

SELECTED FCM FINANCIAL DATA AS OF
December 31, 2013
FROM REPORTS FILED BY
February 10, 2014

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1		Futures Commission Merchant / Retail Foreign Exchange Dealer	Reg As	DSRO	A/O 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	Funds in Separate Pt. 30.7 Accounts	Customer Amount Pt. 30 Required	Excess/Deficient Funds in Separate Pt. 30.7 Accounts	Total Amount of Retail Forex Obligation
2															
3															
4															
5			(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
6															
7	1	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	12/31/2013	496,543,612	120,530,595	376,013,017	2,536,542,670	1,981,333,752	555,208,918	203,480,833	155,031,693	48,449,140	0
8	2	ADM INVESTOR SERVICES INC	FCM	CBOT	12/31/2013	274,225,436	151,295,443	122,929,993	3,176,627,962	2,931,401,486	245,226,476	233,072,364	171,689,820	61,382,544	0
9	3	ADVANTAGE FUTURES LLC	FCM	CME	12/31/2013	24,117,609	10,964,536	13,153,073	484,089,134	472,691,258	11,397,876	40,941,025	38,643,635	2,297,390	0
10	4	ALPARI (US) LLC	FCMRFD	NFA	12/31/2013	4,529,713	1,000,000	3,529,713	2,786,717	322,439	2,464,278	1,981,931	142,931	1,839,000	0
11	5	AMERIPRISE FINANCIAL SERVICES INC	FCM BD	NFA	12/31/2013	77,746,661	1,000,000	76,746,661	0	0	0	0	0	0	0
12	6	AMP GLOBAL CLEARING LLC	FCM	NFA	12/31/2013	2,318,444	1,500,000	818,444	43,742,059	42,518,643	1,223,416	701,524	494,812	206,712	0
13	7	BARCLAYS CAPITAL INC	FCM BD	NYME	12/31/2013	5,869,253,742	1,350,462,203	4,518,791,539	6,659,168,906	6,377,915,171	281,253,735	4,453,446,060	4,234,867,399	218,578,661	0
14	8	BGC FINANCIAL LP	FCM BD	NFA	12/31/2013	52,918,480	1,000,000	51,918,480	0	0	0	0	0	0	0
15	9	BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME	12/31/2013	3,127,792,943	221,693,817	2,906,099,126	2,268,104,725	2,019,918,460	248,186,265	18,952,501	1,598,003	17,354,498	0
16	10	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	12/31/2013	1,487,458,653	204,869,754	1,282,588,899	1,083,641,790	867,187,524	216,454,266	6,000,000	0	6,000,000	0
17	11	BNY MELLON CLEARING LLC	FCM	CME	12/31/2013	282,083,586	20,000,000	262,083,586	223,049,602	127,163,740	95,885,862	24,677,498	5,115,114	19,562,384	0
18	12	BOCI COMMODITIES & FUTURES USA LLC	FCM	NFA	12/31/2013	4,219,137	1,000,000	3,219,137	0	0	0	0	0	0	0
19	13	CANTOR FITZGERALD & CO	FCM BD	CBOT	12/31/2013	284,762,017	6,387,108	278,374,909	6,281,773	1,312,018	4,969,755	0	0	0	0
20	14	CAPITAL MARKET SERVICES LLC	FCM	NFA	12/31/2013	1,512,754	1,000,000	512,754	0	0	0	0	0	0	0
21	15	CHS HEDGING INC	FCM	CBOT	12/31/2013	23,602,712	12,324,572	11,278,140	162,147,391	138,600,871	23,546,520	949,843	230,803	719,040	0
22	16	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT	12/31/2013	5,401,005,930	830,427,986	4,570,577,944	5,175,654,291	4,844,742,715	330,911,576	1,140,699,457	838,897,759	301,801,698	0
23	17	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	12/31/2013	8,037,707,160	2,076,813,800	5,960,893,360	9,291,996,221	7,918,920,731	1,373,075,490	3,728,482,208	2,787,919,391	940,562,817	0
24	18	CROSSLAND LLC	FCM	CBOT	12/31/2013	9,540,140	2,052,169	7,487,971	77,837,010	76,240,649	1,596,361	6,632,808	5,867,281	765,527	0
25	19	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	12/31/2013	3,755,216	1,622,933	2,132,283	79,660,577	78,442,862	1,217,715	555,788	360,940	194,848	0
26	20	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	12/31/2013	492,294,628	9,538,619	482,756,009	9,816,938	4,340,614	5,476,324	624,364	0	624,364	0
27	21	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	12/31/2013	7,780,803,397	602,225,653	7,178,577,744	13,041,042,133	12,402,354,155	638,687,978	1,248,092,289	926,206,407	321,885,882	0
28	22	DORMAN TRADING LLC	FCM	CME	12/31/2013	11,290,931	1,730,100	9,560,831	141,872,350	139,473,664	2,398,686	2,171,070	1,779,688	391,382	0
29	23	E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	12/31/2013	33,043,230	7,573,756	25,469,474	236,202,742	224,076,887	12,125,855	5,001,246	4,174,525	826,721	0
30	24	E TRADE CLEARING LLC	FCM BD	NFA	12/31/2013	714,500,063	144,188,730	570,311,333	50,585,359	39,409,278	11,176,081	1,747,619	743,776	1,003,843	0
31	25	EFL FUTURES LIMITED	FCM	CME	12/31/2013	37,294,696	14,548,413	22,746,283	264,587,542	251,656,003	12,931,539	0	0	0	0
32	26	FCSTONE LLC	FCM	CME	12/31/2013	106,851,349	63,250,041	43,601,308	1,606,138,232	1,582,727,766	23,410,466	69,020,912	52,403,256	16,617,656	0
33	27	FIXI AMERICAS LLC	FCM	NFA	12/31/2013	1,511,915	1,000,000	511,915	0	0	0	0	0	0	0
34	28	FOREX CAPITAL MARKETS LLC	FCMRFD SD	NFA	12/31/2013	64,278,001	27,132,425	37,145,576	0	0	0	0	0	0	152,648,500
35	29	FRIEDBERG MERCANTILE GROUP INC	FCM	NFA	12/31/2013	3,193,839	1,000,000	2,193,839	5,058,853	3,996,235	1,062,618	1,153,871	135,164	1,018,707	0
36	30	FRONTIER FUTURES INC	FCM	NFA	12/31/2013	1,857,232	1,000,000	857,232	26,496,051	25,658,100	837,951	0	0	0	0
37	31	FXDIRECTDEALER LLC	FCMRFD SD	NFA	12/31/2013	22,299,882	20,888,319	1,411,563	0	0	0	0	0	0	27,766,386
38	32	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	12/31/2013	39,069,024	24,610,179	14,458,845	148,570,584	141,613,581	6,957,003	5,751,044	4,746,914	1,004,130	102,203,588
39	33	GFI SECURITIES LLC	FCM BD	NFA	12/31/2013	20,582,754	1,000,000	19,582,754	0	0	0	0	0	0	0
40	34	GH FINANCIALS LLC	FCM	CME	12/31/2013	9,656,493	1,000,000	8,656,493	7,188,767	6,012,801	1,175,966	638,822	388,581	250,241	0
41	35	GLOBAL FUTURES & FOREX LTD	FCMRFD SD	NFA	12/31/2013	8,994,047	1,000,000	7,994,047	0	0	0	0	0	0	0
42	36	GOLDMAN SACHS & CO	FCM BD SD	CBOT	12/31/2013	15,807,595,568	2,049,581,655	13,758,013,913	20,056,596,717	19,505,062,033	551,534,684	8,333,412,635	7,780,125,119	553,287,516	0
43	37	GOLDMAN SACHS EXECUTION & CLEARING LP	FCM BD	CME	12/31/2013	1,382,172,000	174,048,427	1,208,123,573	1,435,160,375	847,350,112	587,810,263	79,037,913	32,876,819	46,161,094	0
44	38	GUGGENHEIM SECURITIES LLC	FCM BD	NFA	12/31/2013	76,421,829	1,220,744	75,201,085	0	0	0	0	0	0	0
45	39	HSBC SECURITIES USA INC	FCM BD	CME	12/31/2013	978,504,917	132,247,172	846,257,745	1,138,736,666	1,048,317,517	90,419,149	111,089,931	92,341,343	18,748,588	0
46	40	IBFX INC	RFED SD	NFA	12/31/2013	29,656,719	23,048,349	6,608,370	0	0	0	0	0	0	67,997,066
47	41	INSTINET LLC	FCM BD	NFA	12/31/2013	110,939,882	2,551,447	108,388,435	0	0	0	0	0	0	0
48	42	INSTITUTIONAL LIQUIDITY LLC	FCMRFD	NFA	12/31/2013	33,444,692	20,075,274	13,369,418	55,637,157	54,415,840	1,221,317	721,324	279,659	441,665	11,505,473
49	43	INTERACTIVE BROKERS LLC	FCM BD	NFA	12/31/2013	2,141,281,678	302,139,265	1,839,142,413	2,143,265,380	1,939,801,946	203,463,434	406,385,525	300,433,178	105,952,347	40,773,394
50	44	IRONBEAM INC	FCM	NFA	12/31/2013	2,375,114	1,000,000	1,375,114	37,569,956	36,264,716	1,305,240	111,346	4,228	107,118	0
51	45	ITG DERIVATIVES LLC	FCM BD	NFA	12/31/2013	5,510,859	1,000,000	4,510,859	0	0	0	0	0	0	0
52	46	JEFFERIES BACHE LLC	FCM	CBOT	12/31/2013	192,396,000	103,983,360	88,412,640	2,031,632,000	1,879,889,000	151,743,000	231,831,000	137,255,000	94,576,000	0
53	47	JP MORGAN CLEARING CORP	FCM BD	NFA	12/31/2013	7,139,043,036	1,876,111,659	5,262,931,377	990,902,339	700,772,180	290,130,159	613,119,652	404,285,444	208,834,208	0

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1		Futures Commission Merchant / Retail Foreign Exchange Dealer	Reg As	DSRO	A/O 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	Funds in Separate Pt. 30.7 Accounts	Customer Amount Pt. 30 Required	Excess/Deficient Funds in Separate Pt. 30.7 Accounts	Total Amount of Retail Forex Obligation
2															
3															
4															
5			(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
6															
54	48	JP MORGAN SECURITIES LLC	FCM BD SD	CEI	12/31/2013	12,881,915,385	2,045,641,071	10,836,274,314	18,009,365,580	16,068,072,825	1,941,292,755	3,551,291,147	3,209,016,688	342,274,459	0
55	49	KCG AMERICAS LLC	FCM BD	CME	12/31/2013	396,654,564	22,299,987	374,354,577	496,035,865	479,067,087	16,968,778	11,674,556	8,227,821	3,446,735	37,100,056
56	50	LEK SECURITIES CORPORATION	FCM BD	NFA	12/31/2013	10,147,787	1,500,000	8,647,787	3,463,671	2,309,600	1,154,071	0	0	0	0
57	51	LINN GROUP THE	FCM	NFA	12/31/2013	3,650,223	2,039,379	1,610,844	80,537,762	76,819,233	3,718,529	350,543	2,893	347,650	0
58	52	LPL FINANCIAL LLC	FCM BD	NFA	12/31/2013	130,421,416	6,889,997	123,531,419	0	0	0	0	0	0	0
59	53	MACQUARIE FUTURES USA LLC	FCM	CBOT	12/31/2013	143,560,497	102,496,294	41,064,203	1,413,355,293	1,228,662,410	184,692,883	19,200,543	12,509,537	6,691,006	0
60	54	MAREX NORTH AMERICA LLC	FCM	CME	12/31/2013	11,875,432	8,775,521	3,099,911	109,477,665	103,751,249	5,726,416	11,111,381	9,941,458	1,169,923	0
61	55	MB TRADING FUTURES INC	RFED	NFA	12/31/2013	25,161,107	21,188,652	3,972,455	0	0	0	0	0	0	33,773,032
62	56	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	12/31/2013	13,738,805	3,559,225	10,179,580	801,701,936	780,942,381	20,759,555	2,417,861	0	2,417,861	0
63	57	MERRILL LYNCH PIERCE FENNER & SMITH	FCM BD	CBOT	12/31/2013	9,953,234,264	950,739,793	9,002,494,471	10,445,568,496	10,097,450,250	348,118,246	3,015,412,512	2,766,345,637	249,066,875	0
64	58	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	12/31/2013	2,164,214,899	365,805,927	1,798,408,972	1,711,696,895	768,875,721	942,821,174	29,444,944	1,468,137	27,976,807	0
65	59	MID CO COMMODITIES INC	FCM	NFA	12/31/2013	9,134,791	4,317,139	4,817,652	46,409,355	36,944,999	9,464,356	0	0	0	0
66	60	MITSUBISHI UFJ SECURITIES USA INC	FCM BD	NFA	12/31/2013	220,507,008	1,040,660	219,466,348	0	0	0	0	0	0	0
67	61	MITSUMI BUSSAN COMMODITIES USA INC	FCM	NFA	12/31/2013	3,188,146	1,000,000	2,188,146	0	0	0	0	0	0	0
68	62	MIZUHO SECURITIES USA INC	FCM BD SD	CME	12/31/2013	465,402,469	195,852,517	269,549,952	2,229,262,225	2,054,124,905	175,137,320	624,592,503	534,647,125	89,945,378	0
69	63	MORGAN STANLEY & CO LLC	FCM BD SD	CME	12/31/2013	8,320,301,486	1,573,973,088	6,746,328,398	10,439,632,932	10,233,308,793	206,324,139	2,598,977,459	2,390,807,455	208,170,004	0
70	64	MORGAN STANLEY SMITH BARNEY LLC	FCM BD	NFA	12/31/2013	4,239,287,747	180,314,438	4,058,973,309	603,647,173	541,746,031	61,901,142	80,610,763	59,854,329	20,756,434	0
71	65	NEUBERGER BERMAN LLC	FCM BD	NFA	12/31/2013	99,065,335	1,500,000	97,565,335	0	0	0	0	0	0	0
72	66	NEWEDGE USA LLC	FCM BD SD	NYME	12/31/2013	1,820,670,338	930,014,458	890,655,880	13,717,621,131	13,164,428,650	553,192,481	3,336,824,946	2,977,946,433	358,878,513	0
73	67	NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	12/31/2013	1,424,520,316	35,853,945	1,388,666,371	62,706,143	48,479,739	14,226,404	10,764,606	1,377,140	9,387,466	0
74	68	OANDA CORPORATION	FCMRFD	NFA	12/31/2013	133,575,877	25,822,431	107,753,446	0	0	0	0	0	0	126,448,623
75	69	OPPENHEIMER & CO INC	FCM BD	NFA	12/31/2013	166,298,673	26,419,921	139,878,752	32,045,385	13,893,625	18,151,760	0	0	0	0
76	70	OPTIONSPRESS INC	FCM BD	NFA	12/31/2013	101,692,835	5,720,450	95,972,385	111,646,967	88,080,380	23,566,587	1,973,342	847,439	1,125,903	0
77	71	PHILLIP FUTURES INC	FCM	CME	12/31/2013	27,562,477	20,000,000	7,562,477	148,783,982	128,018,797	20,765,185	10,234,786	5,826,679	4,408,107	0
78	72	RAND FINANCIAL SERVICES INC	FCM	CME	12/31/2013	78,956,200	20,687,936	58,268,264	347,741,000	305,541,900	42,199,100	29,643,400	8,528,000	21,115,400	0
79	73	RAYMOND JAMES & ASSOCIATES INC	FCM BD	NFA	12/31/2013	488,863,777	36,517,456	452,346,321	0	0	0	0	0	0	0
80	74	RBC CAPITAL MARKETS LLC	FCM BD	CME	12/31/2013	1,252,014,965	119,942,469	1,132,072,496	1,011,620,344	913,109,618	98,510,726	103,589,323	78,715,643	24,873,680	0
81	75	RBS SECURITIES INC	FCM BD	CBOT	12/31/2013	3,450,441,879	131,176,656	3,319,265,223	1,614,684,194	1,449,331,490	165,352,704	168,713,036	60,699,859	108,013,177	0
82	76	RJ OBRIEN ASSOCIATES LLC	FCM SD	CME	12/31/2013	196,964,441	133,439,494	63,524,947	3,818,764,148	3,703,754,600	115,009,548	193,595,496	168,623,374	24,972,122	565,689
83	77	ROSENTHAL COLLINS GROUP LLC	FCM	CME	12/31/2013	74,801,456	54,756,371	20,045,085	1,433,186,037	1,412,661,189	20,524,848	37,098,993	27,123,427	9,975,566	0
84	78	SANFORD C BERNSTEIN & CO LLC	FCM BD	NFA	12/31/2013	160,068,087	18,373,028	141,695,059	0	0	0	0	0	0	0
85	79	SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	12/31/2013	121,468,964	10,784,520	110,684,444	757,417,521	755,009,247	2,408,274	0	0	0	0
86	80	STATE STREET GLOBAL MARKETS LLC	FCM BD	CME	12/31/2013	513,882,444	34,910,239	478,972,205	409,135,240	313,855,544	95,279,696	71,574,048	29,813,617	41,760,431	0
87	81	STRAITS FINANCIAL LLC	FCM	CME	12/31/2013	9,284,477	4,579,738	4,704,739	111,893,111	105,553,578	6,339,533	37,353,632	35,478,409	1,875,223	0
88	82	TD AMERITRADE INC	FCM BD	NFA	12/31/2013	367,709,655	11,205,525	356,504,130	153,899,429	125,798,949	28,100,480	0	0	0	0
89	83	TIMBER HILL LLC	FCM BD	CME	12/31/2013	397,485,170	53,571,322	343,913,848	702,520,030	697,230,646	5,289,384	0	0	0	0
90	84	TRADESTATION SECURITIES INC	FCM BD	NFA	12/31/2013	51,573,848	3,191,512	48,382,336	414,996,298	405,195,906	9,800,392	18,846,884	17,699,162	1,147,722	0
91	85	UBS FINANCIAL SERVICES INC	FCM BD	NFA	12/31/2013	1,242,960,671	94,144,319	1,148,816,352	158,410,240	127,693,950	30,716,290	24,878,586	4,780,445	20,098,141	0
92	86	UBS SECURITIES LLC	FCM BD	CBOT	12/31/2013	9,560,779,424	863,114,460	8,697,664,964	8,786,858,185	8,191,731,999	595,126,186	4,236,223,124	3,818,659,551	417,563,573	0
93	87	VISION FINANCIAL MARKETS LLC	FCM BD	CME	12/31/2013	34,517,024	13,162,678	21,354,346	520,936,471	508,664,310	12,272,161	12,389,370	10,078,612	2,310,758	0
94	88	WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	FCM BD	NFA	12/31/2013	41,763,806	1,000,000	40,763,806	0	0	0	0	0	0	0
95	89	WELLS FARGO ADVISORS LLC	FCM BD	NFA	12/31/2013	1,628,687,364	1,500,000	1,627,187,364	0	0	0	0	0	0	0
96	90	WELLS FARGO SECURITIES LLC	FCM BD	CME	12/31/2013	3,077,346,311	123,739,726	2,953,606,585	56,525,530	21,409,743	35,115,787	10,021,562	0	10,021,562	0
97	91	WHITE COMMERCIAL CORPORATION	FCM	NFA	12/31/2013	2,705,617	1,000,000	1,705,617	0	0	0	0	0	0	0
98	92	WHOTRADES FX LLC	FCM	NFA	12/31/2013	2,356,952	1,000,000	1,356,952	0	0	0	0	0	0	0
99	93	XCHANGE FINANCIAL ACCESS LLC	FCM BD	NFA	12/31/2013	5,931,718	1,000,000	4,931,718	29,745,486	27,685,254	2,060,232	0	0	0	0
100	94	YORK BUSINESS ASSOCIATES LLC	FCM	NFA	12/31/2013	4,899,145	1,000,000	3,899,145	52,481,415	50,049,543	2,431,872	1,913,248	1,605,806	307,442	0
101															
102															
103		Totals							155,542,164,104	143,741,158,888	11,801,005,216	39,221,206,997	34,219,663,358	5,001,543,639	600,781,807

