

SELECTED FCM FINANCIAL DATA AS OF
October 31, 2017
FROM REPORTS FILED BY
November 28, 2017

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U
		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	4	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	10/31/2017	603,827,602	150,580,066	453,247,536	2,759,762,852	2,401,951,640	357,811,212	156,047,496	117,312,381	94,459,882	22,852,499	9,445,988	0	0	0	0	0
2	5	ADM INVESTOR SERVICES INC	FCM	CBOT	10/31/2017	311,058,876	188,214,209	122,844,667	4,445,445,731	4,236,959,075	208,486,656	120,000,000	436,268,783	379,364,002	56,904,781	20,000,000	14,876,068	5,115,892	9,760,176	8,000,000	0
3	6	ADVANTAGE FUTURES LLC	FCM	CME	10/31/2017	21,278,162	10,714,212	10,563,950	594,790,065	583,298,461	11,491,604	7,000,000	36,080,764	34,436,478	1,644,286	1,000,000	0	0	0	0	0
4	7	AMP GLOBAL CLEARING LLC	FCM	NFA	10/31/2017	2,847,754	1,000,000	1,847,754	53,858,682	50,776,927	3,081,755	900,000	2,604,284	2,227,378	376,906	150,000	0	0	0	0	0
5	8	APEX CLEARING CORPORATION	FCM BD	NFA	10/31/2017	137,725,227	17,148,644	120,576,583	2,482,237	1,500,155	982,082	500,000	0	0	0	0	0	0	0	0	0
6	9	BARCLAYS CAPITAL INC	FCM BD	NYME	10/31/2017	6,870,017,447	1,102,190,081	5,767,827,366	5,258,951,489	4,610,739,258	648,212,231	277,105,429	3,836,211,568	3,428,330,367	407,881,201	166,616,856	5,900,648,619	5,036,247,922	864,400,697	199,939,042	0
7	10	BGC FINANCIAL LP	FCM BD	NFA	10/31/2017	34,391,664	2,370,635	32,021,029	0	0	0	0	0	0	0	0	0	0	0	0	0
8	11	BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME	10/31/2017	1,390,728,413	171,006,719	1,219,721,694	1,682,208,470	1,494,263,644	187,944,826	150,000,000	54,267,626	44,516,255	9,751,371	7,500,000	18,793,175	9,076,281	9,716,894	7,500,000	0
9	12	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	10/31/2017	1,514,235,269	229,875,533	1,284,359,736	1,113,648,366	1,010,508,427	103,139,939	82,500,000	133,385,340	104,887,231	28,498,109	22,500,000	978,963,119	821,951,988	157,011,131	120,000,000	0
10	13	BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	10/31/2017	7,906,490	1,508,101	6,398,389	33,146,287	27,666,127	5,480,160	1,000,000	6	0	6	1	6	6	6	1	0
11	14	CANTOR FITZGERALD & CO	FCM BD	CBOT	10/31/2017	198,200,269	12,659,685	185,540,584	4,969,921	0	4,969,921	3,000,000	0	0	0	0	0	0	0	0	0
12	15	CHARLES SCHWAB FUTURES, INC.	FCM BD	NFA	10/31/2017	291,090,353	1,000,000	290,090,353	108,159,064	62,127,623	46,031,441	9,319,144	2,449,943	946,090	1,503,853	141,913	0	0	0	0	0
13	16	CHS HEDGING LLC	FCM	CBOT	10/31/2017	42,152,541	7,822,416	34,330,125	158,531,596	115,327,915	43,203,681	13,600,000	1,553,715	29,976	1,523,739	200,000	503,912	0	503,912	120,000	0
14	17	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	10/31/2017	10,351,549,670	2,025,326,972	8,326,222,698	7,099,252,215	6,627,307,410	471,944,805	316,400,000	2,201,022,181	1,949,295,590	251,726,591	150,000,000	21,146,918,748	20,642,831,581	504,087,167	399,100,000	0
15	18	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	10/31/2017	9,688,661,239	1,358,010,568	8,330,650,671	6,165,555,149	5,839,238,507	326,316,642	291,961,925	3,770,241,226	3,567,926,451	202,314,775	178,396,323	11,669,576,692	11,020,407,759	649,168,933	551,020,388	0
16	19	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	10/31/2017	5,140,864	1,597,118	3,543,746	86,936,378	83,312,733	3,623,645	902,884	450,697	452,187	100,000	0	0	0	0	0	0
17	20	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	10/31/2017	639,823,614	9,614,505	630,209,109	2,164,989	0	2,164,989	1	566,188	0	566,188	1	0	0	0	0	0
18	21	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	10/31/2017	12,834,566,316	262,511,257	12,572,055,059	2,579,412,685	2,379,502,648	199,910,037	125,000,000	1,081,402,123	932,614,728	148,787,395	75,000,000	0	0	0	0	0
19	22	DORMAN TRADING LLC	FCM	CME	10/31/2017	12,788,076	2,511,616	10,336,460	187,872,650	184,010,012	3,862,638	2,000,000	4,480,652	3,732,822	747,830	200,000	0	0	0	0	0
20	23	E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	10/31/2017	144,832,739	45,142,076	99,690,663	1,286,231,433	1,203,155,731	83,075,702	35,000,000	60,951,367	52,532,977	8,418,390	5,000,000	3,128,260	1,989,741	1,138,519	500,000	0
21	24	E*TRADE FUTURES LLC	FCM	NFA	10/31/2017	17,660,339	4,075,353	13,584,986	77,399,473	65,776,690	11,622,783	5,000,000	0	0	0	0	0	0	0	0	0
22	25	EFL FUTURES LIMITED	FCM	CME	10/31/2017	44,250,736	18,867,424	25,383,312	246,872,605	232,198,202	14,674,403	5,000,000	0	0	0	0	0	0	0	0	0
23	26	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	10/31/2017	44,067,374	34,476,013	9,591,361	233,244,542	219,831,786	13,412,756	10,000,000	4,950,398	3,449,800	1,500,598	1,000,000	0	0	0	263,407,832	0
24	27	GH FINANCIALS LLC	FCM	CME	10/31/2017	21,564,124	5,085,779	16,478,345	95,679,375	82,099,632	13,579,743	4,000,000	3,885,310	2,782,974	1,102,336	550,000	0	0	0	0	0
25	28	GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	10/31/2017	17,327,169,104	2,575,925,117	14,751,243,987	20,687,203,830	19,830,166,277	857,037,553	675,000,000	11,998,763,580	11,417,001,119	581,762,461	475,000,000	5,289,982,155	4,845,569,348	444,412,807	350,000,000	0
26	29	HSBC SECURITIES USA INC	FCM BD	CME	10/31/2017	960,459,469	248,294,089	712,165,380	1,553,353,494	1,474,744,943	78,608,551	67,000,000	168,709,032	131,308,932	37,400,100	25,000,000	1,133,683,764	977,751,003	155,932,761	138,000,000	0
27	30	HUATAI FINANCIAL USA INC	FCM	NFA	10/31/2017	2,311,481	1,000,000	1,311,481	0	0	0	0	0	0	0	0	0	0	0	0	0
28	31	INTERACTIVE BROKERS LLC	FCM BD	CME	10/31/2017	3,931,667,248	425,266,039	3,506,401,209	4,672,504,950	4,460,650,394	211,854,556	155,000,000	561,117,907	437,021,005	124,096,902	80,000,000	0	0	0	42,474,547	0
29	32	INTL FCSTONE FINANCIAL INC	FCM BD	CME	10/31/2017	150,024,389	80,514,105	69,510,284	2,225,143,801	2,174,484,941	50,658,860	35,000,000	164,040,257	147,097,794	16,942,463	8,000,000	0	0	0	0	0
30	33	IRONBEAM INC	FCM	NFA	10/31/2017	3,516,729	1,196,282	2,320,447	77,174,190	75,763,871	1,410,319	800,000	442,303	234,816	207,487	50,000	0	0	0	0	0
31	34	JEFFERIES LLC	FCM BD	NFA	10/31/2017	1,129,773,242	92,715,257	1,037,057,985	0	0	0	0	0	0	0	0	0	0	0	0	0
32	35	JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	10/31/2017	13,490,707,836	2,740,216,959	10,750,490,877	17,107,768,249	15,826,192,058	1,281,576,191	870,440,563	5,577,317,605	5,028,267,970	549,049,635	427,402,777	12,154,249,804	11,210,448,869	943,800,935	700,653,054	0
33	36	MACQUARIE FUTURES USA LLC	FCM	CBOT	10/31/2017	278,875,403	140,091,818	138,783,585	1,958,543,095	1,743,552,284	214,990,811	100,000,000	53,337,991	37,615,426	15,722,565	7,000,000	23,607,566	3,271,247	20,336,319	1,000,000	0
34	37	MAREX NORTH AMERICA LLC	FCM	CME	10/31/2017	20,770,271	15,550,578	5,219,693	181,852,252	178,194,296	3,657,956	2,800,000	79,630,111	78,631,437	998,674	500,000	0	0	0	0	0
35	38	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	10/31/2017	14,098,480	2,453,891	11,644,589	760,050,735	738,971,279	21,079,456	18,000,000	2,567,861	0	2,567,861	1,000,000	0	0	0	0	0
36	39	MERRILL LYNCH PIERCE FENNER & SMITH INCORPORATED	FCM BD	CBOT	10/31/2017	13,205,147,415	1,746,820,921	11,458,326,494	13,533,489,730	13,228,756,501	304,733,229	200,000,000	4,555,582,954	4,047,011,965	508,570,989	150,000,000	6,440,637,150	5,971,990,176	468,646,974	150,000,000	0
37	40	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	10/31/2017	3,257,564,869	573,576,193	2,683,988,676	1,105,499,511	686,930,878	418,568,633	300,000,000	0	0	0	0	0	0	0	0	0
38	41	MID CO COMMODITIES INC	FCM	NFA	10/31/2017	8,564,785	2,915,486	5,649,299	36,169,470	26,560,783	9,608,687	5,138,000	0	0	0	0	0	0	0	0	0
39	42	MINT BROKERS	FCM BD	NFA	10/31/2017	1,000,000	1,000,000	3,861,903	0	0	0	0	0	0	0	0	0	0	0	0	0
40	43	MIZUHO SECURITIES USA LLC	FCM BD SD	CME/NFA	10/31/2017	616,869,101	245,634,272	371,234,829	3,053,453,965	2,851,893,844	201,560,121	125,000,000	814,547,425	689,148,038	125,399,387	70,000,000	33,753,266	3,521,737	30,231,529	15,000,000	0
41	44	MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	10/31/2017	10,946,755,614	2,062,243,940	8,884,511,674	14,509,957,429	14,166,277,188	343,680,241	285,000,000	5,171,151,032	4,979,923,384	191,227,648	140,000,000	13,487,075,243	13,350,026,589	137,048,654	92,000,000	0
42	45	NANHUA USA LLC	FCM	CME	10/31/2017	18,314,594	2,315,402	15,999,192	55,886,429	42,919,024	12,667,405	3,500,000	0	0	0	0	0	0	0	0	0
43	46	NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	10/31/2017	1,721,935,829	211,540,767	1,510,395,062	238,650,835	133,959,395	104,691,440	15,000,000	17,535,750	27,037	17,508,713	1,000,000	0	0	0	0	0
44	47	OANDA CORPORATION	FCMRFD	NFA	10/31/2017	81,560,273	52,316,277	29,243,996	0	0	0	0	0	0	0	0	0	0	0	174,579,099	0
45	48	PHILLIP CAPITAL INC	FCM BD	CME	10/31/2017	36,904,012	13,935,246	22,968,766	252,918,742	238,259,646	14,659,096	7,500,000	12,764,226	9,792,495	2,971,731	2,000,000	0	0	0	0	0
46	49	PICTET OVERSEAS INC	FCM BD	NFA	10/31/2017	17,484,257	1,000,000	16,484,257	1,500												

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