

SELECTED FCM FINANCIAL DATA AS OF
September 30, 2022
FROM REPORTS FILED BY
October 26, 2022

	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 CHICAGO LLC	FCM BD	CBOT	09/30/2022	642,492,133	250,850,968	391,641,165	4,665,598,588	4,050,824,679	614,773,909	284,408,506	164,438,579	133,230,848	31,207,731	13,323,085	0	0	0	0	0
2	ADM INVESTOR SERVICES INC	FCM	CBOT	09/30/2022	505,182,793	391,855,936	113,326,857	8,946,151,677	8,742,800,219	203,351,458	120,000,000	570,894,895	524,556,527	46,338,368	20,000,000	9,880,413	0	9,880,413	8,000,000	0
3	ADVANTAGE FUTURES LLC	FCM	CME	09/30/2022	28,561,386	13,858,062	14,703,324	542,235,764	525,459,437	16,776,327	10,000,000	44,193,392	40,157,261	4,036,131	1,000,000	0	0	0	0	0
4	AMP GLOBAL CLEARING LLC	FCM	NFA	09/30/2022	8,575,716	1,000,000	7,575,716	77,378,610	68,274,067	9,104,543	900,000	2,572,668	2,158,956	413,712	150,000	0	0	0	0	0
5	APEX CLEARING CORPORATION	FCM BD	NFA	09/30/2022	453,002,500	30,098,470	422,904,030	110,954,114	83,626,547	27,127,567	10,000,000	0	0	0	0	0	0	0	0	0
6	BARCLAYS CAPITAL INC	FCM BD	NYME	09/30/2022	6,620,511,422	2,295,631,614	4,324,879,808	15,955,811,001	13,970,618,233	1,985,192,768	58,000,000	4,339,732,178	4,107,466,250	232,265,928	40,000,000	13,687,841,860	12,870,543,102	817,298,758	26,000,000	0
7	BITNOMIAL CLEARING LLC	FCM	NFA	09/30/2022	1,804,673	1,000,000	804,673	0	0	0	0	0	0	0	0	0	0	0	0	0
8	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	09/30/2022	1,636,773,515	1,107,296,230	529,477,285	8,691,824,655	7,917,735,319	774,089,336	570,000,000	1,986,947,641	1,557,479,164	429,468,477	98,000,000	2,865,665,292	2,549,394,019	316,271,273	135,000,000	0
9	BOFA SECURITIES INC	FCM BD	CBOT	09/30/2022	16,212,532,890	4,092,987,542	12,119,545,348	27,094,017,429	26,515,881,002	578,136,427	200,000,000	5,376,306,958	5,104,077,429	272,229,529	150,000,000	16,806,038,583	16,385,954,679	420,083,904	150,000,000	0
10	CANTOR FITZGERALD & CO	FCM BD	CBOT	09/30/2022	347,678,177	3,322,422	344,355,755	4,969,934	0	4,969,934	3,000,000	0	0	0	0	0	0	0	0	0
11	CHARLES SCHWAB FUTURES AND FOREX LLC	FCM	NFA	09/30/2022	264,137,903	43,040,270	221,097,633	760,464,314	597,467,880	162,996,434	100,000,000	0	0	0	0	0	0	0	0	72,789,055
12	CHS HEDGING LLC	FCM	CBOT	09/30/2022	58,182,997	27,424,070	30,758,927	308,168,705	245,358,348	62,810,357	14,600,000	1,527,272	0	1,527,272	200,000	510,188	0	510,188	120,000	0
13	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	09/30/2022	10,444,732,380	4,831,648,659	5,613,083,721	19,259,739,877	18,753,222,579	506,517,298	351,400,000	5,410,427,680	5,084,822,204	325,605,476	175,700,000	35,051,794,072	34,235,800,472	815,993,600	499,800,000	0
14	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	09/30/2022	11,476,567,279	107,998,626	11,368,568,653	259,869,634	209,932,681	49,936,953	10,496,634	8,612,512	1,266,157	7,346,355	63,308	73,517,001	7,430,410	66,086,591	371,520	0
15	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	09/30/2022	86,778,183	1,613,632	85,164,551	137,882,959	82,236,559	55,646,400	3,050,000	2,501,855	1,956,055	545,800	100,000	0	0	0	0	0
16	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	09/30/2022	1,301,739,373	1,628,021	1,300,111,352	2,130,305	0	2,130,305	1	412,796	0	412,796	1	0	0	0	0	0
17	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	09/30/2022	6,095,711,063	201,867,617	5,893,843,446	2,420,625,285	2,219,833,434	200,791,851	125,000,000	911,130,993	786,886,109	124,244,884	75,000,000	0	0	0	0	0
18	DIRECT ACCESS USA LLC	FCM	CME	09/30/2022	11,982,015	2,887,835	9,094,180	126,174,189	117,583,637	8,590,552	2,500,000	7,065,543	4,528,896	2,536,647	1,000,000	0	0	0	0	0
19	DORMAN TRADING LLC	FCM	CME	09/30/2022	14,059,049	2,232,860	11,766,189	288,867,033	284,631,793	4,235,240	2,000,000	5,249,160	4,360,082	889,078	200,000	0	0	0	0	0
20	E.D. & F.MAN CAPITAL MARKETS INC	FCM BD SD	CME/NFA	09/30/2022	260,395,534	174,533,269	85,862,265	3,988,768,522	3,910,517,190	78,251,332	44,250,000	73,004,507	61,994,925	11,009,582	5,000,000	0	0	0	0	0
21	ETRADE FUTURES LLC	FCM	NFA	09/30/2022	45,761,609	5,601,548	40,160,061	167,713,723	120,731,254	46,982,469	11,000,000	0	0	0	0	0	0	0	0	0
22	FUTU FUTURES INC	FCM	NFA	09/30/2022	1,915,428	1,000,000	915,428	0	0	0	0	0	0	0	0	0	0	0	0	0
23	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	09/30/2022	49,180,611	28,400,752	20,779,859	0	0	0	0	0	0	0	0	0	0	0	0	178,015,048
24	GH FINANCIALS LLC	FCM	CME	09/30/2022	29,282,472	11,942,175	17,340,297	173,780,687	152,690,726	21,089,961	5,900,000	6,307,879	4,646,046	1,661,833	370,000	0	0	0	0	0
25	GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	09/30/2022	21,435,602,641	4,827,083,086	16,608,519,555	39,833,527,409	38,747,982,247	1,085,655,162	775,000,000	12,387,297,080	11,817,239,567	570,057,513	475,000,000	18,761,087,195	18,253,934,499	507,152,696	350,000,000	0
26	HIDDEN ROAD PARTNERS CIV US LLC	FCM BD	CME	09/30/2022	32,619,305	1,000,000	31,619,305	3,003,049	0	3,003,049	3,000,000	0	0	0	0	0	0	0	0	0
27	HSBC SECURITIES USA INC	FCM BD	CME	09/30/2022	1,282,246,256	542,507,543	739,738,713	4,894,498,726	4,735,173,245	159,325,481	147,000,000	242,229,623	217,062,064	25,167,559	15,000,000	3,472,433,493	3,319,361,504	153,071,989	133,000,000	0
28	IG US LLC	RFED	NFA	09/30/2022	35,702,127	21,949,484	13,752,643	0	0	0	0	0	0	0	0	0	0	0	0	48,989,689
29	INTERACTIVE BROKERS LLC	FCM BD	CME	09/30/2022	6,129,741,662	739,982,827	5,389,758,835	8,824,882,118	8,517,481,775	307,400,343	155,000,000	823,545,848	683,718,050	139,827,798	80,000,000	0	0	0	0	27,730,936
30	IRONBEAM INC	FCM	CME	09/30/2022	7,854,521	1,027,692	6,826,829	96,942,265	87,546,618	9,395,647	1,600,000	465,866	229,954	235,912	60,000	0	0	0	0	0
31	JEFFERIES LLC	FCM BD	NFA	09/30/2022	1,227,742,230	99,373,136	1,128,369,094	0	0	0	0	0	0	0	0	0	0	0	0	0
32	JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	09/30/2022	22,913,041,646	5,649,492,616	17,263,549,030	43,080,752,249	41,698,152,358	1,382,599,891	959,057,504	8,750,762,448	8,247,806,046	502,956,402	206,195,151	21,771,860,107	20,856,647,666	915,212,441	563,129,487	0
33	LINE TRADING CORP	FCM BD	NFA	09/30/2022	4,540,111	1,000,000	3,540,111	46,103	0	46,103	20,000	40,000	0	40,000	0	0	0	0	0	0
34	MACQUARIE FUTURES USA LLC	FCM	CBOT	09/30/2022	569,305,376	447,092,083	122,213,293	4,860,751,027	4,611,795,056	248,955,971	100,000,000	161,793,990	109,079,373	52,714,617	7,000,000	5,147,475	0	5,147,475	1,000,000	0
35	MAREX NORTH AMERICA INC	FCM	CME	09/30/2022	251,083,979	209,491,666	41,592,313	4,251,495,191	4,163,328,136	88,167,055	50,230,376	188,560,542	148,318,304	40,242,238	10,250,000	0	0	0	0	0
36	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	09/30/2022	11,561,091	1,142,371	10,418,720	485,448,768	461,413,195	24,035,573	18,000,000	2,567,861	0	2,567,861	1,000,000	0	0	0	0	0
37	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	09/30/2022	7,783,043,105	1,462,323,744	6,320,719,361	2,656,736,767	1,536,450,254	1,120,286,513	300,000,000	0	0	0	0	0	0	0	0	0
38	MFI FUNDING LLC	FCM	NFA	09/30/2022	103,026,637	1,000,000	102,026,637	0	0	0	0	0	0	0	0	0	0	0	0	0
39	MID CO COMMODITIES INC	FCM	NFA	09/30/2022	23,131,739	11,270,803	11,860,936	103,544,804	80,594,746	22,950,058	5,138,000	0	0	0	0	0	0	0	0	0
40	MINT BROKERS	FCM BD	NFA	09/30/2022	2,269,371	1,000,000	1,269,371	0	0	0	0	0	0	0	0	0	0	0	0	0
41	MIZUHO SECURITIES USA LLC	FCM BD	CME	09/30/2022	1,692,125,704	897,061,605	795,064,099	15,696,969,770	14,999,365,643	697,604,127	150,000,000	1,361,104,875	1,161,895,442	199,209,433	70,000,000	20,516,468	0	20,516,468	10,000,000	0
42	MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	09/30/2022	14,886,036,345	4,481,344,738	10,404,691,607	27,675,387,594	27,282,359,610	393,027,984	235,000,000	8,965,326,256	8,742,432,783	222,893,473	140,000,000	28,258,218,925	27,570,601,386	687,617,539	92,000,000	0
43	NANHUA USA LLC	FCM	CME	09/30/2022	23,676,129	16,487,428	7,188,701	279,250,071	260,607,456	18,642,615	3,500,000	684,396	328,028	356,368	100,000	0	0	0	0	0
44	NATWEST MARKETS SECURITIES INC	FCM BD	CBOT	09/30/2022	553,087,456	4,383,832	548,703,624	7,500,484	0	7,500,484	5,000,000	0	0	0	0	0	0	0	0	0
45	NINJATRADER CLEARING LLC	FCM	NFA	09/30/2022	16,124,231	1,000,000	15,124,231	253,106,792	233,720,942	19,385,850	4,000,000	3,824,308	2,961,392	862,916	400,000	0	0	0	0	0
46	NCMIRA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	09/30/2022	2,121,644,819	97,912,029	2,023,732,790	216,339,933	171,616,377	44,723,556	19,000,000	1,250,000	0	1,250,000	1,000,000	0	0	0	0	0
47	OANDA CORPORATION	FCMRFD	NFA	09/30/2022	41,710,746	27,792,240	13,918,506	0	0	0	0	0	0	0	0	0	0	0	0	162,072,259
48	PHILLIP CAPITAL INC	FCM BD	CME	09/30/2022	78,292,413	41,298,020	36,994,393	863,359,070	829,954,339	33,404,731	15,000,000	27,707,864	23,126,628	4,581,236	1,000,000	0	0	0	0	0
49	PICCTET OVERSEAS INC	FCM BD	NFA	09/30/2022	51,975,850	12,857,954	39,117,896	168,258,146	163,257,516	5,000,630	1,500,000	59,740,305	56,741,686	2,998,619	900,000					

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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:
• 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.