

SELECTED FCM FINANCIAL DATA AS OF

October 31, 2015

FROM REPORTS FILED BY

December 3, 2015

	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																					
2																					
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4	1	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	10/31/2015	620,844,041	168,410,331	452,433,710	3,155,884,459	2,818,902,747	336,981,712	157,067,850	149,559,422	104,802,971	44,756,451	15,720,446	0	0	0	0	0
5	2	ADM INVESTOR SERVICES INC	FCM	CBOT	10/31/2015	306,232,110	179,312,752	126,919,358	4,284,894,123	4,020,248,937	264,645,186	120,000,000	307,287,751	245,370,047	61,917,704	20,000,000	11,816,761	2,434,476	9,382,305	8,000,000	0
6	3	ADVANTAGE FUTURES LLC	FCM	CME	10/31/2015	24,890,100	13,019,105	11,870,995	500,849,186	484,249,108	16,600,078	8,500,000	31,262,976	29,259,350	2,003,626	1,000,000	0	0	0	0	0
7	4	AMP GLOBAL CLEARING LLC	FCM	NFA	10/31/2015	2,711,948	1,500,000	1,211,948	50,852,123	48,864,618	1,987,505	900,000	1,314,337	990,088	324,249	150,000	0	0	0	0	0
8	5	BARCLAYS CAPITAL INC	FCM BD	NYME	10/31/2015	6,938,917,052	1,140,511,650	5,798,405,402	6,751,524,896	5,857,608,245	893,916,651	322,168,453	2,799,083,831	2,510,106,740	288,977,091	126,007,358	5,575,919,180	4,710,211,672	865,707,508	265,655,938	0
9	6	BGC FINANCIAL LP	FCM BD	NFA	10/31/2015	44,773,457	2,392,486	42,380,971	0	0	0	0	0	0	0	0	0	0	0	0	0
10	7	BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME	10/31/2015	2,916,227,855	262,619,940	2,653,607,915	2,590,526,658	2,315,943,618	274,583,040	231,594,362	40,546,039	27,347,150	13,198,889	10,000,000	11,175,275	3,078,873	8,096,402	5,000,000	0
11	8	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	10/31/2015	1,758,960,717	248,128,502	1,510,832,215	1,185,218,817	960,030,720	225,188,097	192,006,144	49,077,151	32,750,962	16,326,189	3,275,096	852,023,833	614,384,775	237,639,058	61,438,477	0
12	9	BOCI COMMODITIES & FUTURES USA LLC	FCM	CME	10/31/2015	11,078,237	1,000,000	10,078,237	203	0	203	1	184	184	184	1	6	0	6	1	0
13	10	CANTOR FITZGERALD & CO	FCM BD	CBOT	10/31/2015	232,719,092	6,482,164	226,236,928	4,969,921	0	4,969,921	3,000,000	0	0	0	0	0	0	0	0	0
14	11	CHS HEDGING LLC	FCM	CBOT	10/31/2015	31,630,671	10,738,804	20,891,867	159,768,130	129,338,276	30,429,854	13,100,000	2,185,404	736,017	1,449,387	545,000	503,912	0	503,912	310,000	0
15	12	CITIGROUP GLOBAL MARKETS INC	FCM BD SD	CBOT/NFA	10/31/2015	6,430,215,330	1,445,555,742	4,984,659,588	7,936,832,191	7,585,384,684	351,447,507	312,900,000	1,228,331,035	1,037,371,946	190,959,089	150,000,000	7,847,274,736	7,521,441,279	325,833,457	211,675,000	0
16	13	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	10/31/2015	9,849,642,105	1,862,402,096	7,987,240,009	8,305,287,767	7,793,878,958	511,408,809	389,693,948	3,204,020,761	2,786,737,003	417,283,758	139,336,850	11,349,671,280	10,642,455,706	707,215,574	532,122,785	0
17	14	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	10/31/2015	5,168,035	1,000,000	4,168,035	65,278,657	61,233,191	4,045,466	3,050,000	328,335	44,766	283,569	100,000	0	0	0	0	0
18	15	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	10/31/2015	555,607,655	12,278,407	543,329,248	0	5,454,753	1	544,203	0	0	544,203	1	0	0	0	0	0
19	16	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	10/31/2015	11,539,572,339	637,002,321	10,902,570,018	3,858,851,483	3,597,908,256	260,943,227	200,000,000	1,106,989,977	926,472,149	180,517,828	150,000,000	1,811,734,311	1,529,976,855	281,757,456	250,000,000	0
20	17	DORMAN TRADING LLC	FCM	CME	10/31/2015	10,065,180	1,879,426	8,185,754	170,370,704	166,175,373	4,195,331	2,000,000	3,638,985	3,030,139	608,846	200,000	0	0	0	0	0
21	18	E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	10/31/2015	74,274,788	38,939,173	35,335,615	994,409,739	961,102,997	33,306,742	20,000,000	53,025,735	47,368,841	5,656,894	3,000,000	3,814,734	2,399,917	1,414,817	500,000	0
22	19	E TRADE CLEARING LLC	FCM BD	NFA	10/31/2015	988,175,800	161,155,605	827,020,195	57,529,680	42,476,320	15,053,360	10,000,000	1,456,996	347,812	1,109,184	1,000,000	0	0	0	0	0
23	20	EFL FUTURES LIMITED	FCM	CME	10/31/2015	35,205,241	16,368,049	18,837,192	228,201,234	215,231,530	12,969,704	5,000,000	0	0	0	0	0	0	0	0	0
24	21	FOREX CAPITAL MARKETS LLC	FCMRFD SD	NFA	10/31/2015	48,310,838	28,610,452	19,700,386	0	0	0	0	0	0	0	0	0	0	0	0	182,209,034
25	22	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	10/31/2015	39,276,355	26,186,354	13,090,001	251,842,490	239,742,740	12,099,750	5,000,000	7,377,450	3,212,643	4,164,807	1,000,000	0	0	0	0	133,727,082
26	23	GH FINANCIALS LLC	FCM	CME	10/31/2015	15,713,739	4,287,598	11,426,141	71,784,007	61,563,353	10,220,654	3,500,000	391,908	90,274	301,634	75,000	0	0	0	0	0
27	24	GOLDMAN SACHS & CO	FCM BD SD	CBOT/NFA	10/31/2015	15,794,809,944	2,625,430,085	13,169,379,859	23,857,868,992	23,085,914,090	771,954,902	475,000,000	13,463,265,051	12,883,450,170	579,814,881	475,000,000	4,046,569,603	3,609,433,975	437,135,628	350,000,000	0
28	25	GOLDMAN SACHS EXECUTION & CLEARING LP	FCM BD	CME	10/31/2015	1,563,662,651	135,113,955	1,428,548,696	1,358,436,067	738,646,107	619,789,960	540,000,000	75,206,830	26,129,527	49,077,303	40,000,000	0	0	0	0	0
29	26	HSBC SECURITIES USA INC	FCM BD	CME	10/31/2015	1,111,943,488	260,138,779	851,804,709	1,480,107,527	1,348,873,920	131,233,607	110,000,000	218,096,827	164,245,153	53,851,674	10,000,000	1,308,239,977	1,095,027,761	213,212,216	90,000,000	0
30	27	IBFX INC	RFED SD	NFA	10/31/2015	35,668,862	22,067,805	13,601,057	0	0	0	0	0	0	0	0	0	0	0	0	51,356,097
31	28	INTERACTIVE BROKERS LLC	FCM BD	CME	10/31/2015	2,257,091,885	253,275,240	2,003,816,645	2,731,158,749	2,521,429,466	209,729,283	155,000,000	453,553,443	344,342,663	109,210,780	80,000,000	0	0	0	0	55,206,699
32	29	INTL FCSTONE FINANCIAL INC	FCM BD	CME	10/31/2015	144,667,624	72,786,416	71,881,208	1,917,612,469	1,868,116,222	49,496,247	26,000,000	85,939,184	65,489,476	20,449,708	8,000,000	0	0	0	0	0
33	30	IRONBEAM INC	FCM	NFA	10/31/2015	2,270,676	1,000,000	1,270,676	40,480,842	39,134,407	1,346,435	800,000	237,623	67,889	169,734	50,000	0	0	0	0	0
34	31	ITG DERIVATIVES LLC	FCM BD	NFA	10/31/2015	1,830,668	1,000,000	830,668	0	0	0	0	0	0	0	0	0	0	0	0	0
35	32	JEFFERIES LLC	FCM BD	NFA	10/31/2015	1,324,434,216	84,010,744	1,240,423,472	0	0	0	0	0	0	0	0	0	0	0	0	0
36	33	JP MORGAN CLEARING CORP	FCM BD	NFA	10/31/2015	7,414,209,526	1,714,829,200	5,699,380,326	957,508,352	640,476,124	317,032,228	57,642,851	637,333,030	456,841,093	180,491,937	41,115,699	250,000	0	250,000	1	0
37	34	JP MORGAN SECURITIES LLC	FCM BD SD	CEI/NFA	10/31/2015	13,558,017,584	2,443,595,251	11,114,422,333	17,852,728,053	16,251,446,714	1,601,281,339	1,462,630,204	3,863,997,939	3,486,742,326	377,255,613	313,806,809	7,842,615,838	7,105,647,649	736,968,189	639,508,288	0
38	35	MACQUARIE FUTURES USA LLC	FCM	CBOT	10/31/2015	238,328,810	168,041,722	70,287,088	2,256,398,268	2,109,813,707	146,584,561	90,000,000	49,333,516	33,207,314	16,126,202	2,324,512	26,836,612	8,456,782	18,379,830	591,975	0
39	36	MAREX NORTH AMERICA LLC	FCM	CME	10/31/2015	19,402,090	12,792,430	6,609,660	165,610,928	160,587,172	5,023,756	4,200,000	50,281,716	48,879,827	1,401,889	1,000,000	0	0	0	0	0
40	37	MB TRADING FUTURES INC	RFED	NFA	10/31/2015	24,147,061	20,000,000	4,147,061	0	0	0	0	0	0	0	0	0	0	0	0	140,538
41	38	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	10/31/2015	11,482,671	3,965,700	7,516,971	915,772,844	894,282,683	21,490,161	18,000,000	2,417,861	0	2,417,861	400,000	0	0	0	0	0
42	39	MERRILL LYNCH PIERCE FENNER & SMITH INCORPORATED	FCM BD	CBOT	10/31/2015	10,816,777,329	1,553,311,828	9,263,465,501	12,946,460,286	12,655,630,425	290,829,861	200,000,000	3,071,193,231	2,867,081,351	204,111,880	150,000,000	4,616,424,354	4,373,092,285	243,332,069	150,000,000	0
43	40	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	10/31/2015	3,141,974,796	447,454,434	2,694,520,362	1,543,468,769	915,327,285	628,141,484	300,000,000	3,815,396	106,750	3,708,646	1,000,000	0	0	0	0	0
44	41	MID CO COMMODITIES INC	FCM	NFA	10/31/2015	7,796,427	3,465,709	4,330,718	37,315,562	28,825,865	8,489,697	5,138,000	0	0	0	0	0	0	0	0	0
45	42	MINT BROKERS	FCM BD	NFA	10/31/2015	6,181,260	1,000,000	5,181,260	0	0	0	0	0	0	0	0	0	0	0	0	0
46	43	MITSUBISHI UFJ SECURITIES USA INC	FCM BD	NFA	10/31/2015	611,026,577	1,663,072	609,363,505	0	0	0	0	0	0	0	0	0	0	0	0	0
47	44	MIZUHO SECURITIES USA INC	FCM BD SD	CME/NFA	10/31/2015	643,783,276	232,045,775	411,737,501	2,575,277,340	2,375,670,995	199,606,345	125,000,000	853,396,688	756,153,557	97,243,131	70,000,000	30,134,201	4,924,087	25,210,114	15,0	

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87																					
88		Name Changes																			
89		NONE																			
90																					
91		October Web Page Update	73																		
92																					
93		(a): FCM: Futures Commission Merchant that is registered with the Commodity Futures Trading Commission.																			
94		BD: The FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer.																			
95		RFED: Retail Foreign Exchange Dealer that is registered with the Commodity Futures Trading Commission.																			
96		FCMRFD: The FCM is also registered with the Commodity Futures Trading Commission as a Retail Foreign Exchange Dealer.																			
97		SD: The FCM or RFED is also registered with the Commodity Futures Trading Commission as a provisionally registered swap dealer.																			
98																					
99		(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.																			
100																					
101		(c): A firm's net capital requirement is the greater of:																			
102																					
103		• FCM minimum dollar amount (\$1,000,000); or																			
104		• risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk maintenance margin; or																			
105		• the amount of capital required by a registered futures association (currently NFA is the only such association); or																			
106		• for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; or																			
107		• minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000); or																			
108		• 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.																			
109																					
110		(d): Excess net capital is adjusted net capital, less the firm's net capital requirement.																			
111																					
112		(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.																			
113																					
114		(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.																			
115																					
116		(g): Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.																			
117																					
118		(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.																			
119																					
120		(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.																			
121																					
122		(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.																			
123																					
124		(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.																			
125																					
126		(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.																			
127																					
128		(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.																			
129																					
130		(n): This represents the amount of funds an FCM is required to segregate for customers who trade cleared swaps.																			
131																					
132		(o): Excess/Deficient funds in cleared swap customer accounts is funds in separate cleared swap segregation accounts, less the cleared swap customer segregation requirement.																			
133																					
134		(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.																			
135																					
136		(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.																			