

SELECTED FCM FINANCIAL DATA AS OF
November 30, 2022
FROM REPORTS FILED BY
December 23, 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	11/30/2022	624,799,915	239,118,036	385,681,879	4,066,386,266	3,625,003,112	441,383,154	266,429,663	162,720,259	129,761,161	32,959,098	12,976,116	0	0	0	0	0
2	ADM INVESTOR SERVICES INC	FCM	CBOT	11/30/2022	526,924,408	368,204,480	158,719,928	8,309,246,248	8,110,098,375	199,147,873	120,000,000	559,793,436	513,456,109	46,337,327	20,000,000	9,932,153	0	9,932,153	8,000,000	0
3	ADVANTAGE FUTURES LLC	FCM	CME	11/30/2022	29,654,164	14,860,855	14,793,309	556,114,701	536,337,131	19,777,570	10,000,000	43,816,553	39,501,080	4,315,473	1,000,000	0	0	0	0	0
4	AMP GLOBAL CLEARING LLC	FCM	NFA	11/30/2022	9,159,755	1,000,000	8,159,755	77,083,770	67,530,135	9,553,635	900,000	2,818,119	2,260,010	558,109	150,000	0	0	0	0	0
5	APEX CLEARING CORPORATION	FCM BD	NFA	11/30/2022	475,457,347	27,633,787	447,823,560	100,024,184	74,090,216	25,933,968	10,000,000	0	0	0	0	0	0	0	0	0
6	BARCLAYS CAPITAL INC	FCM BD	NYME	11/30/2022	6,494,152,629	2,412,852,685	4,081,299,944	15,229,469,423	14,345,150,896	884,318,527	58,000,000	4,633,590,385	4,399,255,050	234,335,335	40,000,000	14,419,712,051	13,624,369,013	795,343,038	26,000,000	0
7	BITNOMIAL CLEARING LLC	FCM	NFA	11/30/2022	1,505,000	1,000,000	505,000	0	0	0	0	0	0	0	0	0	0	0	0	0
8	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	11/30/2022	2,247,778,144	1,018,636,827	1,229,141,317	7,456,764,999	6,751,906,151	704,858,848	570,000,000	2,723,177,072	1,845,644,509	877,532,563	98,000,000	2,862,613,256	2,614,755,127	247,858,129	135,000,000	0
9	BOFA SECURITIES INC	FCM BD	CBOT	11/30/2022	16,744,070,048	4,384,411,542	12,359,658,506	26,778,746,249	26,401,760,869	376,985,380	200,000,000	6,224,786,216	5,849,766,773	375,019,443	150,000,000	18,024,828,435	17,662,643,630	362,184,805	150,000,000	0
10	CANTOR FITZGERALD & CO	FCM BD	CBOT	11/30/2022	362,032,941	1,863,761	360,169,180	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	11/30/2022	286,551,794	43,235,013	243,316,781	630,380,470	476,159,538	154,220,932	100,000,000	0	0	0	0	0	0	0	0	67,228,987
12	CHS HEDGING LLC	FCM	CBOT	11/30/2022	62,461,432	26,397,623	36,063,809	281,828,495	215,717,259	66,111,236	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	11/30/2022	9,494,860,175	5,108,006,242	4,386,853,933	18,387,485,511	17,728,305,494	659,180,017	435,400,000	5,307,532,554	5,000,934,130	306,598,424	175,000,000	32,834,712,423	32,141,322,674	693,389,749	469,000,000	0
14	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	11/30/2022	11,743,352,824	161,101,310	11,582,251,514	299,960,672	260,535,571	39,425,101	13,026,779	7,226,390	1,388,526	5,877,864	69,426	11,037,908	385	11,037,523	19	0
15	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	11/30/2022	86,202,510	2,685,121	83,517,339	214,798,331	157,014,821	57,783,510	3,050,000	1,041,038	464,207	576,831	100,000	0	0	0	0	0
16	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	11/30/2022	1,338,098,187	1,624,224	1,336,473,963	2,136,558	0	2,136,558	1	427,923	0	427,923	1	0	0	0	0	0
17	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	11/30/2022	5,365,814,530	198,201,279	5,167,613,251	2,286,665,024	2,137,554,172	149,110,852	100,000,000	783,281,127	653,841,625	129,439,502	50,000,000	0	0	0	0	0
18	DIRECT ACCESS USA LLC	FCM	CME	11/30/2022	12,364,520	3,174,977	9,189,543	128,436,518	102,104,913	26,331,605	2,500,000	10,624,999	505,100	10,119,899	1,000,000	0	0	0	0	0
19	DORMAN TRADING LLC	FCM	CME	11/30/2022	14,063,376	2,405,698	11,657,678	293,037,345	288,855,764	4,181,581	2,000,000	5,293,366	4,464,516	838,850	200,000	0	0	0	0	0
20	E.D. & F.MAN CAPITAL MARKETS INC	FCM BD SD	CME/NFA	11/30/2022	272,814,092	166,244,543	106,469,549	3,867,305,495	3,792,954,756	74,350,739	44,250,000	68,787,949	57,365,085	11,422,864	5,000,000	0	0	0	0	0
21	ETRADE FUTURES LLC	FCM	NFA	11/30/2022	46,974,591	4,774,540	42,200,051	152,454,925	103,862,407	48,592,518	11,000,000	0	0	0	0	0	0	0	0	0
22	FUTU FUTURES INC	FCM	NFA	11/30/2022	1,923,335	1,000,000	923,335	0	0	0	0	0	0	0	0	0	0	0	0	0
23	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	11/30/2022	54,398,397	28,689,452	25,708,945	0	0	0	0	0	0	0	0	0	0	0	0	183,789,034
24	GH FINANCIALS LLC	FCM	CME	11/30/2022	29,819,265	11,042,213	18,777,052	161,362,610	141,888,316	19,474,294	5,500,000	6,606,583	4,859,893	1,746,690	440,000	0	0	0	0	0
25	GOLDMAN SACHS & CO LLC	FCM BD SD	CBOT/NFA	11/30/2022	22,654,469,546	4,732,144,454	17,922,325,092	38,785,782,802	37,630,736,197	1,155,046,605	775,000,000	14,070,594,954	13,483,129,339	587,465,615	475,000,000	18,759,304,011	18,279,030,353	480,273,658	350,000,000	0
26	HIDDEN ROAD PARTNERS CIV US LLC	FCM BD	CME	11/30/2022	32,802,662	1,000,000	31,802,662	3,018,677	0	3,018,677	3,000,000	0	0	0	0	0	0	0	0	0
27	HSBC SECURITIES USA INC	FCM BD	CME	11/30/2022	1,251,298,967	605,449,174	645,849,793	5,884,631,246	5,695,405,452	189,225,894	153,000,000	278,711,727	230,595,476	48,116,251	15,000,000	2,381,041,507	2,194,884,666	186,156,841	166,000,000	0
28	IG US LLC	RFD	NFA	11/30/2022	36,983,747	21,725,976	15,257,771	0	0	0	0	0	0	0	0	0	0	0	0	44,519,527
29	INTERACTIVE BROKERS LLC	FCM BD	CME	11/30/2022	6,372,068,368	692,728,317	5,679,340,051	8,171,428,231	7,954,774,633	216,653,598	155,000,000	833,736,719	707,274,706	126,462,013	80,000,000	0	0	0	0	25,808,736
30	IRONBEAM INC	FCM	CME	11/30/2022	8,517,413	1,000,000	7,517,413	98,352,034	89,909,647	8,442,387	1,600,000	461,451	230,271	231,180	60,000	0	0	0	0	0
31	JEFFERIES LLC	FCM BD	NFA	11/30/2022	903,348,876	97,110,620	806,238,256	0	0	0	0	0	0	0	0	0	0	0	0	0
32	JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	11/30/2022	22,642,492,132	5,828,267,997	16,814,224,135	44,080,470,586	42,951,619,219	1,128,851,367	816,080,765	9,599,542,058	8,938,988,600	660,553,458	312,864,601	22,782,477,672	21,764,073,822	1,018,403,850	457,045,550	0
33	LINE TRADING CORP	FCM BD	NFA	11/30/2022	4,390,889	1,000,000	3,390,889	46,104	0	46,104	20,000	0	0	40,000	20,000	0	0	0	0	0
34	MACQUARIE FUTURES USA LLC	FCM	CBOT	11/30/2022	602,761,205	415,240,289	187,420,916	4,698,177,046	4,483,337,705	214,839,341	100,000,000	207,297,482	153,446,141	53,851,341	7,000,000	5,152,849	0	5,152,849	1,000,000	0
35	MAREX NORTH AMERICA LLC	FCM	CME	11/30/2022	259,400,836	212,715,021	46,685,815	4,094,732,117	4,002,169,288	92,562,829	50,230,376	187,942,051	154,727,847	33,214,204	10,250,000	0	0	0	0	0
36	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	11/30/2022	11,846,738	1,769,199	10,077,539	471,946,820	447,303,195	24,643,625	18,000,000	2,614,167	0	2,614,167	1,000,000	0	0	0	0	0
37	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	11/30/2022	8,310,343,635	1,490,872,558	6,819,471,077	2,608,799,838	1,478,156,619	1,130,643,219	300,000,000	0	0	0	0	0	0	0	0	0
38	MFI FUNDING LLC	FCM	NFA	11/30/2022	103,650,445	1,000,000	102,650,445	0	0	0	0	0	0	0	0	0	0	0	0	0
39	MID CO COMMODITIES INC	FCM	NFA	11/30/2022	23,737,153	10,862,546	12,874,607	102,977,857	79,649,639	23,328,218	5,138,000	0	0	0	0	0	0	0	0	0
40	MINT BROKERS	FCM BD	NFA	11/30/2022	2,213,953	1,000,000	1,213,953	0	0	0	0	0	0	0	0	0	0	0	0	0
41	MIZUHO SECURITIES USA LLC	FCM BD	CME	11/30/2022	1,554,416,635	772,469,545	781,947,090	13,089,693,538	12,597,214,528	492,479,010	150,000,000	1,396,107,542	1,192,613,953	203,493,589	70,000,000	20,595,579	20,595,579	10,000,000	0	0
42	MORGAN STANLEY & CO LLC	FCM BD SD	CME/NFA	11/30/2022	17,787,942,142	4,440,190,729	13,347,751,413	29,162,919,689	28,774,709,941	388,209,748	235,000,000	9,915,725,278	9,671,545,540	244,179,738	140,000,000	26,887,554,702	26,478,918,817	408,635,885	92,000,000	0
43	NANHUA USA LLC	FCM	CME	11/30/2022	24,836,965	13,141,065	11,695,900	237,682,653	218,064,269	19,618,384	3,500,000	680,382	324,045	356,337	100,000	0	0	0	0	0
44	NATWEST MARKETS SECURITIES INC	FCM BD	CBOT	11/30/2022	564,701,152	1,091,472	563,609,680	7,500,998	0	7,500,998	5,000,000	0	0	0	0	0	0	0	0	0
45	NINJATRADE CLEARING LLC	FCM	NFA	11/30/2022	19,126,885	1,000,000	18,126,885	261,927,186	239,086,138	22,841,048	4,000,000	3,685,373	2,745,585	939,788	400,000	0	0	0	0	0
46	NCMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	11/30/2022	2,152,800,089	97,739,533	2,055,060,556	215,901,838	144,791,530	71,110,308	19,000,000	1,250,000	0	1,250,000	1,000,000	0	0	0	0	0
47	OANDA CORPORATION	FCM RFD	NFA	11/30/2022	38,325,573	27,923,694	10,401,879	0	0	0	0	0	0	0	0	0	0	0	0	164,159,370
48	PHILLIP CAPITAL INC	FCM BD	CME	11/30/2022	80,119,809	45,558,466	34,561,343	943,275,852	907,834,781	35,441,071	15,000,000	20,718,164	15,936,429	4,781,735	1,000,000	0	0	0	0	0
49	PICCTET OVERSEAS INC	FCM BD	NFA	11/30/2022	50,968,426	12,357,186	38,611,240	137,426,211	132,344,747	5,081,464	1,500,000	60,606,920	57,568,321	3,038,599	900,000	0	0			

(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.