

SELECTED FCM FINANCIAL DATA AS OF

October 31, 2023

FROM REPORTS FILED BY

November 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(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)	(l)	(m)	(n)	(o)	(p)	(q)	
1	ABN AMRO CLEARING USA LLC	FCM BD	CBOT	10/31/2023	706,839,060	239,344,598	467,494,462	4,163,298,745	3,622,539,291	540,759,454	350,000,000	164,309,747	128,797,112	35,512,635	15,000,000	0	0	0	0	0
2	ADM INVESTOR SERVICES INC	FCM	CBOT	10/31/2023	490,505,340	289,098,093	201,407,247	7,539,544,599	7,220,539,157	319,005,442	120,000,000	428,999,334	382,507,405	46,491,929	20,000,000	10,344,325	0	10,344,325	8,000,000	0
3	ADVANTAGE FUTURES LLC	FCM	CME	10/31/2023	35,501,753	11,966,428	23,535,325	553,068,567	536,401,784	16,666,783	9,000,000	58,543,785	54,090,119	4,453,666	1,000,000	0	0	0	0	0
4	AMP GLOBAL CLEARING LLC	FCM	NFA	10/31/2023	12,064,308	1,000,000	11,064,308	77,418,256	64,969,071	12,449,185	900,000	2,029,132	1,622,281	406,841	150,000	0	0	0	0	0
5	APEX CLEARING CORPORATION	FCM BD	NFA	10/31/2023	450,682,235	35,889,188	414,993,047	218,371,622	191,019,140	27,352,482	10,000,000	0	0	0	0	0	0	0	0	0
6	BARCLAYS CAPITAL INC	FCM BD	NYME	10/31/2023	6,207,750,649	2,289,559,484	3,918,191,165	16,212,428,780	15,835,771,864	376,656,916	187,000,000	3,646,047,577	3,396,909,782	249,137,795	81,000,000	13,273,887,656	12,732,603,474	541,284,182	45,000,000	0
7	BITNOMIAL CLEARING LLC	FCM	NFA	10/31/2023	1,520,532	1,000,000	520,532	0	0	0	0	0	0	0	0	0	0	0	0	0
8	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	10/31/2023	2,567,743,144	776,158,916	1,791,584,228	6,585,938,083	5,912,741,107	673,196,976	570,000,000	603,329,484	475,135,934	128,193,550	98,000,000	2,705,705,676	2,528,990,629	176,715,047	145,000,000	0
9	BOFA SECURITIES INC	FCM BD	CBOT	10/31/2023	23,441,474,916	4,202,433,990	19,239,040,926	27,918,476,573	26,557,270,083	1,361,206,490	200,000,000	4,658,281,445	4,422,197,953	236,083,492	150,000,000	16,694,221,990	16,464,988,394	229,233,596	150,000,000	0
10	CANTOR FITZGERALD & CO	FCM BD	CBOT	10/31/2023	435,266,222	1,500,000	433,766,222	0	0	5,137,870	3,000,000	0	0	0	0	0	0	0	0	0
11	CHARLES SCHWAB FUTURES AND FOREX LLC	FCM	NFA	10/31/2023	286,317,860	51,050,457	235,267,403	849,232,422	684,776,573	164,455,849	100,000,000	0	0	0	0	0	0	0	0	62,223,571
12	CHS HEDGING LLC	FCM	CBOT	10/31/2023	72,961,972	15,203,069	57,758,903	183,008,010	120,392,439	62,615,571	24,300,000	1,562,566	0	1,562,566	200,000	521,824	0	521,824	120,000	0
13	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	10/31/2023	16,750,683,302	4,578,866,243	12,171,817,059	16,800,566,841	16,299,445,938	501,120,903	341,600,000	4,174,090,987	3,861,790,574	312,300,413	158,900,000	33,092,858,605	32,397,224,825	695,633,780	463,400,000	0
14	COINBASE FINANCIAL MARKETS INC	FCM	NFA	10/31/2023	19,225,750	1,000,000	17,117,534	7,117,534	91,544	7,025,990	5,000,000	0	0	0	0	0	0	0	0	0
15	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	10/31/2023	8,740,209,846	56,646,023	8,683,563,823	87,251,200	17	87,251,183	1	7,001,934	0	7,001,934	1	2,475,663	0	2,475,663	1	0
16	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	10/31/2023	86,745,923	8,499,684	78,246,239	350,136,740	273,137,162	76,999,578	4,600,000	1,303,573	620,963	682,610	100,000	0	0	0	0	0
17	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	10/31/2023	1,282,170,184	1,541,775	1,280,628,409	2,121,724	0	2,121,724	-1	434,817	0	434,817	1	0	0	0	0	0
18	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	10/31/2023	3,742,618,271	189,104,442	3,553,513,829	2,325,970,171	2,083,744,151	152,226,020	100,000,000	716,382,277	602,877,838	113,504,439	50,000,000	0	0	0	0	0
19	DIRECT ACCESS USA LLC	FCM	CME	10/31/2023	18,047,091	3,720,733	14,326,358	234,291,771	224,763,839	9,527,938	2,500,000	2,273,158	537,823	1,735,335	1,000,000	0	0	0	0	0
20	DORMAN TRADING LLC	FCM	CME	10/31/2023	18,971,694	6,883,884	14,127,810	32,077,492	315,724,883	6,352,609	2,000,000	2,895,226	1,771,651	1,123,572	200,000	0	0	0	0	0
21	ETRADE FUTURES LLC	FCM	NFA	10/31/2023	58,759,283	6,046,513	52,712,770	163,153,420	106,114,281	57,039,139	11,000,000	0	0	0	0	0	0	0	0	0
22	FUTU FUTURES INC	FCM	NFA	10/31/2023	1,959,146	1,000,000	959,146	0	0	0	0	0	0	0	0	0	0	0	0	0
23	GAIN CAPITAL GROUP LLC	FCM	NFA	10/31/2023	52,344,364	29,189,735	23,154,629	0	0	0	0	0	0	0	0	0	0	0	0	193,794,710
24	GH FINANCIALS LLC	FCM	CME	10/31/2023	33,977,065	14,443,402	19,533,663	189,547,397	170,189,430	19,357,967	6,100,000	8,630,708	6,577,092	2,053,616	600,000	0	0	0	0	0
25	GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	10/31/2023	21,185,204,773	4,686,398,394	16,498,806,379	36,570,510,420	35,578,332,020	992,178,400	775,000,000	10,311,437,173	9,721,136,600	590,300,573	475,000,000	19,221,559,564	18,624,618,118	596,941,446	350,000,000	0
26	HIDDEN ROAD PARTNERS CIV US LLC	FCM	CME	10/31/2023	31,465,617	1,000,000	30,465,617	3,138,544	0	3,138,544	0	0	0	0	0	0	0	0	0	0
27	HSBC SECURITIES USA INC	FCM BD	CME	10/31/2023	1,281,809,577	486,161,442	795,648,135	4,202,530,144	4,051,485,406	151,044,738	137,000,000	170,366,613	140,098,143	30,268,470	15,000,000	1,939,815,373	1,812,035,449	127,779,924	104,000,000	0
28	IG US LLC	RFED	NFA	10/31/2023	51,862,870	22,525,992	29,336,878	0	0	0	0	0	0	0	0	0	0	0	0	60,519,832
29	INTERACTIVE BROKERS LLC	FCM BD	CME	10/31/2023	7,477,581,815	756,827,277	6,720,754,538	7,288,726,422	7,074,897,542	213,828,880	155,000,000	737,962,062	615,584,191	122,377,871	80,000,000	0	0	0	0	36,323,418
30	IRONBEAM INC	FCM	CME	10/31/2023	8,639,237	1,711,185	6,928,052	104,169,522	92,178,535	11,990,987	1,600,000	749,958	480,300	269,658	60,000	0	0	0	0	0
31	JEFFERIES LLC	FCM BD	NFA	10/31/2023	982,085,688	96,318,556	885,767,132	0	0	0	0	0	0	0	0	0	0	0	0	0
32	JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	10/31/2023	25,493,232,834	5,136,824,924	20,356,407,910	39,687,599,121	38,565,896,296	1,121,702,825	732,752,030	6,629,428,944	6,150,330,341	479,098,603	215,261,562	21,487,982,297	20,482,380,908	1,005,601,389	430,129,999	0
33	LINE TRADING CORP	FCM	NFA	10/31/2023	9,264,303	1,000,000	8,264,303	46,093	0	46,093	20,000	40,010	0	40,010	0	0	0	0	0	0
34	MACQUARIE FUTURES USA LLC	FCM	CBOT	10/31/2023	608,980,860	370,651,619	238,329,241	4,257,749,083	4,062,935,072	194,814,011	100,000,000	286,730,976	242,049,894	44,681,082	5,180,380	0	0	5,180,380	1,000,000	0
35	MAREX CAPITAL MARKETS INC	FCM BD SD	CME/NFA	10/31/2023	578,071,603	296,598,784	281,472,819	6,671,858,242	6,496,954,285	174,903,957	90,000,000	207,258,003	166,554,844	40,703,159	12,000,000	0	0	0	0	0
36	MAREX NORTH AMERICA LLC	FCM	NFA	10/31/2023	125,987,857	1,000,000	124,987,857	0	0	251,997	0	50,602	0	50,602	1	0	0	0	0	0
37	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	10/31/2023	13,178,620	1,415,326	11,763,294	430,799,139	407,528,513	23,270,626	18,000,000	2,710,485	0	2,710,485	1,000,000	0	0	0	0	0
38	MFI FUNDING LLC	FCM	NFA	10/31/2023	108,074,321	1,000,000	107,074,321	0	0	0	0	0	0	0	0	0	0	0	0	0
39	MID CO COMMODITIES INC	FCM	NFA	10/31/2023	16,562,256	5,675,361	10,886,895	54,101,128	37,153,969	16,947,159	5,138,000	0	0	0	0	0	0	0	0	0
40	MINT BROKERS	FCM BD	NFA	10/31/2023	2,215,645	1,000,000	1,215,645	0	0	0	0	0	0	0	0	0	0	0	0	0
41	MIZUHO SECURITIES USA LLC	FCM BD	CME	10/31/2023	1,446,230,660	456,519,925	989,710,735	9,237,139,392	8,768,096,136	469,043,256	150,000,000	1,650,638,209	1,454,319,842	196,318,367	70,000,000	21,344,146	0	21,344,146	10,000,000	0
42	MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	10/31/2023	18,585,736,520	4,205,074,208	14,380,662,312	27,408,292,683	26,829,905,330	578,387,353	235,000,000	8,614,759,602	8,404,538,319	210,221,283	140,000,000	26,499,685,294	26,166,291,719	333,393,575	92,000,000	0
43	NANHUA USA LLC	FCM	CME	10/31/2023	35,643,312	21,029,731	14,613,581	383,270,768	351,612,956	31,657,812	3,500,000	357,395	1,092	356,303	100,000	0	0	0	0	0
44	NATWEST MARKETS SECURITIES INC	FCM BD	CBOT	10/31/2023	549,170,161	1,612,830	547,557,331	7,503,655	0	7,503,655	5,000,000	0	0	0	0	0	0	0	0	0
45	NINJATRADER CLEARING LLC	FCM	NFA	10/31/2023	20,517,851	1,000,000	19,517,851	257,346,909	231,806,857	25,540,052	4,000,000	2,919,508	1,665,359	1,254,149	400,000	0	0	0	0	0
46	NCMIRA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	10/31/2023	1,884,716,408	151,554,086	1,733,162,322	133,817,414	93,273,162	40,544,252	15,000,000	1,250,000	0	1,250,000	1,000,000	0	0	0	0	0
47	ONDA CORPORATION	FCM	NFA	10/31/2023	43,539,339	27,914,619	15,624,720	0	0	0	0	0	0	0	0	0	0	0	0	164,406,671
48	PHILIP CAPITAL INC	FCM BD	CME	10/31/2023	99,779,115	35,084,713	64,694,402	754,207,011	697,557,829	56,649,182	17,500,000	16,300,317	12,483,801	3,816,516	1,000,000	0	0	0	0	0
49	PICCT OVERSEAS INC	FCM BD	NFA	10/31/2023	50,972,013	9,132,829	41,839,184	119,348,030	113,654,566	5,693,464	1,500,000	46,467,226	42,943,898	3,523,328	900,000	0	0	0	0	0</

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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.