

SELECTED FCM FINANCIAL DATA AS OF

August 31, 2011

FROM REPORTS FILED BY

	Reg As of	October 2, 2011	NO	Adjusted	Net Capital	Excess	
Futures Commission Merchant / Retail Foreign Exchange Dealer			Date	Net Capital	Requirement	Net Capital	
	(a)	(b)			(c)	(d)	
1	GOLDMAN SACHS & CO	FCM BD	CBOT	08/31/2011	11,521,415,951	2,130,582,972	9,390,832,979
2	NEWEDGE USA LLC	FCM BD	NYME	08/31/2011	2,208,154,006	1,455,692,649	752,461,357
3	JP MORGAN SECURITIES LLC	FCM BD	CEI	08/31/2011	11,521,546,158	1,659,851,070	9,861,695,088
4	DEUTSCHE BANK SECURITIES INC	FCM BD	CBOT	08/31/2011	6,632,401,414	658,952,826	5,973,448,588
5	CITIGROUP GLOBAL MARKETS INC	FCM BD	CBOT	08/31/2011	7,524,807,904	765,571,113	6,759,236,791
6	MERRILL LYNCH PIERCE FENNER & SMITH	FCM BD	CBOT	08/31/2011	10,217,583,783	908,834,034	9,308,749,749
7	UBS SECURITIES LLC	FCM BD	CBOT	08/31/2011	10,947,812,161	1,101,711,750	9,846,100,411
8	MF GLOBAL INC	FCM BD	CME	08/31/2011	495,665,616	328,485,943	167,179,673
9	BARCLAYS CAPITAL INC	FCM BD	NYME	08/31/2011	5,285,030,252	928,636,954	4,356,393,298
10	CREDIT SUISSE SECURITIES (USA) LLC	FCM BD	CBOT	08/31/2011	9,315,494,983	1,036,628,495	8,278,866,488
11	MORGAN STANLEY & CO LLC	FCM BD	CME	08/31/2011	6,685,669,923	1,119,493,330	5,566,176,593
12	JEFFERIES BACHE LLC	FCM	CBOT	08/31/2011	248,824,000	207,488,560	41,335,440
13	RJ OBRIEN ASSOCIATES LLC	FCM	CME	08/31/2011	165,942,254	109,830,025	56,112,229
14	ADM INVESTOR SERVICES INC	FCM	CBOT	08/31/2011	263,524,720	142,746,603	120,778,117
15	RBS SECURITIES INC	FCM BD	CBOT	08/31/2011	2,417,786,700	295,179,160	2,122,607,540
16	ABN AMRO CLEARING CHICAGO LLC	FCM BD	CBOT	08/31/2011	224,042,543	125,289,029	98,753,514
17	MERRILL LYNCH PROFESSIONAL CLEARING CORP	FCM BD	NFA	08/31/2011	2,415,174,047	190,956,424	2,224,217,623
18	ROSENTHAL COLLINS GROUP LLC	FCM	CME	08/31/2011	71,118,764	46,060,126	25,058,638
19	FCSTONE LLC	FCM	CME	08/31/2011	108,894,653	66,835,492	42,059,161
20	BNP PARIBAS COMMODITY FUTURES INC	FCM	NYME	08/31/2011	352,455,839	231,230,756	121,225,083
21	HSBC SECURITIES USA INC	FCM BD	CME	08/31/2011	1,026,259,699	121,010,280	905,249,419
22	GOLDMAN SACHS EXECUTION & CLEARING LP	FCM BD	CME	08/31/2011	1,703,161,024	179,346,333	1,523,814,691
23	MACQUARIE FUTURES USA INC	FCM	CBOT	08/31/2011	132,372,973	68,715,359	63,657,614
24	MIZUHO SECURITIES USA INC	FCM BD	CME	08/31/2011	321,444,803	103,021,916	218,422,887
25	PENSON FINANCIAL SERVICES INC	FCM BD	CBOT	08/31/2011	191,148,644	33,100,070	158,048,574
26	MCVEAN TRADING & INVESTMENTS LLC	FCM	NFA	08/31/2011	14,107,093	2,732,001	11,375,092
27	INTERACTIVE BROKERS LLC	FCM BD	NFA	08/31/2011	1,330,144,274	176,466,708	1,153,677,566
28	TIMBER HILL LLC	FCM BD	CME	08/31/2011	876,232,874	54,457,279	821,775,595
29	MORGAN STANLEY SMITH BARNEY LLC	FCM BD	NFA	08/31/2011	1,036,306,870	38,917,977	997,388,893
30	JP MORGAN CLEARING CORP	FCM BD	CME	08/31/2011	7,111,917,575	1,983,122,453	5,128,795,122
31	BNY MELLON CLEARING LLC	FCM	CME	08/31/2011	300,707,001	40,045,329	260,661,672
32	BNP PARIBAS SECURITIES CORP	FCM BD	CBOT	08/31/2011	2,002,795,270	84,144,465	1,918,650,805
33	ADVANTAGE FUTURES LLC	FCM	CME	08/31/2011	18,983,125	9,588,140	9,394,985
34	SANTANDER INVESTMENT SECURITIES INC	FCM BD	NYME	08/31/2011	224,487,717	14,169,209	210,318,508
35	TRADESTATION SECURITIES INC	FCM BD	NFA	08/31/2011	58,390,273	2,556,652	55,833,621
36	RBC CAPITAL MARKETS LLC	FCM BD	CME	08/31/2011	1,159,503,935	87,452,235	1,072,051,700
37	PEREGRINE FINANCIAL GROUP INC	FCM	NFA	08/31/2011	35,922,896	21,199,593	14,723,303
38	VISION FINANCIAL MARKETS LLC	FCM BD	CME	08/31/2011	27,969,471	8,964,130	19,005,341
39	ENSKILDA FUTURES LTD	FCM	CME	08/31/2011	29,578,677	22,897,974	6,680,703
40	TENCO INC	FCM	CBOT	08/31/2011	61,508,561	8,359,439	53,149,122
41	COUNTRY HEDGING INC	FCM	NFA	08/31/2011	20,765,251	17,014,424	3,750,827
42	RAND FINANCIAL SERVICES INC	FCM	CME	08/31/2011	74,673,034	17,183,293	57,489,741
43	UBS FINANCIAL SERVICES INC	FCM BD	NFA	08/31/2011	1,426,293,972	127,441,001	1,298,852,971
44	DORMAN TRADING LLC	FCM	CME	08/31/2011	9,615,781	1,123,216	8,492,565
45	OPTIONSXPRESS INC	FCM BD	NFA	08/31/2011	79,565,119	13,822,249	65,742,870
46	OPEN E CRY LLC	FCM	NFA	08/31/2011	3,319,394	1,000,000	2,319,394
47	VELOCITY FUTURES LLC	FCM	NFA	08/31/2011	1,901,168	1,000,000	901,168

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	(a)	(b)			(c)	(d)	
48	NOMURA SECURITIES INTERNATIONAL INC	FCM BD	CBOT	08/31/2011	2,122,533,472	23,011,104	2,099,522,368
49	YORK BUSINESS ASSOCIATES LLC	FCM	NFA	08/31/2011	3,400,473	1,000,000	2,400,473
50	MAREX NORTH AMERICA LLC	FCM	CME	08/31/2011	8,115,570	4,940,877	3,174,693
51	MBF CLEARING CORP	FCM	NYME	08/31/2011	8,187,728	1,000,000	7,187,728
52	STATE STREET GLOBAL MARKETS LLC	FCM BD	CME	08/31/2011	425,238,397	7,685,741	417,552,656
53	MID CO COMMODITIES INC	FCM	NFA	08/31/2011	12,336,128	6,757,816	5,578,312
54	CROSSLAND LLC	FCM	CBOT	08/31/2011	11,640,364	2,343,473	9,296,891
55	CUNNINGHAM COMMODITIES LLC	FCM	CBOT	08/31/2011	3,380,443	1,189,922	2,190,521
56	PHILLIP FUTURES INC	FCM	CME	08/31/2011	9,787,785	1,103,086	8,684,699
57	IRONBEAM INC	FCM	NFA	08/31/2011	3,036,135	1,000,000	2,036,135
58	LINN GROUP THE	FCM	NFA	08/31/2011	2,264,410	1,000,000	1,264,410
59	FRONTIER FUTURES INC	FCM	NFA	08/31/2011	1,889,785	1,007,683	882,102
60	AMP GLOBAL CLEARING LLC	FCM	NFA	08/31/2011	1,566,004	1,000,000	566,004
61	OPPENHEIMER & CO INC	FCM BD	NFA	08/31/2011	164,082,477	24,429,076	139,653,401
62	CX CAPITAL MARKETS LLC	FCM	NFA	08/31/2011	3,564,275	1,000,000	2,564,275
63	STRAITS FINANCIAL LLC	FCM	CME	08/31/2011	7,558,514	1,000,000	6,558,514
64	FRIEDBERG MERCANTILE GROUP INC	FCM	NFA	08/31/2011	3,409,166	1,000,000	2,409,166
65	IKON GLOBAL MARKETS INC	FCM	NFA	08/31/2011	17,183,731	1,000,000	16,183,731
66	DAIWA CAPITAL MARKETS AMERICA INC	FCM BD	CME	08/31/2011	314,955,126	1,984,210	312,970,916
67	LEK SECURITIES CORPORATION	FCM BD	NFA	08/31/2011	8,857,117	1,704,596	7,152,521
68	CANTOR FITZGERALD & CO	FCM BD	CBOT	08/31/2011	315,880,161	8,208,216	307,671,945
69	PENSON FUTURES	FCM	NFA	08/31/2011	2,152,683	1,000,000	1,152,683
70	EAGLE MARKET MAKERS INC	FCM	CBOT	08/31/2011	6,262,988	1,000,000	5,262,988
71	GLOBAL FUTURES & FOREX LTD	FCMRFD	NFA	08/31/2011	79,587,191	24,087,728	55,499,463
72	ALPARI (US) LLC	FCMRFD	NFA	08/31/2011	25,503,068	20,041,466	5,461,602
73	ADVANCED MARKETS LLC	FCMRFD	NFA	08/31/2011	20,444,262	20,000,000	444,262
74	ALLIANZ GLOBAL INVESTORS DISTRIBUTORS LLC *	FCM BD	NFA	06/30/2011	84,773,980	4,227,112	80,546,868
75	AMERIPRISE FINANCIAL SERVICES INC	FCM BD	NFA	08/31/2011	172,489,373	1,000,000	171,489,373
76	BGC FINANCIAL LP	FCM BD	NFA	08/31/2011	61,377,251	1,000,000	60,377,251
77	BNP PARIBAS PRIME BROKERAGE INC	FCM BD	NFA	08/31/2011	1,878,339,439	379,429,856	1,498,909,583
78	CAPITAL MARKET SERVICES LLC	FCM	NFA	08/31/2011	2,003,138	1,000,000	1,003,138
79	CIBC WORLD MARKETS CORP	FCM BD	CME	08/31/2011	412,138,325	1,500,000	410,638,325
80	CITADEL SECURITIES LLC	FCM BD	CME	08/31/2011	481,222,816	1,000,000	480,222,816
81	COMMONWEALTH FOREIGN EXCHANGE INC	FCM	NFA	08/31/2011	2,183,043	1,000,000	1,183,043
82	COMPASS PROFESSIONAL SERVICES LLC	FCM BD	NFA	08/31/2011	3,977,205	1,000,000	2,977,205
83	EASY FOREX US LTD	FCM	NFA	08/31/2011	1,769,266	1,000,000	769,266
84	FOREX CAPITAL MARKETS LLC	FCMRFD	NFA	08/31/2011	79,608,011	26,763,209	52,844,802
85	FOREX CLUB LLC	FCMRFD	NFA	08/31/2011	22,988,102	22,000,000	988,102
86	FUTURES TECH LLC	FCM	NFA	08/31/2011	1,591,719	1,000,000	591,719
87	FX SOLUTIONS LLC	FCMRFD	NFA	08/31/2011	37,704,280	20,366,275	17,338,005
88	FXDIRECTDEALER LLC	FCMRFD	NFA	08/31/2011	34,170,782	21,187,849	12,982,933
89	GAIN CAPITAL GROUP LLC	FCMRFD	NFA	08/31/2011	53,909,111	24,390,994	29,518,117
90	GUGGENHEIM SECURITIES LLC	FCM BD	NFA	08/31/2011	49,206,126	2,672,277	46,533,849
91	ICAP CORPORATES LLC	FCM BD	NFA	08/31/2011	48,362,874	1,000,000	47,362,874
92	ICAP FUTURES LLC	FCM	NFA	08/31/2011	7,434,046	1,000,000	6,434,046
93	INSTINET LLC	FCM BD	NFA	08/31/2011	118,806,165	1,296,637	117,509,528
94	INSTITUTIONAL LIQUIDITY LLC	FCMRFD	NFA	08/31/2011	20,806,478	20,000,000	806,478

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		October 2, 2011	October 2, 2011				
		(a)	(b)				
95	INTEGRATED BROKERAGE SERVICES LLC	FCM	NFA	08/31/2011	1,631,911	1,000,000	631,911
96	INTERBANK FX LLC	FCMRFD	NFA	08/31/2011	24,888,314	21,081,188	3,807,126
97	ITG DERIVATIVES LLC	FCM BD	NFA	08/31/2011	2,461,655	1,000,000	1,461,655
98	JEFFERIES & COMPANY INC	FCM BD	NFA	08/31/2011	762,729,404	56,802,445	705,926,959
99	LIMESTONE TRADING LLC	FCM	NFA	08/31/2011	2,190,022	1,000,000	1,190,022
100	LPL FINANCIAL LLC	FCM BD	NFA	08/31/2011	145,179,449	6,266,145	138,913,304
101	MAREX USA LIMITED	FCM	NFA	08/31/2011	2,683,547	1,000,000	1,683,547
102	MB TRADING FUTURES INC	FCMRFD	NFA	08/31/2011	26,366,656	21,141,410	5,225,246
103	MITSUBISHI UFJ SECURITIES USA INC	FCM BD	NFA	08/31/2011	108,908,005	1,461,579	107,446,426
104	MITSUMI BUSSAN COMMODITIES USA INC	FCM	NFA	08/31/2011	2,981,295	1,000,000	1,981,295
105	MORGAN KEEGAN & COMPANY INC	FCM BD	NFA	08/31/2011	453,036,240	8,399,364	444,636,876
106	NATIXIS SECURITIES NORTH AMERICA INC	FCM BD	NFA	08/31/2011	214,261,018	1,000,000	213,261,018
107	NEUBERGER BERMAN LLC	FCM BD	NFA	08/31/2011	47,954,140	1,500,000	46,454,140
108	OANDA CORPORATION	FCMRFD	NFA	08/31/2011	157,069,503	27,573,894	129,495,609
109	PIONEER FUTURES INC	FCM	NFA	08/31/2011	3,181,608	1,000,000	2,181,608
110	RAYMOND JAMES & ASSOCIATES INC	FCM BD	NFA	08/31/2011	434,295,925	30,604,913	403,691,012
111	ROSENTHAL GLOBAL SECURITIES LLC	FCM BD	NFA	08/31/2011	42,480,711	1,000,000	41,480,711
112	SANFORD C BERNSTEIN & CO LLC	FCM BD	NFA	08/31/2011	178,661,142	13,641,849	165,019,293
113	STEPHENS	FCM BD	NFA	08/31/2011	76,008,021	13,615,787	62,392,234
114	STERLING COMMODITIES CORP	FCM	NFA	08/31/2011	4,143,072	1,000,000	3,143,072
115	TCA FUTURES LLC	FCM	NFA	08/31/2011	1,598,611	1,000,000	598,611
116	TD AMERITRADE INC	FCM BD	NFA	08/31/2011	367,642,606	1,000,000	366,642,606
117	TOWER RESEARCH CAPITAL EUROPE LLC	FCM	NFA	08/31/2011	1,547,117	1,000,000	547,117
118	TRADELINK LLC	FCM BD	CBOT	08/31/2011	35,250,005	1,000,000	34,250,005
119	TRADESTATION FOREX INC	RFED	NFA	08/31/2011	24,638,534	21,366,830	3,271,704
120	TRADITION SECURITIES AND FUTURES INC	FCM	NFA	08/31/2011	1,542,288	1,000,000	542,288
121	WALL STREET DERIVATIVES INC	FCM	NFA	08/31/2011	1,477,897	1,000,000	477,897
122	WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	FCM BD	NFA	08/31/2011	53,738,006	4,178,999	49,559,007
123	WELLS FARGO ADVISORS LLC	FCM BD	NFA	08/31/2011	848,868,046	1,500,000	847,368,046
124	WELLS FARGO SECURITIES LLC	FCM BD	CME	08/31/2011	1,909,474,162	13,659,425	1,895,814,737
125	WHITE COMMERCIAL CORPORATION	FCM	NFA	08/31/2011	2,668,191	1,000,000	1,668,191
126	XPRESSTRADE LLC	RFED	NFA	08/31/2011	22,865,434	20,000,000	2,865,434
	Totals						
	July Web Page Update	125					
	Additions	2					
	BNP PARIBAS PRIME BROKERAGE INC						
	PENSON FINANCIAL SERVICES INC						
	Deletions	1					
	TRILAND USA INC						
	Name Change						
	None						

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Futures Commission Merchant / Retail Foreign Exchange Dealer	Reg As of	Date	Adjusted Net Capital	Net Capital Requirement	Excess Net Capital
	(a)	(b)		(c)	(d)
August Web Page Update	126				
*Allianz Global Investors Distributors LLC files financial statements quarterly.					
(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.					
(b): DSRO: Designated Self-Regulatory Organization.					
(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 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					
(f): 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.					
(g): 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 ac					
Note: Any comments regarding information contained in this table may be brought to the attention of the CFTC's Division of Swap Dealer and Intermediary Oversight via e-mail: DCIO@cftc.gov					

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Customers' Seg Required 4d(a)(2) (e)	October 2, 2011 Amount Pt. 30 Required (f)	Total Amount of Retail Forex Obligation (g)
23,166,714,363	9,361,867,066	0
22,348,933,866	6,962,103,616	0
18,400,680,463	2,485,229,167	0
16,139,481,230	1,637,822,978	0
10,968,517,016	1,963,241,919	0
10,375,631,292	3,364,815,592	0
9,845,853,959	5,383,509,589	0
7,270,301,248	722,852,077	0
6,530,637,467	2,804,666,657	0
6,243,706,980	2,041,688,676	0
5,586,486,618	2,078,950,067	0
3,257,918,000	283,546,000	0
2,777,662,134	82,413,509	3,257,564
2,680,225,686	109,796,344	0
2,181,456,842	116,444,635	0
1,987,735,015	296,518,282	0
1,577,810,652	58,344,081	0
1,477,750,577	20,420,330	0
1,352,422,500	23,103,797	3,703,491
1,306,765,337	547,480,160	0
1,248,362,969	121,381,326	0
1,247,352,652	41,007,827	0
1,110,283,222	62,446,639	0
885,739,182	506,034,885	0
867,775,264	35,403,831	0
864,365,828	0	0
789,299,515	241,706,430	0
633,344,713	0	0
622,547,356	2,005,852,464	0
571,486,249	519,879,152	0
500,259,042	0	0
460,301,535	0	0
437,139,264	38,166,284	0
432,041,515	0	0
421,542,431	9,523,579	0
419,595,870	27,273,785	0
410,835,847	27,129,986	33,991,858
360,781,068	9,222,600	0
350,633,728	0	0
267,767,842	0	0
217,627,303	1,186,882	0
207,273,400	28,240,900	0
175,966,344	424,682	0
112,839,476	1,550,369	0
96,584,128	2,934,199	0
81,526,403	2,879,791	0
80,465,444	16,813,785	0

