

SELECTED FCM FINANCIAL DATA AS OF  
September 30, 2008  
FROM REPORTS FILED BY  
October 31, 2008

1 of 5

|    |                                           | B/D? | DSRO | A/O<br>Date | Adjusted<br>Net Capital | Net Capital<br>Requirement | Excess<br>Net Capital | Customers'<br>Seg Required<br>4d(a)(2)<br>(e) | Customer<br>Amount<br>Pt. 30 Required<br>(f) |
|----|-------------------------------------------|------|------|-------------|-------------------------|----------------------------|-----------------------|-----------------------------------------------|----------------------------------------------|
|    | Futures Commission Merchant               | (a)  | (b)  |             |                         | (c)                        | (d)                   |                                               |                                              |
| 1  | 3D FOREX, LLC                             | N    | NFA  | 09/30/2008  | 16,195,040              | 500,000                    | 15,695,040            | 0                                             | 0                                            |
| 2  | ACM USA LLC                               | N    | NFA  | 09/30/2008  | 8,891,292               | 5,000,000                  | 3,891,292             | 0                                             | 0                                            |
| 3  | ADM INVESTOR SERVICES INC                 | N    | CBOT | 09/30/2008  | 153,657,171             | 76,879,351                 | 76,777,820            | 2,097,248,551                                 | 81,241,992                                   |
| 4  | ADVANCED MARKETS INC                      | N    | NFA  | 09/30/2008  | 6,743,097               | 5,000,000                  | 1,743,097             | 0                                             | 0                                            |
| 5  | ADVANTAGE FUTURES LLC                     | N    | CME  | 09/30/2008  | 25,393,646              | 6,463,385                  | 18,930,261            | 250,248,669                                   | 22,256,852                                   |
| 6  | AIG CLEARING CORPORATION                  | N    | NYME | 09/30/2008  | 319,866,248             | 25,967,899                 | 293,898,349           | 0                                             | 0                                            |
| 7  | ALARON TRADING CORPORATION                | N    | CME  | 09/30/2008  | 7,754,821               | 2,664,345                  | 5,090,476             | 175,178,858                                   | 9,752,956                                    |
| 8  | ALLIANZ GLOBAL INVESTORS DISTRIBUTORS LLC | Y    | NFA  | 09/30/2008  | 25,779,452              | 7,250,234                  | 18,529,218            | 0                                             | 0                                            |
| 9  | ALPARI (US) LLC                           | N    | NFA  | 09/30/2008  | 17,437,221              | 5,000,000                  | 12,437,221            | 0                                             | 0                                            |
| 10 | BACERA CORPORATION                        | N    | NFA  | 09/30/2008  | 5,489,342               | 5,000,000                  | 489,342               | 0                                             | 0                                            |
| 11 | BANC OF AMERICA SECURITIES LLC            | Y    | CME  | 09/30/2008  | 2,792,592,516           | 276,062,957                | 2,516,529,559         | 1,790,929,961                                 | 22,672,456                                   |
| 12 | BARCLAYS CAPITAL INC                      | Y    | NYME | 09/30/2008  | 8,334,665,920           | 550,369,186                | 7,784,296,734         | 5,838,745,820                                 | 4,803,496,867                                |
| 13 | BEAR STEARNS & CO INC                     | Y    | NFA  | 09/30/2008  | 5,098,168,548           | 553,837,792                | 4,544,330,756         | 0                                             | 0                                            |
| 14 | BEAR STEARNS SECURITIES CORP              | Y    | CME  | 09/30/2008  | 4,750,987,921           | 1,403,927,334              | 3,347,060,587         | 758,370,117                                   | 204,202,952                                  |
| 15 | BGC SECURITIES                            | Y    | NFA  | 09/30/2008  | 8,379,996               | 500,000                    | 7,879,996             | 0                                             | 0                                            |
| 16 | BNP PARIBAS COMMODITY FUTURES INC         | N    | NYME | 09/30/2008  | 266,860,500             | 211,546,540                | 55,313,960            | 2,053,297,604                                 | 577,887,144                                  |
| 17 | BNP PARIBAS SECURITIES CORP               | Y    | CBOT | 09/30/2008  | 845,664,489             | 128,403,898                | 717,260,591           | 360,142,298                                   | 0                                            |
| 18 | CADENT FINANCIAL SERVICES LLC             | N    | CME  | 09/30/2008  | 3,855,697               | 5,104,753                  | -1,249,056*           | 225,479,422                                   | 2,587,771                                    |
| 19 | CANTOR FITZGERALD & CO                    | Y    | CBOT | 09/30/2008  | 258,064,041             | 37,305,412                 | 220,758,629           | 16,901,674                                    | 61,825                                       |
| 20 | CAPITAL MARKET SERVICES LLC               | N    | NFA  | 09/30/2008  | 22,018,126              | 5,000,000                  | 17,018,126            | 0                                             | 0                                            |
| 21 | CIBC WORLD MARKETS CORP                   | Y    | CME  | 09/30/2008  | 1,067,895,517           | 13,096,693                 | 1,054,798,824         | 0                                             | 0                                            |
| 22 | CITIGROUP GLOBAL MARKETS INC              | Y    | CBOT | 09/30/2008  | 4,871,985,164           | 1,015,826,523              | 3,856,158,641         | 13,083,277,257                                | 684,569,062                                  |
| 23 | CLIFF LARSON COMPANY THE                  | N    | NFA  | 09/30/2008  | 3,393,322               | 1,525,228                  | 1,868,094             | 23,628,015                                    | 0                                            |
| 24 | CMC MARKETS (US) LLC                      | N    | NFA  | 09/30/2008  | 8,636,095               | 5,000,000                  | 3,636,095             | 0                                             | 0                                            |
| 25 | COMMONWEALTH FOREIGN EXCHANGE INC         | N    | NFA  | 09/30/2008  | 1,659,047               | 500,000                    | 1,159,047             | 0                                             | 0                                            |
| 26 | COMTRUST INC                              | N    | NFA  | 09/30/2008  | 847,040                 | 500,000                    | 347,040               | 1,923,604                                     | 0                                            |
| 27 | COUNTRY HEDGING INC                       | N    | NFA  | 09/30/2008  | 12,790,082              | 10,262,136                 | 2,527,946             | 197,222,062                                   | 151,139                                      |
| 28 | CREDIT SUISSE SECURITIES (USA) LLC        | Y    | CBOT | 09/30/2008  | 5,817,067,960           | 771,398,423                | 5,045,669,537         | 3,086,982,194                                 | 1,879,029,867                                |
| 29 | CROSSLAND LLC                             | N    | CBOT | 09/30/2008  | 3,160,979               | 500,000                    | 2,660,979             | 28,385,369                                    | 7,405                                        |
| 30 | CUNNINGHAM COMMODITIES LLC                | N    | CBOT | 09/30/2008  | 3,413,531               | 868,160                    | 2,545,371             | 30,561,477                                    | 116,659                                      |
| 31 | DAIWA SECURITIES AMERICA INC              | Y    | CME  | 09/30/2008  | 157,873,129             | 43,997,474                 | 113,875,655           | 19,864,200                                    | 1,107,591                                    |
| 32 | DEUTSCHE BANK SECURITIES INC              | Y    | CBOT | 09/30/2008  | 3,423,577,796           | 486,590,772                | 2,936,987,024         | 8,004,804,729                                 | 1,243,988,842                                |
| 33 | DORMAN TRADING LLC                        | N    | CME  | 09/30/2008  | 8,564,950               | 537,899                    | 8,027,051             | 78,591,021                                    | 19,217                                       |
| 34 | DUNAVANT COMMODITY CORP                   | N    | NFA  | 09/30/2008  | 43,582,086              | 739,604                    | 42,842,482            | 0                                             | 0                                            |
| 35 | EAGLE MARKET MAKERS INC                   | N    | CBOT | 09/30/2008  | 6,828,134               | 500,000                    | 6,328,134             | 12,419,284                                    | 0                                            |
| 36 | EASY FOREX US LTD                         | N    | NFA  | 09/30/2008  | 9,943,778               | 5,000,000                  | 4,943,778             | 0                                             | 0                                            |
| 37 | ED & F MAN COMMODITY ADVISORS INC         | N    | NFA  | 09/30/2008  | 981,275                 | 500,000                    | 481,275               | 0                                             | 0                                            |
| 38 | ELECTRONIC BROKERAGE SYSTEMS LLC          | Y    | NFA  | 09/30/2008  | 12,233,593              | 500,000                    | 11,733,593            | 0                                             | 0                                            |
| 39 | ENSKILDA FUTURES LTD                      | N    | CME  | 09/30/2008  | 18,294,265              | 10,646,511                 | 7,647,754             | 202,185,617                                   | 0                                            |
| 40 | FARR FINANCIAL INC                        | N    | NFA  | 09/30/2008  | 1,778,491               | 611,421                    | 1,167,070             | 36,716,021                                    | 0                                            |
| 41 | FC STONE LLC                              | N    | CME  | 09/30/2008  | 84,458,355              | 61,226,936                 | 23,231,419            | 1,504,902,503                                 | 10,394,588                                   |
| 42 | FOREX CAPITAL MARKETS LLC                 | N    | NFA  | 09/30/2008  | 114,299,767             | 12,199,221                 | 102,100,546           | 0                                             | 0                                            |
| 43 | FOREX CLUB FINANCIAL COMPANY INC          | N    | NFA  | 09/30/2008  | 9,615,811               | 5,000,000                  | 4,615,811             | 0                                             | 0                                            |
| 44 | FORTIS CLEARING AMERICAS LLC              | Y    | CBOT | 09/30/2008  | 273,955,744             | 50,167,137                 | 223,788,607           | 1,134,860,136                                 | 54,498,372                                   |
| 45 | FRIEDBERG MERCANTILE GROUP INC            | N    | NFA  | 09/30/2008  | 8,164,571               | 5,000,000                  | 3,164,571             | 4,956,310                                     | 29,800                                       |
| 46 | FRONTIER FUTURES INC                      | N    | NFA  | 09/30/2008  | 1,512,893               | 881,883                    | 631,010               | 38,069,301                                    | 0                                            |

SELECTED FCM FINANCIAL DATA AS OF  
September 30, 2008  
FROM REPORTS FILED BY  
October 31, 2008

2 of 5

|    |                                          | B/D? | DSRO  | A/O<br>Date | Adjusted<br>Net Capital | Net Capital<br>Requirement | Excess<br>Net Capital | Customers'<br>Seg Required<br>4d(a)(2)<br>(e) | Customer<br>Amount<br>Pt. 30 Required<br>(f) |
|----|------------------------------------------|------|-------|-------------|-------------------------|----------------------------|-----------------------|-----------------------------------------------|----------------------------------------------|
|    | Futures Commission Merchant              | (a)  | (b)   |             |                         | (c)                        | (d)                   |                                               |                                              |
| 47 | FUTURES TECH LLC                         | N    | NFA   | 09/30/2008  | 829,283                 | 500,000                    | 329,283               | 0                                             | 0                                            |
| 48 | FX SOLUTIONS LLC                         | N    | NFA   | 09/30/2008  | 21,197,643              | 5,000,000                  | 16,197,643            | 0                                             | 0                                            |
| 49 | GAIN CAPITAL GROUP LLC                   | N    | NFA   | 09/30/2008  | 77,580,143              | 7,689,506                  | 69,890,637            | 0                                             | 0                                            |
| 50 | GATEWAY CAPITAL L.L.C.                   | N    | NFA   | 09/30/2008  | 841,639                 | 500,000                    | 341,639               | 0                                             | 0                                            |
| 51 | GELBER GROUP LLC                         | N    | CBOT  | 09/30/2008  | 131,316,336             | 500,000                    | 130,816,336           | 71,274,997                                    | 2,500                                        |
| 52 | GENESIS FUTURES LLC                      | N    | NFA   | 09/30/2008  | 1,020,747               | 500,000                    | 520,747               | 0                                             | 0                                            |
| 53 | GFS FOREX & FUTURES INC                  | N    | NFA   | 09/30/2008  | 11,908,980              | 5,000,000                  | 6,908,980             | 0                                             | 0                                            |
| 54 | GILDER GAGNON HOWE AND CO LLC            | Y    | NFA   | 09/30/2008  | 15,337,016              | 500,000                    | 14,837,016            | 0                                             | 0                                            |
| 55 | GLOBAL FUTURES & FOREX LTD               | N    | NFA   | 09/30/2008  | 67,073,561              | 5,885,312                  | 61,188,249            | 551,785                                       | 232                                          |
| 56 | GOLDMAN SACHS & CO                       | Y    | CBOT  | 09/26/2008  | 10,053,524,008          | 2,882,651,487              | 7,170,872,521         | 19,200,777,452                                | 9,423,292,889                                |
| 57 | GOLDMAN SACHS EXECUTION & CLEARING LP    | Y    | CME   | 09/26/2008  | 1,227,220,738           | 61,551,275                 | 1,165,669,463         | 1,280,425,065                                 | 13,661,946                                   |
| 58 | H & R BLOCK FINANCIAL ADVISORS INC       | Y    | NFA   | 09/30/2008  | 41,606,220              | 7,968,790                  | 33,637,430            | 0                                             | 0                                            |
| 59 | HOTSPOT FXR LLC                          | N    | NFA   | 09/30/2008  | 10,021,446              | 5,000,000                  | 5,021,446             | 0                                             | 0                                            |
| 60 | HSBC SECURITIES USA INC                  | Y    | CME   | 09/30/2008  | 853,015,055             | 219,519,706                | 633,495,349           | 952,607,891                                   | 81,811,263                                   |
| 61 | I TRADE FX LLC                           | N    | NFA   | 09/30/2008  | 17,258,339              | 5,000,000                  | 12,258,339            | 0                                             | 0                                            |
| 62 | ICAP FUTURES LLC                         | N    | NFA   | 09/30/2008  | 5,357,007               | 500,000                    | 4,857,007             | 0                                             | 0                                            |
| 63 | IG MARKETS INC.                          | N    | NFA   | 09/30/2008  | 16,240,340              | 5,000,000                  | 11,240,340            | 0                                             | 0                                            |
| 64 | IKON GLOBAL MARKETS INC.                 | N    | NFA   | 09/30/2008  | 10,424,199              | 5,000,000                  | 5,424,199             | 2,875,374                                     | 109,503                                      |
| 65 | INSTINET LLC                             | Y    | NFA   | 09/30/2008  | 54,378,106              | 7,372,642                  | 47,005,464            | 0                                             | 0                                            |
| 66 | INTEGRATED BROKERAGE SERVICES LLC        | N    | NFA   | 09/30/2008  | 2,202,140               | 500,000                    | 1,702,140             | 195,863                                       | 0                                            |
| 67 | INTERACTIVE BROKERS LLC                  | Y    | EUXUS | 09/30/2008  | 551,524,984             | 47,602,873                 | 503,922,111           | 262,746,253                                   | 78,033,015                                   |
| 68 | INTERBANK FX LLC                         | N    | NFA   | 09/30/2008  | 37,596,319              | 5,000,000                  | 32,596,319            | 0                                             | 0                                            |
| 69 | ITG DERIVATIVES, LLC                     | Y    | NFA   | 09/30/2008  | 2,679,798               | 526,285                    | 2,153,513             | 0                                             | 0                                            |
| 70 | JP MORGAN FUTURES INC                    | N    | NYME  | 09/30/2008  | 1,733,660,702           | 1,144,724,184              | 588,936,518           | 14,110,500,073                                | 2,297,683,812                                |
| 71 | KOTTKE ASSOCIATES LLC                    | N    | CBOT  | 09/30/2008  | 22,725,498              | 500,000                    | 22,225,498            | 36,504,591                                    | 19,362                                       |
| 72 | LADENBURG THALMANN & CO INC              | Y    | NFA   | 09/30/2008  | 11,596,775              | 500,000                    | 11,096,775            | 0                                             | 0                                            |
| 73 | LBS LIMITED PARTNERSHIP                  | N    | NFA   | 09/30/2008  | 826,973                 | 500,000                    | 326,973               | 0                                             | 0                                            |
| 74 | LEK SECURITIES CORPORATION               | Y    | NFA   | 09/30/2008  | 11,229,858              | 1,500,000                  | 9,729,858             | 128,339                                       | 0                                            |
| 75 | LIMESTONE TRADING LLC                    | N    | NFA   | 09/30/2008  | 20,118,821              | 500,000                    | 19,618,821            | 0                                             | 0                                            |
| 76 | LINN GROUP ( THE )                       | N    | NFA   | 09/30/2008  | 3,374,621               | 500,000                    | 2,874,621             | 15,494,345                                    | 0                                            |
| 77 | LOEB PARTNERS CORPORATION                | Y    | NFA   | 09/30/2008  | 15,517,349              | 500,000                    | 15,017,349            | 0                                             | 0                                            |
| 78 | LPL FINANCIAL CORPORATION                | Y    | NFA   | 09/30/2008  | 80,351,808              | 9,281,982                  | 71,069,826            | 0                                             | 0                                            |
| 79 | MACQUARIE FUTURES USA INC                | N    | CBOT  | 09/30/2008  | 48,516,021              | 28,781,282                 | 19,734,739            | 499,479,078                                   | 1,853,112                                    |
| 80 | MB TRADING FUTURES INC.                  | N    | NFA   | 09/30/2008  | 14,245,045              | 5,000,000                  | 9,245,045             | 0                                             | 0                                            |
| 81 | MBF CLEARING CORP                        | N    | NYME  | 09/30/2008  | 29,326,963              | 1,151,710                  | 28,175,253            | 78,113,616                                    | 5,279,253                                    |
| 82 | MCVEAN TRADING AND INVESTMENTS LLC       | N    | NFA   | 09/30/2008  | 14,479,256              | 1,957,359                  | 12,521,897            | 746,953,028                                   | 0                                            |
| 83 | MERRILL LYNCH PIERCE FENNER & SMITH      | Y    | CBOT  | 09/26/2008  | 4,704,957,228           | 684,832,535                | 4,020,124,693         | 9,058,313,299                                 | 1,388,448,494                                |
| 84 | MERRILL LYNCH PROFESSIONAL CLEARING CORP | Y    | NFA   | 09/26/2008  | 1,460,306,208           | 103,812,811                | 1,356,493,397         | 1,214,106,658                                 | 68,546,336                                   |
| 85 | MF GLOBAL INC.                           | Y    | CME   | 09/30/2008  | 610,021,617             | 383,693,488                | 226,328,129           | 8,650,690,042                                 | 991,829,415                                  |
| 86 | MG FINANCIAL LLC                         | N    | NFA   | 09/30/2008  | 5,979,092               | 5,000,000                  | 979,092               | 0                                             | 0                                            |
| 87 | MID-CO COMMODITIES INC                   | N    | NFA   | 09/30/2008  | 13,409,347              | 4,415,024                  | 8,994,323             | 82,401,962                                    | 0                                            |
| 88 | mitsui BUSSAN COMMODITIES USA INC        | N    | NYME  | 09/30/2008  | 7,499,830               | 2,394,864                  | 5,104,966             | 0                                             | 0                                            |
| 89 | MIZUHO SECURITIES USA INC                | Y    | CME   | 09/30/2008  | 255,988,011             | 65,987,668                 | 190,000,343           | 550,492,133                                   | 366,379,377                                  |
| 90 | MORGAN KEEGAN & COMPANY INC              | Y    | NFA   | 09/30/2008  | 356,183,785             | 12,867,223                 | 343,316,562           | 0                                             | 0                                            |
| 91 | MORGAN STANLEY & CO INCORPORATED         | Y    | CME   | 09/30/2008  | 8,753,264,672           | 2,092,182,429              | 6,661,082,243         | 5,845,327,755                                 | 4,016,087,458                                |
| 92 | NATIXIS SECURITIES NORTH AMERICA INC     | Y    | NFA   | 09/30/2008  | 187,456,249             | 500,000                    | 186,956,249           | 0                                             | 0                                            |
| 93 | NEUBERGER BERMAN LLC                     | Y    | NFA   | 09/30/2008  | 277,046,477             | 5,000,000                  | 272,046,477           | 0                                             | 0                                            |

SELECTED FCM FINANCIAL DATA AS OF  
September 30, 2008  
FROM REPORTS FILED BY  
October 31, 2008

3 of 5

|     |                                            | B/D? | DSRO | A/O        | Adjusted       | Net Capital   | Excess         | Customers'      | Customer               |
|-----|--------------------------------------------|------|------|------------|----------------|---------------|----------------|-----------------|------------------------|
|     | Futures Commission Merchant                |      |      | Date       | Net Capital    | Requirement   | Net Capital    | Seg Required    | Amount                 |
|     |                                            | (a)  | (b)  |            |                | (c)           | (d)            | 4d(a)(2)<br>(e) | Pt. 30 Required<br>(f) |
| 94  | NEWEDGE USA LLC.                           | Y    | NYME | 09/30/2008 | 2,015,441,407  | 1,477,133,615 | 538,307,792    | 23,958,121,258  | 8,417,179,283          |
| 95  | NOMURA SECURITIES INTERNATIONAL INC        | Y    | CBOT | 09/30/2008 | 548,096,249    | 15,160,476    | 532,935,773    | 0               | 0                      |
| 96  | OANDA CORPORATION                          | N    | NFA  | 09/30/2008 | 168,344,347    | 8,045,545     | 160,298,802    | 0               | 0                      |
| 97  | ODL SECURITIES INC                         | N    | NFA  | 09/30/2008 | 15,180,254     | 5,000,000     | 10,180,254     | 0               | 0                      |
| 98  | OPEN E CRY LLC                             | N    | NFA  | 09/30/2008 | 2,040,704      | 535,971       | 1,504,733      | 52,441,919      | 694,110                |
| 99  | OPPENHEIMER & CO INC                       | Y    | NFA  | 09/30/2008 | 189,055,731    | 25,988,140    | 163,067,591    | 19,965,689      | 0                      |
| 100 | OPTIONSPRESS INC                           | Y    | NFA  | 09/30/2008 | 71,630,948     | 10,694,264    | 60,936,684     | 51,628,925      | 747,477                |
| 101 | PENSON GHCO                                | N    | CBOT | 09/30/2008 | 18,530,729     | 13,482,583    | 5,048,146      | 436,879,695     | 19,571,345             |
| 102 | PEREGRINE FINANCIAL GROUP INC              | N    | NFA  | 09/30/2008 | 22,038,818     | 5,532,588     | 16,506,230     | 246,447,913     | 12,075,646             |
| 103 | PIONEER FUTURES INC                        | N    | NYME | 09/30/2008 | 1,599,113      | 500,000       | 1,099,113      | 0               | 0                      |
| 104 | PRUDENTIAL BACHE COMMODITIES LLC           | N    | CBOT | 09/30/2008 | 275,513,000    | 222,762,840   | 52,750,160     | 3,784,882,000   | 364,251,000            |
| 105 | PUMA FINANCIAL LLC                         | N    | NFA  | 09/30/2008 | 1,571,556      | 500,000       | 1,071,556      | 7,975,672       | 0                      |
| 106 | RAND FINANCIAL SERVICES INC                | N    | CME  | 09/30/2008 | 60,351,609     | 9,913,119     | 50,438,490     | 103,696,200     | 27,040,900             |
| 107 | RAYMOND JAMES & ASSOCIATES INC             | Y    | NFA  | 09/30/2008 | 303,192,554    | 33,096,145    | 270,096,409    | 0               | 0                      |
| 108 | RBC CAPITAL MARKETS CORPORATION            | Y    | CME  | 09/30/2008 | 725,435,219    | 97,531,718    | 627,903,501    | 946,808,755     | 682,975,750            |
| 109 | RBS GREENWICH CAPITAL INC                  | Y    | CBOT | 09/30/2008 | 1,830,594,000  | 332,812,704   | 1,497,781,296  | 1,408,796,000   | 45,238,000             |
| 110 | RJ OBRIEN & ASSOCIATES LLC                 | N    | CME  | 09/30/2008 | 90,320,058     | 63,844,277    | 26,475,781     | 2,289,131,269   | 29,678,762             |
| 111 | ROBBINS FUTURES INC                        | N    | NFA  | 09/30/2008 | 616,520        | 500,000       | 116,520        | 5,622,226       | 0                      |
| 112 | ROSENTHAL COLLINS GROUP LLC                | N    | CME  | 09/30/2008 | 86,733,814     | 36,349,825    | 50,383,989     | 1,275,629,551   | 11,103,800             |
| 113 | ROSENTHAL GLOBAL SECURITIES LLC            | Y    | NFA  | 09/30/2008 | 22,027,717     | 2,452,522     | 19,575,195     | 0               | 0                      |
| 114 | SANFORD C BERNSTEIN & CO LLC               | Y    | NFA  | 09/30/2008 | 143,951,685    | 10,522,491    | 133,429,194    | 0               | 0                      |
| 115 | SANTANDER INVESTMENT SECURITIES INC.       | Y    | NFA  | 09/30/2008 | 77,449,602     | 617,638       | 76,831,964     | 0               | 0                      |
| 116 | SHAY GRAIN CLEARING COMPANY                | N    | KCBT | 09/30/2008 | 2,799,558      | 1,021,909     | 1,777,649      | 23,776,388      | 0                      |
| 117 | SMW TRADING COMPANY INC                    | N    | CME  | 09/30/2008 | 34,775,547     | 500,000       | 34,275,547     | 7,754,488       | 0                      |
| 118 | SNC INVESTMENTS INC                        | N    | NFA  | 09/30/2008 | 636,915        | 500,000       | 136,915        | 0               | 0                      |
| 119 | STEPHENS INC                               | Y    | NFA  | 09/26/2008 | 77,733,628     | 10,142,589    | 67,591,039     | 0               | 0                      |
| 120 | STERLING COMMODITIES CORP                  | N    | NYME | 09/30/2008 | 9,914,352      | 1,018,575     | 8,895,777      | 71,537,860      | 600,073                |
| 121 | TCA FUTURES LLC                            | N    | NFA  | 09/30/2008 | 855,284        | 500,000       | 355,284        | 0               | 0                      |
| 122 | TD AMERITRADE INC.                         | Y    | NFA  | 09/30/2008 | 44,039,280     | 250,000       | 43,789,280     | 0               | 0                      |
| 123 | TENCO INC                                  | N    | CBOT | 09/30/2008 | 41,721,804     | 7,372,692     | 34,349,112     | 182,867,943     | 110,352                |
| 124 | TERRA NOVA FINANCIAL, LLC                  | Y    | NFA  | 09/30/2008 | 9,494,467      | 1,527,710     | 7,966,757      | 0               | 0                      |
| 125 | TIMBER HILL LLC                            | Y    | CME  | 09/30/2008 | 1,035,961,993  | 10,327,194    | 1,025,634,799  | 162,277,633     | 0                      |
| 126 | TOWER RESEARCH CAPITAL EUROPE LLC          | N    | NFA  | 09/30/2008 | 1,629,309      | 500,000       | 1,129,309      | 0               | 0                      |
| 127 | TRADELINK LLC                              | Y    | CBOT | 09/30/2008 | 61,627,360     | 500,000       | 61,127,360     | 0               | 0                      |
| 128 | TRADEMAVEN CLEARING LLC                    | N    | NFA  | 09/30/2008 | 704,066        | 500,000       | 204,066        | 0               | 0                      |
| 129 | TRADESTATION SECURITIES INC                | Y    | NFA  | 09/30/2008 | 89,444,967     | 2,097,193     | 87,347,774     | 0               | 0                      |
| 130 | TRADITION SECURITIES AND FUTURES INC       | N    | NFA  | 09/30/2008 | 810,417        | 500,000       | 310,417        | 0               | 0                      |
| 131 | TRANSMARKET GROUP LLC                      | Y    | CBOT | 09/30/2008 | 18,776,956     | 500,000       | 18,276,956     | 0               | 0                      |
| 132 | TRILAND USA INC                            | N    | NYME | 09/30/2008 | 47,492,521     | 15,363,898    | 32,128,623     | 193,218,361     | 0                      |
| 133 | UBS FINANCIAL SERVICES INC                 | Y    | NFA  | 09/30/2008 | 1,310,114,303  | 134,025,405   | 1,176,088,898  | 344,936,393     | 1,140,585              |
| 134 | UBS SECURITIES LLC                         | Y    | CBOT | 09/30/2008 | 11,822,180,437 | 1,227,761,321 | 10,594,419,116 | 16,351,748,024  | 7,021,054,505          |
| 135 | VELOCITY FUTURES LP                        | N    | NFA  | 09/30/2008 | 1,016,814      | 500,000       | 516,814        | 33,240,534      | 1,862,688              |
| 136 | VISION FINANCIAL MARKETS LLC               | Y    | CME  | 09/30/2008 | 26,538,890     | 7,134,604     | 19,404,286     | 313,162,700     | 1,074,966              |
| 137 | WACHOVIA CAPITAL MARKETS LLC               | Y    | CME  | 09/30/2008 | 1,493,607,099  | 2,901,587     | 1,490,705,512  | 0               | 0                      |
| 138 | WACHOVIA SECURITIES FINANCIAL NETWORK, LLC | Y    | NFA  | 09/30/2008 | 31,711,043     | 1,778,626     | 29,932,417     | 0               | 0                      |
| 139 | WACHOVIA SECURITIES LLC                    | Y    | NFA  | 09/30/2008 | 520,546,078    | 33,860,833    | 486,685,245    | 0               | 0                      |
| 140 | WHITE COMMERCIAL CORPORATION               | N    | NFA  | 09/30/2008 | 2,581,779      | 500,000       | 2,081,779      | 0               | 0                      |

SELECTED FCM FINANCIAL DATA AS OF  
September 30, 2008  
FROM REPORTS FILED BY  
October 31, 2008

4 of 5

|     |                                                                                                                                                     | B/D? | DSRO | A/O<br>Date | Adjusted<br>Net Capital | Net Capital<br>Requirement | Excess<br>Net Capital | Customers'<br>Seg Required<br>4d(a)(2)<br>(e) | Customer<br>Amount<br>Pt. 30 Required<br>(f) |
|-----|-----------------------------------------------------------------------------------------------------------------------------------------------------|------|------|-------------|-------------------------|----------------------------|-----------------------|-----------------------------------------------|----------------------------------------------|
|     | <b>Futures Commission Merchant</b>                                                                                                                  |      |      |             |                         |                            |                       |                                               |                                              |
|     |                                                                                                                                                     | (a)  | (b)  |             |                         | (c)                        | (d)                   |                                               |                                              |
| 141 | WSD FINANCIAL USA, INC                                                                                                                              | N    | NFA  | 09/30/2008  | 1,287,194               | 500,000                    | 787,194               | 0                                             | 0                                            |
| 142 | YORK BUSINESS ASSOCIATES LLC                                                                                                                        | N    | NFA  | 09/30/2008  | 1,152,065               | 500,000                    | 652,065               | 38,514,730                                    | 1,126,308                                    |
|     | Total                                                                                                                                               |      |      |             |                         |                            |                       | 156,026,913,799                               | 44,968,636,874                               |
|     | <b>August Web Page Update</b>                                                                                                                       | 145  |      |             |                         |                            |                       |                                               |                                              |
|     |                                                                                                                                                     |      |      |             |                         |                            |                       |                                               |                                              |
|     | <b>Additions</b>                                                                                                                                    | 2    |      |             |                         |                            |                       |                                               |                                              |
|     | Allianz Global Investors Distributors LLC                                                                                                           |      |      |             |                         |                            |                       |                                               |                                              |
|     | TD Ameritrade Inc                                                                                                                                   |      |      |             |                         |                            |                       |                                               |                                              |
|     |                                                                                                                                                     |      |      |             |                         |                            |                       |                                               |                                              |
|     | <b>Deletions</b>                                                                                                                                    | 5    |      |             |                         |                            |                       |                                               |                                              |
|     | CSC Futures Inc                                                                                                                                     |      |      |             |                         |                            |                       |                                               |                                              |
|     | First Capitol Group Inc                                                                                                                             |      |      |             |                         |                            |                       |                                               |                                              |
|     | IFX Markets Inc                                                                                                                                     |      |      |             |                         |                            |                       |                                               |                                              |
|     | Newedge Financial Inc.                                                                                                                              |      |      |             |                         |                            |                       |                                               |                                              |
|     | Shatkin Arbor Inc                                                                                                                                   |      |      |             |                         |                            |                       |                                               |                                              |
|     |                                                                                                                                                     |      |      |             |                         |                            |                       |                                               |                                              |
|     | <b>Name Change</b>                                                                                                                                  |      |      |             |                         |                            |                       |                                               |                                              |
|     | None                                                                                                                                                |      |      |             |                         |                            |                       |                                               |                                              |
|     | <b>September Web Page Update</b>                                                                                                                    | 142  |      |             |                         |                            |                       |                                               |                                              |
|     |                                                                                                                                                     |      |      |             |                         |                            |                       |                                               |                                              |
|     | *Cadent Financial Services LLC is currently in capital compliance                                                                                   |      |      |             |                         |                            |                       |                                               |                                              |
|     | (a): B/D? : A 'Y' means the FCM is also registered with the Securities and Exchange Commission as a securities broker or dealer.                    |      |      |             |                         |                            |                       |                                               |                                              |
|     | (b): DSRO: Designated Self-Regulatory Organization.                                                                                                 |      |      |             |                         |                            |                       |                                               |                                              |
|     | (c): A firm's net capital requirement is the greater of                                                                                             |      |      |             |                         |                            |                       |                                               |                                              |
|     | (1) \$250,000; or                                                                                                                                   |      |      |             |                         |                            |                       |                                               |                                              |
|     | (2) risk based capital requirement, the sum of 8% of total customer risk maintenance margin and 4% of total noncustomer risk maintenance margin; or |      |      |             |                         |                            |                       |                                               |                                              |
|     | (3) The amount of capital required by a registered futures association (currently NFA is the only such association);                                |      |      |             |                         |                            |                       |                                               |                                              |
|     | (4) for securities brokers and dealers, the amount of net capital required by Rule 15c3-1(a) of the Securities and Exchange Commission.             |      |      |             |                         |                            |                       |                                               |                                              |

SELECTED FCM FINANCIAL DATA AS OF  
September 30, 2008  
FROM REPORTS FILED BY  
October 31, 2008

5 of 5

|                                                                                                                                                                                                                                                                                  | B/D? | DSRO | A/O<br>Date | Adjusted<br>Net Capital | Net Capital<br>Requirement | Excess<br>Net Capital | Customers'<br>Seg Required<br>4d(a)(2) | Customer<br>Amount<br>Pt. 30 Required |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|------|-------------|-------------------------|----------------------------|-----------------------|----------------------------------------|---------------------------------------|
| <b>Futures Commission Merchant</b>                                                                                                                                                                                                                                               |      |      |             |                         |                            |                       |                                        |                                       |
|                                                                                                                                                                                                                                                                                  | (a)  | (b)  |             |                         | (c)                        | (d)                   | (e)                                    | (f)                                   |
| (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 the sum of all accounts that contain a net liquidating equity. |      |      |             |                         |                            |                       |                                        |                                       |
| (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.                                                                                                                    |      |      |             |                         |                            |                       |                                        |                                       |
| Note: Any comments regarding information contained in this table may be brought to the attention of the CFTC's Division of Clearing and Intermediary Oversight via e-mail: mhendrickso@cftc.gov, phill@cftc.gov, fzimmerle@cftc.gov.                                             |      |      |             |                         |                            |                       |                                        |                                       |