SELECTED FCM FINANCIAL DATA AS OF January, 31, 2018 FROM REPORTS FILED BY March 08, 2018

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SELECTED FCM FINANCIAL DATA AS OF January, 31, 2018 FROM REPORTS FILED BY March 08, 2018

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| 82 | | | | | | | | | | | | | | | | | | | | | |
| 83 | (a) FCM | Commission Manshout | | Samuel dita. Fu | huna Tradina C | | | | | | | | | | | | | | | | |
| -04 85 | | 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. | | | | | | | | | | | | | | | | | | | |
| 86 | RFED: Reta | ail Foreign Eychange Dealer | r that is registered with the | Commodity F | utures Trading | Commission | | | | | | | | | | | | | | | |
| 87 | | | the Commodity Futures Tr | | | | ealer. | | | | | | | | | | | | | | |
| 88 | | | tered with the Commodity F | | | | | | | | | | | | | | | | | | |
| 89 | by NCDO, Decimented Colf Depulation (Pennistran) (Pennist | | | | | | | | | | | | | | | | | | | | |
| 91 | (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. | | | | | | | | | | | | | | | | | | | | |
| 92 | (C): A firm's net capital requirement is the greater of: | | | | | | | | | | | | | | | | | | | | |
| 93 | | | | | | | | | | | | | | | | | | | | | |
| 94 | FCM minimum dollar amount (\$1.000.000); or | | | | | | | | | | | | | | | | | | | | |
| 95 | risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk maintenance | | | | | | | | | | | | | | | | | | | | |
| 97 | the amount of capital required by a resistency future association (currently NFA is the only such association): or the amount of capital required dayler, resistency future association (by the Securities and European Commission) or | | | | | | | | | | | | | | | | | | | | |
| 98 | • 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 | | | | | | | | | | | | | | | | | | | | |
| 99 | Initinium 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 cobligation in excess of \$10,000,000. Initinium 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 cobligation in example in the 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 cobligation in example in the FCM's or RFED's total retail forex transactions and RFEDs (\$20,000,000) plus five percent of the FCM's or RFED's total retail forex transactions and RFEDs (\$20,000,000) plus five percent of the FCM's or RFED's total retail forex transactions and RFEDs (\$20,000,000) plus five percent of the FCM's or RFED's total retail forex transactions and RFEDs (\$20,000,000) plus five percent of the FCM's or RFED's total retail forex transactions and RFEDs (\$20,000,000) plus five percent of the FCM's or RFED's total retail forex transactions and RFEDs (\$20,000,000) plus five percent of the FCM's or RFED's total retail forex transactions and RFEDs (\$20,000,000) plus five percent of the FCM's or RFED's total retail forex transactions and RFEDs (\$20,000,000) plus five percent of the FCM's or RFED's total retail forex transactions and RFEDs (\$20,000,000) plus five percent of the FCM's or RFED's total retail forex transactions and RFEDs (\$20,000,000) plus five percent of the FCM's or RFED's total retail forex transactions and RFEDs (\$20,000,000) plus five percent of the FCM's or RFED's total retail forex transactions and RFEDs (\$20,000,000) plus five percent of the FCM's or RFED's total retail forex transactions are the FCM's or RFED's transactions and RFEDs (\$20,000,000) plus five percent of the FCM's or RFED's transactions are the FCM's or RFED's tra | | | | | | | | | | | | | | | | | | | | |
| 100 | | | | | | | | | | | | | | | | | | | | | |
| 100 | (d): Excess net capital is adjusted net capital, less the firm's net capital requirement. | | | | | | | | | | | | | | | | | | | | |
| 103 | (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. | | | | | | | | | | | | | | | | | | | | |
| 104 | TEL. THIS TEDIESENIS THE OLDER ARROUNDED, AND DEPOSITE HEID IN SECREPTION FOR THE COMMISSION FOR THE COMMISS | | | | | | | | | | | | | | | | | | | | |
| 105 | (f): This represents | the total amount of funds t | hat an FCM is required to so | egregate on b | ehalf of custom | ers who are trading | on a designated contrac | t market or derivative | s transaction execution | n facility. This is th | e sum of all accounts | that contain a net lic | uidating equity. | | | | | | | | |
| 106 | () = (= 0) | | | | | | | | | | | | | | | | | | | | |
| 108 | (g): Excess/Deficient | t funds in segregation is cus | stomer assets in segregatio | on, less the cus | stomer segrega | tion requirement. | | | | | | | | | | | | | | | |
| 109 | (h): This represents | the targeted excess of pror | prietary funds deposited into | o customer se | egregated accou | ints above the custor | mer segregation require | ment. This target an | ount is set by the firm | L | | | | | | | | | | | |
| 110 | (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. | | | | | | | | | | | | | | | | | | | | |
| 111 | (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. | | | | | | | | | | | | | | | | | | | | |
| 1112 | (1) This | | M 15 1 . d 15 1 1 d . 6 . | | had alama | | Leader to the action of the L | Line I Clare | | | | | | | | | | | | | |
| 114 | (1): This represents t | the amount of funds an FCI | M is required to set aside for | or customers v | who trade on co | immodity exchanges | located outside of the U | Inited States. | | | | | | | | | | | | | |
| 115 | (k): Excess/Deficient | funds in separate Section | 30.7 accounts is funds in se | eparate Sectio | n 30.7 account | s, less the customer | amount Part 30 requirer | nent. | | | | | | | | | | | | | |
| 116 | | | | | | | | | | | | | | | | | | | | | |
| 117 | (I): This represents t | the targeted excess of prop | rietary funds deposited into | separate Sec | tion 30.7 accou | ints above the custor | ner amount Part 30 reg | uirement. This targe | amount is set by the | firm. | | | | | | | | | | | |
| 118 | (m). This represents | the total amount of | v. securities, and property h | hold in closus | l awan austres | r accounts for alasses | d curan customore : | maliance with Continu | 4d(f) of the Corres of | ity Eychanga A-t | | | | | | | | | | | |
| 120 | This represents | the total amount of money | v, securiues, and proberty r | ieiu in cieared | swap custome | accounts for dearer | u swad customers in co | IIDIIarice With Section | -uci oi the Commod | ILV EXCITATION ACT. | | | | | | | | | | | |
| 121 | (n): This represents | the amount of funds an FC | M is required to segregate | for customers | who trade clea | red swaps. | | | | | | | | | | | | | | | |
| 122 | | | | | | | <u> </u> | | | | | | | · | | | | | | | · |
| 123 | (o): Excess/Deficient | t funds in cleared swap cus | tomer accounts is funds in | separate clear | red swap segre | ation accounts, less | the cleared swap custo | mer segregation regu | rement. | | | | | | | | | | | | |
| 125 | (n). This represents | the targeted evenes of pro | anriotany funds donositad in | to constate d | aarad awan saa | rogation accounts ab | ove the deared awar a | ictomor cogradation | oguiroment This tar | or amount is set by | the firm | | | | | | | | | | |
| 126 | This represents | uie targeted excess of pro | prietary funds deposited in | io separate di | eareu Swap Seg | regation accounts at | ove tile cleared SWAD C | ustomer segregation | equirement. This tare | et amount is set by | uie ilfffi. | | | | | | | | | | |
| 127 | (a). This represents | the total amount of funds a | at an FCM, RFED, or FCMRF | FD that would | be obtained by | combining all mone | v. securities and propert | v deposited by a reta | il forex customer into | a retail forex accour | t or accounts, adjust | ed for the realized an | d unrealized net profit | or loss. | | | | | | | |