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)	(I)	(m)	(n)	(0)	(p)	(q)
1 ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	11/30/2021	454,745,317	284,232,191	170,513,126	4,336,592,954	3,788,450,758	548.142.196	337,650,543	85,084,337	70,432,979	14,651,358	7,043,298	3 0		0	0	0
2 ADM INVESTOR SERVICES INC	FCM	CBOT	11/30/2021	433,231,739	349,511,432	83,720,307	7,365,094,354	7,161,748,899	548,142,196 203,345,455	120,000,000	511,408,046	465,811,162	45,596,884	20,000,000	9,813,041		9,813,041	8,000,000	C
3 ADVANTAGE FUTURES LLC	FCM	CME	11/30/2021	27,229,851	12,683,349	14,546,502	327,808,107	309,702,447	18,105,660	11,000,000	33,451,087	29,502,888	3,948,199	1,000,000	0		0	0	0
4 AMP GLOBAL CLEARING LLC	FCM		11/30/2021	6,795,931	1,000,000	5,795,931	70,198,043	63,081,897	7,116,146		2,186,454	1,796,937	389,517	150,000	0		0	0	0
5 APEX CLEARING CORPORATION 6 BAKKT CLEARING LLC	FCM BD FCM		11/30/2021	445,996,630 2.036,170	49,629,852 1,000,000	396,366,778 1.036,170	118,504,339	92,205,688	26,298,651	10,000,000	0	0	0	0	0		0	0	0
7 BARCLAYS CAPITAL INC	FCM BD		11/30/2021 11/30/2021	6,967,455,871	1,981,714,600	4,985,741,271	9,629,802,957	9,202,653,435	427,149,522	55,000,000	2,910,605,432	2,738,389,822	172,215,610	12,000,000	12,426,808,856	11,856,850,84	569,958,016	250,000,000	
8 BNP PARIBAS SECURITIES CORP	FCM BD		11/30/2021	2,326,066,780	767,238,248	1,558,828,532	5,960,906,600	5,325,399,796	635,506,804		1,007,074,331	632,391,650	374,682,681	30,000,000	2,312,293,044			95,000,000	
9 BOFA SECURITIES INC	FCM BD		11/30/2021	15,160,298,251	3,643,436,607	11,516,861,644	21,462,939,288	20,811,930,845	651,008,443	200,000,000	4,857,873,221	4,502,636,369	355,236,852	150,000,000	13,403,644,580	13,076,425,82	327,218,757	150,000,000	C
10 CANTOR FITZGERALD & CO	FCM BD	CBOT	11/30/2021	461,316,201	6,256,197	455,060,004	4,969,921	0	4,969,921	3,000,000	0	0	0	0	0		0	0	C
11 CHARLES SCHWAB & CO INC	FCM BD		11/30/2021	4,355,657,415	977,361,352	3,378,296,063	0	0	0	0	0	0	0	0	0		0	0	0
12 CHARLES SCHWAB FUTURES & FOREX LLC	FCM		11/30/2021	226,723,766	48,778,829	177,944,937	729,965,132	577,031,259	152,933,873	100,000,000	0	0	0	0	0		0 0	0	63,445,665
13 CHS HEDGING LLC	FCM FCM BD SD		11/30/2021	70,269,149	22,625,607	47,643,542	296,406,815	237,299,353	59,107,462	14,100,000	1,527,272	E C4E C0C 220	1,527,272	200,000	510,188	20 521 275 04	510,188	120,000	
14 CITIGROUP GLOBAL MARKETS INC 15 CREDIT SUISSE SECURITIES (USA) LLC	FCM BD SD		11/30/2021 11/30/2021	11,148,214,804 13,149,874,659	4,299,823,200 989,324,887	6,848,391,604 12,160,549,772	18,299,473,764 3,941,328,469	17,661,426,683 3,695,639,833	638,047,081 245,688,636	355,600,000 184,781,992	5,978,840,924 4,357,276,620	5,645,686,228 3,396,661,820	333,154,696 960,614,800	188,300,000 169,833,091	31,181,330,557 7,758,783,516	30,521,275,04 7,036,462,84	4 660,055,513 722,320,676	459,900,000 351,823,142	
16 CUNNINGHAM COMMODITIES LLC	FCM BD		11/30/2021	7,191,774	1,000,000		57,052,931	53,335,328		3,050,000		854,617		100,000	1 7,736,763,316	7,030,402,04	1 722,320,070	331,023,142	
17 DAIWA CAPITAL MARKETS AMERICA INC	FCM BD		11/30/2021	1,224,020,297	1,500,000	6,191,774 1,222,520,297	2,165,966	35,555,520	3,717,603 2,165,966	3,030,000	1,273,099 458,510	031,017	458,510	100,000	0		0	0	Č
18 DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	11/30/2021	6,054,079,634	219,180,194	5,834,899,440	2,500,924,037	2,258,428,673	242,495,364	125,000,000	870,452,617	710,605,403	159,847,214	75,000,000	0		0	0	0
19 DIRECT ACCESS USA LLC	FCM	CME	11/30/2021 11/30/2021	11,342,299	1,934,476	9,407,823	61,642,966	55,249,538	6,393,428	2,500,000	0	0	0	0	0		0	0	0
20 DORMAN TRADING LLC	FCM	CME	11/30/2021	16,663,358	3,780,724	12,882,634	198,422,061	192,701,040	5,721,021	2,000,000	17,267,465	16,398,647	868,818	200,000	0		0	0	0
21 E D & F MAN CAPITAL MARKETS INC	FCM BD SD	CME/NFA	11/30/2021	213,030,439	152,025,870	61,004,569	3,377,840,963	3,300,608,951	77,232,012	44,250,000	112,152,712	102,221,175	9,931,537	5,000,000	0		0	0	0
22 ETRADE FUTURES LLC	FCM FCM		11/30/2021	37,346,019 1,946,069	9,640,604 1,000,000	27,705,415 946.069	166,374,167	128,254,544	38,119,623	11,000,000	0	0	0	0	1 0		) v	0	
23 FUTU FUTURES INC 24 GAIN CAPITAL GROUP LLC	FCM FCMRFD		11/30/2021 11/30/2021	1,946,069	1,000,000 29,934,777	946,069 18,293,582	0	0	1 2	0	0	0	0	0	0		0	0	208,695,548
25 GH FINANCIALS LLC	FCMRFD		11/30/2021	48,228,359 27,508,471	29,934,777 7,708,576	19,799,895	143,008,770	124,064,565	18,944,205	6,100,000	6,719,511	5,284,488	1,435,023	400,000	0		0	0	200,053,548
26 GOLDMAN SACHS & CO LLC	FCM BD SD		11/30/2021	20.165 246 608	4,328,986,834	15,836,259,774	34,507,389,807	33,574,433,147	932,956,660	675,000,000	9,989,421,149	9,427,128,126	562,293,023	475,000,000	14,467,630,669	14,026,518,43	3 441.112.236	350,000,000	
27 HIDDEN ROAD PARTNERS CIV US LLC	FCM BD	NFA	11/30/2021 11/30/2021	20,165,246,608 33,459,988	1,000,000	32,459,988	0	0 0	0	0, 3,000,000	0,505,121,149	0,127,123,120	0	1, 3,000,000	0	11,020,310,73	0 0	0	0
28 HSBC SECURITIES USA INC	FCM BD	CME	11/30/2021	1,154,610,086	464,200,711	690,409,375	3,700,956,678	3,590,879,655	110,077,023	101,000,000	155,330,873	112,856,204	42,474,669	15,000,000	1,434,335,513	1,361,758,36	72,577,153	61,000,000	
29 IG US LLC	RFED		11/30/2021	32,077,114	21,286,237	10,790,877	0	0	0	0	0	0	0	0	0	, , , , , , , , , , , , , , , , , , , ,	0 0	0	35,724,735 51,703,386
30 INTERACTIVE BROKERS LLC	FCM BD	CME	11/30/2021	5,606,658,782	1,064,294,710	4,542,364,072	7,773,343,767	7,554,708,797	218,634,970	155,000,000	600,958,929	480,328,199	120,630,730	80,000,000	0		0	0	51,703,386
31 IRONBEAM INC	FCM	NFA	11/30/2021	5,880,974	1,166,837	4,714,137	70,725,266	64,634,411	6,090,855	1,600,000	356,578	163,237	193,341	60,000	0		0	0	0
32 JEFFERIES LLC	FCM BD	NFA	11/30/2021	2,225,733,445	117,522,496	2,108,210,949	0	0	0	0	0	0	0	0	0	10 100 505 00	0 0	0	0
33 JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA CBOT	11/30/2021	21,712,124,616	5,875,849,069	15,836,275,547	50,116,207,067 4,123,377,058	48,568,216,306	1,547,990,761	1,117,068,975	7,347,772,324	6,892,743,390		172,318,585	20,160,777,888			498,707,192	
34 MACQUARIE FUTURES USA LLC 35 MAREX NORTH AMERICA LLC	FCM FCM		11/30/2021 11/30/2021	418,980,793 197,395,360	350,323,505 162,666,088	68,657,288 34,729,272	3,739,057,228	3,895,896,587 3,709,179,094	227,480,471 29,878,134	100,000,000 26,379,941	111,168,824 192,989,922	83,043,584 177,833,166	28,125,240 15,156,756	7,000,000	10,745,280	356,21	10,369,008	1,000,000	
36 MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	11/30/2021	14,383,844	1,029,928	13,353,916	440,428,782	419,449,975	20,978,807		2,567,861	1/7,033,100	2,567,861	1,000,000	) 0		) 0	0	
37 MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD		11/30/2021	7,062,141,470	1,562,218,654	5,499,922,816	2,391,049,439	1,314,695,345			2,507,001	0	2,507,001	1,000,000	0		0 0	0	0
38 MID CO COMMODITIES INC	FCM	NFA	11/30/2021	16,606,814 2,418,317	9,131,059	7,475,755	117,498,854	100,425,026	1,076,354,094 17,073,828	5,138,000	0	0	0	0	0		0	0	Ö
39 MINT BROKERS	FCM BD		11/30/2021	2,418,317	1,000,000	1,418,317	0	0	0	0	0	0	0	0	0		0	0	0
40 MIZUHO SECURITIES USA LLC	FCM BD		11/30/2021	1,177,597,545	590,822,195	586,775,350	9,795,917,908	9,251,560,372	544,357,536	150,000,000	1,088,274,785	961,118,510	127,156,275	70,000,000	20,505,697	1,014,46		10,000,000	0
41 MORGAN STANLEY & CO LLC	FCM BD SD		11/30/2021	16,174,813,517	4,149,113,048	12,025,700,469	24,724,968,762	24,341,603,025	383,365,737	235,000,000	7,121,636,784	6,904,718,359		140,000,000	25,524,726,682	25,060,178,78	7 464,547,895	92,000,000	
42 NANHUA USA LLC 43 NATWEST MARKETS SECURITIES INC	FCM FCM BD	CME	11/30/2021 11/30/2021	18,392,872 638,435,013	6,685,376 1,996,492	11,707,496 636,438,521	139,734,740 7,500,126	124,435,643	15,299,097 7,500,126	3,500,000 5,000,000	604,357	251,067	353,290	100,000	0		0	0	0
44 NINJATRADER CLEARING LLC	FCM BD	CBOI	11/30/2021	8,661,970	1,000,000	7,661,970	188,966,296	179,812,654	9,153,642		3,435,117	2,718,659	716,458	400,000	0		0	0	
45 NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CROT	11/30/2021	3,015,747,528	163,615,036	2,852,132,492	304,942,737	160,882,853	144,059,884		17,335,828	2,710,039	17,335,828	1,000,000	) 0		) 0	0	
46 OANDA CORPORATION	FCM RFD		11/30/2021		29 588 811		304,342,737	100,002,033	111,039,001	10,000,000	17,333,626	0	17,555,620	1,000,000	0		0	0	196,252,811
47 PHILLIP CAPITAL INC	FCM BD		11/30/2021	40,616,624 77,137,095	29,588,811 41,740,515	11,027,813 35,396,580	798,075,087	772,378,624	25,696,463	11,500,000	13,055,966	8,617,814	4,438,152	1,500,000	0		0 0	0	0
48 PICTET OVERSEAS INC	FCM BD		11/30/2021	50,333,861	13,263,111	37,070,750	191,283,586	186,630,088	4,653,498	2,750,000	41,951,710	39,064,789	2,886,921	1,250,000	0		0	0	C
49 RBC CAPITAL MARKETS LLC	FCM BD	CME	11/30/2021	2,249,036,575	428,867,524	1,820,169,051	3,804,883,705	3,315,986,922	488,896,783	240,000,000	246,170,279 225,243,077	170,314,675 196,322,491	75,855,604 28,920,586	20,000,000	1,202,643,145	991,271,37	211,371,775	80,000,000	0
50 RJ OBRIEN ASSOCIATES LLC	FCM SD	CME/NFA	11/30/2021	284,465,372	245,085,100	39,380,272	6,281,977,145	6.063.540.679	218,436,466	50,000,000	225,243,077	196,322,491	28,920,586	20,000,000	0		0	0	0
51 SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	11/30/2021	883,091,188	173,408,854	709,682,334	2,101,759,498	2,029,953,164	71,806,334		0	0	0	0	0		0	0	0
52 SCORE PRIORITY CORP 53 SCOTIA CAPITAL USA INC	FCM BD FCM BD		11/30/2021	5,214,640 1,118,226,480	1,000,000 139,286,875	4,214,640 978,939,605	46,103	0	46,103	20,000	40,000	0	40,000	20,000	) 0		0	0	0
54 SG AMERICAS SECURITIES LLC	FCM BD		11/30/2021 11/30/2021	4,169,711,491	2,105,367,197	2,064,344,294	16,903,105,265	16,396,260,777	506,844,488	200,000,000	7,239,286,623	6,856,072,895	383,213,728	200,000,000	2,018,521,925	1,797,949,30	3 220,572,617	80,000,000	0
55 STONEX FINANCIAL INC	FCM BD		11/30/2021	317,311,369	195,045,301	122,266,068	5.107.894.183	5,034,932,335	72,961,848		234,362,664	222,041,651	12,321,013	6,000,000	622.006	טכ, כדכ, וכי, ב	0 622,006	250,000	0
56 STRAITS FINANCIAL LLC	FCM		11/30/2021	23,844,390	10,088,192	13,756,198	492,731,705	478,672,184	14,059,521	2,000,000	37,933,948	28,369,029	9,564,919	300,000	0 022,000		0 022,300	250,000	Ö
57 TRADESTATION SECURITIES INC	FCM BD	CME	11/30/2021	156,185,016	17,574,402	138,610,614	966,330,759	951,135,218	15,195,541	9,000,000	22,513,252	19,237,543	3,275,709	800,000	0		0	0	
58 TRADING.COM MARKETS INC	RFED	NFA	11/30/2021	22,940,184	20,000,000	2,940,184	0	0	0	0	0	0	0	0	0		0	0	0
59 UBS FINANCIAL SERVICES INC	FCM BD	NFA	11/30/2021	1,190,311,194	152,460,145	1,037,851,049	109,058,492	72,972,352	36,086,140		52,871,618	25,376,661		15,000,000	0		0	0	0
60 UBS SECURITIES LLC	FCM BD	CBOT	11/30/2021	5,452,950,536	709,265,395	4,743,685,141	6,093,563,034	5,587,983,594	505,579,440	400,000,000	1,750,306,687	1,470,911,867	279,394,820	200,000,000	1,245,968,104	999,989,94	1 245,978,163	125,000,000	0
61 WEDBUSH SECURITIES INC	FCM BD	CBOT	11/30/2021	220,735,204	71,501,798	149,233,406	2,462,207,303	2,425,791,159 5,787,708,000	36,416,144 478,610,135	19,000,000 125,000,000	33,571,987	28,340,871	5,231,116 165,523,787	1,000,000	0	42 440 222 12	0	0	0
62 WELLS FARGO SECURITIES LLC	FCM BD	CME	11/30/2021	9,331,817,613	1,534,223,967	7,797,593,646	6,266,318,135	5,/87,708,000	4/8,610,135	125,000,000	696,385,646	530,861,859	165,523,787	35,000,000	14,412,844,055	13,410,332,40	1 1,002,511,654	360,000,000	0
Totals	+						272.772.721.121	260.993.971.518	11.778.749.603	6.205.889.453	57,979,198,426	52,957,108,831	5.022.089.595	2.132.224.975	147.598.504.752	140.520.762 121	7,077,742,631	2.972.800.334	555.822.145
							2,2,,,2,,21,121	200,555,571,510	11,770,743,003	0,203,003,433	37,37,3,130,420	32,737,100,031	3,022,003,333	2,132,224,373	147,550,564,752	140/320/702/121	7,077,742,031	2,372,000,334	333,022,143
October Web Page Update	62																		
Additions None																			
Deletions																			
None																			
Name Changes																			
News				1															
None																			

## SELECTED FCM FINANCIAL DATA AS OF November 30, 2021 FROM REPORTS FILED BY December 23, 2021

(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 swap deal	er.										
(b): DSRO: Designated Self-Regulatory Organization. FCM/RFED firms that are dually registered as SDs have two DSROs listed if they	nave a different DSRO for the FCM/RFED and the SC	<ul><li>The DSRO for the FCM/</li></ul>	RFED is listed first and the DSRO for the	SD is listed second.							
(c): A firm's net capital requirement is the greater of:											
(c). A fifth street capital requirement is the greater of.											
FCM minimum dollar amount (\$1,000,000); or											
<ul> <li>risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk</li> </ul>	maintenance margin; or										
<ul> <li>the amount of capital required by a registered futures association (currently NFA is the only such association); or</li> </ul>											
for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Comn	ission; or										
minimum dollar amount for FCM's offering or engaged 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 obliqation in excess of \$10,000,000.											
• Iniminium doilar amount for PCH's oriening or engaged in retail forex transactions and RPEDs (\$20,000,000) plus five percent	of the FCM's of KFED's total retail forex obligation in	rexcess or \$10,000,000.									
(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 customers	in compliance with Section 4d of the Commodity Ex	xchange 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 design	ated contract market or derivatives transaction exec	cution facility. This is the s	im of all accounts that contain a net liqu	lidating equity.							
(g): Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.											
(3)											
(h): This represents the targeted excess of proprietary funds deposited into customer segregated accounts above the customer segregated	ation requirement. This target amount is set by the	firm.									
			71 D. 1 20 - Cil C								
(i): This represents the total amount of money, securities, and property held in secured accounts for futures and options customers wh	3 trade on commodity exchanges located outside the	e United States in compilar	ce with Part 30 of the Commodity Excha	inge Act.							
(f): This represents the amount of funds an FCM is required to set aside for customers who trade on commodity exchanges located out	side of the United States.										
(k): Excess/Deficient funds in separate Section 30.7 accounts is funds in separate Section 30.7 accounts, less the customer amount Par	t 30 requirement.										
(I): 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.									
(m): This represents the total amount of money, securities, and property held in cleared swap customer accounts for clear	tomers in compliance with Section 4d/f) of the Com-	modity Evchange Act									
(m). This represents the total amount or money, securities, and properly field in dealed swap tustomer accounts for dealed swap tustomer accounts for dealed swap tustomer.	Sincis in compliance with Section 44(1) of the confin	mounty Exchange Act.									
(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 cleared	swap customer segregation requirement.										
(a). This are the bounded are a function found done its distance to detail and are the standard are the stan	and a second residue and instance. This		£								
(p): This represents the targeted excess of proprietary funds deposited into separate cleared swap segregation accounts above the cleared	ared swap customer segregation requirement. This	target amount is set by th	e HIFTTI.								

(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.