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 I Amount Cleared Swap Seg Required	Excess/Deficient Funds in Cleared Swap Seg Accounts	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)	(q)
1 ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	09/30/2019	717,888,042	196,393,471	521,494,571	3,213,355,580	2,828,548,092	384,807,488	239,048,283	130,442,140	109,940,162	20,501,978	10,994,016	0	C	0	0	C
2 ADM INVESTOR SERVICES INC	FCM	CBOT	09/30/2019	330,561,156	194,158,961	136,402,195	4,485,897,275	4,274,846,500	211,050,775	120,000,000	331,570,997	284,649,817	46,921,180	20,000,000	11,636,793	1,277,658	10,359,135	8,000,000	0
3 ADVANTAGE FUTURES LLC 4 AMP GLOBAL CLEARING LLC	FCM FCM	CME NFA	09/30/2019 09/30/2019	22,931,184 5.079,155	7,905,708 1,000,000	15,025,476 4,079,155	261,784,065 56,899,958	235,956,687 51,427,440	25,827,378 5,472,518	14,500,000 900,000	49,096,735 1,994,993	45,620,936 1,634,664	3,475,799 360,329	1,000,000	0	0	0	0	0
5 APEX CLEARING CORPORATION	FCM BD	NFA	09/30/2019	136,538,464	10,432,771	126,105,693	41,134,131	27,613,653	13,520,478		1,994,993	1,034,004	300,329	150,000	1 0	1 0) 0	0	1 0
6 BAKKT CLEARING LLC	FCM	NFA	09/30/2019	10,981,212	1,000,000	9,981,212	0	0	0	0	0	0	0	0	Ö	, c) 0	0	Č
7 BARCLAYS CAPITAL INC	FCM BD	NYME	09/30/2019	6,272,965,501	1,348,001,269	4,924,964,232	6,324,700,300	5,947,432,206	377,268,094	331,866,717	3,847,017,085	3,644,208,147	202,808,938	121,716,552	8,004,125,510	7,606,865,527	7 397,259,983	295,907,069	0
8 BGC FINANCIAL LP	FCM BD	NFA	09/30/2019	13,022,927	2,376,471	10,646,456	0	0	0	0	0	0	0	0	0	0	0	0	0
9 BNP PARIBAS SECURITIES CORP 10 BOCI COMMODITIES & FUTURES USA LLC	FCM BD FCM	CBOT CME	09/30/2019 09/30/2019	2,043,476,744 6,165,940	422,400,033 1,000,000	1,621,076,711 5,165,940	2,883,463,955 8,827,902	2,641,405,630 5,344,149	242,058,325 3,483,753	195,000,000 1,000,000	425,472,365	208,142,485	217,329,880	30,000,000	1,364,974,548	1,215,625,510	149,349,038	120,000,000	0
11 BOFA SECURITIES INC	FCM BD	CBOT	09/30/2019	11,107,152,170	2,341,850,677	8,765,301,493	16,527,974,262	16,252,168,865	275,805,397	200,000,000	4,341,237,840	4,066,275,553	274,962,287	150,000,000	9,442,170,861	9,109,880,701	332,290,160	150,000,000	, 0
12 CANTOR FITZGERALD & CO	FCM BD	CBOT	09/30/2019	292,496,275	2,760,424	289,735,851	4,969,921	0	4,969,921	3,000,000	0	0	0	0	0	C	0	0	0
13 CHARLES SCHWAB FUTURES, INC.	FCM	NFA	09/30/2019	67,815,826	6,392,136	61,423,690	142,980,543	81,355,453	61,625,090	13,830,427	50,000	0	50,000	1	0	. 0	1 0	0	0
14 CHS HEDGING LLC 15 CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	09/30/2019 09/30/2019	56,506,701 10.207.878.787	10,076,440 3,234,510,158	46,430,261 6,973,368,629	171,532,378 11,322,326,725	119,286,202	52,246,176 673,456,716	13,600,000 579,000,000	1,527,272	3 199 832 686	1,527,272 463,522,074	200,000 150,000,000		7 31,968,899,797	503,912 7 676,137,800	120,000	0
16 CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	09/30/2019		1,634,257,008	8,877,998,050	5,585,724,169	5,259,879,860	325,844,309	262,993,993	4,761,946,627	3,747,521,969	1,014,424,658	187,376,098	13,475,355,908	12,567,119,730	908,236,178	628,355,987	, ,
17 CUNNINGHAM COMMODITIES LLC	FCM	CBOT	09/30/2019	10,512,255,058 5,822,217	1,109,459	4,712,758	83,652,426	80,353,720	3,298,706	3,050,000	2,296,465	1,769,916	526,549	100,000	0	C	0	0	0
18 DAIWA CAPITAL MARKETS AMERICA INC	FCM BD		09/30/2019	1,018,857,183	1,504,126	1,017,353,057	2,173,599	0	2,173,599	125,000,000	552,327	0	552,327	75.000.000	0	. 0	0	0	9
19 DEUTSCHE BANK SECURITIES INC 20 DIRECT ACCESS USA LLC	FCM BD FCM	CBOT	09/30/2019 09/30/2019	14,540,183,636 13,363,641	225,629,739 1,000,000	14,314,553,897 12,363,641	2,366,434,103 26,245,596	2,164,923,270 17,421,928	201,510,833 8,823,668	125,000,000 2,500,000	672,620,768	546,267,138 0	126,353,630	75,000,000	1 0	,) 0	0	1 0
21 DORMAN TRADING LLC	FCM	CME	09/30/2019	15,560,843	1,272,367	14,288,476	196,174,690	190,913,660	5,261,030	2,000,000	5,477,752	4,772,723	705,029	200,000	, <u> </u>	, <u> </u>	<u>, 1 </u>	1 0	, <u> </u>
22 E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	09/30/2019	187,275,039 27,588,203	77,254,045	110,020,994	1,800,433,393	1,720,109,457	80,323,936	44,250,000	72,245,578	62,359,572	9,886,006	5,000,000	2,061,162	824,097	7 1,237,065	500,000	0
23 E*TRADE FUTURES LLC	FCM	NFA	09/30/2019		2,084,728	25,503,475	74,703,305	48,472,106	26,231,199	5,000,000	0	0	0	0	. 0	0	/ 0	0	0
24 GAIN CAPITAL GROUP LLC 25 GH FINANCIALS LLC	FCMRFD FCM	NFA CMF	09/30/2019 09/30/2019	56,145,050 22,189,814	32,985,829 6 196 797	23,159,221	228,637,734 112,847,164	214,552,933 91,343,778	14,084,801	10,000,000	4,893,098 3,810,436	2,266,995	2,626,103	1,000,000	1 0	, 0	1 0	0	242,886,978
26 GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA		22,189,814 19,088,375,034	6,196,797 2,705,280,571	15,993,017 16,383,094,463	22.888.674.950	22,033,735,462	21,503,386 854,939,488	3,250,000 675,000,000	3,810,436 9,345,751,437	2,674,997 8,770,237,279	1,135,439 575,514,158	475,000,000	8,205,682,751	7,780,042,511	1 425,640,240	350,000,000	1 0
27 HSBC SECURITIES USA INC	FCM BD	CME		1,065,146,064	314,590,109	750,555,955	2,636,463,246	2,498,454,083	138,009,163	123,000,000	164,643,674	128,620,489	36,023,185	25,000,000		1,122,564,602	189,220,170	177,000,000	0
28 HUATAI FINANCIAL USA INC	FCM	NFA	09/30/2019	4,460,273	1,000,000	3,460,273	13,144,858	11,654,146	1,490,712	600,000	348,455	24,692	323,763	150,000	0	0	0	0	0
29 IG US LLC 30 INTERACTIVE BROKERS LLC	RFED FCM BD	NFA CMF	09/30/2019	36,636,680 5,385,898,655	20,128,698 422,245,936	16,507,982 4,963,652,719	4,253,030,911	4.045.192.803	207.838.108	155,000,000	629,508,283	506,349,583	123.158.700	000,000,08	0	. 0	4 0	0	12,573,953 75,314,651
31 INTL FCSTONE FINANCIAL INC	FCM BD	CME	09/30/2019	168,756,546	97,533,359	71,223,187	2,288,698,912	2,232,081,280	56,617,632	40,000,000	173,486,075	161,005,070	12,481,005	6,000,000	1 0	1 0	0	1 0	75,314,051
32 IRONBEAM INC	FCM	NFA		4,506,242	1,000,000	3,506,242	60,725,671	55,534,010	5,191,661	1,600,000	336,869	166,728	170,141	50,000	Č	ř) ŏ	0	Ö
33 JEFFERIES LLC	FCM BD	NFA		1,596,067,960	119,372,025	1,476,695,935	0	0	0	0	0	0	0	0	0	0	0	0	0
34 JP MORGAN SECURITIES LLC	FCM BD SD FCM		09/30/2019	22,067,736,731	3,745,552,616	18,322,184,115	25,489,364,154	24,096,053,932	1,393,310,222	1,204,802,697	5,204,385,886	4,813,189,319	391,196,567	288,791,359		16,085,730,638		844,500,859	. 0
35 MACQUARIE FUTURES USA LLC 36 MAREX NORTH AMERICA LLC	FCM	CMF	09/30/2019	269,579,178 89,247,319	194,437,429 70,480,052	75,141,749 18,767,267	2,462,002,761 1,398,034,720	2,281,018,621 1,368,340,091	180,984,140 29,694,629	100,000,000	36,739,055 58,626,757	18,427,535 40,641,827	18,311,520 17,984,930	7,000,000 10,250,000	24,060,983	2,809,052	21,251,931	1,000,000	1 0
37 MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	09/30/2019	14,048,181	1,460,909	12,587,272	704,971,332	682,199,681	22,771,651	18,000,000	2,567,861	0	2,567,861	1,000,000	Č	, č	0	0	Ö
38 MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	09/30/2019	4,843,799,138	1,152,129,235	3,691,669,903	2,067,670,301	581,034,450	1,486,635,851	300,000,000	. 0	0	0	0	. 0	. 0	0	. 0	0
39 MID CO COMMODITIES INC	FCM	NFA NFA	09/30/2019	8,346,875	3,902,147	4,444,728	26,966,901	17,162,530	9,804,371	5,138,000	0	0	0	0	. 0	. 0	0	0	. 0
40 MINT BROKERS 41 MITSUI BUSSAN COMMODITIES USA INC	FCM BD FCM	NFA NFA	09/30/2019 09/30/2019	2,106,366 15,764,292	1,000,000 1,000,000	1,106,366 14,764,292	3.661.033	644,242	3,016,791	2,500,000	0	0	0	0	0	0	1 0	0	0
42 MIZUHO SECURITIES USA LLC	FCM BD	CMF	09/30/2019	695,485,306	308,309,834	387,175,472	4,647,158,759	4.445.633.078	201,525,681	125,000,000	925,605,039	800,082,013	125,523,026	70,000,000	21.753.603	1,199,596	5 20,554,007	10,000,000	0
43 MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	09/30/2019	13,358,061,325 16,424,596	2,904,681,655	10,453,379,670	17,289,769,158 50,691,025	16,998,526,916	291,242,242 10,546,806	235,000,000 3,500,000	5,561,081,282 2,078,648	5,368,625,315	192,455,967	140,000,000	22,477,764,291	21,853,034,018	624,730,273	92,000,000	0
44 NANHUA USA LLC	FCM	CME	09/30/2019		1,775,376	14,649,220		40,144,219				1,808,081	270,567	100,000	0	. 0	/ 0	0	0
45 NATWEST MARKETS SECURITIES INC 46 NOMURA SECURITIES INTERNATIONAL INC	FCM BD FCM BD			610,737,542	43,033,427	567,704,115	638,461,146 297,839,924	601,910,311 185,176,297	36,550,835 112,663,627	20,000,000 19,000,000	16,822,291 17,663,417	10,097,419	6,724,872 17,663,417	2,000,000 1,000,000	0	. 0	0	0	0
47 OANDA CORPORATION	FCMRFD	NFA	09/30/2019	1,739,465,559 60,499,382	158,001,348 41,845,191	1,581,464,211 18,654,191	0	103,170,237	112,003,027	19,000,000	17,005,417	0	17,003,417	0	, č	, č	j i	0	231,864,117
48 PHILLIP CAPITAL INC	FCM BD	CME		34,067,511	18,626,421	15,441,090	435,075,267	423,856,140	11,219,127	9,000,000	8,987,706	6,647,599	2,340,107	2,000,000	0	0	0	0	0
49 PICTET OVERSEAS INC	FCM BD FCM	NFA	09/30/2019	29,503,621 94,388,891	8,204,724 10.023,705	21,298,897 84 365 186	89,979,593	87,161,495	2,818,098 37 164 800	1,500,000	42,813,785 36,520,100	39,908,501	2,905,284	500,000 338 400	. 0	. 0	4 0	0	. 0
50 RAND FINANCIAL SERVICES INC 51 RBC CAPITAL MARKETS LLC	FCM BD	CME CME	09/30/2019 09/30/2019	94,388,891 1,877,352,759	235,563,055	84,365,186 1,641,789,704	154,199,000 1,781,297,899	117,034,200 1,578,730,015	37,164,800 202,567,884	3,511,000 120,000,000	36,520,100 263,641,656	11,281,600 196,674,746	25,238,500 66,966,910	20,000,000		679,798,380	265,235,201	80,000,000	1 0
52 RJ OBRIEN ASSOCIATES LLC	FCM	CME	09/30/2019	231.036.111	179,395,655	51,640,456	4,409,184,784	4,300,209,370	108,975,414	50,000,000	157,259,781	130,106,482	27,153,299	20,000,000	, 5,5,555,56 <u>1</u>	0.5,75,00	0	0	
53 SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	09/30/2019	414,015,066	60,004,819	354,010,247	649,688,801	631,849,070	17,839,731	15,000,000	0	0	0	0	. 0	0	0	0	0
54 SCOTIA CAPITAL USA INC 55 SG AMERICAS SECURITIES LLC	FCM BD FCM BD	CME CMF	09/30/2019 09/30/2019	809,511,808 4,590,783,453	88,050,522 1,513,400,539	721,461,286 3,077,382,914	14.652.333.393	13.962.849.124	689,484,269	500,000,000	6,292,211,593	5,701,650,316	590,561,277	355,000,000	908,182,517	0 689,131,054	0 4 219,051,463	75,000,000	1 0
56 STRAITS FINANCIAL LLC	FCM BD	CME	09/30/2019	25,102,321	8,596,022	16,506,299	258,120,602	241,402,841	16,717,761	2,000,000	23,567,737	15,820,693	7,747,044	300,000	300,102,317	()	0 0	0 0	1 0
57 TD AMERITRADE FUTURES & FOREX LLC	FCM	NFA	09/30/2019	139,927,240	22,613,248	117,313,992	251,395,768	153,534,084	97,861,684	50,000,000	0	0	0	0	0	C	0	. 0	61,814,313
58 TRADESTATION SECURITIES INC	FCM BD FCM BD	CME	09/30/2019	128,953,144 1,134,589,727	4,888,005 125,053,998	124,065,139 1,009,535,729	578,285,280 119,988,519	560,695,391	17,589,889 33,799,046	9,000,000 22,000,000	24,444,570 37,989,584	21,460,190 13,643,435	2,984,380 24,346,149	800,000 15,000,000	1 0	1 • • • • • • • • • • • • • • • • • • •	4 0	, <u> </u>	1
59 UBS FINANCIAL SERVICES INC 60 UBS SECURITIES LLC	FCM BD	NFA CBOT	09/30/2019 09/30/2019	1,134,589,727 5,151,265,740	125,053,998 569,986,415	1,009,535,729 4,581,279,325	119,988,519 5,429,295,178	86,189,473 4,918,730,362	33,799,046 510,564,816	425,000,000	37,989,584 1,579,431,338	13,643,435 1,286,204,181	24,346,149 293,227,157	200,000,000	1,098,894,572	871,606,807	7 227,287,765	125,000,000	1 0
61 UOBBF CLEARING LIMITED	FCM	CME	09/30/2019	27,003,635	1,000,000	26,003,635	28,771,057	7,892,745	20,878,312	2,900,000	0	0	0	0	1,000,001,072	0,1,000,007	0	0	
62 WEDBUSH SECURITIES INC	FCM BD	CBOT		209,685,762	27,745,932	181,939,830	1,040,518,851	1,012,868,467	27,650,384	19,000,000	14,327,113	10,551,019	3,776,094	1,000,000	0	0	0	0	0
63 WELLS FARGO SECURITIES LLC 64 YORK BUSINESS ASSOCIATES LLC	FCM BD FCM	CME	09/30/2019 09/30/2019	8,205,597,572 6,906,089	1,215,098,236	6,990,499,336 5,906,089	3,768,555,446	3,564,547,947 35,912,726	204,007,499 6,114,436	135,000,000	590,467,977 1.763,228	500,333,351 1,143,288	90,134,626 619,940	25,000,000	11,778,432,734	11,150,682,482	627,750,252	315,000,000	1 0
Totals	FUM	NFA	09/30/2019	680,006,0	1,000,000	5,800,009	42,027,162 176,828,919,536	20/12/12/	10,068,734,336		-/			200/000	128.788.026 524	122,707,092 160	6.080.934.364	3,776,383,916	624.454.012
August Web Page Update	64						2.5,020,525,530	200,700,100,200	25,000,737,330	5,550,171,110	.5,520,070,441	, 102,030,311	5,040,035,530	2,733,020,420			5,000,557,504	5,770,303,310	524,434,612
Additions	0																		
None																			
Deletions None	0																		
Name Changes																			
None September Web Page Update	64				<u> </u>	` <u> </u>					<u> </u>		<u> </u>						

SELECTED FCM FINANCIAL DATA AS OF September 30, 2019 FROM REPORTS FILED BY October 24, 2019

(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.												
FCMRFD: The FCM is also registered with the Commodity Futures Trading Commission as a Retail Foreign Exchange Dealer.												
SD: The FCM or RFED is also registered with the Commodity Futures Trading Commission as a provisionally registered si	wap dealer.											
(b): DSRO: Designated Self-Regulatory Organization. FCM/RFED firms that are dually registered as SDs have two DSROs listed	I if they have a different DSRO for the FCM/	RFED and the SD. The DSRO for the F	FCM/RFED is listed first and the DSRO for the S	D is listed second.								
(A) A C also at a state of the state of												
(c): A firm's net capital requirement is the greater of:												
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-custor	mer rick maintenance margin: or											
the amount of capital required by a registered futures association (currently NFA is the only such association); or	mer risk maintenance margin, or											
for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange for securities and Exchange	ne Commission: or											
in rescurious broken and dealers, tile amount or readed 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.												
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 for	forex obligation in excess of \$10,000,00	00.									
(d): Excess net capital is adjusted net capital, less the firm's net capital requirement.												
(e): This represents the total amount of money, securities, and property held in segregated accounts for futures and options of	ustomers in compliance with Section 4d of the	he Commodity Exchange Act.										
(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	s transaction execution facility. This is t	the sum of all accounts that contain a net liquid	dating equity.								
(g): Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.												
		at the safe for the first										
(h): This represents the targeted excess of proprietary funds deposited into customer segregated accounts above the customer	r segregation requirement. This target amo	ount is set by the firm.										
(i): This represents the total amount of money, securities, and property held in secured accounts for futures and options custo	mars who trade on commodity sychanges le	acated autoida the United States in com	anliance with Part 20 of the Commodity Eychan	ac Act								
Th. This represents the total amount of money, securities, and property neighbors exceed accounts for futures and obtions customers.	mers who trade on commodity extrianges it	ocated outside the United States in Com	ibilance with Part 30 of the Commonity Extrian	de Act.								
(f): This represents the amount of funds an FCM is required to set aside for customers who trade on commodity exchanges los	rated outside of the United States											
W. This represents the difficulty of father at 13 required to see difficulty continued to see difficulty and the difficulty and th	ated buside of the office states.											
(k): Excess/Deficient funds in separate Section 30.7 accounts is funds in separate Section 30.7 accounts, less the customer am	ount Part 30 requirement.											
(1): This represents the targeted excess of proprietary funds deposited into separate Section 30.7 accounts above the custome	r amount Part 30 requirement. This target a	amount is set by the firm.										
(m): This represents the total amount of money, securities, and property held in cleared swap customer accounts for cleared s	wap customers in compliance with Section 4	4d(f) of the Commodity Exchange Act.	<u> </u>		<u> </u>	<u> </u>	<u> </u>					
(n): This represents the amount of funds an FCM is required to segregate for customers who trade cleared swaps.												
(o): Excess/Deficient funds in cleared swap customer accounts is funds in separate cleared swap segregation accounts, less the	e cleared swap customer segregation require	ement.										
(p): This represents the targeted excess of proprietary funds deposited into separate cleared swap segregation accounts above	<u>e tne cieared swap customer segregation re</u>	equirement. This target amount is set b	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.