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 Reguired	Excess/Deficient Funds in Cleared Swap Seg Accounts	Target Residual Interest in Cleared Swap	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	11/30/2018	646 059 102	200.734.875	445,324,227	3,448,435,305	3.082.479.519	365 955 786	242,721,871	120.483.750	100 387 362	20 096 388	10 038 736	0	0	0	0	0
2 ADM INVESTOR SERVICES INC	FCM	CBOT	11/30/2018	317,215,877	178,639,320	138,576,557	4,450,824,708	4,229,143,268	221,681,440	120,000,000	333,672,840	286,341,077	47,331,763	20,000,000	14,540,489	5,002,321	9,538,168	8,000,000	0
3 ADVANTAGE FUTURES LLC	FCM	CME	11/30/2018	19,730,213	7,995,770	11,734,443	326,818,514	301,607,640	25,210,874	17,500,000	34,017,185	31,398,240	2,618,945	1,000,000	0	0	0	0	0
4 AMP GLOBAL CLEARING LLC 5 APEX CLEARING CORPORATION	FCM FCM BD	NFA NFA	11/30/2018 11/30/2018	4,450,001 195,894,546	1,000,000 10,348,791	3,450,001 185,545,755	53,490,542 23,007,446	48,836,742 12,767,931	4,653,800 10,239,515	900,000 2,500,000	2,231,910	1,873,226	358,684	150,000	0	0	0	0	0
6 BARCLAYS CAPITAL INC	FCM BD	NYME	11/30/2018		958.526.077	4.158.272.035	4.645.995.139		349.625.252		3.151.275.792	2.951.163.945	200,111,847	98.568.876	5,755,724,458	5,364,735,803	390.988.655	192,057,542	0
7 BGC FINANCIAL LP	FCM BD	NFA	11/30/2018	32,144,341	1,696,220	30,448,121	0	0	0	0	0	0	0	0	0	0	0	0	0
8 BNP PARIBAS SECURITIES CORP 9 BOCI COMMODITIES & FUTURES USA LLC	FCM BD FCM	CBOT CME	11/30/2018	2,167,352,817	407,304,464 1,018,655	1,760,048,353 5,778,096	3,216,922,958	3,030,487,924	186,435,034	150,000,000	176,057,403	137,888,301	38,169,102	30,000,000	1,025,057,635	875,724,945	149,332,690	120,000,000	0
10 BOFAML SECURITIES INC	FCM	NFA	11/30/2018 11/30/2018	6,796,751 25,000,000	1,018,655	23,500,000	19,825,781 0	15,706,262	4,119,519 0	1,000,000	0	0	0	0	0	0	0	0	0
11 CANTOR FITZGERALD & CO	FCM BD	CBOT	11/30/2018	215,398,790	11,984,223	203,414,567	4,969,921	0	4,969,921	3,000,000	0	0	0	0	0	0	0	0	0
12 CHARLES SCHWAB FUTURES, INC.	FCM	NFA	11/30/2018	98,517,653	4,172,664	94,344,989	121,883,655	61,600,473	60,283,182	10,472,080	2,967,256	443,210	2,524,046	75,346		0	0	0	0
13 CHS HEDGING LLC 14 CITIGROUP GLOBAL MARKETS INC	FCM FCM BD SD	CBOT/NFA	11/30/2018 11/30/2018	52,586,339 8,712,403,167	9,714,676 2,550,833,039	42,871,663 6.161.570.128	176,949,790 10.090,624,831	124,448,067 9,574,379,266	52,501,723 516,245,565	13,600,000 380,800,000	1,528,205 2,978,273,276	2.784.185.987	1,528,205 194,087,289	200,000 150,000,000	503,912 24,603,591,927	24.091.753.287	503,912 511,838,640	120,000 429 700 000	0
15 CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	11/30/2018	8,728,951,664	1,266,861,398	7,462,090,266	5,940,030,550	5,613,813,356	326,217,194	280,690,668	3,350,056,757	3,162,657,360	187,399,397	158,132,868	10,535,487,519	9,842,587,435	692,900,084	492,129,372	0
16 CUNNINGHAM COMMODITIES LLC	FCM	CBOT	11/30/2018	5,328,990	1,038,865	4,290,125	79,199,582	75,592,229	3,607,353	3,050,000	2,297,167	1,770,342	526,825	100,000	0	0	0	0	0
17 DAIWA CAPITAL MARKETS AMERICA INC	FCM BD FCM BD	CME	11/30/2018 11/30/2018	945,532,701 12,766,460,278	2,690,900 223 134 025	942,841,801 12,543,326,253	2,165,289 2,312,618,492	2.109.710.302	2,165,289 202,908,190	125,000,000	556,801 859,427,633	731 983 946	556,801 127,443,687	75,000,000	0	0	0	0	0
19 DIRECT ACCESS USA LLC	FCM	CME	11/30/2018	7,645,680	1,000,000	6,645,680	7,372,289	6,276,233	1,096,056	2,500,000	0	0	0	0	0	0	0	0	0
20 DORMAN TRADING LLC 21 E D & F MAN CAPITAL MARKETS INC	FCM FCM BD	CME CME	11/30/2018 11/30/2018	14,435,251 168,135,231	1,216,512 56,894,948	13,218,739 111,240,283	162,295,444 1,485,482,539	157,275,277	5,020,167 80,437,670	2,000,000 41,250,000	4,201,603 46,502,600	3,605,298 36,798,508	596,305 9,704,092	200,000 5,000,000	0 1,879,881	0 676,163	1,203,718	0 500,000	0
21 E D & F MAN CAPITAL MARKETS INC 22 E*TRADE FUTURES LLC	FCM BD	NFA	11/30/2018	168,135,231 25,927,824	1,095,870	111,240,283 24,831,954	1,485,482,539 53,883,391	1,405,044,869 28,137,266	80,437,670 25,746,125	41,250,000 5,000,000	40,502,600	30,/98,508 0	9,704,092	000,000,c	1,8/9,881	6/6,163	1,203,/18	500,000	0
23 EFL FUTURES LIMITED	FCM	NFA	11/30/2018	42,711,646	1,000,000	41,711,646	0	0	0	0	0	0	0	0	0	0	0	0	0
24 GAIN CAPITAL GROUP LLC	FCMRFD	NFA	11/30/2018	50,949,288	33,112,498	17,836,790	233,192,597	216,124,042	17,068,555		7,694,531	5,391,945	2,302,586	1,000,000	0	0	0	0	252,881,175
25 GH FINANCIALS LLC 26 GOLDMAN SACHS & CO LLC	FCM FCM BD SD	CME CBOT/NFA	11/30/2018 11/30/2018	19,774,031 15,925,150,166	4,416,865 2,372,858,444	15,357,166 13,552,291,722	87,452,504 22,974,338,812	66,190,070 22,119,043,428	21,262,434 855,295,384	3,800,000 675,000,000	5,752,030 8,717,958,563	4,643,787 8,130,257,879	1,108,243 587,700,684	550,000 475,000,000	6,706,922,617	6.283.110.572	423.812.045	350,000,000	0
27 HSBC SECURITIES USA INC	FCM BD	CME	11/30/2018	1,084,250,992	281,540,738	802,710,254	2,486,603,370	2,359,175,454	127,427,916	109,000,000	145,403,455	110,654,093	34,749,362	25,000,000	999,295,138	882,979,625	116,315,513	100,000,000	0
28 HUATAI FINANCIAL USA INC	FCM	NFA	11/30/2018	2,023,426	1,000,000	1,023,426	0	0	0	0	0	0	0	0	0	0	0	0	0
29 INTERACTIVE BROKERS LLC	FCM BD FCM BD	CME CME	11/30/2018	4,868,094,164	450,358,476 94,808,529	4,417,735,688	4,037,237,023	-,,,	208,158,870		572,763,927	448,440,713	124,323,214	80,000,000	0	0	0	0	56,039,802
30 INTL FCSTONE FINANCIAL INC 31 IRONBEAM INC	FCM BD	NFA	11/30/2018 11/30/2018	184,354,046 4,530,467	1.000.000	89,545,517 3,530,467	2,299,736,921 61.718.957	2,203,355,098 57,899,424	96,381,823 3,819,533	40,000,000 1,600,000	125,526,960 445,580	108,850,502 306,994	16,676,458 138,586	8,000,000 50,000	0	0	0	0	0
32 JEFFERIES LLC	FCM BD	NFA	11/30/2018	1,739,435,039	103,474,787	1,635,960,252	0	0	0	0	0	0	0	0	0	0	0	0	0
33 JP MORGAN SECURITIES LLC 34 MACQUARIE FUTURES USA LLC	FCM BD SD FCM	CEI/NFA CBOT	11/30/2018 11/30/2018	15,546,555,206 264,578,151	2,964,063,623 186,424,432	12,582,491,583 78,153,719	21,582,391,529 2,444,109,754		1,753,156,519 235,076,629	991,461,751 100,000,000	4,743,384,288 43,881,871	4,300,895,505 26,648,006	442,488,783 17,233,865	258,053,730 7,000,000	12,940,143,963 23,021,380	11,906,555,399 2,273,967	1,033,588,564 20,747,413	625,094,158	0
35 MAREX NORTH AMERICA LLC	FCM	CME	11/30/2018	27,236,099	17,642,698	9,593,401	238,935,843		3,204,250	2,330,000	52,044,910	49,109,112	2,935,798	2,250,000	25,021,300	2,273,907	20,747,413	1,000,000	0
36 MCVEAN TRADING & INVESTMENTS LLC	FCM BD	NFA	11/30/2018	14,433,416	1,000,000	13,433,416	731,103,982	708,871,210	22,232,772	18,000,000	2,567,861 5,716,056,589	0	2,567,861	1,000,000	0	0	0 347.013.850	150,000,000	0
37 MERRILL LYNCH PIERCE FENNER & SMITH INCORPORATED 38 MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	CBOT NFA	11/30/2018 11/30/2018	13,953,583,191 4,474,157,939	2,146,570,156 589,642,639	11,807,013,035 3,884,515,300	16,438,881,533 2,945,350,518	16,141,158,425 1,015,966,471	297,723,108 1,929,384,047	200,000,000 300,000,000	5,/16,056,589	5,358,921,229	357,135,360	150,000,000	6,628,965,842	6,281,951,992	347,013,850	150,000,000	0
39 MID CO COMMODITIES INC	FCM	NFA	11/30/2018	7,854,012	4,060,353	3,793,659	36,470,184	27,752,994	8,717,190	5,138,000	0	0	0	0	0	0	0	0	0
40 MINT BROKERS 41 MIZUHO SECURITIES USA LLC	FCM BD FCM BD	NFA CMF	11/30/2018	2,461,958 650,305,000	1,000,000 241.405.473	1,461,958 408,899,527	3.653.172.162	3.456.359.392	196.812.770	125,000,000	683.838.796	558.620.396	0 125.218.400	70,000,000	32.486.874	2,638,580	29.848.294	15,000,000	0
41 MIZUHO SECURITIES USA LLC 42 MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	11/30/2018	12,982,171,208	2,435,852,432	10,546,318,776	17,726,834,410		334,739,720	280,000,000	5,017,123,279	4,823,460,638	125,218,400	140,000,000		2,638,580 15,442,741,421	29,848,294	92,000,000	0
43 NANHUA USA LLC	FCM	CME	11/30/2018	16,794,650	1,000,000	15,794,650 895,376,155	34,588,665	22,516,493	12,072,172	3,500,000	0	0	0	0	0	0	0	0	0
44 NATWEST MARKETS SECURITIES INC 45 NOMURA SECURITIES INTERNATIONAL INC	FCM BD FCM BD	CBOT CBOT	11/30/2018 11/30/2018	933,011,875 1,267,348,658	37,635,720 258,185,083	895,376,155 1,009,163,575	599,660,612 300,034,202	523,166,753 194,162,782	76,493,859 105,871,420	60,000,000 15,000,000	21,186,810 17,378,583	15,221,720	5,965,090 17,378,583	5,000,000 1,000,000	0	0	0	0	0
46 OANDA CORPORATION	FCMRFD	NFA	11/30/2018	66,585,817 24,524,304	57,047,102	9,538,715	300,034,202	194,102,782	103,871,420	15,000,000	17,376,363	0	0	1,000,000	0	0	0	0	196,349,617
47 PHILLIP CAPITAL INC	FCM BD	CME	11/30/2018		12,635,208	11,889,096	336,457,829		10,655,021	7,500,000	11,982,306	7,944,657	4,037,649	2,000,000	0	0	0	0	0
48 PICTET OVERSEAS INC 49 RAND FINANCIAL SERVICES INC	FCM BD FCM	NFA CME	11/30/2018 11/30/2018	16,224,780 90,668,339	1,439,259 8,675,643	14,785,521 81,992,696	2,113,962 156,129,200	310,250 117,101,800	1,803,712 39,027,400	1,500,000 3,513,100	36,435,942 36,696,700	34,065,937 12,000,200	2,370,005 24,696,500	500,000 360,000	0	0	0	0	0
50 RBC CAPITAL MARKETS LLC	FCM BD	CME	11/30/2018	1,816,956,546	236,559,470	1,580,397,076	2,184,535,299	1,840,111,089	344,424,210	225,000,000	342,806,621	279,263,097	63,543,524	35,000,000	631,836,102	461,985,414	169,850,688	40,000,000	0
51 RJ OBRIEN ASSOCIATES LLC	FCM	CME	11/30/2018	214,664,912	140,964,372	73,700,540	3,757,705,149	3,663,692,735	94,012,414	50,000,000	190,531,705	165,103,160	25,428,545	20,000,000	0	0	0	0	0
52 ROSENTHAL COLLINS GROUP LLC 53 SANTANDER INVESTMENT SECURITIES INC	FCM FCM BD	CME NYME	11/30/2018 11/30/2018	79,646,010 434,471,946	52,326,659 50,000,000	27,319,351 384,471,946	1,205,283,533 666,168,984	1,178,337,940 650,846,641	26,945,593 15,322,343	18,000,000 12,000,000	27,334,452	16,332,634	11,001,818	8,000,000	0	0	0	0	0
54 SCOTIA CAPITAL USA INC	FCM BD	CME	11/30/2018	918,342,087	63,355,044	854,987,043	0.00,100,504	0	0	0	0	0	0	0	0	0	0	0	0
55 SG AMERICAS SECURITIES LLC	FCM BD	CME	11/30/2018	4,169,239,226	1,479,624,028	2,689,615,198	15,107,512,926	14,422,322,287	685,190,639	500,000,000	6,555,034,336	5,968,571,575	586,462,761	355,000,000	605,691,496	385,871,168	219,820,328	75,000,000	0
56 STRAITS FINANCIAL LLC 57 TD AMERITRADE FUTURES & FOREX LLC	FCM FCM	CME NFA	11/30/2018	21,284,905 136,513,414	7,694,939 22,597,228	13,589,966 113,916,186	283,108,195 273,200,275	268,931,620 174,215,113	14,176,575 98 985 162	2,000,000 50,000,000	31,434,110	24,424,844	7,009,266	300,000	0	0	0	0	61 944 565
58 TRADESTATION SECURITIES INC	FCM BD	CME	11/30/2018	116,231,122	5,534,086	110,697,036	652,108,691	636,181,817	15,926,874	9,000,000	25,399,739	22,593,821	2,805,918	800,000	0	0	0	0	01,517,303
59 UBS FINANCIAL SERVICES INC	FCM BD	NFA	11/30/2018	1,222,010,235	121,789,004 583,092,628	1,100,221,231	93,965,903	60,789,640	33,176,263	22,000,000	34,283,915	4,536,199	29,747,716	15,000,000	0	0	0	200,000,000	0
60 UBS SECURITIES LLC 61 UOBBF CLEARING LIMITED	FCM BD	CBOT CME	11/30/2018 11/30/2018	5,580,273,626 26,607,886	583,092,628 3,871,544	4,997,180,998 22,736,342	5,820,730,535 83,552,023	5,313,289,193 65,143,120	507,441,342 18,408,903	425,000,000 2,900,000	1,881,023,167	1,495,544,418	385,478,749 0	300,000,000	956,017,763	697,380,027 n	258,637,736	200,000,000	0
62 WEDBUSH SECURITIES INC	FCM BD	CBOT	11/30/2018	193,528,181	35,174,441	158,353,740	1,062,455,731	1,034,095,675	28,360,056	13,000,000	13,668,012	10,664,936	3,003,076	1,000,000	0	0	Ö	0	0
63 WELLS FARGO SECURITIES LLC 64 YORK BUSINESS ASSOCIATES LLC	FCM BD FCM	CME NFA	11/30/2018 11/30/2018		871,914,800 1,000,000	7,063,945,031 5,803,207	3,487,228,719 42,836,254	3,280,810,311	206,418,408 5,395,863	90,000,000	316,633,324 2,124,461	273,360,782 1,599,440	43,272,542 525.021	25,000,000	7,598,019,137	7,162,028,099	435,991,038	250,000,000	0
4 YORK BUSINESS ASSOCIATES LLC Totals	FUM	INFA	11/30/2018	0,803,207	1,000,000	5,803,207	,,			_,,,,,,,,,	_,,		3,954,021,986	200,000	04 750 005 101	80 680 006 310	E 060 000 063	3 1/0 601 073	567,215,159
i utais							170,743,702,952	139,030,013,348	10,033,003,404	0,007,304,240	70,441,347,007	72,407,723,021	3,334,021,980	2,333,327,338	3 4,/30,333,181	03,003,330,218	3,000,550,903	3,140,001,0/3	307,213,159
October Web Page Update	64																		
Additions	0														1		1		
None																			
Deletions																			
Deletions None	0																 		
The state of the s																			
Name Changes																			
None										 					 		+		
November Web Page Update	64																		

SELECTED FCM FINANCIAL DATA AS OF November 30, 2018 FROM REPORTS FILED BY January 27, 2019

(a): FCM: Futures Commission Merchant that is registered							
BD: The FCM is also registered with the Securities at							
RFED: Retail Foreign Exchange Dealer that is registered							
FCMRFD: The FCM is also registered with the Commodity F							
SD: The FCM or RFED is also registered with the Co	nmoditv Futures Trading Commission a	s a provisionally registered swap dealer.					
(I) DCDO Dutantal Call Day late O and alter ECM/DEED	C	La company and the company and	DCDO (II - ECM/DEED III - CD	THE DODG ST. HE FOM/DEED TO BUILD ST.	All DODG Coult CD College		
(b): DSRO: Designated Self-Regulatory Organization. FCM/RFED	firms that are qualiv redistered as SDS	nave two DSROs listed if they have a diffe	erent DSRO for the FCM/RFED and the SD.	The DSRO for the FCM/RFED is listed first a	nd the DSRO for the SD is listed second.		
(c): A firm's net capital requirement is the greater of:							
IC. A little net capital reduliement is the greater of.							
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 maintenand	re margin: or				
the amount of capital required by a registered futures a			comandary of				
 for securities brokers and dealers, the amount of net ca 							
 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 ex	cess 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 p	roperty held in segregated accounts for	futures and options customers in complia	ince with Section 4d of the Commodity Excha	ange Act.			
(f): This represents the total amount of funds that an FCM is req	uired to segregate on behalf of custome	ers who are trading on a designated contra	act market or derivatives transaction execution	on facility. This is the sum of all accounts t	nat contain a net liquidating equity.		
(a). F							
(q): Excess/Deficient funds in segregation is customer assets in s	egregation, less the customer segregat	on requirement.					
(h): This represents the targeted excess of proprietary funds dep	osited into customer segregated accoun	ate above the customer segregation requir	ement. This target amount is set by the firm	n			
IIII. This represents the tardeted excess or probletary failus det	osited into customer segregated accoun	its above the customer segregation reduit	ement. This target amount is set by the firm	ll.			
(i): This represents the total amount of money, securities, and pr	operty held in secured accounts for fut	ires and ontions customers who trade on	commodity exchanges located outside the LL	nited States in compliance with Part 30 of t	ne Commodity Exchange Act		
THE TEST CONTROL THE COMMUNICATION OF THE TOTAL COMMUNICATION OF THE COM	DESCRIPTION OF THE PROPERTY OF	THE STATE OF THE S	SOMETIMES INCOMES OF THE O	THE STATE OF THE S	TO COMMISSION EXCHANGE FROM		
(i): This represents the amount of funds an FCM is required to se	et aside for customers who trade on cor	nmodity exchanges located outside of the	United States.				
(k): Excess/Deficient funds in separate Section 30.7 accounts is f	unds in separate Section 30.7 accounts	less the customer amount Part 30 require	ement.				
(I): This represents the targeted excess of proprietary funds depo	osited into separate Section 30.7 accour	its above the customer amount Part 30 re	quirement. This target amount is set by the	firm.			
(m): This represents the total amount of money, securities, and	property neid in cleared swap customer	accounts for cleared swap customers in c	ompliance with Section 4d(f) of the Commod	dity Exchange Act.			
(n): This represents the amount of funds an FCM is required to s	agragata for gustamors who trade don	od cwops					
(iii). This represents the amount of funds an FCM is required to s	egregate for customers who trade clear	eu swaps.					
(o): Excess/Deficient funds in cleared swap customer accounts is	funds in senarate cleared swan segren	ation accounts less the cleared swan cust	omer segregation requirement				
(c). Excess, benderic rands in dedica swap customer accounts is	rands in separate eledred swap segred	adon decodino, less are cicared swap ease	omer begregation regulierit.				

(p): This represents the targeted excess of proprietary funds deposited into separate cleared swap searegation accounts above the cleared swap customer segregation requirement. This target amount is set by the firm.

(g): 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 account, adjusted for the realized and unrealized net profit or loss.