

CFTC Ag Advisory Committee

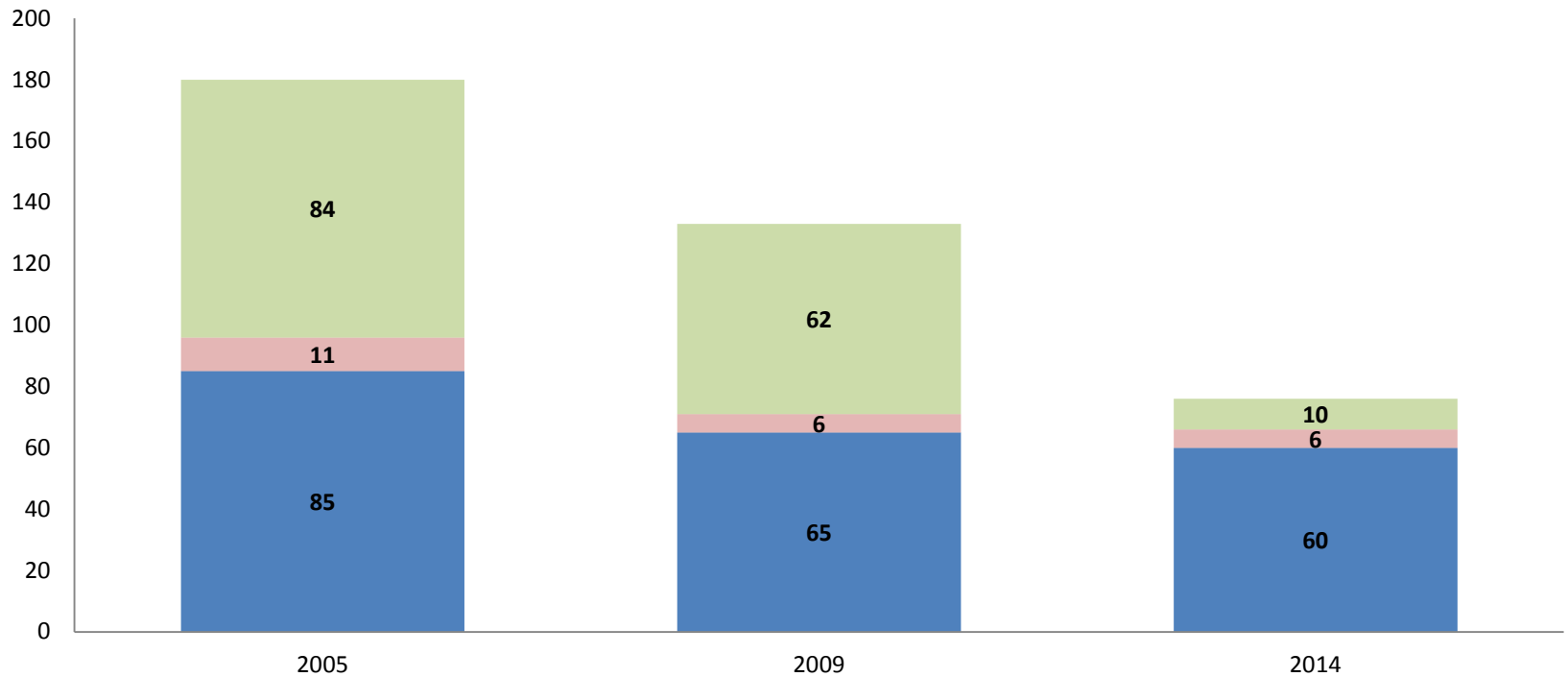
Statistics on FCM Trends

for the period
December 2005 thru December 2014

DSIO Examinations Branch
September 22, 2015

Change in number of FCMs

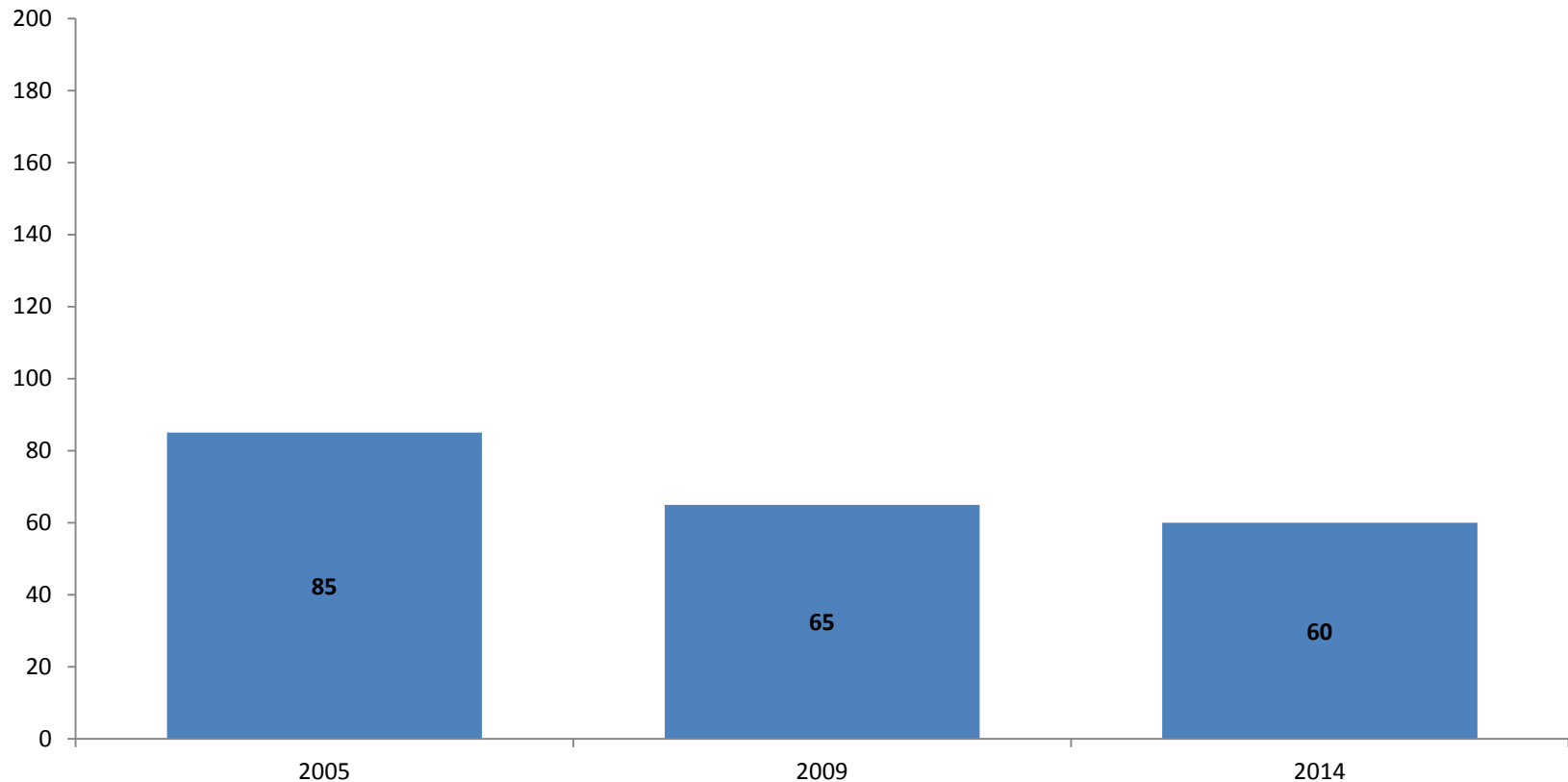
- Firms with no customer assets
- Firms with more than 1 FCM with customer assets
- Firms with customer assets



Overall decrease in firms with customer assets went from 85 in 2005 to 60 in 2014

Change in Number of FCMs

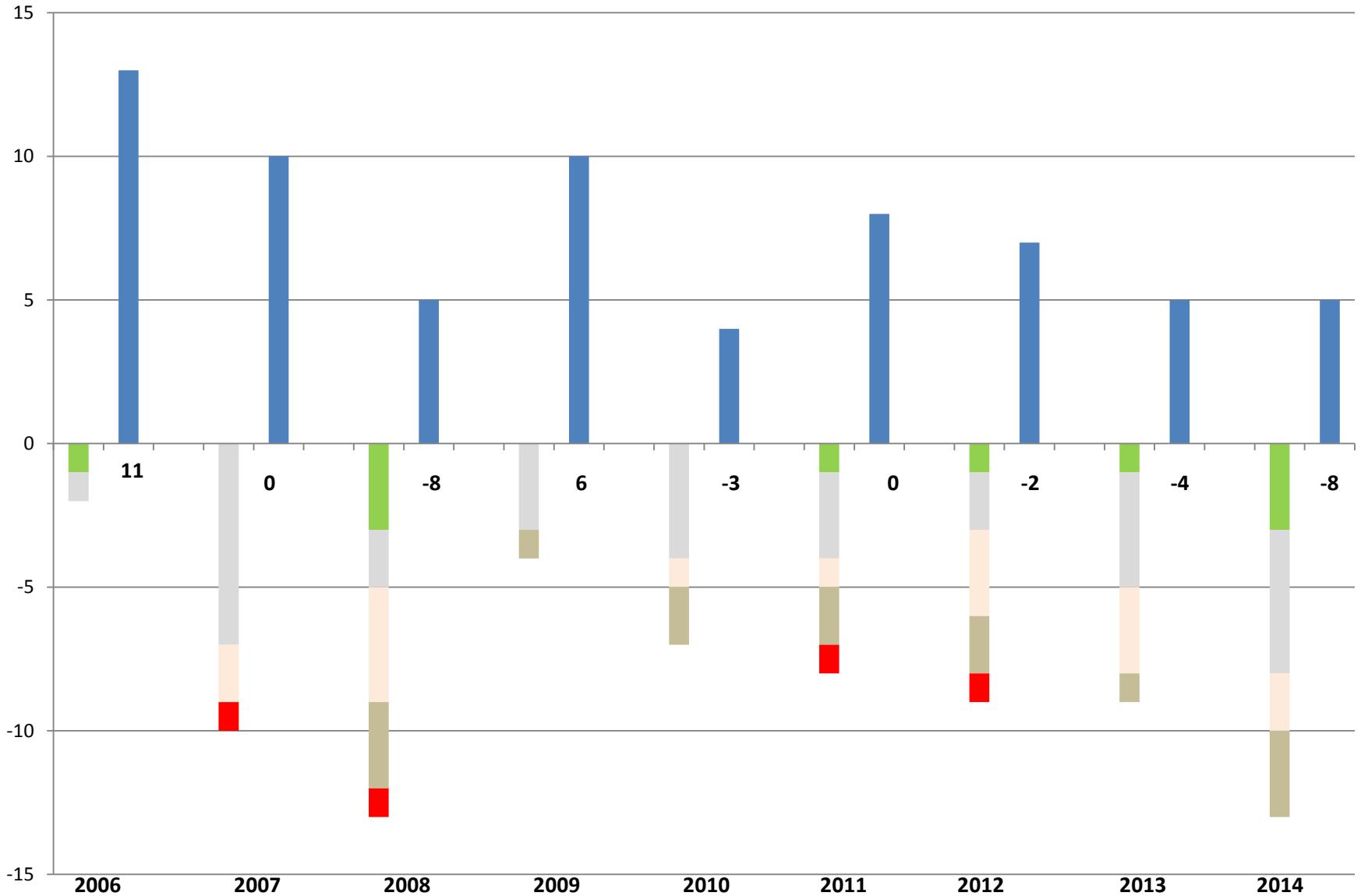
Firms with Customer Assets Only



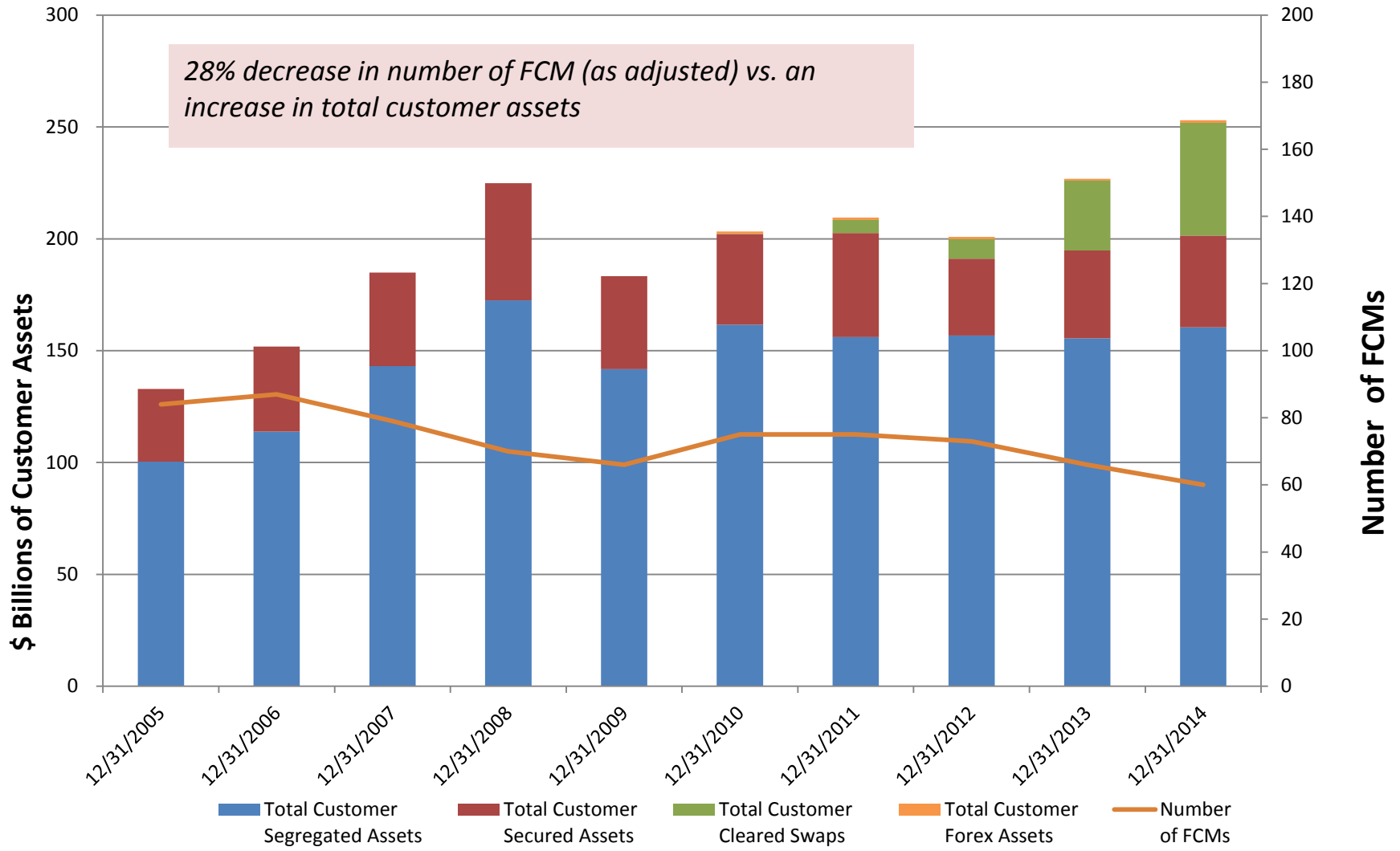
Decrease in the number of FCMs from 2005 to 2014 is 25 or approximately 29%; and from 2009 to 2014 a net decrease of 5 or 8%

Firm Withdrawals/Additions for time period 2006 - 2014

■ Added
 ■ Acquired
 ■ Went out of business
 ■ Merged with affiliate
 ■ Became IB/CTO/CTA
 ■ Bankruptcy

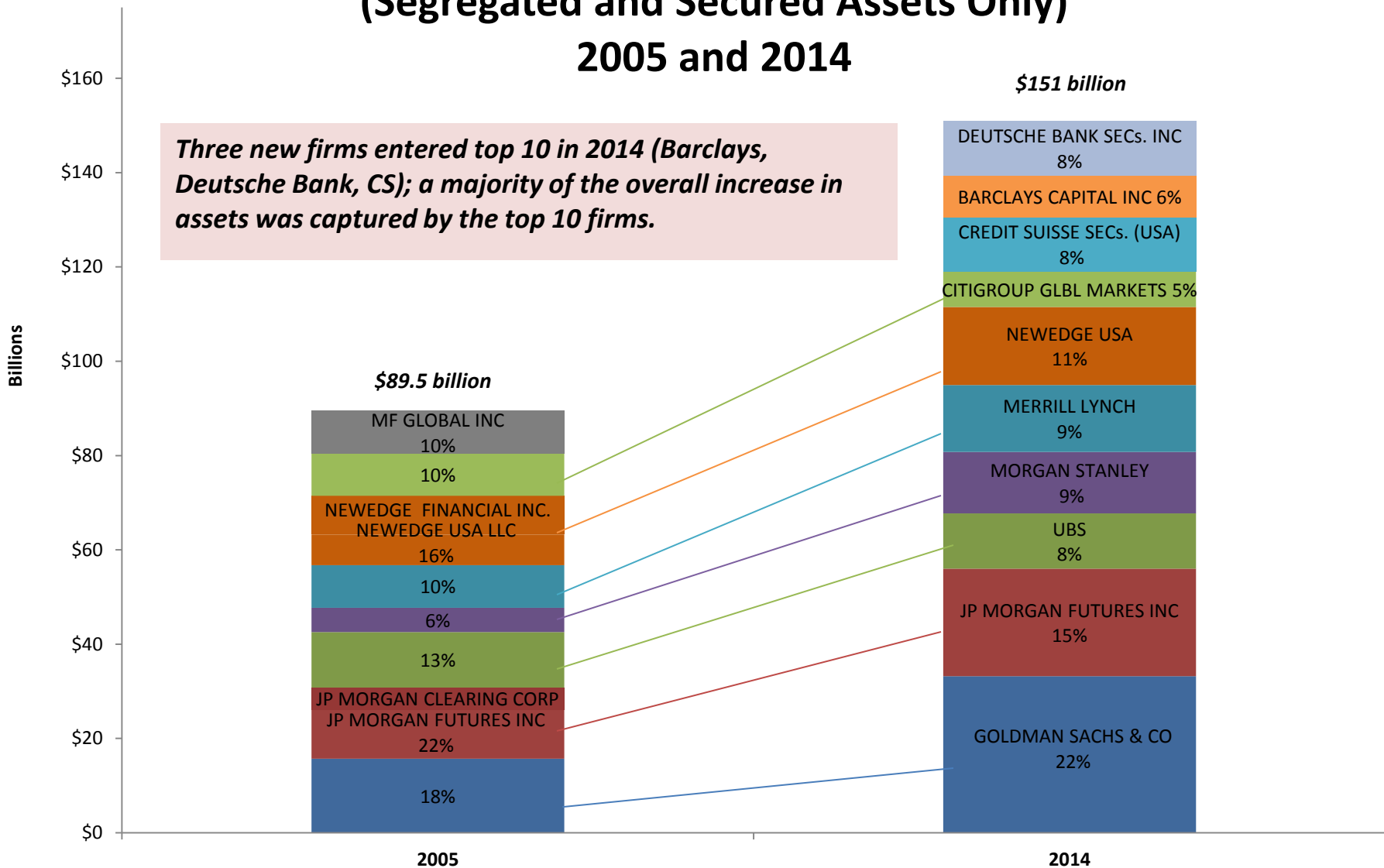


Customer Assets by Origin 2005 - 2014 vs. Number of FCM



10 Largest FCMs by Value of Customer Assets Held (Segregated and Secured Assets Only) 2005 and 2014

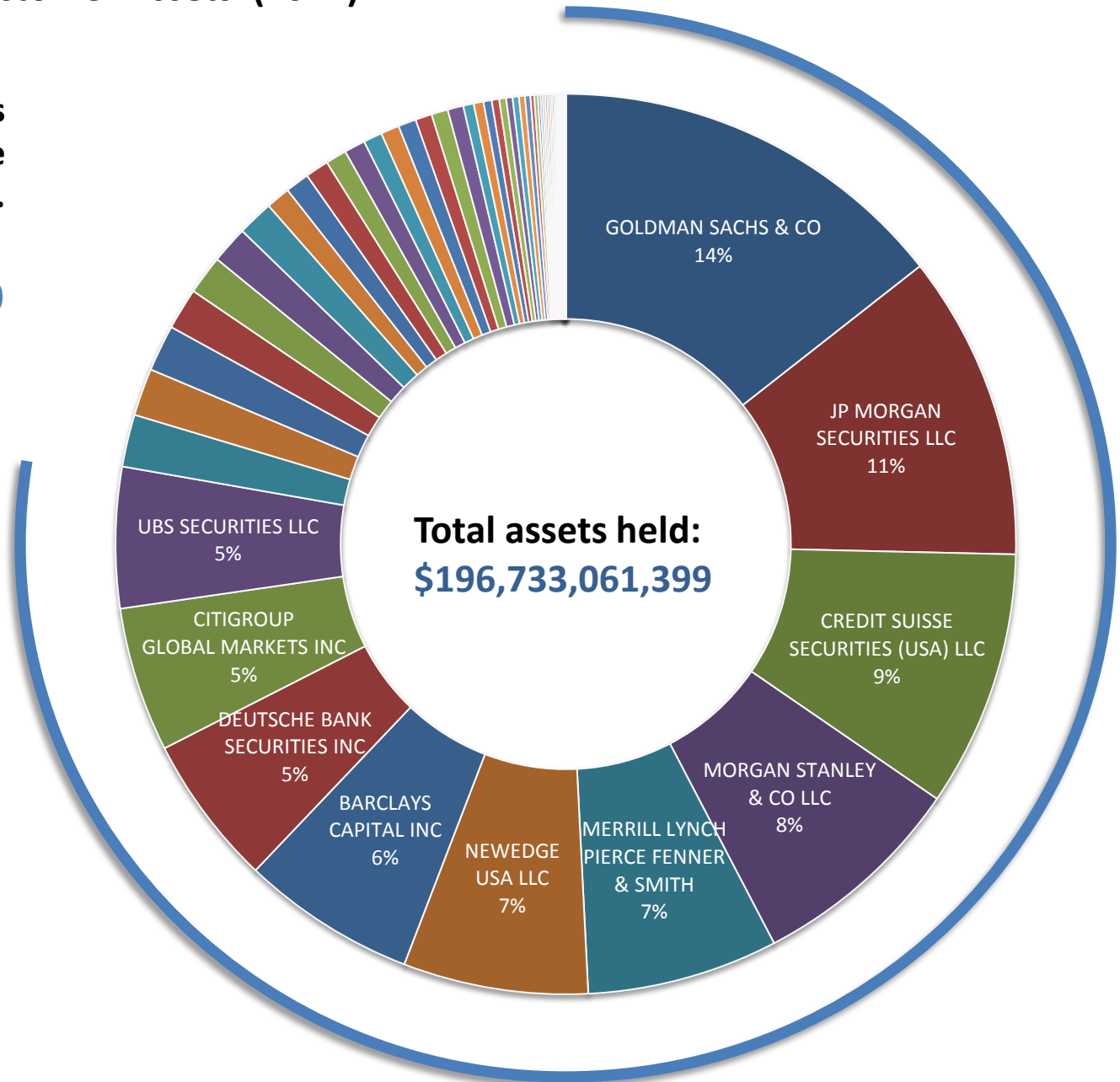
Three new firms entered top 10 in 2014 (Barclays, Deutsche Bank, CS); a majority of the overall increase in assets was captured by the top 10 firms.




Firms Holding Customer Assets (2014)

Customer assets held by the top 10 firms.

77%



http://www.cftc.gov/MarketReports/FinancialDataforFCMs/index.htm



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ENSURING THE INTEGRITY OF THE FUTURES & SWAPS MARKETS

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FINANCIAL DATA FOR FCMs

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Futures commission merchants (FCMs) and retail foreign exchange dealers (RFEDs) must file monthly financial reports with the CFTC's Division of Swap Dealer and Intermediary Oversight (DSIO) within 17 business days after the end of the month. Selected financial information from these reports is published below. The most recent month-end information generally is added within 12 business days after FCMs and RFEDs file their reports, but occasionally may be added later. For example: The 17th business day filing "due date" for February 28, 2015 financial reports was March 25, 2015. The 12 business day target for posting these data was April 10, 2015.

Once posted, the CFTC does not revise this information to reflect any amended financial information subsequently received.

You can [subscribe](#) to email alerts that provide notice when the Financial Data for FCMs webpage is updated.

Description of Report Data Fields

2015		
July 31, 2015	PDF	Excel
June 30, 2015	PDF	Excel
May 31, 2015	PDF	Excel
April 30, 2015	PDF	Excel
March 31, 2015	PDF	Excel
February 28, 2015	PDF	Excel
January 31, 2015	PDF	Excel

[Historical FCM Reports](#)

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http://www.cftc.gov/idx/groups/public/@financialdataforfcms/documents/file/fcmdata0715.pdf

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 PA 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 Required	Excess/Deficient Funds in Cleared Swap Accounts	Target Residual Interest in Cleared Swap Seg	Total Amount of Retail Foreign Obligation
	(a)	(b)		(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	(n)	(o)	(p)	(q)	
1 ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	7/31/2015	591,284,865	176,321,995	414,962,870	3,054,253,306	2,749,178,207	305,075,099	145,850,748	208,587,726	160,546,991	48,040,735	24,082,049	0	0	0	0	0
2 ADM INVESTOR SERVICES INC	FCM	CBOT	7/31/2015	304,932,434	193,566,376	113,366,058	4,466,320,899	4,200,215,260	266,105,639	120,000,000	293,428,274	235,528,154	57,900,120	20,000,000	11,626,456	1,228,527	10,399,929	8,000,000	0
3 ADVANTAGE FUTURES LLC	FCM	CME	7/31/2015	24,098,383	13,971,920	10,126,463	624,266,042	608,745,018	15,521,024	9,000,000	35,684,048	31,709,193	1,924,855	1,000,000	0	0	0	0	0
4 AMP GLOBAL CLEARING LLC	FCM	NFA	7/31/2015	2,719,739	1,500,000	1,219,739	57,800,170	55,994,290	1,805,880	900,000	1,492,206	1,099,700	392,246	150,000	0	0	0	0	0
5 BARCLAYS CAPITAL INC	FCM BD	NYME	7/31/2015	6,882,556,756	1,237,826,203	5,644,730,553	6,536,763,002	5,735,207,563	801,555,439	315,346,416	3,160,768,813	2,913,533,856	247,234,957	146,259,400	5,248,243,232	4,538,112,106	710,131,126	162,914,225	0
6 BGC FINANCIAL LP	FCM BD	NFA	7/31/2015	52,032,478	1,125,198	50,907,280	0	0	0	0	0	0	0	0	0	0	0	0	0
7 BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME	7/31/2015	2,769,627,809	269,905,203	2,499,722,606	2,468,774,948	2,214,739,298	254,035,650	221,473,930	19,089,794	8,345,611	10,744,183	10,000,000	10,683,060	2,574,470	8,108,590	5,000,000	0
8 BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	7/31/2015	1,861,672,911	234,999,366	1,626,673,545	1,088,084,646	880,531,419	207,553,227	176,106,284	34,277,045	19,197,465	15,079,580	1,919,747	741,603,107	611,726,007	129,877,100	61,172,601	0
9 BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	7/31/2015	11,751,614	1,000,000	10,751,614	203	203	1	184	184	1	6	0	0	0	0	0	1
10 CANTOR FITZGERALD & CO	FCM BD	CBOT	7/31/2015	198,331,075	4,969,921	193,361,154	0	4,969,921	3,000,000	0	0	0	0	0	0	0	0	0	0
11 CHS HEDGING LLC	FCM	CBOT	7/31/2015	29,628,137	11,480,955	18,147,182	173,456,926	144,910,224	28,546,702	13,100,000	1,720,917	292,228	1,428,689	545,000	660,685	156,600	504,085	310,000	0
12 CINGULAR GLOBAL MARKETS INC	FCM BD	CBOT/NFA	7/31/2015	7,125,900,213	1,349,383,138	5,776,517,075	7,565,469,227	7,224,505,675	340,963,552	312,500,000	1,363,192,220	1,114,793,937	248,398,283	150,000,000	6,633,327,530	6,314,862,193	318,465,337	210,275,000	0
13 CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	7/31/2015	8,939,585,683	2,165,008,113	6,774,577,570	7,996,806,500	7,492,515,171	504,291,329	374,625,759	3,517,993,355	3,258,518,542	258,474,813	162,925,927	11,903,684,803	11,001,662,081	902,025,722	550,084,404	0
14 CUNNINGHAM COMMODITIES LLC	FCM	CBOT	7/31/2015	5,201,507	1,400,000	3,771,507	72,105,422	67,629,963	4,540,359	330,070	54,211	275,859	100,000	0	0	0	0	0	0
15 DAWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	7/31/2015	507,896,280	8,800,869	499,095,411	5,450,758	0	5,450,758	1	539,351	1	0	0	0	0	0	0	0
16 DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	7/31/2015	11,411,886,719	653,877,863	10,760,008,906	3,710,012,485	3,425,508,712	284,501,773	200,000,000	1,182,557,861	980,035,907	202,521,944	150,000,000	2,143,500,550	1,845,241,553	298,258,997	250,000,000	0
17 DORIAN TRADING LLC	FCM	CME	7/31/2015	9,829,126	205,1386	7,775,740	180,107,977	176,000,754	4,107,223	2,000,000	3,654,012	2,990,380	663,632	200,000	0	0	0	0	0

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
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5 BARCLAYS CAPITAL INC	FCM BD	NYME	7/31/2015	6,882,556,756	1,237,826,203	5,644,730,553	6,536,763,002	5,735,207,563	801,555,439	315,346,416
6 BGC FINANCIAL LP	FCM BD	NFA	7/31/2015	52,032,478	1,125,198	50,907,280	0	0	0	0
7 BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME	7/31/2015	2,769,627,809	269,905,203	2,499,722,606	2,468,774,948	2,214,739,298	254,035,650	221,473,930
8 BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	7/31/2015	1,861,672,911	234,999,366	1,626,673,545	1,088,084,646	880,531,419	207,553,227	176,106,284
9 BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	7/31/2015	11,751,614	1,000,000	10,751,614	203	203	1	184
10 CANTOR FITZGERALD & CO	FCM BD	CBOT	7/31/2015	198,331,075	4,969,921	193,361,154	0	4,969,921	3,000,000	0