

SUPPLEMENTAL STATEMENT OF INCOME

(Please read instructions before completing Form)

NAME OF BROKER-DEALER _____ 13 ADDRESS OF PRINCIPAL PLACE OF BUSINESS _____ 20 (No. and Street) _____ 21 _____ 22 _____ 23 (City) (State) (Zip Code)	SEC FILE NO. _____ 14 FIRM ID NO. _____ 15 FOR PERIOD BEGINNING (MM/DD/YY) _____ 24 AND ENDING (MM/DD/YY) _____ 25 NAME OF PERSON COMPLETING THIS REPORT _____ 11290 TELEPHONE NO. OF PERSON COMPLETING THIS REPORT _____ 11291
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REVENUE

**FOCUS Report
Reference Line**

1. Commissions

A. Listed Equities, ETFs and Closed End Funds Executed on an Exchange	\$ _____	13935	A: 3935
B. Exchange Listed Equity Securities Executed OTC.....	\$ _____	13937	C/II: 3937
C. U.S. Government and Agencies	\$ _____	11001	
D. Foreign Sovereign debt.....	\$ _____	11002	
E. Corporate debt	\$ _____	11003	
F. Mortgage-Backed and Other Asset-Backed Securities.....	\$ _____	11004	
G. Municipals	\$ _____	11005	
H. Listed Options.....	\$ _____	13938	A: 3938
I. OTC Options.....	\$ _____	11006	
J. All Other Securities Commissions.....	\$ _____	13939	A: 3939
K. Commodity Transactions.....	\$ _____	13991	C: 3991
L. Foreign Exchange.....	\$ _____	11007	
M. Aggregate amount if less than the greater of \$5,000 or 5% of Total Revenue (line 14030) (Do not complete Items A-L).....	\$ _____	11008	
1. Is any portion of Item M related to municipal securities? Yes <input type="checkbox"/> No <input type="checkbox"/>		11009	
Total Commissions:	\$ _____	13940	A: 3940

2. Revenue from Sale of Investment Company Shares..... \$ _____ 13970 A: 3970

3. Revenue from Sale of Insurance Based Products

A. Variable Contracts	\$ _____	11020	
B. Non-Securities Insurance Based Products.....	\$ _____	11021	
C. Aggregate amount if less than the greater of \$5,000 or 5% of Total Revenue (line 14030) (Do not complete Items A-B).....	\$ _____	11022	
Total Revenue From Sale of Insurance Based Products:	\$ _____	11029	

4. Gains or Losses on Derivative Trading Desks

A. Interest Rate/Fixed Income Products.....	\$ _____	13921	C: 3921
B. Currency.....	\$ _____	13922	C: 3922
C. Equity Products.....	\$ _____	13923	C: 3923
D. Commodity Products.....	\$ _____	13924	C: 3924
E. Other.....	\$ _____	13925	C: 3925
Total Gains or Losses on Derivative Trading Desks:	\$ _____	13926	C: 3926

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**FOCUS Report
Reference Line**

5. Net Gains or Losses on Principal Trades

A. Equities, ETFs and Closed End Funds. Includes Dividends:.....	Yes <input type="checkbox"/> No <input type="checkbox"/>	11030	\$ _____	13903	C: 3903
B. U.S. Government and Agencies. Includes interest:	Yes <input type="checkbox"/> No <input type="checkbox"/>	11031	\$ _____	11032	C: 3901
C. Foreign Sovereign Debt. Includes interest:.....	Yes <input type="checkbox"/> No <input type="checkbox"/>	11033	\$ _____	11034	C: 3901
D. Corporate Debt. Includes interest:	Yes <input type="checkbox"/> No <input type="checkbox"/>	11035	\$ _____	11036	C: 3901
E. Mortgage-Backed and Other Asset-Backed Securities. Includes interest:.....	Yes <input type="checkbox"/> No <input type="checkbox"/>	11037	\$ _____	11038	C: 3901
F. Municipals. Includes interest:.....	Yes <input type="checkbox"/> No <input type="checkbox"/>	11039	\$ _____	13901	C: 3901
G. Foreign Exchange.....			\$ _____	13902	C: 3902
H. Listed Options.....			\$ _____	11040	
I. OTC Options.....			\$ _____	11041	
J. Securities Based Swaps			\$ _____	11042	
K. All Other Swaps			\$ _____	11043	
L. Futures.....			\$ _____	11044	
M. Commodity Transactions.....			\$ _____	13904	C: 3904
N. Other.....			\$ _____	13951	C: 3951
O. Aggregate amount if less than the greater of \$5,000 or 5% of Total Revenue (line 14030) (Do not complete Items A-N).....			\$ _____	11045	
1. Is any portion of Item O related to municipal securities? Yes <input type="checkbox"/> No <input type="checkbox"/>		11046			
Total Net Gains or Losses on Principal Trades:			\$ _____	13950	A: 3950

6. Capital Gains (Losses) on Firm Investments	\$ _____	13952	A: 3952
Includes Dividends and/or Interest:.....	Yes <input type="checkbox"/> No <input type="checkbox"/>	11053	

7. Interest / Rebate / Dividend Income

A. Securities Borrowings	\$ _____	11060	
B. Reverse Repurchase Transactions.....	\$ _____	11061	
C. Margin Interest.....	\$ _____	13960	C/II: 3960
D. Interest earned from customer bank sweep (FDIC insured products) programs.....	\$ _____	11062	
E. Interest earned from customer fund sweeps into '40 Act Investments.....	\$ _____	11063	
F. Interest and/or Dividends on Securities held in Firm Inventory (not reported in Sections 4 or 5).....	\$ _____	11064	
G. Other Interest.....	\$ _____	13953	C: 3953
H. Aggregate amount if less than the greater of \$5,000 or 5% of Total Revenue (line 14030) (Do not complete Items A-G).....	\$ _____	11065	
Total Interest / Rebate / Dividend Income:	\$ _____	11069	

8. Revenue from Underwritings and Selling Group Participation

A. Municipal Offerings.....	\$ _____	11070	
B. Registered Offerings			
1. Offerings other than self or affiliate. Excludes municipals.....	\$ _____	11071	
2. Offerings, self or affiliate. Excludes municipals.....	\$ _____	11072	
Total Revenue from Registered Offerings:	\$ _____	11079	

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**FOCUS Report
Reference Line**

C. Unregistered Offering (Excludes municipal offerings) Section below refer to Operational Page – See Instructions

Did the broker or dealer filing this report participate in the sale of any unregistered offering during the reporting period for which it received no compensation? Yes No 11080

1. Unregistered offerings, other than self or affiliate offerings. Section 1.....	\$ _____	11081	
2. Unregistered offerings, self or affiliate offerings. Section 2.....	\$ _____	11082	
Total Revenue from Unregistered Offerings:	\$ _____	11089	
Total Revenue from Underwritings and Selling Group Participation:	\$ _____	13955	A:3955

9. Fees Earned

A. Fees earned from affiliated entities.....	\$ _____	11090	
B. Investment Banking Fees; M&A Advisory	\$ _____	11091	
C. Account Supervision and Investment Advisory Services.....	\$ _____	13975	A: 3975
D. Administrative Fees	\$ _____	11092	A: 3975
E. Revenue from Research Services	\$ _____	13980	C/II: 3980
F. Rebates from Exchanges, ECNs, and ATSS.....	\$ _____	11093	
G. 12b-1 Fees.....	\$ _____	11094	
H. Mutual Fund Revenue other than Concessions or 12b-1 Fees	\$ _____	11095	
I. Execution Services.....	\$ _____	11096	
J. Clearing Services.....	\$ _____	11097	
K. Fees earned on customer bank sweep (FDIC insured products) programs.....	\$ _____	11098	
L. Fees earned from sweep programs into '40 Act Investments.....	\$ _____	11099	
M. Networking Fees from '40 Act Companies.....	\$ _____	11100	
N. Other Fees.....	\$ _____	11101	
O. Aggregate amount if less than the greater of \$5,000 or 5% of Total Revenue (line 14030) (Do not complete Items A-N)	\$ _____	11102	
Total Fees Earned:	\$ _____	11109	

10. Commodities Revenue \$ _____ 13990 II/IIA: 3990

11. Other Revenue

A. Total Revenue from sale of Certificates of Deposit (CDs) issued by an affiliate.....	\$ _____	11126	
B. Other Revenue.....	\$ _____	13995	A: 3995

If Other Revenue line 13995 is greater than both 10% of Total Revenue line 14030 and \$5,000, provide a description of the 3 largest components of Other Revenue, along with the associated revenue for each.

B-1. Description of : 1st largest component of Other Revenue:

_____ 11120 \$ _____ 11121

B-2. Description of : 2nd largest component of Other Revenue:

_____ 11122 \$ _____ 11123

B-3. Description of : 3rd largest component of Other Revenue:

_____ 11124 \$ _____ 11125

Total Revenue: \$ _____ 14030 A: 4030

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**FOCUS Report
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EXPENSES

12. Compensation Expenses

A. Registered Representatives Compensation.....	\$ _____	14110	C/II: 4110
B. Compensation paid to all other revenue producing personnel.....	\$ _____	14040	C/II: 4040
C. Compensation paid to non-revenue producing personnel (including temporary personnel)	\$ _____	11200	
D. Bonuses.....	\$ _____	11201	
E. Other compensation expenses.....	\$ _____	11202	
F. Aggregate amount if less than the greater of \$5,000 or 5% of Total Expenses (line 14200) (Do not complete Items A-E).....	\$ _____	11203	
Total Compensation Expenses:	\$ _____	11209	

13. Commission, Clearance and Custodial Expenses

A. Floor brokerage and fees paid	\$ _____	14055	C/II: 4055
B. Amounts paid to Exchanges, ECNs, and ATSS.....	\$ _____	14145	C/II: 4145
C. Clearance Fees Paid to broker-dealers.....	\$ _____	11210	
D. Clearance Fees Paid to non-broker-dealers.....	\$ _____	14135	C/II: 4135
E. Commission Paid to other broker-dealers.....	\$ _____	14140	IIA: 4140
F. 12b-1 Fees.....	\$ _____	11211	
G. Custodial Fees.....	\$ _____	11212	
H. Aggregate amount if less than the greater of \$5,000 or 5% of Total Expenses (line 14200) (Do not complete Items A-G).....	\$ _____	11213	
Total Commission, Clearance and Custodial Fees:	\$ _____	11219	

14. Expenses Incurred on Behalf of Affiliates and Others

A. Soft dollar expenses	\$ _____	11220	
B. Rebates/Recapture of commissions	\$ _____	11221	
Total Expenses incurred on Behalf of Affiliates and Others:	\$ _____	11229	

15. Interest and Dividend Expenses

A. Interest paid on bank loans.....	\$ _____	11230	
B. Interest paid on debt instruments where broker-dealer is the obligor, including subordination agreements.....	\$ _____	11231	
C. Interest paid on customer balances	\$ _____	11232	
D. Interest paid on Securities Loaned transactions	\$ _____	11233	
E. Interest paid on Repurchase Agreements	\$ _____	11234	
F. Interest and/or Dividends on Short Securities Inventory.....	\$ _____	11235	
G. Other interest expenses.....	\$ _____	11236	
H. Aggregate amount if less than the greater of \$5,000 or 5% of Total Expenses (line 14200) (Do not complete Items A-G).....	\$ _____	11237	
Total Interest and Dividend Expenses:	\$ _____	14075	A:4075

16. Fees Paid to Third Party Service Providers

A. To Affiliates.....	\$ _____	11240	
B. To Third Parties.....	\$ _____	11241	
Total Fees Paid to Third Party Service Providers:	\$ _____	11249	

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17. General, Administrative, Regulatory and Miscellaneous Expenses

A. Finders' Fees.....	\$ _____	11250	
B. Technology, data and communication costs.....	\$ _____	14060	C/II: 4060, 4186
C. Research.....	\$ _____	11251	
D. Promotional Fees.....	\$ _____	14150	C/II: 4150
E. Travel and Entertainment.....	\$ _____	11252	
F. Occupancy and equipment expenses.....	\$ _____	14080	C/II: 4080
G. Non-recurring charges.....	\$ _____	14190	C/II: 4190
H. Regulatory Fees	\$ _____	14195	A: 4195
I. Professional Service Fees.....	\$ _____	11253	
J. Litigation, arbitration, settlement, restitution and rescission, and related outside counsel legal fees.....	\$ _____	11254	
K. Losses in error accounts and bad debts.....	\$ _____	14170	C/II: 4170
L. State and local income taxes.....	\$ _____	11255	
M. Aggregate amount if less than the greater of \$5,000 or 5% of Total Expenses (line 14200) (Do not complete Items A-L).....	\$ _____	11256	
Total General, Administrative, Regulatory and Miscellaneous Expenses:	\$ _____	11269	

18. Other Expenses

A. Other Expenses.....	\$ _____	14100	A: 4100
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If Other Expenses line 14100 is greater than both 10% of Total Expenses line 14200 and \$5,000, provide a description of the 3 largest components of Other Expenses, along with the associated expense for each.

A-1. Description of : 1st largest component of Other Expenses:

<input type="text"/>	11280	\$ _____	11281
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A-2. Description of : 2nd largest component of Other Expenses:

<input type="text"/>	11282	\$ _____	11283
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A-3. Description of : 3rd largest component of Other Expenses:

<input type="text"/>	11284	\$ _____	11285
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Total Expenses: \$ _____ 14200 A: 4200

NET INCOME/COMPREHENSIVE INCOME

19. Net Income/Comprehensive Income

A. Income (loss) before Federal income taxes and items below.....	\$ _____	14210	A: 4210
B. Provision for Federal income taxes (for parent only).....	\$ _____	14220	A: 4220
C. Equity in earnings (losses) of unconsolidated subsidiaries not included above.....	\$ _____	14222	A: 4222
D. Net income (loss) after Federal income taxes.....	\$ _____	14230	A: 4230
E. Other comprehensive income (loss).....	\$ _____	14226	A: 4226
F. Comprehensive income (loss).....	\$ _____	14228	A: 4228

(Please read instructions before completing Form)

SECTION 1: Unregistered offerings other than self or affiliate offerings

For each offering in which the firm participated in the Reporting Period, provide the following information. If firm engaged in more than five (5) such offerings during the Reporting Period, list the five (5) largest offerings in terms of total securities sold by dollar amount in descending order.

1. Unregistered offering other than self or affiliate offering:

- A. Name of Issuer/Sponsor: _____ 11310
- B. If Form D has been filed by the issuer, enter CIK (Filer ID Number): _____ 11311
- C. Industry Group (Select One): _____ 11312
- D. Federal Exemptions and Exclusions Claimed (Select all that apply):
- Rule 504(b)(1) (not (i), (ii) or (iii))..... 11313
 - Rule 504(b)(1)(i) 19000
 - Rule 504(b)(1)(ii) 19001
 - Rule 504(b)(1)(iii)..... 19002
 - Rule 505..... 19003
 - Rule 506..... 19004
 - Securities Act Section 4(5) 19005
 - Investment Company Act Section 3(c).... 19006
 - Other 19007
- E. Type(s) of Securities Offered (Select all that apply):
- Equity..... 11314
 - Debt..... 19010
 - Option, Warrant or Other Right to Acquire Another Security..... 19011
 - Security to be Acquired Upon Exercise of Option, Warrant or Other Right to Acquire Security..... 19012
 - Pooled Investment Fund Interests..... 19013
 - Tenant-in-Common Securities..... 19014
 - Mineral Property Securities..... 19015
 - Other..... 19016
- F. Minimum Investment accepted from any outside investor:.....\$ _____ 11315
- G. Total Offering Amount in dollars:.....\$ _____ 11316
- or check "Indefinite".....Indefinite 11317
- H. Total amount in dollars of securities sold during the reporting period by the member:.....\$ _____ 11318
- I. Total number of customers to whom securities were sold with respect to the sales reported for Item H:..... 11319
- J. Amount of revenue earned by the member with respect to the sales reported for Item H:.....\$ _____ 11320

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2. Unregistered offering other than self or affiliate offering:

- A. Name of Issuer/Sponsor: _____ 11330
- B. If Form D has been filed by the issuer, enter CIK (Filer ID Number):..... 11331
- C. Industry Group (Select One):..... 11332
- D. Federal Exemptions and Exclusions Claimed (Select all that apply):
- Rule 504(b)(1) (not (i), (ii) or (iii))..... 11333
 - Rule 504(b)(1)(i) 19020
 - Rule 504(b)(1)(ii) 19021
 - Rule 504(b)(1)(iii)..... 19022
 - Rule 505..... 19023
 - Rule 506..... 19024
 - Securities Act Section 4(5) 19025
 - Investment Company Act Section 3(c).... 19026
 - Other 19027
- E. Type(s) of Securities Offered (Select all that apply):
- Equity..... 11334
 - Debt..... 19030
 - Option, Warrant or Other Right to Acquire Another Security..... 19031
 - Security to be Acquired Upon Exercise of Option, Warrant or Other Right to Acquire Security..... 19032
 - Pooled Investment Fund Interests..... 19033
 - Tenant-in-Common Securities..... 19034
 - Mineral Property Securities..... 19035
 - Other..... 19036
- F. Minimum Investment accepted from any outside investor:.....\$ _____ 11335
- G. Total Offering Amount in dollars:.....\$ _____ 11336
- or check "Indefinite"Indefinite 11337
- H. Total amount in dollars of securities sold during the reporting period by the member:.....\$ _____ 11338
- I. Total number of customers to whom securities were sold with respect to the sales reported for Item H:..... 11339
- J. Amount of revenue earned by the member with respect to the sales reported for Item H:.....\$ _____ 11340

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3. Unregistered offering other than self or affiliate offering:

A. Name of Issuer/Sponsor: _____ 11350

B. If Form D has been filed by the issuer, enter CIK (Filer ID Number): _____ 11351

C. Industry Group (Select One): _____ 11352

D. Federal Exemptions and Exclusions Claimed (Select all that apply):

Rule 504(b)(1) (not (i), (ii) or (iii)).....	<input type="checkbox"/>	11353
Rule 504(b)(1)(i)	<input type="checkbox"/>	19040
Rule 504(b)(1)(ii)	<input type="checkbox"/>	19041
Rule 504(b)(1)(iii).....	<input type="checkbox"/>	19042
Rule 505.....	<input type="checkbox"/>	19043
Rule 506.....	<input type="checkbox"/>	19044
Securities Act Section 4(5)	<input type="checkbox"/>	19045
Investment Company Act Section 3(c)....	<input type="checkbox"/>	19046
Other	<input type="checkbox"/>	19047

E. Type(s) of Securities Offered (Select all that apply):

Equity.....	<input type="checkbox"/>	11354
Debt.....	<input type="checkbox"/>	19050
Option, Warrant or Other Right to Acquire Another Security.....	<input type="checkbox"/>	19051
Security to be Acquired Upon Exercise of Option, Warrant or Other Right to Acquire Security.....	<input type="checkbox"/>	19052
Pooled Investment Fund Interests.....	<input type="checkbox"/>	19053
Tenant-in-Common Securities.....	<input type="checkbox"/>	19054
Mineral Property Securities.....	<input type="checkbox"/>	19055
Other.....	<input type="checkbox"/>	19056

F. Minimum Investment accepted from any outside investor:.....\$ _____ 11355

G. Total Offering Amount in dollars:.....\$ _____ 11356

or check "Indefinite".....Indefinite 11357

H. Total amount in dollars of securities sold during the reporting period by the member:.....\$ _____ 11358

I. Total number of customers to whom securities were sold with respect to
the sales reported for Item H:..... 11359

J. Amount of revenue earned by the member with respect to
the sales reported for Item H:.....\$ _____ 11360

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4. Unregistered offering other than self or affiliate offering:

- A. Name of Issuer/Sponsor: _____ 11370
- B. If Form D has been filed by the issuer, enter CIK (Filer ID Number):..... 11371
- C. Industry Group (Select One):..... 11372
- D. Federal Exemptions and Exclusions Claimed (Select all that apply):
- Rule 504(b)(1) (not (i), (ii) or (iii))..... 11373
 - Rule 504(b)(1)(i) 19060
 - Rule 504(b)(1)(ii) 19061
 - Rule 504(b)(1)(iii)..... 19062
 - Rule 505..... 19063
 - Rule 506..... 19064
 - Securities Act Section 4(5) 19065
 - Investment Company Act Section 3(c).... 19066
 - Other 19067
- E. Type(s) of Securities Offered (Select all that apply):
- Equity..... 11374
 - Debt..... 19070
 - Option, Warrant or Other Right to Acquire Another Security..... 19071
 - Security to be Acquired Upon Exercise of Option, Warrant or Other Right to Acquire Security..... 19072
 - Pooled Investment Fund Interests..... 19073
 - Tenant-in-Common Securities..... 19074
 - Mineral Property Securities..... 19075
 - Other..... 19076
- F. Minimum Investment accepted from any outside investor:.....\$ _____ 11375
- G. Total Offering Amount in dollars:.....\$ _____ 11376
- or check "Indefinite".....Indefinite 11377
- H. Total amount in dollars of securities sold during the reporting period by the member:.....\$ _____ 11378
- I. Total number of customers to whom securities were sold with respect to the sales reported for Item H:..... 11379
- J. Amount of revenue earned by the member with respect to the sales reported for Item H:.....\$ _____ 11380

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5. Unregistered offering other than self or affiliate offering:

- A. Name of Issuer/Sponsor: _____ 11390
- B. If Form D has been filed by the issuer, enter CIK (Filer ID Number):..... 11391
- C. Industry Group (Select One):..... 11392
- D. Federal Exemptions and Exclusions Claimed (Select all that apply):
- Rule 504(b)(1) (not (i), (ii) or (iii))..... 11393
 - Rule 504(b)(1)(i) 19080
 - Rule 504(b)(1)(ii) 19081
 - Rule 504(b)(1)(iii)..... 19082
 - Rule 505..... 19083
 - Rule 506..... 19084
 - Securities Act Section 4(5) 19085
 - Investment Company Act Section 3(c).... 19086
 - Other 19087
- E. Type(s) of Securities Offered (Select all that apply):
- Equity..... 11394
 - Debt..... 19090
 - Option, Warrant or Other Right to Acquire Another Security..... 19091
 - Security to be Acquired Upon Exercise of Option, Warrant or Other Right to Acquire Security..... 19092
 - Pooled Investment Fund Interests..... 19093
 - Tenant-in-Common Securities..... 19094
 - Mineral Property Securities..... 19095
 - Other..... 19096
- F. Minimum Investment accepted from any outside investor:.....\$ _____ 11395
- G. Total Offering Amount in dollars:.....\$ _____ 11396
- or check "Indefinite".....Indefinite 11397
- H. Total amount in dollars of securities sold during the reporting period by the member:.....\$ _____ 11398
- I. Total number of customers to whom securities were sold with respect to the sales reported for Item H:..... 11399
- J. Amount of revenue earned by the member with respect to the sales reported for Item H:.....\$ _____ 11400

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SECTION 2: Unregistered offerings; self or affiliate offerings

For each offering in which the firm participated in the Reporting Period, provide the following information. If firm engaged in more than five (5) such offerings during the Reporting Period, list the five (5) largest offerings in terms of total securities sold by dollar amount in descending order.

6. Unregistered offerings; self or affiliate offerings:

- A. Name of Issuer/Sponsor: _____ 11410
- B. If Form D has been filed by the issuer, enter CIK (Filer ID Number):..... 11411
- C. Industry Group (Select One):..... 11412
- D. Federal Exemptions and Exclusions Claimed (Select all that apply):
 - Rule 504(b)(1) (not (i), (ii) or (iii))..... 11413
 - Rule 504(b)(1)(i) 19100
 - Rule 504(b)(1)(ii) 19101
 - Rule 504(b)(1)(iii)..... 19102
 - Rule 505..... 19103
 - Rule 506..... 19104
 - Securities Act Section 4(5) 19105
 - Investment Company Act Section 3(c).... 19106
 - Other 19107
- E. Type(s) of Securities Offered (Select all that apply):
 - Equity..... 11414
 - Debt..... 19110
 - Option, Warrant or Other Right to Acquire Another Security..... 19111
 - Security to be Acquired Upon Exercise of Option, Warrant or Other Right to Acquire Security..... 19112
 - Pooled Investment Fund Interests..... 19113
 - Tenant-in-Common Securities..... 19114
 - Mineral Property Securities..... 19115
 - Other..... 19116
- F. Minimum Investment accepted from any outside investor:.....\$ _____ 11415
- G. Total Offering Amount in dollars:.....\$ _____ 11416

or check "Indefinite".....Indefinite 11417
- H. Total amount in dollars of securities sold during the reporting period by the member:..... \$ _____ 11418
- I. Total number of customers to whom securities were sold with respect to the sales reported for Item H:..... 11419
- J. Amount of revenue earned by the member with respect to the sales reported for Item H:.....\$ _____ 11420
- K. Issuer/Sponsor's affiliation to Broker-Dealer filing this Report (Select One): 11421

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7. Unregistered offerings; self or affiliate offerings:

A. Name of Issuer/Sponsor: _____ 11430

B. If Form D has been filed by the issuer, enter CIK (Filer ID Number): _____ 11431

C. Industry Group (Select One): _____ 11432

- D. Federal Exemptions and Exclusions Claimed (Select all that apply):
- Rule 504(b)(1) (not (i), (ii) or (iii))..... 11433
 - Rule 504(b)(1)(i) 19120
 - Rule 504(b)(1)(ii) 19121
 - Rule 504(b)(1)(iii)..... 19122
 - Rule 505..... 19123
 - Rule 506..... 19124
 - Securities Act Section 4(5) 19125
 - Investment Company Act Section 3(c).... 19126
 - Other 19127

- E. Type(s) of Securities Offered (Select all that apply):
- Equity..... 11434
 - Debt..... 19130
 - Option, Warrant or Other Right to Acquire Another Security..... 19131
 - Security to be Acquired Upon Exercise of Option, Warrant or Other Right to Acquire Security..... 19132
 - Pooled Investment Fund Interests..... 19133
 - Tenant-in-Common Securities..... 19134
 - Mineral Property Securities..... 19135
 - Other..... 19136

F. Minimum Investment accepted from any outside investor:.....\$ _____ 11435

G. Total Offering Amount in dollars:.....\$ _____ 11436
 or check "Indefinite".....Indefinite 11437

H. Total amount in dollars of securities sold during the reporting period by the member:.....\$ _____ 11438

I. Total number of customers to whom securities were sold with respect to the sales reported for Item H:..... 11439

J. Amount of revenue earned by the member with respect to the sales reported for Item H:.....\$ _____ 11440

K. Issuer/Sponsor's affiliation to Broker-Dealer filing this Report (Select One): 11441

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For the period (MMDDYY) from _____ 3932 to _____ 3933

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8. Unregistered offerings; self or affiliate offerings:

- A. Name of Issuer/Sponsor: _____ 11450
- B. If Form D has been filed by the issuer, enter CIK (Filer ID Number): _____ 11451
- C. Industry Group (Select One): _____ 11452
- D. Federal Exemptions and Exclusions Claimed (Select all that apply):
- Rule 504(b)(1) (not (i), (ii) or (iii))..... 11453
 - Rule 504(b)(1)(i) 19140
 - Rule 504(b)(1)(ii) 19141
 - Rule 504(b)(1)(iii)..... 19142
 - Rule 505..... 19143
 - Rule 506..... 19144
 - Securities Act Section 4(5) 19145
 - Investment Company Act Section 3(c).... 19146
 - Other 19147
- E. Type(s) of Securities Offered (Select all that apply):
- Equity..... 11454
 - Debt..... 19150
 - Option, Warrant or Other Right to Acquire Another Security..... 19151
 - Security to be Acquired Upon Exercise of Option, Warrant or Other Right to Acquire Security..... 19152
 - Pooled Investment Fund Interests..... 19153
 - Tenant-in-Common Securities..... 19154
 - Mineral Property Securities..... 19155
 - Other..... 19156
- F. Minimum Investment accepted from any outside investor:.....\$ _____ 11455
- G. Total Offering Amount in dollars:.....\$ _____ 11456
- or check "Indefinite".....Indefinite 11457
- H. Total amount in dollars of securities sold during the reporting period by the member:.....\$ _____ 11458
- I. Total number of customers to whom securities were sold with respect to the sales reported for Item H:..... _____ 11459
- J. Amount of revenue earned by the member with respect to the sales reported for Item H:.....\$ _____ 11460
- K. Issuer/Sponsor's affiliation to Broker-Dealer filing this Report (Select One): _____ 11461

**SUPPLEMENTAL STATEMENT OF INCOME
OPERATIONAL PAGE**

BROKER-DEALER

For the period (MMDDYY) from _____ 3932 to _____ 3933

_____ Number of months included in this statement _____ 3931

9. Unregistered offerings; self or affiliate offerings:

A. Name of Issuer/Sponsor: _____ 11470

B. If Form D has been filed by the issuer, enter CIK (Filer ID Number): _____ 11471

C. Industry Group (Select One): _____ 11472

- D. Federal Exemptions and Exclusions Claimed (Select all that apply):
- Rule 504(b)(1) (not (i), (ii) or (iii))..... 11473
 - Rule 504(b)(1)(i) 19160
 - Rule 504(b)(1)(ii) 19161
 - Rule 504(b)(1)(iii)..... 19162
 - Rule 505..... 19163
 - Rule 506..... 19164
 - Securities Act Section 4(5) 19165
 - Investment Company Act Section 3(c).... 19166
 - Other 19167

- E. Type(s) of Securities Offered (Select all that apply):
- Equity..... 11474
 - Debt..... 19170
 - Option, Warrant or Other Right to Acquire Another Security..... 19171
 - Security to be Acquired Upon Exercise of Option, Warrant or Other Right to Acquire Security..... 19172
 - Pooled Investment Fund Interests..... 19173
 - Tenant-in-Common Securities..... 19174
 - Mineral Property Securities..... 19175
 - Other..... 19176

F. Minimum Investment accepted from any outside investor:.....\$ _____ 11475

G. Total Offering Amount in dollars:.....\$ _____ 11476
 or check "Indefinite".....Indefinite 11477

H. Total amount in dollars of securities sold during the reporting period by the member:.....\$ _____ 11478

I. Total number of customers to whom securities were sold with respect to the sales reported for Item H:..... 11479

J. Amount of revenue earned by the member with respect to the sales reported for Item H:.....\$ _____ 11480

K. Issuer/Sponsor's affiliation to Broker-Dealer filing this Report (Select One): 11481



**SUPPLEMENTAL STATEMENT OF INCOME
OPERATIONAL PAGE**

BROKER-DEALER

For the period (MMDDYY) from _____ 3932 to _____ 3933

_____ Number of months included in this statement _____ 3931

10. Unregistered offerings; self or affiliate offerings:

- A.** Name of Issuer/Sponsor: _____ 11490
- B.** If Form D has been filed by the issuer, enter CIK (Filer ID Number): _____ 11491
- C.** Industry Group (Select One): _____  11492
- D.** Federal Exemptions and Exclusions Claimed (Select all that apply):
- Rule 504(b)(1) (not (i), (ii) or (iii))..... 11493
 - Rule 504(b)(1)(i) 19180
 - Rule 504(b)(1)(ii) 19181
 - Rule 504(b)(1)(iii)..... 19182
 - Rule 505..... 19183
 - Rule 506..... 19184
 - Securities Act Section 4(5) 19185
 - Investment Company Act Section 3(c).... 19186
 - Other 19187
- E.** Type(s) of Securities Offered (Select all that apply):
- Equity..... 11494
 - Debt..... 19190
 - Option, Warrant or Other Right to Acquire Another Security..... 19191
 - Security to be Acquired Upon Exercise of Option, Warrant or Other Right to Acquire Security..... 19192
 - Pooled Investment Fund Interests..... 19193
 - Tenant-in-Common Securities..... 19194
 - Mineral Property Securities..... 19195
 - Other..... 19196
- F.** Minimum Investment accepted from any outside investor:.....\$ _____ 11495
- G.** Total Offering Amount in dollars:.....\$ _____ 11496
 or check "Indefinite".....Indefinite 11497
- H.** Total amount in dollars of securities sold during the reporting period by the member:.....\$ _____ 11498
- I.** Total number of customers to whom securities were sold with respect to the sales reported for Item H:..... 11499
- J.** Amount of revenue earned by the member with respect to the sales reported for Item H:..... \$ _____ 11500
- K.** Issuer/Sponsor's affiliation to Broker-Dealer filing this Report (Select One):  11501

**SUPPLEMENTAL STATEMENT OF INCOME
OPERATIONAL PAGE – DROPDOWN VALUES FOR RELATED FIELDS**

Dropdown Values for Related Fields

C. Industry Group (Select One):.....

- Agriculture
- Banking and Financial Services
- Business Services
- Energy
- Health Care
- Manufacturing
- Real Estate
- Retailing
- Restaurants
- Technology
- Travel
- Other

K. Issuer/Sponsor's affiliation to Broker-Dealer filing this Report (Select One):.....

- Parent, indirect
- Parent, direct
- Guaranteed Subsidiary
- Non-guaranteed Subsidiary
- Other Affiliate