

SELECTED FCM FINANCIAL DATA AS OF

May 31, 2023

FROM REPORTS FILED BY

June 30, 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	05/31/2023	702,572,910	232,686,018	469,886,892	3,897,159,420	3,482,533,401	414,626,019	251,139,020	154,185,336	123,314,655	30,870,681	12,331,465	0	0	0	0	0
2	ADM INVESTOR SERVICES INC	FCM	CBOT	05/31/2023	562,810,342	328,496,947	234,313,395	8,459,198,500	8,081,518,724	377,679,776	120,000,000	510,278,332	463,254,514	47,023,818	20,000,000	10,141,978	0	0	10,141,978	8,000,000
3	ADVANTAGE FUTURES LLC	FCM	CME	05/31/2023	32,765,566	11,018,827	21,746,739	454,959,350	438,718,354	16,240,996	9,500,000	53,653,872	49,363,506	4,290,366	1,000,000	0	0	0	0	0
4	AMP GLOBAL CLEARING LLC	FCM	NFA	05/31/2023	9,902,964	1,000,000	8,902,964	75,069,161	64,963,714	10,105,447	900,000	2,662,797	2,056,560	606,237	150,000	0	0	0	0	0
5	APEX CLEARING CORPORATION	FCM BD	NFA	05/31/2023	432,394,588	25,599,030	406,795,558	156,630,649	133,540,265	23,090,384	10,000,000	0	0	0	0	0	0	0	0	0
6	BARCLAYS CAPITAL INC	FCM BD	NYME	05/31/2023	5,938,402,207	2,452,156,612	3,486,245,595	16,492,121,694	14,814,343,300	1,677,778,394	187,000,000	4,295,656,152	4,044,149,001	251,507,151	40,000,000	14,483,582,792	13,922,507,147	561,075,645	26,000,000	0
7	BITNOMIAL CLEARING LLC	FCM	NFA	05/31/2023	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	05/31/2023	2,112,551,478	910,578,374	1,201,973,104	6,401,788,371	5,696,568,340	705,220,031	570,000,000	1,272,699,992	804,182,206	468,517,786	98,000,000	3,145,488,882	2,923,864,490	221,624,392	145,000,000	0
9	BOFA SECURITIES INC	FCM BD	CBOT	05/31/2023	19,915,978,956	4,825,844,700	15,090,134,256	29,472,363,212	29,094,540,741	377,822,471	200,000,000	5,485,589,932	5,245,136,322	240,453,610	150,000,000	17,432,638,823	17,014,396,382	418,242,441	150,000,000	0
10	CANTOR FITZGERALD & CO	FCM BD	CBOT	05/31/2023	385,289,336	3,018,199	382,271,137	5,029,249	0	5,029,249	3,000,000	0	0	0	0	0	0	0	0	0
11	CHARLES SCHWAB FUTURES AND FOREX LLC	FCM	NFA	05/31/2023	299,203,975	50,613,715	248,590,260	861,049,710	697,538,280	163,511,430	100,000,000	0	0	0	0	0	0	0	0	65,957,061
12	CHS HEDGING LLC	FCM	CBOT	05/31/2023	69,872,179	17,417,801	52,454,378	201,731,434	134,574,261	67,157,173	24,300,000	1,541,897	1,541,897	0	200,000	514,922	0	0	514,922	120,000
13	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT	05/31/2023	16,389,514,625	4,940,992,861	11,448,521,764	20,081,936,253	18,546,434,622	1,535,501,631	363,300,000	5,665,592,444	5,314,171,276	351,421,168	184,800,000	33,779,929,254	32,900,812,918	879,116,336	483,700,000	0
14	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	05/31/2023	12,613,745,368	70,867,366	12,542,878,002	278,186,811	219,675,198	58,511,613	10,983,760	22,216,596	1,213,929	21,002,667	60,696	5,582,389	333,162	5,249,227	16,658	0
15	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	05/31/2023	86,038,714	4,641,265	81,397,449	262,265,565	199,964,171	62,301,394	3,050,000	1,455,063	819,028	636,035	100,000	0	0	0	0	0
16	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	05/31/2023	1,401,364,552	1,500,000	1,399,864,552	2,132,448	0	2,132,448	1	436,428	0	0	0	0	0	0	0	0
17	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	05/31/2023	4,948,755,942	209,102,205	4,739,653,737	2,240,035,504	2,055,599,770	184,435,734	100,000,000	901,402,966	802,163,835	99,239,131	50,000,000	0	0	0	0	0
18	DIRECT ACCESS USA LLC	FCM	CME	05/31/2023	12,791,473	6,024,631	6,766,842	158,384,149	145,603,895	12,780,254	2,500,000	2,273,048	570,149	1,702,899	1,000,000	0	0	0	0	0
19	DORMAN TRADING LLC	FCM	CME	05/31/2023	17,205,239	5,133,725	12,071,514	367,985,577	361,470,610	6,514,967	2,000,000	2,595,196	1,444,484	1,150,712	200,000	0	0	0	0	0
20	ETRADE FUTURES LLC	FCM	NFA	05/31/2023	54,375,050	5,830,150	48,544,900	171,754,079	116,202,013	55,552,066	11,000,000	0	0	0	0	0	0	0	0	0
21	FUTU FUTURES INC	FCM	NFA	05/31/2023	1,934,438	1,000,000	934,438	0	0	0	0	0	0	0	0	0	0	0	0	0
22	GAIN CAPITAL GROUP LLC	FCMFRD	NFA	05/31/2023	54,093,321	29,350,418	24,742,903	0	0	0	0	0	0	0	0	0	0	0	0	197,008,356
23	GH FINANCIALS LLC	FCM	CME	05/31/2023	32,073,984	14,524,779	17,549,205	187,809,714	167,315,192	20,494,522	5,700,000	9,885,949	8,004,028	1,881,921	350,000	0	0	0	0	0
24	GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT	05/31/2023	22,793,076,376	5,047,565,813	17,745,510,563	38,931,513,068	37,914,191,432	1,017,321,636	775,000,000	11,858,959,420	11,268,473,155	590,486,265	475,000,000	21,857,458,327	20,846,994,036	1,010,464,291	350,000,000	0
25	HIDDEN ROAD PARTNERS CIV US LLC	FCM	CME	05/31/2023	32,149,870	1,000,000	31,149,870	3,080,712	0	3,080,712	3,000,000	0	0	0	0	0	0	0	0	0
26	HSBC SECURITIES USA INC	FCM BD	CME	05/31/2023	1,103,748,902	561,643,626	542,105,276	4,517,382,640	4,359,018,812	158,363,828	144,000,000	200,875,306	172,573,038	28,302,268	15,000,000	2,526,534,835	2,367,167,969	159,366,866	136,000,000	0
27	IG US LLC	FCM	RFED	05/31/2023	52,074,561	22,993,286	29,081,275	0	0	0	0	0	0	0	0	0	0	0	0	69,865,713
28	INTERACTIVE BROKERS LLC	FCM BD	CME	05/31/2023	6,854,617,769	737,667,284	6,116,950,485	7,211,076,881	6,986,541,808	224,535,073	155,000,000	786,262,611	664,893,437	121,369,174	80,000,000	0	0	0	0	33,302,963
29	IRONBEAM INC	FCM	CME	05/31/2023	9,647,036	1,217,497	8,429,539	103,658,878	91,773,684	11,785,194	1,600,000	538,776	316,126	222,650	60,000	0	0	0	0	0
30	JEFFERIES LLC	FCM BD	NFA	05/31/2023	914,508,400	95,005,440	819,502,960	0	0	0	0	0	0	0	0	0	0	0	0	0
31	JP MORGAN SECURITIES LLC	FCM BD SD	CEI	05/31/2023	25,680,275,802	5,624,770,422	20,055,505,380	43,590,991,809	42,239,417,619	1,351,574,190	802,548,935	7,669,856,473	7,099,114,776	570,741,697	248,469,017	23,626,548,034	22,481,038,207	1,145,509,827	472,101,802	0
32	LIME TRADING CORP	FCM BD	NFA	05/31/2023	6,770,234	1,000,000	5,770,234	46,093	0	46,093	20,000	40,010	40,010	0	20,000	0	0	0	0	0
33	MACQUARIE FUTURES USA LLC	FCM	CBOT	05/31/2023	601,519,430	415,056,995	186,462,435	4,297,150,677	4,045,073,176	252,077,501	100,000,000	151,461,108	101,614,223	49,846,885	7,000,000	5,155,214	0	5,155,214	1,000,000	0
34	MAREX CAPITAL MARKETS INC	FCM BD SD	CME	05/31/2023	310,448,203	166,303,672	144,144,531	4,137,962,258	4,055,103,316	82,858,942	44,250,000	86,601,079	75,413,656	11,187,423	5,000,000	0	0	0	0	0
35	MAREX NORTH AMERICA LLC	FCM	CME	05/31/2023	244,118,174	171,434,298	72,683,876	3,559,176,348	3,475,297,191	83,879,157	50,230,376	184,723,438	149,639,439	35,083,999	10,250,000	0	0	0	0	0
36	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	05/31/2023	13,031,718	1,460,927	11,570,791	456,743,386	432,928,168	23,815,218	18,000,000	2,655,411	0	2,655,411	1,000,000	0	0	0	0	0
37	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	05/31/2023	7,200,479,369	1,468,471,917	5,732,007,452	3,569,737,258	2,562,239,839	1,007,497,419	300,000,000	0	0	0	0	0	0	0	0	0
38	MFI FUNDING LLC	FCM	NFA	05/31/2023	105,878,021	1,000,000	104,878,021	0	0	0	0	0	0	0	0	0	0	0	0	0
39	MID CO COMMODITIES INC	FCM	NFA	05/31/2023	16,978,175	5,488,220	11,489,955	47,224,105	29,573,942	17,650,163	0	0	0	0	0	0	0	0	0	0
40	MINT BROKERS	FCM BD	NFA	05/31/2023	2,161,791	1,000,000	1,161,791	0	0	0	0	0	0	0	0	0	0	0	0	0
41	MIZUHO SECURITIES USA LLC	FCM BD	CME	05/31/2023	1,123,253,420	557,407,344	565,846,076	10,010,429,460	9,571,046,500	439,382,960	150,000,000	1,748,147,544	1,545,000,295	203,147,249	70,000,000	20,968,377	0	20,968,377	10,000,000	0
42	MORGAN STANLEY & CO LLC	FCM BD SD	CME	05/31/2023	17,916,269,146	4,588,291,853	13,327,977,293	28,575,241,341	27,986,473,938	588,767,403	235,000,000	9,444,531,502	9,083,074,369	361,457,133	140,000,000	28,374,752,217	27,944,704,671	430,047,546	92,000,000	0
43	NANHUA USA LLC	FCM	CME	05/31/2023	33,871,863	16,325,639	17,546,224	288,889,783	260,241,301	28,648,482	3,500,000	680,382	324,045	356,337	100,000	0	0	0	0	0
44	NANTWEST MARKETS SECURITIES INC	FCM BD	CBOT	05/31/2023	521,101,095	1,134,775	519,966,320	7,503,655	0	7,503,655	5,000,000	0	0	0	0	0	0	0	0	0
45	NINJA TRADER CLEARING LLC	FCM	NFA	05/31/2023	18,550,813	1,000,000	17,550,813	263,612,436	242,328,726	21,283,710	4,000,000	3,430,009	2,520,323	909,686	400,000	0	0	0	0	0
46	NOVIUM SECURITIES INTERNATIONAL INC	FCM BD	CBOT	05/31/2023	1,933,579,602	129,345,626	1,804,233,976	169,771,316	121,475,236	48,296,080	19,000,000	1,250,000	0	1,250,000	1,000,000	0	0	0	0	0
47	DANDA CORPORATION	FCMFRD	NFA	05/31/2023	35,874,338	27,878,327	7,995,811	0	0	0	0	0	0	0	0	0	0	0	0	160,818,488
48	PHILLIP CAPITAL INC	FCM BD	CME	05/31/2023	84,682,415	36,377,821	48,304,594	36,377,821	901,170,398	850,383,304	50,787,094	32,478,228	27,493,515	4,984,713	1,000,000	0	0	0	0	0
49	PICITET OVERSEAS INC	FCM BD	NFA	05/31/2023	50,716,157	11,992,717														

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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.