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
	(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(1)	(m)	(n)	(0)	(p)	(p)
1 ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	10/31/2018	679,506,683	188,469,881	491,036,802	3,210,387,370	2,841,706,317	368,681,053	250,006,815	156,923,105	118,205,504	38,717,601	11,820,550	0	0	0	0	, (
2 ADM INVESTOR SERVICES INC	FCM	CBOT	10/31/2018	311,754,786	171,316,638	140,438,148	4,305,303,756	4,088,416,824	216,886,932	120,000,000	315,767,465	269,095,749	46,671,716	20,000,000	15,198,088	6,194,629	9,003,459	8,000,000) (
3 ADVANTAGE FUTURES LLC	FCM	CME	10/31/2018		8,518,658	11,079,499	323,937,989	297,603,696	26,334,293	17,500,000	39,398,153	35,898,454	3,499,699	1,000,000	0	0	0	0	<u>/</u>
4 AMP GLOBAL CLEARING LLC 5 APEX CLEARING CORPORATION	FCM FCM BD	NFA NFA	10/31/2018		1,000,000 25,347,200	3,242,887 164,170,645	54,697,895 18,549,883	50,132,604 11,708,099	4,565,291 6,841,784	900,000	2,061,640	1,718,230	343,410	150,000) (0	0	0	1 0
6 BARCLAYS CAPITAL INC	FCM BD	NYME	10/31/2018		929,350,821	4,806,797,803	4,711,158,276	4,360,659,280	350,498,996	154,367,338	3,248,136,057	3,047,752,560	200,383,497	101,794,935	6,147,645,953	5,643,353,345	504,292,608	224,041,128	3 7
7 BGC FINANCIAL LP	FCM BD	NFA	10/31/2018		1,553,835	37,738,566	0	0	0	0	0	0	0	0	0	0	0	0) (
8 BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	10/31/2018		380,174,473	1,396,899,102	3,028,282,687	2,843,211,521	185,071,166	150,000,000	187,599,729	149,660,336	37,939,393	30,000,000	1,069,286,443	919,616,410	149,670,033	120,000,000	1 (
9 BOCI COMMODITIES & FUTURES USA LLC 10 BOFAML SECURITIES INC	FCM FCM	CME NFA	10/31/2018	7,005,931 25,000,000	1,105,531 1,500,000	5,900,400 23,500,000	20,540,143	15,898,342	4,641,801	1,000,000	6	0	6	1	1 6	0	6	1	
11 CANTOR FITZGERALD & CO	FCM BD	CBOT	10/31/2018	161,928,397	5,185,583	23,500,000 156,742,814	4,969,921	0	4,969,921	3,000,000	0	0 0	0	0) (0	0	(1)
12 CHARLES SCHWAB FUTURES, INC.	FCM	NFA	10/31/2018		4,819,692	92,894,792	125,622,110	66,080,210	59,541,900	9,912,032	3,085,676	562,184	2,523,492	84,328	3 0	Ö	0	0) ř
13 CHS HEDGING LLC	FCM	CBOT	10/31/2018	51,489,433	9,262,262	42,227,171	176,974,209	126,308,391	50,665,818	13,600,000	1,527,463	0	1,527,463	200,000	503,912	0	503,912	120,000)
14 CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	10/31/2018		2,444,506,377	6,694,175,224	9,649,587,464	9,172,191,080	477,396,384		2,905,531,390	2,721,606,877	183,924,513	150,000,000	24,820,262,163	24,315,033,186	505,228,977	424,000,000	<u> </u>
15 CREDIT SUISSE SECURITIES (USA) LLC 16 CUNNINGHAM COMMODITIES LLC	FCM BD FCM	CBOT	10/31/2018 10/31/2018		1,222,089,201 1,251,979	8,215,243,131 4,021,901	6,070,170,827 76,528,929	5,748,169,362 72,906,434	322,001,465 3,622,495	287,408,468 3,050,000	3,259,054,938 2,493,861	3,044,243,246	214,811,692 524,258	152,212,162 100.000	10,470,458,868	9,883,548,725	586,910,143	494,177,436	1
17 DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	10/31/2018		2,930,915	944,019,642	2,166,109	72,900,434	2.166.109	3,030,000		3 1,909,003	557,773	100,000	1 0	0	0	0	il 7
18 DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	10/31/2018	12,845,191,732	228,490,338	12,616,701,394	2,422,077,488	2,217,328,112	2,166,109 204,749,376	125,000,000	557,773 905,533,682	780,480,313	125,053,369	75,000,000	0 0	Ö	0	0	J T
19 DIRECT ACCESS USA LLC	FCM	CME	10/31/2018	8,191,160	1,000,000	7,191,160	0	0	0	2,000,000	0	0	0	200 222	0 0	0	0	0	4
20 DORMAN TRADING LLC 21 E D & F MAN CAPITAL MARKETS INC	FCM FCM BD	CME CME	10/31/2018 10/31/2018	14,086,361 157,958,142	1,313,764 53.052,275	12,772,597 104,905,867	158,403,891 1,318.092,688	153,257,989 1,237,555,254	5,145,902 80,537,434	2,000,000 41,250,000	4,189,013 65,722,979	3,624,068 56,263,071	564,945 9,459,908	200,000 5,000,000	1.972.113	770.805	1,201,308	500,000	1
22 E*TRADE FUTURES LLC	FCM	NFA	10/31/2018	25,950,355	1,673,720	24,276,635	61,347,627	34,993,367	26,354,260	5,000,000	03,722,979	0 30,203,071	0	3,000,000) 1,3/2,113	770,803	0	0	<u>, i </u>
23 EFL FUTURES LIMITED	FCM	CME	10/31/2018	42,760,179	19,605,697	23,154,482	249,544,976	233,698,520	15,846,456	5,000,000	0	0	0	0	0	0	0	0	1
24 GAIN CAPITAL GROUP LLC	FCMRFD	NFA	10/31/2018		33,054,415	17,900,876	238,042,223	221,315,273	16,726,950	10,000,000	7,124,312	4,669,706	2,454,606	1,000,000	0	<u> </u>	0	0	248,630,210
25 GH FINANCIALS LLC 26 GOLDMAN SACHS & COLLC	FCM FCM BD SD	CME CBOT/NFA	10/31/2018		4,999,631 2,409,438,101	14,769,282 17.541.883.647	84,271,671 22,470,506,284	64,536,644 21,611,400,275	19,735,027 859,106,009	3,800,000 675,000,000	4,962,198 9,403,758,916	3,848,643 8,834,668,352	1,113,555 569,090,564	550,000 475,000,000	6.771.195.641	6,344,909,290	426.286.351	350,000,000	1 9
27 HSBC SECURITIES USA INC	FCM BD SD	CME	10/31/2018		306,363,512	707,597,582	2,846,886,826	2,719,864,699	127,022,127	109,000,000	197,543,091	162,463,444	35,079,647	25,000,000	1,016,917,432	901,371,067	115,546,365	100.000.000	,
28 HUATAI FINANCIAL USA INC	FCM	NFA	10/31/2018		1,000,000	1,111,648	0	0	0	0	0	0	0	25,000,000) 1,010,517,152	501,571,007	0	0	J 7
29 INTERACTIVE BROKERS LLC	FCM BD	CME	10/31/2018	4,788,273,371	450,416,569	4,337,856,802	4,396,874,389	4,193,345,584	203,528,805	155,000,000	569,174,015	442,522,051	126,651,964	80,000,000	0	0	0	0	73,609,210
30 INTL FCSTONE FINANCIAL INC	FCM BD	CME	10/31/2018		97,899,926	78,142,336	2,685,324,847	2,627,529,080	57,795,767	40,000,000	127,137,546	110,998,106	16,139,440	8,000,000	0	0	0	0	1 0
31 IRONBEAM INC 32 JEFFERIES LLC	FCM FCM BD	NFA NFA	10/31/2018		1,000,000 109,477,718	3,536,688 1,680,404,479	62,356,683	58,627,668	3,729,015	1,600,000	444,612	327,277	117,335	50,000	0	0	0	0	4 9
33 JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	10/31/2018		2,922,704,336	16,278,059,972	21,090,986,124	19,374,422,258	1,716,563,866	920,285,057	4,794,276,318	4,301,742,934	492,533,384	365,648,149	13,395,951,726	12,333,877,607	1,062,074,119	647,528,574	1 7
34 MACQUARIE FUTURES USA LLC	FCM	CBOT	10/31/2018 10/31/2018	264,843,211	170,672,377	94,170,834	2,215,543,004	1,978,164,902	237,378,102	100,000,000	46,237,174	29,173,338	17,063,836	7,000,000	23,149,843	2,426,936	20,722,907	1,000,000) r
35 MAREX NORTH AMERICA LLC	FCM	CME			17,928,150	8,316,716	245,955,363	242,907,698	3,047,665		53,625,200	50,129,290	3,495,910	2,250,000	0	0	0	0	<u> </u>
36 MCVEAN TRADING & INVESTMENTS LLC 37 MERRILL LYNCH PIERCE FENNER & SMITH INCORPORATE	FCM D FCM BD	NFA CBOT	10/31/2018	14,285,671 14,255,755,601	1,865,495 1,911,939,621	12,420,176 12,343,815,980	740,827,499 16,672,486,913	716,920,841 16,358,785,216	23,906,658 313,701,697	18,000,000 200,000,000	2,567,861 5,576,696,644	5,258,725,112	2,567,861 317,971,532	1,000,000 150,000,000	6,450,868,846	6,101,232,564	349,636,282	150,000,000	1 0
38 MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	10/31/2018 10/31/2018	4,652,764,676	559,583,367	4,093,181,309	3,207,751,403	1,284,839,658	1,922,911,745	300,000,000	0,570,050,011	0	0	130,000,000	0, 150,000,010	0,101,252,501	0	0	آ ار
39 MID CO COMMODITIES INC	FCM	NFA	10/31/2018	9,773,470	4,124,665	5,648,805	44,781,208	34,378,213	10,402,995	5,138,000	0	0	0	0	0	0	0	0) (
40 MINT BROKERS	FCM BD	NFA CME/NEA	10/31/2018		1,000,000	1,500,225	0	0	100 200 577	0	0	0	0	70,000,000	0 00	2.640.000	0	15.000.000	4
41 MIZUHO SECURITIES USA LLC 42 MORGAN STANLEY & CO LLC	FCM BD SD FCM BD SD	CME/NFA CME/NFA	10/31/2018 10/31/2018		247,921,222 2,365,875,891	432,940,645 11,478,658,126	3,738,443,693 17,546,595,663	3,539,134,116 17,197,373,747	199,309,577 349,221,916	125,000,000	679,699,653 5,388,161,420	554,424,507 5,197,126,509	125,275,146 191,034,911	140,000,000	33,045,508	2,649,830 15,972,607,794	30,395,678 1 169.643.664	15,000,000 92,000,000	1
43 NANHUA USA LLC	FCM	CME	10/31/2018		1,074,928		33,914,947		11,773,938		3,300,101,420	0 3,137,120,309	191,054,911	140,000,000) 10,142,231,430	13,372,007,734	0 0	92,000,000	J
44 NATWEST MARKETS SECURITIES INC	FCM BD	CBOT	10/31/2018	837,851,413	37,113,358	15,746,408 800,738,055	582,290,220	22,141,009 507,186,406	75,103,814	3,500,000 60,000,000	22,166,411	15,909,966	6,256,445	5,000,000	0	0	0	0	J C
45 NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	10/31/2018		206,125,323	1,130,495,740	303,034,883	197,550,354	105,484,529	15,000,000	17,433,586	0	17,433,586	1,000,000	0	0	0	0	/
46 OANDA CORPORATION 47 PHILLIP CAPITAL INC	FCMRFD FCM BD	NFA CMF	10/31/2018	60,192,506 32,478,361	56,543,758 12,687,856	3,648,748 19,790,505	320,554,011	308,790,378	11,763,633	7,500,000	11,288,200	8.277.510	3,010,690	2,000,000	0	0	0	0	193,032,058
48 PICTET OVERSEAS INC	FCM BD	NFA	10/31/2018 10/31/2018	16,799,836	1,247,530	15,552,306	2,117,255	313,944	1,803,311	1,500,000	36,465,905	34,120,112	2,345,793	500,000	0	Č	0	0	آ ا
49 RAND FINANCIAL SERVICES INC	FCM	CME	10/31/2018	90,989,095	10,264,940	80,724,155	173,408,700	133,393,400	40,015,300	4,001,800	31,993,200	7,381,900	24,611,300	221,500		0	0	0) (
50 RBC CAPITAL MARKETS LLC	FCM BD	CME	10/31/2018	1,785,186,265	212,765,810	1,572,420,455	1,804,320,422	1,456,957,427	347,362,995	160,000,000	330,913,756	267,647,250	63,266,506	35,000,000	662,777,247	483,455,844	179,321,403	40,000,000	<u>/</u>
51 RJ OBRIEN ASSOCIATES LLC 52 ROSENTHAL COLLINS GROUP LLC	FCM FCM	CME CME	10/31/2018 10/31/2018		135,427,885 51.036,537	75,575,835 25,663,901	3,705,170,768 1,252,648,173	3,609,846,518 1,227,913,852	95,324,250 24,734,321	50,000,000 18,000,000	182,304,652 27,935,854	156,984,697 16,931,335	25,319,955 11,004,519	20,000,000 8,000,000) (0	0	0	1 0
53 SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	10/31/2018		50,000,000	375,624,666	707,647,753	694,034,047	13,613,706	11,000,000	27,333,034	0 0	0	0,000,000	0	0	0	0	J 7
54 SCOTIA CAPITAL USA INC	FCM BD	CME	10/31/2018	856,321,834	53,357,009	802,964,825	0	0	0	0	0	0	0	0	0	0	0	0) (
55 SG AMERICAS SECURITIES LLC	FCM BD	CME	10/31/2018		1,440,355,947	2,799,815,042	14,757,907,061	14,063,408,944	694,498,117	500,000,000	6,762,728,161	6,157,996,778	604,731,383	355,000,000	626,052,757	405,246,395	220,806,362	75,000,000	<u> </u>
56 STRAITS FINANCIAL LLC 57 TD AMERITRADE FUTURES & FOREX LLC	FCM FCM	CME NFA	10/31/2018 10/31/2018		9,225,064 22,683,736	14,131,697 109,976,557	304,442,425 297,737,566	288,197,749 201,535,991	16,244,676 96,201,575	2,000,000 50,000,000	32,405,618	25,513,547	6,892,071	300,000	0	0	0	0	0 63,674,730
58 TRADESTATION SECURITIES INC	FCM BD	CME	10/31/2018		6,932,170	107,079,514	618,721,427	603,566,346	15,155,081		24,830,285	22,052,742	2,777,543	800,000		0	0	0) 33,074,730
59 UBS FINANCIAL SERVICES INC	FCM BD	NFA	10/31/2018	1,271,953,463	129,299,686	1,142,653,777	128,473,909	94,766,308	33,707,601	22,000,000	30,037,318	3,958,427	26,078,891	15,000,000	0		0	0	2
60 UBS SECURITIES LLC	FCM BD FCM	CBOT	10/31/2018		561,841,157	4,995,318,343	5,539,582,798	5,036,865,963	502,716,835	425,000,000	1,853,176,531	1,474,235,306	378,941,225	300,000,000	900,949,437	641,394,774	259,554,663	200,000,000	<u> </u>
61 UOBBF CLEARING LIMITED 62 WEDBUSH SECURITIES INC	FCM BD	CME CBOT	10/31/2018	26,606,191 195,780,607	3,070,180 32,264,812	23,536,011 163,515,795	70,179,093 1,140,700,106	52,218,851 1,116,215,449	17,960,242 24,484,657	2,700,000	12,954,681	10,254,102	2,700,579	1,000,000	0	0	0	0	1
63 WELLS FARGO SECURITIES LLC	FCM BD	CME	10/31/2018		841,767,101	6,911,428,754	3,738,077,902	3,538,919,368	199,158,534		335,044,986	291,799,209	43,245,777	25,000,000	7,809,891,825	7,461,746,418	348,145,407	250,000,000	ر ا ر
64 YORK BUSINESS ASSOCIATES LLC	FCM	NFA	10/31/2018	6,484,041	1,000,000	5,484,041	42,291,804	37,497,015	4,794,789	2,000,000	2,032,567	1,390,244	642,323	200,000	0		0	0)
Totals							169,799,199,254	158,986,690,593	10,812,508,661	5,952,589,511	47,662,703,601	43,676,352,589	3,986,351,012	2,642,081,626	96,358,379,266	91,419,435,619	4,938,943,647	3,191,367,139	578,946,208
September Web Page Update	64																		
Additions None	0																		
Deletions																			
None																			
	+	 	1	+						1					1		1		<u> </u>
Name Changes None			+						 									 ,	
	64																		

SELECTED FCM FINANCIAL DATA AS OF October 31, 2018 FROM REPORTS FILED BY November 29, 2018

(a): FCM											
BD:											
RFE											
SD:	MRFD: The FCM is also registered with the Co The FCM or RFED is also registered v										
SU	: The FCM of RFED is also registered to	with the Commodity Futi	ures Trading Commission as a	provisionaliv redistered swap dealer.							
(h): DSR	RO: Designated Self-Regulatory Organization.	FCM/RFFD firms that a	re dually registered as SDs ha	ve two DSROs listed if they have a diff	ferent DSRO for the ECM/REED and the SD	The DSRO for the ECM/REED is listed first a	nd the DSRO for the SD is listed second				
100.00	NOT DESIGNATION OF THE REAL PROPERTY OF THE REAL PR	101111111111111111111111111111111111111	<u> </u>	TO THE DOMESTIC HOLD IN CITE TO THE COUNTY		THE DOTO TO THE TOTAL CO TO HOLD TO THE	TO THE DOTTO TO THE DO IN HOLES DECOME				
(c): A fir	rm's net capital requirement is the greater of:										
	FCM minimum dollar amount (\$1,000,000):										
	risk based capital requirement, the sum of 8				ice margin; or						
	the amount of capital required by a register										
	for securities brokers and dealers, the amou										
H :	 minimum dollar amount for FCM's offering of minimum dollar amount for FCM's offering of 	or engaged in retail fores	transactions and RFEDS (\$20)),000,000); or),000,000) plus five percent of the FCN	A's or REED's total retail forey obligation in e	vcess of \$10,000,000					
	minimum dollar amount for 1 cm3 oriening c	r crigagea iii retaii rorez	t dansactions and it Ebs (\$20	5,000,000) plus live percent of the Fer	13 OF REED 3 COURT FEMALIFOREX OBLIGATION OF	xcc33 01 \$10,000,000.					
(d): Exce	ess net capital is adjusted net capital, less the	firm's net canital requir	ement								
(d): Exc	ess net capital is dejusted net capital, less the	. mmo nec capitar regain	ciricita								
(e): This	s represents the total amount of money, secur	rities, and property held	in segregated accounts for fu	tures and options customers in complia	ance with Section 4d of the Commodity Exch	nange Act.					
(f): This	represents the total amount of funds that an	FCM is required to segr	egate on behalf of customers	who are trading on a designated contr	ract market or derivatives transaction execut	ion facility. This is the sum of all accounts t	nat contain a net liquidating equity.				
(1) 5	ID-C-1		Land the second second second second								
(q): Exce	ess/Deficient funds in segregation is customer	r assets in segregation, i	less the customer segregation	requirement.							
(b): Thic	s represents the targeted excess of proprietar	v funds denocited into c	ustomer segregated accounts	above the customer segregation requir	rement. This target amount is set by the fir	m					
IIII. IIIIS	s represents the tardeted excess or probletary	v Turius deposited liito c	ustorner seuredated accounts	above the customer segregation reduit	Terrieric. This target amount is set by the m	III.					
(i): This	represents the total amount of money, securi	ities, and property held i	in secured accounts for future	s and ontions customers who trade on	commodity exchanges located outside the L	Inited States in compliance with Part 30 of t	ne Commodity Exchange Act.				
(i): This	represents the amount of funds an FCM is re	quired to set aside for o	ustomers who trade on comm	nodity exchanges located outside of the	United States.						
(k): Exce	ess/Deficient funds in separate Section 30.7 a	ccounts is funds in sepa	rate Section 30.7 accounts. le	ss the customer amount Part 30 requir	rement.						
(I). This		Conda danastrad ()	annula Cartina 20.7 av	about the sustained and the Police	This bound to see the see	- 6					
(I): This	represents the targeted excess of proprietary	runus deposited into se	parate Section 30./ accounts	above the customer amount Part 30 re	equirement. This target amount is set by th	e iimi.					
(m): This	is represents the total amount of money, secu	rities and property held	l in cleared swan customer ac	counts for cleared swap customers in o	compliance with Section 4d(f) of the Commo	dity Eychange Act					
(111). 11115	is represents the total amount of money, sect	macs, and property neit	in cicarca swap customer ac	counts for cicurca swap customers in c	compliance was section 4d(1) of the commit	dity Excidings Ass					
(n): This	s represents the amount of funds an FCM is re	equired to segregate for	customers who trade cleared	swaps.							
(o): Exce	ess/Deficient funds in cleared swap customer	accounts is funds in sep	parate cleared swap segregation	on accounts, less the cleared swap cust	tomer segregation requirement.	<u> </u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>

(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.

(q): 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.