,944,805	316,400,000	2,201,022,181	1,949,295,590	251,726,591	150,000,000		20,642,831,581	504,087,167	399,100,000	
	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT		9,688,661,239	1,358,010,568	8,330,650,671	6,165,555,149	5,839,238,507	326,316,642		3,770,241,226	3,567,926,451	202,314,775	178,396,323	11,669,576,692	11,020,407,759	649,168,933	551,020,388	
9 1	CUNNINGHAM COMMODITIES LLC DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CBOT	10/31/2017 10/31/2017	5,140,864 639,823,614	1,597,118 9,614,505	3,543,746 630,209,109	86,936,378 2,164,989	83,312,733	3,623,645 2,164,989	3,050,000	902,884 566,188	450,697	452,187 566,188	100,000	0	0	0	0	1
1 1	B DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT		12,834,566,316	262,511,257	12,572,055,059	2,579,412,685	2,379,502,648	199,910,037	125,000,000	1,081,402,123	932,614,728	148,787,395	75,000,000	0	0	0	0	
2 1	DORMAN TRADING LLC	FCM	CME	10/31/2017	12,788,076	2,451,616	10,336,460	187,872,650	184,010,012	3,862,638	2,000,000	4,480,652	3,732,822	747,830	200,000	0	0	0	0	
	DED & F MAN CAPITAL MARKETS INC	FCM BD	CME	10/31/2017	144,832,739	45,142,076	99,690,663	1,286,231,433	1,203,155,731	83,075,702	35,000,000	60,951,367	52,532,977	8,418,390	5,000,000	3,128,260	1,989,741	1,138,519	500,000	ļ
1 2	E*TRADE FUTURES LLC PEFL FUTURES LIMITED	FCM FCM	NFA CME	10/31/2017	17,660,339 44,250,736	4,075,353 18.867,424	13,584,986 25,383,312	77,399,473 246,872,605	65,776,690 232,198,202	11,622,783 14,674,403		0	0	0	0	0	0	0	0	1
2	B GAIN CAPITAL GROUP LLC	FCMRFD	NFA	10/31/2017	44,067,374	34,476,013	9,591,361	233,244,542	219,831,786	13,412,756		4,950,398	3,449,800	1,500,598	1,000,000	0	0	0	0	263,407,
7 2	GH FINANCIALS LLC	FCM	CME	10/31/2017	21,564,124	5,085,779	16,478,345	95,679,375	82,099,632	13,579,743	4,000,000	3,885,310	2,782,974	1,102,336	550,000	0	0	0	0	205, 107,0
	GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA		17,327,169,104	2,575,925,117	14,751,243,987	20,687,203,830	19,830,166,277	857,037,553	675,000,000	11,998,763,580	11,417,001,119	581,762,461	475,000,000	5,289,982,155	4,845,569,348	444,412,807	350,000,000	
2	HSBC SECURITIES USA INC	FCM BD	CME		960,459,469	248,294,089	712,165,380	1,553,353,494	1,474,744,943	78,608,551	67,000,000	168,709,032	131,308,932	37,400,100	25,000,000	1,133,683,764	977,751,003	155,932,761	138,000,000	
1 2	HUATAI FINANCIAL USA INC BINTERACTIVE BROKERS LLC	FCM BD	NFA CME	10/31/2017	2,311,481 3,931,667,248	1,000,000 425,266,039	1,311,481 3,506,401,209	4,672,504,950	4,460,650,394	211,854,556	155,000,000	561,117,907	437,021,005	124,096,902	80,000,000	0	0	0	0	42,474,5
	INTERACTIVE BROKERS EEC INTL FCSTONE FINANCIAL INC	FCM BD	CME	10/31/2017	150,024,389	80,514,105	69,510,284	2,225,143,801	2,174,484,941	50,658,860	35,000,000	164,040,257	147,097,794	16,942,463	8,000,000	0	0	0	0	72,777,
3	IRONBEAM INC	FCM	NFA	10/31/2017	3,516,729 1,129,773,242	1,196,282	2,320,447	77,174,190	75,763,871	1,410,319	800,000	442,303	234,816	207,487	50,000	0	0	0	0	
3	JEFFERIES LLC JP MORGAN SECURITIES LLC	FCM BD SD	NFA CET/NFA		1,129,773,242	92,715,257 2,740,216,959	1,037,057,985 10,750,490,877	17.107.768.249	15.826.192.058	1.281.576.191	870.440.563	5.577.317.605	5.028.267.970	549,049,635	<u>0</u> 427 402 777	12 154 249 804	11.210.448.869	943.800.935	700 653 054	
3	MACOUARIE FUTURES USA LLC	FCM BD 3D	CBOT		278,875,403	140.091.818	138,783,585	1,958,543,095	1,743,552,284	214,990,811		53,337,991	37.615.426	15,722,565	7,000,000	23,607,566	3,271,247	20,336,319	1,000,000	
3	MAREX NORTH AMERICA LLC	FCM	CME		20,770,271	15,550,578	5,219,693	181,852,252	178,194,296	3,657,956		79,630,111	78,631,437	998,674	500,000	0	0	0	0	
3	MCVEAN TRADING & INVESTMENTS LLC MERRILL LYNCH PIERCE FENNER & SMITH INCORPORATED	FCM BD	NFA CBOT	10/31/2017	14,098,480 13,205,147,415	2,453,891 1,746,820,921	11,644,589 11,458,326,494	760,050,735 13,533,489,730	738,971,279 13,228,756,501	21,079,456 304,733,229	18,000,000 200,000,000	2,567,861 4,555,582,954	4,047,011,965	2,567,861 508,570,989	1,000,000 150,000,000	6,440,637,150	5,971,990,176	468,646,974	150,000,000	1
3	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	10/31/2017	3,257,564,869	573,576,193	2,683,988,676	1,105,499,511	686,930,878	418,568,633	300,000,000	1,333,302,934	0	0.00,370,909	130,000,000	0,440,037,130	3,571,550,170	0 00,040,974	130,000,000	
3	MID CO COMMODITIES INC	FCM	NFA	10/31/2017	8,564,785	2,915,486	5,649,299	36,169,470	26,560,783	9,608,687		0	0	0	0	0	0	0	0	
	MINT BROKERS	FCM BD	NFA	10/31/2017	4,861,903	1,000,000	3,861,903	0	0	0	. 0	0	0	0	0	0	0	0	0	
3 4	MIZUHO SECURITIES USA LLC MORGAN STANLEY & CO LLC	FCM BD SD FCM BD SD	CME/NFA CMF/NFA		616,869,101 10,946,755,614	245,634,272 2,062,243,940	371,234,829 8,884,511,674	3,053,453,965 14,509,957,429	2,851,893,844 14,166,277,188	201,560,121 343,680,241	125,000,000 285,000,000	814,547,425 5,171,151,032	689,148,038 4,979,923,384	125,399,387 191,227,648	70,000,000 140,000,000	33,753,266 13,487,075,243	3,521,737 13,350,026,589	30,231,529 137,048,654	15,000,000 92,000,000	
5 4	NANHUA USA LLC	FCM BD 3D	CME/INFA	10/31/2017	18,314,594	2,002,243,940	15,999,192	55,586,429	42,919,024	12,667,405		3,171,131,032	4,979,923,364	191,227,046	140,000,000	13,467,073,243	13,330,020,369	137,040,034	92,000,000	
4	NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	10/31/2017	1,721,935,829	211,540,767	1,510,395,062	238,650,835	133,959,395	104,691,440	15,000,000	17,535,750	27,037	17,508,713	1,000,000	0	0	0	0	
	OANDA CORPORATION	FCMRFD	NFA	10/31/2017	81,560,273	52,316,277	29,243,996	0	0	0	7.500.000	0	0 702 405	0	2 000 000	0	0	0	0	174,579,0
	PHILLIP CAPITAL INC PICTET OVERSEAS INC	FCM BD FCM BD	CME NFA		36,904,012 17,484,257	13,935,246 1,000,000	22,968,766 16,484,257	252,918,742 1,500,000	238,259,646	14,659,096 1,500,000		12,764,226 500,000	9,792,495	2,971,731 500,000	2,000,000 500,000	0	0	0	0	1
4	RAND FINANCIAL SERVICES INC	FCM	CME	10/31/2017	86,426,161	14,311,631	72,114,530	214,521,900	172,624,500	41,897,400	5,178,700	48,340,600	24,420,400	23,920,200	732,600	0	0	0	0	
4	RBC CAPITAL MARKETS LLC	FCM BD	CME	10/31/2017	1,913,495,545	228,599,802	1,684,895,743	2,952,660,673	2,664,462,834	288,197,839	200,000,000	334,823,434	291,164,077	43,659,357	20,000,000	486,986,686	226,650,834	260,335,852	40,000,000	
4	RBS SECURITIES INC RJ OBRIEN ASSOCIATES LLC	FCM BD FCM SD	CBOT CME/NFA	10/31/2017	591,025,816 208,458,600	33,084,192 145,885,068	557,941,624 62,573,532	612,874,786 3,726,864,574	461,168,004 3,634,272,550	151,706,782 92,592,024	125,000,000	62,780,867 260,539,141	31,976,578 236,037,136	30,804,289 24,502,005	25,000,000 20,000,000	0	0	0	0	
5	ROSENTHAL COLLINS GROUP LLC	FCM	CME	10/31/2017	69,646,687	44,671,501	24,975,186	1,128,651,284	1,104,518,781	24,132,503	18,000,000	31,008,346	20,299,356	10,708,990	8,000,000	0	0	0	0	
5.	SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	10/31/2017	178,084,651	50,000,000	128,084,651	605,621,870	593,927,590	11,694,280	9,000,000	0	0	0	0	0	0	0	0	
5.	S SCOTIA CAPITAL USA INC	FCM BD	CME	10/31/2017	663,042,000	43,797,223	619,244,777	12.096.640.250	12 250 205 (22	726 252 726	E00 000 000	0 E E12 004 270	4 022 102 771	E70 000 F00	255 000 000	654.742.262	420 110 070	216 622 202	75,000,000	1
5	SG AMERICAS SECURITIES LLC STRAITS FINANCIAL LLC	FCM BD FCM	CME CME	10/31/2017	4,493,463,321 20,777,316	1,181,206,338 7,386,766	3,312,256,983 13,390,550	12,986,648,359 194,228,286	12,250,295,633 180,111,840	736,352,726 14,116,446	500,000,000	5,513,064,279 31,850,087	4,933,183,771 25,929,460	579,880,508 5,920,627	255,000,000 300,000	654,743,262 0	438,119,879 0	216,623,383	75,000,000 0	1
5	TD AMERITRADE FUTURES & FOREX LLC	FCM	NFA	10/31/2017	78,476,002	22,638,645	55,837,357	314,469,159	249,182,138	65,287,021	25,000,000	0	0	0	0	0	0	Ö	0	62,772,
5	TRADESTATION SECURITIES INC	FCM BD	CME	10/31/2017	85,571,926	4,752,021	80,819,905	574,649,553	562,341,345	12,308,208	9,000,000	24,933,063	22,370,503	2,562,560	800,000	0	0	0	0	
,	UBS FINANCIAL SERVICES INC	FCM BD FCM BD	NFA CBOT	10/31/2017	1,347,260,269 5,655,931,192	128,372,303 741.541.797	1,218,887,966 4,914,389,395	120,255,709 7.029,532,612	88,608,859 6,529,369,324	31,646,850 500,163,288	22,000,000	33,096,209 3,677,312,946	5,792,876 3,283,210,448	27,303,333 394,102,498	15,000,000 300,000,000	930,994,859	665,437,036	265.557.823	200,000,000	
6	UOBBF CLEARING LIMITED	FCM	CME	10/31/2017	26,118,182	3,453,638	22,664,544	84,627,607	60,642,581	23,985,026	5 2,000,000	0	0	0	0	0	003,137,030	0	0	
	WEDBUSH SECURITIES INC	FCM BD	CBOT	10/31/2017	172,048,583	24,991,730	147,056,853	1,453,908,776	1,437,419,817	16,488,959	13,000,000	16,279,846	11,963,180	4,316,666	1,000,000	0	0	0	0	
	WELLS FARGO SECURITIES LLC S YORK BUSINESS ASSOCIATES LLC	FCM BD FCM	CME NFA	10/31/2017	7,761,006,502 5,063,067	791,454,497 1.000.000	6,969,552,005 4,063,067	3,970,785,119 45,664,901	3,665,350,503 41,499,808	305,434,616 4,165,093	225,000,000 2,000,000	389,562,183 1,705,385	336,929,613 1,186,200	52,632,570 519,185	25,000,000 200,000	7,015,849,746	6,414,131,515	601,718,231	500,000,000	}
10.	TORK BUSINESS ASSOCIATES EEC	TON	INIA	10/31/2017	3,003,007	1,000,000	4,003,007	75,007,501	71,755,000	4,103,093	2,000,000	1,703,303	1,100,200	319,103	200,000	U				1
L	Totals							152.303.362.129	143.085.108.239	9.218.253.890	6.117.241.258	51.351.841.159	46.829.528.714	4.522.312.445	2.696.286.459	87.384.972.100	81.644.539.397	5.740.432.703	3,547,832,485	543,234,
L		64	+	+																
H	September Web Page Update	64	+	+																
L	Additions	0																		
	None																			
L	Deletions		+	+							 						<u> </u>			
-	Deletions E TRADE SECURITIES LLC	1	+	+		,					 									1
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	Name Changes																			
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3	OPTIONSXPRESS INC to CHARLES SCHWAB FUTURES INC			++		<u>'</u>											L	\vdash	·	
	OPTIONSXPRESS INC to CHARLES SCHWAB FUTURES INC	63	 	+																
	OPTIONSXPRESS INC to CHARLES SCHWAB FUTURES INC October Web Page Update	63																		

SELECTED FCM FINANCIAL DATA AS OF October 31, 2017 FROM REPORTS FILED BY November 28, 2017

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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 SD is listed second.	
91		
92	(c): A firm's net capital requirement is the greater of:	
93		
34	FCM minimum dollar amount (\$1,000,000); or	
35	risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk margin and	
35	the amount of capital required by a registered futures association (currently NFA is the only such association); or	
37	for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; or	
38	minimum dollar amount for ECM/s offering or engaged in retail forex transactions and REDS (\$20,000,000) or	
300	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. The properties of \$10,000,000 in excess of \$10,000,000 in ex	
100		
102	(d): Excess net capital is adjusted net capital. less the firm's net capital requirement.	
102	(A) This arrange the habit and the first and	
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.	
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	(1): This represents the total amount of thints triat an Pow'ris required to secretate of behalf of customers who are trading on a designated contract market or derivatives transaction execution radiity. This is the sum of an accounts triat contain a net included in a contain a net in a contain a net included	
107	(q): Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.	
108	(q). Excess behavior taken in sequencial in sequence assets as the sequence assets as the sequence assets as the sequence assets as the sequence as the s	
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.	
HITT	(III). This represents the angeted executive from deposited into castomer sugregated accounts above the castomer sugregated requirements. This target annotation is sugregated accounts above the castomer sugregated requirements.	
1111	(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	(I) This Egrecited the total similarity decisions, the properly field in decision to induce an opening and account to induce and opening account to induce an opening account to induce a country accountry accoun	
113	(i): 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	(1): 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	(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 account, a diusted for the realized and unrealized net profit or loss.	
128		