

2010 RANK		Data as of	2010 Customer equity (millions) [1]	2009 Rank	2009 Customer equity (millions) [1]	2010 Adjusted net capital (millions) [2]	2010 Secured amount (millions) [3]	Broker/Dealer (Y/N)	2010 Non-US customer equity (millions) [4]	2010 Global clearing volume (millions) [5]	Retail/Institutional	Managed Funds (Y/N)
1	Goldman Sachs & Co. [6]	09/30/2010	20,699.80	2	18,150.47	12,491.46	6,763.36	Y	DND	DND	I	N
2	Newedge USA, LLC	09/30/2010	20,117.84	1	18,504.16	2,449.69	6,235.29	Y	DND	DND	I	N
3	J.P. Morgan Futures Inc. [7]	09/30/2010	15,997.00	3	14,504.43	14,791.10	1,991.10	N	DND	DND	I	Y
4	Deutsche Bank Securities Inc.	09/30/2010	11,344.53	4	10,838.53	6,838.50	1,261.14	Y	***	***	I	N
5	Citigroup Global Markets Inc.	09/30/2010	10,222.46	5	10,735.79	8,994.87	1,326.18	Y	DND	DND	Both	Y
6	Merrill Lynch Pierce Fenner & Smith [8]	09/30/2010	10,106.92	7	9,501.65	7,584.78	1,892.62	Y	DND	DND	Both	Y
7	UBS Securities LLC [9]	09/30/2010	9,911.61	6	10,605.82	11,834.37	4,470.11	Y	***	***	I	N
8	MF Global Inc.	09/30/2010	8,622.33	8	7,498.93	631.49	551.78	Y	DND	1,676.00	Both	Y
9	Morgan Stanley & Co. Incorporated [10]	09/30/2010	5,316.60	9	4,606.33	9,454.00	3,375.00	Y	6,000.00	335.00	Y	Y
10	Credit Suisse Group AG	09/30/2010	4,962.30	11	3,690.73	10,025.62	1,657.56	Y	***	***	Both	Y
11	Barclays Capital Inc.	09/30/2010	4,497.62	10	4,341.08	6,490.88	1,865.77	Y	DND	DND	Both	N
12	Prudential Bache Commodities LLC	09/30/2010	2,550.24	12	2,599.41	213.17	261.24	N	351.24	3,150.24	I	Y
13	ADM Investor Services, Inc.	09/30/2010	2,244.33	14	1,960.26	193.12	48.77	N	DND	41.82	Both	Y
14	R.J. O'Brien & Associates	09/30/2010	1,806.47	13	2,026.95	120.25	55.14	N	DND	DND	Both	Y
15	RBS Securities Inc.	09/30/2010	1,516.31	16	1,298.01	1,785.01	51.17	Y	***	***	I	N
16	ABN AMRO Clearing Chicago LLC [11]	09/30/2010	1,376.14	18	1,066.30	211.92	185.62	Y	DND	DND	I	N
17	Rosenthal Collins Group LLC [12]	09/30/2010	1,335.29	17	1,232.09	71.63	28.55	N	DND	DND	Both	Y
18	FC Stone LLC	09/30/2010	1,162.42	19	799.07	78.33	12.27	N	***	***	Both	Y
19	BNP Paribas Commodity Futures, Inc.	09/30/2010	1,147.76	15	1,300.84	368.56	377.34	N	DND	51.40	I	N
20	Interactive Brokers LLC [13]	09/30/2010	1,098.44	26	624.09	926.84	190.99	Y	DND	5.37	Both	N
21	Macquarie Futures USA Inc.	09/30/2010	787.23	22	658.59	2,246.98	15.56	N	3,100.00	78.00	Both	N
22	HSBC Securities USA Inc.	09/30/2010	787.16	23	603.92	74.23	72.21	Y	***	***	I	N
23	Mizuho Securities USA Inc	09/30/2010	736.69	20	709.49	1,103.65	333.77	Y	DND	DND	I	Y
24	McVean Trading & Investments, LLC	09/30/2010	641.63	24	559.72	456.39	0.00	N	DND	DND	Both	Y
25	Penon Futures	09/30/2010	615.88	25	399.14	11.34	25.19	N	DND	115.00	Both	Y
26	PFGBEST	09/30/2010	444.02	27	331.88	34.77	26.76	N	42.09	5.64	Both	Y
27	Tradestation Securities Inc.	09/30/2010	387.29	NA	NA	71.92	1.43	Y				
28	RBC Capital Markets	09/30/2010	384.07	21	675.07	999.35	83.30	Y	***	***	I	N
29	Vision Financial Markets LLC	09/30/2010	361.39	30	281.00	22.17	7.25	Y	DND	2.23	Both	Y
30	Advantage Futures LLC	09/30/2010	281.89	29	288.30	19.39	44.49	N	DND	238.75	Both	Y
31	Enskilda Futures Limited	09/30/2010	275.98	31	264.80	29.61	0.00	N	DND	DND	I	N
32	TENCO Inc.	09/30/2010	270.92	32	155.07	53.55	0.00	N	***	***	I	N
33	Triland USA, Inc.	09/30/2010	229.07	33	137.61	23.02	19.25	N	90.46	3,139.99	I	Y
34	Rand Financial Services, Inc.	09/30/2010	211.41	34	115.55	70.10	38.88	N	DND	10.95	Both	Y
35	Country Hedging, Inc.	09/30/2010	187.14	35	100.87	20.51	0.01	N	DND	DND	Both	N
36	optionsXpress, Inc. [14]	09/30/2010	161.53	38	120.97	122.46	1.65	Y	DND	DND	Both	N
37	Nomura Securities International Inc.	09/30/2010	92.67	NA	NA	1,163.85	3.45	Y				
38	Dorman Trading, LLC	09/30/2010	91.31	36	91.34	6.44	0.50	N	1.50	27.50	Both	Y
39	MBF Clearing Corp.	09/30/2010	74.76	37	80.34	11.10	6.45	N	12.248	29.12	Both	N
40	TransAct Futures	09/30/2010	63.15	NA	NA	2.04	1.59	N				
41	Mid-Co Commodities Inc.	09/30/2010	60.28	48	20.13	9.43	0.00	N	***	***	***	***
42	Velocity Futures, LLC	09/30/2010	57.62	41	42.54	1.82	6.99	N	3.00	114.00	Both	N
43	Sterling Commodities Corporation	09/30/2010	52.14	46	28.58	7.89	0.29	N	***	***	***	***
44	Crossland LLC	09/30/2010	47.95	39	59.91	8.18	20.62	N	***	***	Both	Y
45	Cunningham Commodities, LLC	09/30/2010	38.53	43	32.49	3.34	0.02	N	***	***	***	***
46	Farr Financial Inc.	09/30/2010	37.84	42	32.82	1.90	0.04	N	DND	DND	Both	N
47	Frontier Futures Inc.	09/30/2010	33.17	47	26.51	1.76	0.00	N	***	0.23	***	***
48	The Linn Group	09/30/2010	31.26	44	32.36	2.09	0.12	N	zero	DND	Both	Y
49	CX Capital Markets LLC	09/30/2010	25.44	NA	NA	2.45	0.00	N				
50	Oppenheimer & Co. Inc.	09/30/2010	19.98	45	30.48	175.61	0.00	Y	***	***	***	***

[1] Customer equity represents the total amount of funds that an FCM is required to segregate on behalf of customers who are trading on a registered U.S. futures exchange. This is the sum of all accounts with a net liquidating equity and is reported to the CFTC.

[2] A firm's Adjusted Net Capital is the amount of regulatory capital available to meet the FCM's minimum net capital requirement. The classification of assets and liabilities used in arriving at net capital, and the additional capital haircuts that an FCM may be required to take, are set forth in CFTC Regulation 1.17.

[3] Secured amount represents the amount of funds an FCM is required to set aside for customers who trade on futures exchanges located outside the United States.

[4] Non-U.S. customer equity is the amount of funds FCMs hold for traders outside of the United States. This was obtained from the FCMs on a voluntary basis. It is not reported to the CFTC.

[5] This is the number of trades cleared by the listed firm through September.

[6] Goldman Sachs & Co. includes amounts from Goldman Sachs Execution and Clearing LP

[7] JP Morgan Futures Inc. includes amounts from JP Morgan Clearing Corp. and JP Morgan Securities LLC.

[8] Merrill Lynch Fenner & Smith includes amount from Merrill Lynch Professional Clearing Corp.

[9] UBS Securities LLC includes amounts from UBS Financial Services Inc.

[10] Morgan Stanley & Co. Inc. includes Morgan Stanley Smith Barney LLC

[11] ABN AMRO Clearing Chicago LLC is a 100% subsidiary of ABN AMRO Clearing Bank N.V. (AACB). AACB is owned by ABN AMRO Bank N.V., which is owned by ABN AMRO Group N.V., which owns Fortis Bank (last year's figures includes those of Fortis).

[12] Rosenthal Collins Group LLC includes MG Financial LLC

[13] Interactive Brokers LLC includes Timber Hill LLC

[14] optionsXpress, Inc. includes amounts from Open E Cry, LLC

*** Did not respond with information

DND Did not disclose

NA Not applicable

