

SELECTED FCM FINANCIAL DATA AS OF
Febuary 28, 2013
FROM REPORTS FILED BY
April 5, 2013

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1			Reg As	DSRO	A/O	Adjusted	Net Capital	Excess	Customers'	Customers'	Excess/Deficient	Funds in Separate	Customer	Excess/Deficient	Total Amount
2		Futures Commission Merchant / Retail Foreign Exchange Dealer			Date	Net Capital	Requirement	Net Capital	Assets	Seg Required	Funds in Seg	Section 30.7	Amount Pt. 30	Funds in Separate	of Retail Forex
3									in Seg	4d(a)(2)		Accounts	Required	Section 30.7	Obligation
4														Accounts	
5			(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
6															
7	1	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	2/28/2013	482,737,218	136,336,767	346,400,451	2,729,018,939	2,456,692,258	272,326,681	174,832,425	127,508,479	47,323,946	0
8	2	ADM INVESTOR SERVICES INC	FCM	CBOT	2/28/2013	273,687,257	146,727,005	126,960,252	3,144,321,204	2,901,982,592	242,338,612	202,174,704	135,021,880	67,152,824	0
9	3	ADVANCED MARKETS LLC	FCMRFD	NFA	2/28/2013	20,177,478	20,000,000	177,478	0	0	0	0	0	0	0
10	4	ADVANTAGE FUTURES LLC	FCM	CME	2/28/2013	23,624,197	13,077,685	10,546,512	482,657,369	472,453,720	10,203,649	27,411,377	25,571,576	1,839,801	0
11	5	ALPARI (US) LLC	FCMRFD	NFA	2/28/2013	27,533,436	20,157,231	7,376,205	5,967,562	2,745,606	3,221,956	2,468,966	1,557,211	911,755	13,144,619
12	6	AMERIPRISE FINANCIAL SERVICES INC	FCM BD	NFA	2/28/2013	122,189,853	1,000,000	121,189,853	0	0	0	0	0	0	0
13	7	AMP GLOBAL CLEARING LLC	FCM	NFA	2/28/2013	2,512,756	1,500,000	1,012,756	40,333,077	38,809,550	1,523,527	526,116	372,192	153,924	0
14	8	BARCLAYS CAPITAL INC	FCM BD	NYME	2/28/2013	5,638,506,675	1,037,413,094	4,601,093,581	6,851,436,358	6,610,198,589	241,237,769	3,950,937,284	3,762,493,041	188,444,243	0
15	9	BGC FINANCIAL LP	FCM BD	NFA	2/28/2013	44,105,434	1,924,191	42,181,243	0	0	0	0	0	0	0
16	10	BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NYME	2/28/2013	2,202,926,397	228,094,506	1,974,831,891	2,365,887,214	2,095,770,694	270,116,520	20,824,539	5,205,044	15,619,495	0
17	11	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	2/28/2013	1,853,816,627	121,550,049	1,732,266,578	668,386,135	531,080,769	137,305,366	0	0	0	0
18	12	BNY MELLON CLEARING LLC	FCM	CME	2/28/2013	291,289,568	11,182,735	280,106,833	454,662,378	268,655,739	186,006,639	38,897,465	21,054,805	17,842,660	0
19	13	BOCI COMMODITIES & FUTURES USA LLC	FCM	NFA	2/28/2013	4,956,125	1,000,000	3,956,125	0	0	0	0	0	0	0
20	14	CANTOR FITZGERALD & CO	FCM BD	CBOT	2/28/2013	228,216,093	6,580,583	221,635,510	6,160,409	1,200,522	4,959,887	0	0	0	0
21	15	CAPITAL MARKET SERVICES LLC	FCM	NFA	2/28/2013	2,452,535	1,000,000	1,452,535	0	0	0	0	0	0	0
22	16	CHS HEDGING INC	FCM	CBOT	2/28/2013	26,909,216	13,958,745	12,950,471	215,629,445	190,744,968	24,884,477	1,271,097	286,490	984,607	0
23	17	CITADEL SECURITIES LLC	FCM BD	CME	2/28/2013	400,929,071	1,000,000	399,929,071	0	0	0	0	0	0	0
24	18	CITIGROUP GLOBAL MARKETS INC	FCM BD	CBOT	2/28/2013	6,499,654,783	633,715,262	5,865,939,521	7,627,888,876	7,400,760,969	227,127,907	1,150,745,672	931,398,985	219,346,687	0
25	19	COMMONWEALTH FOREIGN EXCHANGE INC	FCM	NFA	2/28/2013	1,550,954	1,000,000	550,954	0	0	0	0	0	0	0
26	20	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	2/28/2013	8,453,624,218	1,747,700,842	6,705,923,376	7,204,310,852	6,238,576,086	965,734,766	3,107,386,159	2,582,076,314	525,309,845	0
27	21	CROSSLAND LLC	FCM	CBOT	2/28/2013	7,485,900	3,418,800	4,067,100	78,335,891	76,053,723	2,282,168	20,136,018	19,612,123	523,895	0
28	22	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	2/28/2013	2,855,784	1,428,342	1,427,442	78,895,694	77,897,665	998,029	563,551	459,769	103,782	0
29	23	CX CAPITAL MARKETS LLC	FCM BD	NFA	2/28/2013	2,946,797	1,114,651	1,832,146	38,308,093	36,294,871	2,013,222	0	0	0	0
30	24	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	2/28/2013	312,298,321	5,625,776	306,672,545	8,157,622	3,509,321	4,648,301	1,025,585	0	1,025,585	0
31	25	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	2/28/2013	8,402,167,674	687,121,249	7,715,046,425	15,612,494,061	14,991,516,454	620,977,607	1,250,814,829	1,006,236,082	244,578,747	0
32	26	DORMAN TRADING LLC	FCM	CME	2/28/2013	9,970,256	1,698,592	8,271,664	138,005,584	135,041,693	2,963,891	2,601,272	2,220,449	380,823	0
33	27	E D & F MAN CAPITAL MARKETS INC	FCM BD	CME	2/28/2013	14,423,928	2,163,742	12,260,186	39,943,311	33,963,201	5,980,110	663,506	64,703	598,803	0
34	28	E TRADE CLEARING LLC	FCM BD	NFA	2/28/2013	658,308,790	126,964,682	531,344,108	0	0	0	0	0	0	0
35	29	EAGLE MARKET MAKERS INC	FCM	CBOT	2/28/2013	5,456,908	1,000,000	4,456,908	0	0	0	0	0	0	0
36	30	ENSKILDA FUTURES LTD	FCM	CME	2/28/2013	36,469,960	14,564,441	21,905,519	215,143,886	205,849,428	9,294,458	0	0	0	0
37	31	FCSTONE LLC	FCM	CME	2/28/2013	106,806,481	67,086,667	39,719,814	1,474,132,034	1,451,217,243	22,914,791	83,397,280	73,030,327	10,366,953	0
38	32	FOREX CAPITAL MARKETS LLC	FCMRFD	NFA	2/28/2013	48,635,314	26,463,822	22,171,492	0	0	0	0	0	0	139,276,439
39	33	FRIEDBERG MERCANTILE GROUP INC	FCM	NFA	2/28/2013	3,507,607	1,000,000	2,507,607	7,977,973	7,436,782	541,191	1,283,022	1,224,112	58,910	0
40	34	FRONTIER FUTURES INC	FCM	NFA	2/28/2013	1,946,077	1,000,000	946,077	29,679,277	28,992,964	686,313	0	0	0	0
41	35	FX SOLUTIONS LLC	FCMRFD	NFA	2/28/2013	25,014,342	20,164,738	4,849,604	0	0	0	0	0	0	13,294,768
42	36	FXDIRECTDEALER LLC	FCMRFD	NFA	2/28/2013	24,891,262	20,907,054	3,984,208	0	0	0	0	0	0	28,141,088
43	37	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	2/28/2013	33,266,644	24,685,064	8,581,580	125,212,899	120,568,538	4,644,361	3,257,909	2,563,064	694,845	103,701,272
44	38	GH FINANCIALS LLC	FCM	CME	2/28/2013	8,571,536	1,000,000	7,571,536	1,055,593	601,259	454,334	0	0	0	0
45	39	GLOBAL FUTURES & FOREX LTD	FCMRFD	NFA	2/28/2013	4,199,290	20,000,000	(15,800,710)	0	0	0	0	0	0	0
46	40	GOLDMAN SACHS & CO	FCM BD	CBOT	2/28/2013	15,104,292,682	1,848,359,829	13,255,932,853	19,540,858,208	19,048,246,203	492,612,005	8,892,394,698	8,381,536,252	510,858,446	0
47	41	GOLDMAN SACHS EXECUTION & CLEARING LP	FCM BD	CME	2/28/2013	2,039,258,892	109,838,776	1,929,420,116	1,386,869,005	809,422,282	577,446,723	74,422,298	28,018,145	46,404,153	0
48	42	GUGGENHEIM SECURITIES LLC	FCM BD	NFA	2/28/2013	59,089,628	1,252,147	57,837,481	0	0	0	0	0	0	0
49	43	HSBC SECURITIES USA INC	FCM BD	CME	2/28/2013	1,018,272,818	111,030,042	907,242,776	912,549,090	842,260,604	70,288,486	95,101,613	69,739,013	25,362,600	0
50	44	IBFX INC	RFED	NFA	2/28/2013	28,536,063	23,188,243	5,347,820	0	0	0	0	0	0	73,764,855
51	45	INSTINET LLC	FCM BD	NFA	2/28/2013	86,972,806	2,284,328	84,688,478	0	0	0	0	0	0	0
52	46	INSTITUTIONAL LIQUIDITY LLC	FCMRFD	NFA	2/28/2013	34,307,112	20,176,605	14,130,507	0	0	0	0	0	0	13,532,093
53	47	INTERACTIVE BROKERS LLC	FCM BD	NFA	2/28/2013	1,668,535,129	253,179,612	1,415,355,517	2,149,274,091	1,945,344,700	203,929,391	680,163,770	555,956,485	124,207,285	37,079,590
54	48	IRONBEAM INC	FCM	NFA	2/28/2013	2,582,351	1,280,036	1,302,315	50,515,751	49,112,447	1,403,304	110,142	2,602	107,540	0
55	49	ITG DERIVATIVES LLC	FCM BD	NFA	2/28/2013	4,622,504	1,000,000	3,622,504	0	0	0	0	0	0	0
56	50	JEFFERIES BACHE LLC	FCM	CBOT	2/28/2013	243,861,000	158,450,800	85,410,200	2,583,925,000	2,484,650,000	99,275,000	203,206,000	131,346,000	71,860,000	0
57	51	JP MORGAN CLEARING CORP	FCM BD	NFA	2/28/2013	6,577,480,128	1,770,975,217	4,806,504,911	970,045,977	692,546,976	277,499,001	556,026,563	359,724,708	196,301,855	0
58	52	JP MORGAN SECURITIES LLC	FCM BD	CEI	2/28/2013	13,063,109,297	1,543,693,045	11,519,416,252	18,855,206,817	16,845,821,330	2,009,385,487	3,563,516,684	3,230,876,720	332,639,964	0
59	53	KNIGHT CAPITAL AMERICAS LLC	FCM BD	CME	2/28/2013	239,973,971	21,047,954	218,926,017	449,599,974	432,827,200	16,772,774	14,456,540	10,488,227	3,968,313	30,959,080
60	54	LEK SECURITIES CORPORATION	FCM BD	NFA	2/28/2013	10,579,158	1,500,000	9,079,158	7,368,043	5,962,635	1,405,408	0	0	0	0

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	
1			Reg As	DSRO	A/O	Adjusted	Net Capital	Excess	Customers'	Customers'	Excess/Deficient	Funds in Separate	Customer	Excess/Deficient	Total Amount	
2		Futures Commission Merchant / Retail Foreign Exchange Dealer			Date	Net Capital	Requirement	Net Capital	Assets	Seg Required	Funds in Seg	Section 30.7	Amount Pt. 30	Funds in Separate	of Retail Forex	
3									in Seg	4d(a)(2)		Accounts	Required	Section 30.7	Obligation	
4																
5				(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
6																
61	55	LINN GROUP THE	FCM	NFA	2/28/2013	3,309,495	1,944,998	1,364,497	80,992,980	77,416,086	3,576,894	347,802	184	347,618	0	
62	56	LPL FINANCIAL LLC	FCM BD	NFA	2/28/2013	136,880,355	7,332,754	129,547,601	0	0	0	0	0	0	0	
63	57	MACQUARIE FUTURES USA LLC	FCM	CBOT	2/28/2013	121,223,571	85,052,160	36,171,411	1,253,847,935	1,125,103,922	128,744,013	36,291,939	29,828,354	6,463,585	0	
64	58	MAREX NORTH AMERICA LLC	FCM	CME	2/28/2013	8,862,324	6,434,478	2,427,846	83,826,590	78,728,617	5,097,973	5,365,619	4,654,757	710,862	0	
65	59	MAREX USA LIMITED	FCM	NFA	2/28/2013	2,470,958	1,000,000	1,470,958	0	0	0	0	0	0	0	
66	60	MB TRADING FUTURES INC	FCMRFD	NFA	2/28/2013	23,246,183	21,440,815	1,805,368	0	0	0	0	0	0	38,816,309	
67	61	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	2/28/2013	13,363,997	4,284,275	9,079,722	922,310,539	900,970,973	21,339,566	2,650,556	0	2,650,556	0	
68	62	MERRILL LYNCH PIERCE FENNER & SMITH	FCM BD	CBOT	2/28/2013	11,224,933,418	745,582,659	10,479,350,759	8,082,284,641	7,586,658,402	495,626,239	2,657,068,047	2,245,512,350	411,555,697	0	
69	63	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	2/28/2013	1,483,545,076	200,898,005	1,282,647,071	1,756,630,709	1,087,548,678	669,082,031	28,858,776	889,460	27,969,316	0	
70	64	MID CO COMMODITIES INC	FCM	NFA	2/28/2013	9,683,133	4,717,193	4,965,940	38,273,181	29,256,177	9,017,004	682,870	110,378	572,492	0	
71	65	MITSUBISHI UFJ SECURITIES USA INC	FCM BD	NFA	2/28/2013	232,719,754	1,024,166	231,695,588	0	0	0	0	0	0	0	
72	66	MITSUI BUSSAN COMMODITIES USA INC	FCM	NFA	2/28/2013	3,246,345	1,000,000	2,246,345	0	0	0	0	0	0	0	
73	67	MIZUHO SECURITIES USA INC	FCM BD	CME	2/28/2013	454,693,896	178,687,107	276,006,789	2,039,384,621	1,840,943,001	198,441,620	465,143,297	361,549,758	103,593,539	0	
74	68	MORGAN KEEGAN & COMPANY INC	FCM BD	NFA	2/28/2013	235,940,879	1,500,000	234,440,879	0	0	0	0	0	0	0	
75	69	MORGAN STANLEY & CO LLC	FCM BD	CME	2/28/2013	8,485,469,319	1,465,560,237	7,019,909,082	7,786,486,351	7,578,719,235	207,767,116	1,966,135,093	1,760,390,390	205,744,703	0	
76	70	MORGAN STANLEY SMITH BARNEY LLC	FCM BD	NFA	2/28/2013	2,842,994,843	130,595,801	2,712,399,042	705,601,438	641,878,871	63,722,567	76,412,747	69,549,596	6,863,151	0	
77	71	NATIXIS SECURITIES AMERICAS LLC	FCM BD	NFA	2/28/2013	379,389,785	1,546,657	377,843,128	0	0	0	0	0	0	0	
78	72	NEUBERGER BERMAN LLC	FCM BD	NFA	2/28/2013	68,139,100	1,500,000	66,639,100	0	0	0	0	0	0	0	
79	73	NEWEDGE USA LLC	FCM BD	NYME	2/28/2013	1,968,093,067	1,016,128,487	951,964,580	14,922,357,082	14,322,205,924	600,151,158	4,016,066,746	3,546,873,884	469,192,862	0	
80	74	NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	2/28/2013	2,409,843,944	27,314,918	2,382,529,026	59,974,018	39,323,234	20,650,784	26,475,875	20,839,631	5,636,244	0	
81	75	OANDA CORPORATION	FCMRFD	NFA	2/28/2013	144,761,575	26,889,674	117,871,901	0	0	0	0	0	0	147,793,471	
82	76	OMAHA CAPITAL GROUP LLC	FCM	NFA	2/28/2013	1,068,727	1,000,000	68,727	0	0	0	0	0	0	0	
83	77	OPPENHEIMER & CO INC	FCM BD	NFA	2/28/2013	147,951,381	23,939,036	124,012,345	45,119,107	32,992,544	12,126,563	0	0	0	0	
84	78	OPTIONSXPRESS INC	FCM BD	NFA	2/28/2013	91,008,048	5,996,420	85,011,628	109,957,830	87,955,600	22,002,230	4,735,293	2,199,052	2,536,241	0	
85	79	PHILLIP FUTURES INC	FCM	CME	2/28/2013	27,350,066	20,000,000	7,350,066	212,344,803	187,162,837	25,181,966	810,019	426,548	383,471	0	
86	80	PIONEER FUTURES INC	FCM	NFA	2/28/2013	1,750,930	1,000,000	750,930	3,452,592	3,252,768	199,824	50,000	0	50,000	0	
87	81	RAND FINANCIAL SERVICES INC	FCM	CME	2/28/2013	77,405,129	19,529,226	57,875,903	384,688,400	343,809,600	40,878,800	37,828,600	15,813,700	22,014,900	0	
88	82	RAYMOND JAMES & ASSOCIATES INC	FCM BD	NFA	2/28/2013	344,727,005	36,486,852	308,240,153	0	0	0	0	0	0	0	
89	83	RBC CAPITAL MARKETS LLC	FCM BD	CME	2/28/2013	1,462,691,283	111,359,264	1,351,332,019	913,401,330	855,503,693	57,897,637	138,490,227	102,099,348	36,390,879	0	
90	84	RBS SECURITIES INC	FCM BD	CBOT	2/28/2013	4,109,747,671	144,120,784	3,965,626,887	1,632,810,501	1,488,566,207	144,244,294	153,342,758	35,322,857	118,019,901	0	
91	85	RJ OBRIEN ASSOCIATES LLC	FCM	CME	2/28/2013	214,842,725	134,490,101	80,352,624	4,034,939,775	3,917,130,464	117,809,311	190,330,793	165,845,705	24,485,088	1,619,725	
92	86	ROSENTHAL COLLINS GROUP LLC	FCM	CME	2/28/2013	74,741,409	54,062,362	20,679,047	1,471,711,706	1,450,439,478	21,272,228	47,258,355	36,666,460	10,591,895	0	
93	87	SANFORD C BERNSTEIN & CO LLC	FCM BD	NFA	2/28/2013	141,534,279	17,456,694	124,077,585	0	0	0	0	0	0	0	
94	88	SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	2/28/2013	254,448,777	8,417,628	246,031,149	614,644,159	612,338,615	2,305,544	0	0	0	0	
95	89	STATE STREET GLOBAL MARKETS LLC	FCM BD	CME	2/28/2013	499,429,607	7,901,179	491,528,428	263,062,312	107,795,723	155,266,589	47,635,117	8,371,584	39,263,533	0	
96	90	STEPHENS INC	FCM BD	NFA	2/28/2013	104,941,570	11,905,691	93,035,879	0	0	0	0	0	0	0	
97	91	STRAITS FINANCIAL LLC	FCM	CME	2/28/2013	9,424,197	2,621,027	6,803,170	93,627,885	89,219,575	4,408,310	21,035,030	19,248,412	1,786,618	0	
98	92	TD AMERITRADE INC	FCM BD	NFA	2/28/2013	216,409,576	7,977,657	208,431,919	161,928,707	98,316,652	63,612,055	0	0	0	0	
99	93	TIMBER HILL LLC	FCM BD	CME	2/28/2013	356,922,764	49,985,673	306,937,091	665,056,001	662,530,497	2,525,504	0	0	0	0	
100	94	TRADELINK LLC	FCM BD	CBOT	2/28/2013	14,354,161	1,000,000	13,354,161	0	0	0	0	0	0	0	
101	95	TRADESTATION SECURITIES INC	FCM BD	NFA	2/28/2013	46,292,952	3,023,598	43,269,354	402,565,389	392,599,472	9,965,917	15,365,576	14,330,978	1,034,598	0	
102	96	TULLETT PREBON FINANCIAL SERVICES LLC	FCM BD	NFA	2/28/2013	24,963,605	1,000,000	23,963,605	0	0	0	0	0	0	0	
103	97	UBS FINANCIAL SERVICES INC	FCM BD	NFA	2/28/2013	1,117,587,113	104,173,059	1,013,414,054	129,643,188	104,095,449	25,547,739	25,467,521	1,061,562	24,405,959	0	
104	98	UBS SECURITIES LLC	FCM BD	CBOT	2/28/2013	11,333,464,715	942,212,128	10,391,252,587	9,448,298,709	8,787,477,018	660,821,691	4,124,512,307	3,714,347,229	410,165,078	0	
105	99	VELOCITY FUTURES LLC	FCM	NFA	2/28/2013	1,351,662	1,000,000	351,662	65,354,729	64,564,436	790,293	2,080,445	1,364,054	716,391	0	
106	100	VISION FINANCIAL MARKETS LLC	FCM BD	CME	2/28/2013	29,723,946	16,192,482	13,531,464	644,437,630	627,607,486	16,830,144	12,671,442	9,684,242	2,987,200	0	
107	101	WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	FCM BD	NFA	2/28/2013	40,162,297	1,000,000	39,162,297	0	0	0	0	0	0	0	
108	102	WELLS FARGO ADVISORS LLC	FCM BD	NFA	2/28/2013	1,354,981,914	1,500,000	1,353,481,914	0	0	0	0	0	0	0	
109	103	WELLS FARGO SECURITIES LLC	FCM BD	CME	2/28/2013	1,948,685,140	23,098,666	1,925,586,474	0	0	0	0	0	0	0	
110	104	WHITE COMMERCIAL CORPORATION	FCM	NFA	2/28/2013	2,391,710	1,000,000	1,391,710	0	0	0	0	0	0	0	
111	105	XCHANGE FINANCIAL ACCESS LLC	FCM BD	NFA	2/28/2013	2,992,919	1,000,000	1,992,919	0	0	0	0	0	0	0	
112	106	XPRESSTRADE LLC	RFED	NFA	2/28/2013	22,865,192	20,000,000	2,865,192	0	0	0	0	0	0	504,129	
113	107	YORK BUSINESS ASSOCIATES LLC	FCM	NFA	2/28/2013	3,544,056	1,000,000	2,544,056	61,842,789	59,828,120	2,014,669	2,327,959	1,845,021	482,938	0	
114																
115																

SELECTED FCM FINANCIAL DATA AS OF
Februay 28, 2013
FROM REPORTS FILED BY
April 5, 2013

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1		Futures Commission Merchant / Retail Foreign Exchange Dealer	Reg As	DSRO	A/O	Adjusted	Net Capital	Excess	Customers'	Customers'	Excess/Deficient	Funds in Separate	Customer	Excess/Deficient	Total Amount
2					Date	Net Capital	Requirement	Net Capital	Assets	Seg Required	Funds in Seg	Section 30.7	Amount Pt. 30	Funds in Separate	of Retail Forex
3									in Seg	4d(a)(2)		Accounts	Required	Section 30.7	Obligation
4														Accounts	
5			(a)	(b)			(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
6															
135		(a): FCM: Futures Commission Merchant that is registered with the Commodity Futures Trading Commission;													
136		BD: The FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer;													
137		RFED: Retail Foreign Exchange Dealer that is registered with the Commodity Futures Trading Commission;													
138		FCMRFD: The FCM is also registered with the Commodity Futures Trading Commission as a Retail Foreign Exchange Dealer.													
139															
140		(b): DSRO: Designated Self-Regulatory Organization.													
141															
142		(c): A firm's net capital requirement is the greater of:													
143															
144		• FCM minimum dollar amount (\$1,000,000); or													
145		• risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 8% of total non-customer risk maintenance margin; or													
146		• the amount of capital required by a registered futures association (currently NFA is the only such association); or													
147		• for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission; or													
148		• minimum dollar amount for FCM's offering or engaged in retail forex transactions and RFEDs (\$20,000,000); or													
149		• 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.													
150															
151		(d): Excess net capital is adjusted net capital, less the firm's net capital requirement.													
152															
153		(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.													
154															
155		(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.													
156															
157		(g): Excess/Deficient funds in segregation is customer assets in segregation, less the customer segregation requirement.													
158															
159		(h): 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.													
160															
161		(i): 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.													
162															
163		(j): Excess/Deficient funds in separate Section 30.7 accounts is funds in separate Section 30.7 accounts, less the customer amount Part 30 requirement.													
164															
165		(k): 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.													