

SELECTED FCM FINANCIAL DATA AS OF

April 30, 2023

FROM REPORTS FILED BY

May 23, 2023

	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(1)(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)	(l)	(m)	(n)	(o)	(p)	(q)	
1	ABN AMRO CLEARING USA LLC	FCM BD	CBOT	04/30/2023	724,664,347	209,292,308	515,372,039	3,689,033,643	3,315,163,252	373,870,391	243,907,686	144,068,337	102,973,297	41,095,040	10,297,330	0	0	0	0	0
2	ADM INVESTOR SERVICES INC	FCM	CBOT	04/30/2023	545,498,377	327,673,829	217,824,548	8,630,268,490	8,279,683,961	350,584,529	120,000,000	535,796,752	489,224,952	46,571,800	20,000,000	10,102,460	0	10,102,460	8,000,000	0
3	ADVANTAGE FUTURES LLC	FCM	CME	04/30/2023	32,523,485	14,811,965	17,711,520	530,446,905	514,204,335	16,242,570	9,500,000	54,590,044	50,081,429	4,508,615	1,000,000	0	0	0	0	0
4	AMP GLOBAL CLEARING LLC	FCM	NFA	04/30/2023	9,711,180	1,000,000	8,711,180	74,030,903	64,407,913	9,622,990	900,000	2,811,211	2,333,236	477,975	150,000	0	0	0	0	0
5	APEX CLEARING CORPORATION	FCM BD	NFA	04/30/2023	402,900,246	25,657,772	377,242,474	138,235,808	113,324,941	24,910,867	10,000,000	0	0	0	0	0	0	0	0	0
6	BARCLAYS CAPITAL INC	FCM BD	NYME	04/30/2023	6,516,045,405	2,441,713,820	4,074,331,585	17,247,990,752	15,046,791,271	2,201,199,481	187,000,000	4,576,040,990	4,305,032,463	271,008,527	40,000,000	13,941,614,773	13,315,640,186	625,974,587	26,000,000	0
7	BITNOMIAL CLEARING LLC	FCM	NFA	04/30/2023	1,505,000	1,000,000	505,000	0	0	0	0	0	0	0	0	0	0	0	0	0
8	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	04/30/2023	2,102,711,418	883,363,358	1,219,348,060	6,550,956,544	5,846,545,384	704,411,160	570,000,000	1,151,850,556	916,218,213	235,632,343	98,000,000	3,038,216,727	2,835,545,377	202,671,350	140,000,000	0
9	BOFA SECURITIES INC	FCM BD	CBOT	04/30/2023	19,171,399,467	4,622,005,334	14,549,394,133	29,652,010,925	29,192,276,449	459,734,476	200,000,000	5,722,192,201	5,520,799,480	201,392,721	150,000,000	18,104,855,643	17,271,250,671	833,604,972	150,000,000	0
10	CANTOR FITZGERALD & CO	FCM BD	NFA	04/30/2023	312,470,501	1,500,000	310,970,501	5,008,296	0	5,008,296	3,000,000	0	0	0	0	0	0	0	0	0
11	CHARLES SCHWAB FUTURES AND FOREX LLC	FCM	NFA	04/30/2023	287,365,445	51,458,527	235,906,918	847,243,871	681,451,424	165,792,447	100,000,000	0	0	0	0	0	0	0	0	67,216,651
12	CHS HEDGING LLC	FCM	CBOT	04/30/2023	68,685,162	17,947,695	50,737,467	203,692,854	136,860,060	66,832,794	24,300,000	1,537,933	0	1,537,933	200,000	513,598	0	513,598	120,000	0
13	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	04/30/2023	15,620,608,550	5,231,901,900	10,388,706,650	19,811,566,186	18,317,454,544	1,494,111,642	376,600,000	6,122,981,283	5,797,385,427	325,595,856	183,400,000	34,348,425,594	33,661,112,161	687,313,433	482,300,000	0
14	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	04/30/2023	12,453,755,500	74,014,910	12,379,740,590	305,406,977	234,936,106	70,470,871	11,746,805	25,724,993	1,799,185	23,925,808	89,959	5,240,316	0	5,240,316	1	0
15	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	04/30/2023	86,183,288	3,886,514	82,296,774	267,311,467	204,639,531	62,671,936	3,050,000	1,473,534	856,047	617,487	100,000	0	0	0	0	0
16	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	04/30/2023	1,383,935,154	1,532,029	1,382,403,125	2,135,444	0	2,135,444	1	443,831	0	443,831	1	0	0	0	0	0
17	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	04/30/2023	4,982,010,494	214,381,139	4,767,629,355	2,377,025,266	2,225,973,921	151,051,345	100,000,000	897,146,125	799,303,374	97,842,751	50,000,000	0	0	0	0	0
18	DIRECT ACCESS USA LLC	FCM	CME	04/30/2023	12,545,797	4,074,672	8,471,125	148,719,423	133,451,821	15,267,602	2,500,000	3,095,756	504,899	2,590,857	1,000,000	0	0	0	0	0
19	DORMAN TRADING LLC	FCM	CME	04/30/2023	17,215,252	2,946,125	14,269,127	345,061,515	339,035,884	6,025,631	2,000,000	2,899,926	1,738,057	1,161,869	200,000	0	0	0	0	0
20	ETRADE FUTURES LLC	FCM	NFA	04/30/2023	53,659,395	5,139,965	48,519,430	172,955,962	119,724,891	53,231,071	11,000,000	0	0	0	0	0	0	0	0	0
21	FUTU FUTURES INC	FCM	NFA	04/30/2023	1,927,937	1,000,000	927,937	0	0	0	0	0	0	0	0	0	0	0	0	0
22	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	04/30/2023	55,773,416	29,324,934	26,448,482	0	0	0	0	0	0	0	0	0	0	0	0	196,498,687
23	GH FINANCIALS LLC	FCM	CME	04/30/2023	31,673,647	16,286,394	15,387,253	187,169,038	166,028,145	21,140,893	5,700,000	10,910,905	9,043,007	1,867,898	350,000	0	0	0	0	0
24	GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	04/30/2023	22,678,233,072	5,093,852,172	17,584,380,900	38,946,331,032	37,929,030,204	1,017,300,828	775,000,000	12,295,642,549	11,691,609,759	604,032,790	475,000,000	20,701,068,652	20,140,023,272	561,045,380	350,000,000	0
25	HIDDEN ROAD PARTNERS CIV US LLC	FCM BD	CME	04/30/2023	32,160,735	1,000,000	31,160,735	3,069,397	0	3,069,397	3,000,000	0	0	0	0	0	0	0	0	0
26	HSBC SECURITIES USA INC	FCM BD	CME	04/30/2023	1,215,899,498	561,020,157	654,879,341	4,502,321,689	4,354,595,621	147,726,068	136,000,000	212,849,591	184,044,764	28,804,827	15,000,000	2,765,229,131	2,635,029,909	130,199,222	118,000,000	0
27	IG US LLC	FCM	NFA	04/30/2023	48,352,978	22,400,760	25,952,218	0	0	0	0	0	0	0	0	0	0	0	0	58,015,193
28	INTERACTIVE BROKERS LLC	FCM BD	CME	04/30/2023	6,855,999,008	707,090,154	6,148,908,854	7,410,429,950	7,204,947,427	205,482,523	155,000,000	819,853,191	679,625,555	140,227,636	80,000,000	0	0	0	0	31,101,122
29	IRONBEAM INC	FCM	CME	04/30/2023	9,596,433	1,234,652	8,361,781	103,564,318	103,641,318	92,914,288	1,600,000	535,051	314,728	202,320	60,000	0	0	0	0	0
30	JEFFERIES LLC	FCM BD	NFA	04/30/2023	1,108,138,624	95,317,065	1,012,821,559	0	0	0	0	0	0	0	0	0	0	0	0	0
31	JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	04/30/2023	26,226,114,940	5,760,290,319	20,465,824,621	40,017,182,163	39,009,191,209	1,007,990,954	741,174,633	8,283,895,054	7,697,749,105	586,145,949	269,421,219	23,906,393,018	22,825,327,868	1,081,065,150	479,331,885	0
32	LIME TRADING CORP	FCM BD	NFA	04/30/2023	7,624,348	1,000,000	6,624,348	46,093	0	46,093	20,000	40,010	0	40,010	20,000	0	0	0	0	0
33	MACQUARIE FUTURES USA LLC	FCM	CBOT	04/30/2023	578,475,342	424,838,247	153,637,095	4,518,425,205	4,288,676,663	229,748,542	100,000,000	175,058,630	125,496,267	49,562,363	7,000,000	5,136,814	0	5,136,814	1,000,000	0
34	MAREX CAPITAL MARKETS INC	FCM BD SD	CME/NFA	04/30/2023	311,920,102	191,476,697	120,443,405	4,383,995,447	4,288,872,025	95,123,422	44,250,000	77,728,612	66,924,000	10,804,612	5,000,000	0	0	0	0	0
35	MAREX NORTH AMERICA LLC	FCM	CME	04/30/2023	238,647,931	167,931,795	70,716,136	3,488,190,203	3,488,190,203	86,370,236	50,230,376	173,906,590	138,845,727	35,060,863	10,250,000	0	0	0	0	0
36	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	04/30/2023	12,514,051	1,410,375	11,103,676	459,559,384	435,670,103	23,889,281	18,000,000	2,647,036	0	2,647,036	1,000,000	0	0	0	0	0
37	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	04/30/2023	6,878,572,287	1,580,001,063	5,298,571,224	3,568,145,683	2,593,432,189	974,713,494	300,000,000	0	0	0	0	0	0	0	0	160,021,445
38	MFI FUNDING LLC	FCM	NFA	04/30/2023	105,453,097	1,000,000	104,453,097	0	0	0	0	0	0	0	0	0	0	0	0	0
39	MID CO COMMODITIES INC	FCM	NFA	04/30/2023	16,690,655	5,708,548	10,982,107	45,914,392	28,322,888	17,591,504	5,138,000	0	0	0	0	0	0	0	0	0
40	MINT BROKERS	FCM BD	NFA	04/30/2023	2,074,218	1,000,000	1,074,218	0	0	0	0	0	0	0	0	0	0	0	0	0
41	MIZUHO SECURITIES USA LLC	FCM BD	CME	04/30/2023	1,165,859,659	574,822,195	591,037,464	10,417,034,785	9,947,084,645	469,950,140	150,000,000	1,780,372,261	1,582,837,463	197,534,798	70,000,000	20,899,895	0	20,899,895	10,000,000	0
42	MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	04/30/2023	17,684,485,119	4,577,510,684	13,106,974,435	28,732,555,943	28,151,603,748	580,952,195	235,000,000	9,719,874,773	9,341,125,554	378,749,219	140,000,000	28,565,632,645	28,151,591,035	414,041,610	92,000,000	0
43	NANHUA USA LLC	FCM	CME	04/30/2023	33,068,125	14,611,762	18,456,363	293,686,839	265,627,346	28,059,493	3,500,000	680,382	324,045	356,337	100,000	0	0	0	0	0
44	NATWEST MARKETS SECURITIES INC	FCM BD	CBOT	04/30/2023	525,508,132	2,068,408	523,439,724	7,501,425	0	7,501,425	5,000,000	0	0	0	0	0	0	0	0	0
45	NINJA TRADER CLEARING LLC	FCM	NFA	04/30/2023	16,837,633	1,000,000	15,837,633	260,704,409	239,993,579	20,710,830	4,000,000	3,239,436	2,339,603	899,833	400,000	0	0	0	0	0
46	NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	04/30/2023	2,292,563,663	123,589,411	2,168,974,252	169,565,853	121,958,104	47,607,749	19,000,000	1,250,000	0	1,250,000	1,000,000	0	0	0	0	0
47	OANDA CORPORATION	FCM RFED	NFA	04/30/2023	40,019,327	27,719,953	12,299,374	0	0	0	0	0	0	0	0	0	0	0	0	160,021,445
48	PHILLIP CAPITAL INC	FCM BD	CME	04/30/2023	85,842,828	50,522,456	35,320,372	1,044,849,503	997,704,535	47,144,968	17,000,000	31,637,945	27,728,426	3,909,519	1,000,000	0	0	0	0	0
49	PICTET OVERSEAS INC	FCM BD	NFA	04/30/2023	51,															

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(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 dealer.
(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 FCM/RFED is listed first and the DSRO for the SD is listed second.
(c): A firm's net capital requirement is the greater of:
<ul style="list-style-type: none"> • 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-customer risk maintenance margin; or • the amount of capital required by a registered futures association (currently NFA is the only such association); or • for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; 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 obligation in excess of \$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 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 transaction execution facility. This is the sum of all accounts that contain a net liquidating equity.
(g): Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.
(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.
(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.
(j): 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.
(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.
(l): 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 cleared swap customers in compliance with Section 4d(f) of the Commodity 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.
(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.