

Notice to Members

JANUARY 2004

SUGGESTED ROUTING

Legal and Compliance
Operations Managers
Senior Management

KEY TOPICS

Options Exemption
Trading Activity Fee

INFORMATIONAL

Options Exemption

NASD Provides Additional Information Regarding
Options Exemption for the Trading Activity Fee

Executive Summary

On May 30, 2003, the Securities and Exchange Commission (SEC or Commission) permanently approved revisions to NASD By-Laws, eliminating the current Regulatory Fee assessed upon NASD members and instituting a new transaction-based Trading Activity Fee (TAF).¹ As part of the permanent fee structure, listed options transactions executed by broker/dealers for which NASD is not the primary regulator were exempted from the TAF, effective January 1, 2004. A listing of those broker/dealers exempt from the fee is attached.

Questions/Further Information

Questions regarding this *Notice* should be directed to NASD Finance at (240) 386-5397, or the Office of General Counsel, Regulatory Policy and Oversight, at (202) 728-8071.

Discussion

The SEC approved the TAF on a permanent basis on May 30, 2003, whereby listed options transactions executed by broker/dealers for which NASD is not the primary regulator were exempted from the fee, effective January 1, 2004. Listed option transactions will be subject to the TAF only if NASD is that member firm's Designated Options Examining Authority (DOEA). A listing of those firms who are not designated to NASD who are exempt from the fee appear in Attachment A. As changes are required, a revised listing will be published through further *Notices to Members*.

04-01

Endnote

- 1 Securities Exchange Act Rel. No. 47946 (May 30, 2003).

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ATTACHMENT A

2004 DOEA Allocations - Firms not Designated to NASD

Firm ID	SEC 8-Number	MPID	Firm Name	City	State
1101	8-00719	ABLE	NATEXIS BLEICHROEDER INC.	NEW YORK	NY
10	8-21409	ADVS	ADVEST, INC.	HARTFORD	CT
38702	8-48368	AKJI	AKJ	NASSAU	
42410	8-49831	ALDO	ALLEN DOUGLAS SECURITIES, INC.	WINTER PARK	FL
7809	8-23204	ALEX	J. ALEXANDER SECURITIES, INC.	LOS ANGELES	CA
48	8-18206	ANSR	ANDERSON & STRUDWICK, INCORPORATED	RICHMOND	VA
44656	8-50764	ARCD	ARCADIA SECURITIES, LLC	NEW YORK	NY
7381	8-21459	ASCO	EDELMAN SECURITIES COMPANY, L.P.	NEW YORK	NY
12969	8-28568	ASED	ASSOCIATED SECURITIES CORP.	LOS ANGELES	CA
28269	8-43559	ASEL	TRADITION ASIEL SECURITIES INC.	NEW YORK	NY
108887	8-53088	ATGP	AGENCY TRADING GROUP, INC.	WAYZATA	MN
103768	8-52261	AUTO	AUTOMATED TRADING DESK FINANCIAL SERVICES, LLC	MT. PLEASANT	SC
38913	8-48462	BANF	BANIF SECURITIES, INC.	NEW YORK	NY
104487		BBHC	BROWN BROTHERS HARIMAN	NEW YORK	NY
6255	8-01361	BBNT	SCOTT & STRINGFELLOW, INC.	RICHMOND	VA
5835	8-16555	BCOM	BAKER & CO., INCORPORATED	CLEVELAND	OH
104474	8-52942	BERN	SANFORD C. BERNSTEIN & CO., LLC	NEW YORK	NY
79	8-35008	BEST	BEAR, STEARNS & CO. INC.	NEW YORK	NY
14285	8-30453	BHCS	FISERV SECURITIES, INC.	PHILADELPHIA	PA
10215	8-26656	BIDW	BIDWELL & COMPANY	PORTLAND	OR
1248	8-12140	BISH	BISHOP, ROSEN & CO., INC.	NEW YORK	NY
13071	8-23522	BKBS	FLEET SECURITIES, INC.	NEW YORK	NY
23407	8-40413	BKRT	BUCKMAN, BUCKMAN & REID, INC.	RED BANK	NJ
14667	8-31032	BKST	BROOKSTREET SECURITIES CORPORATION	IRVINE	CA
31394	8-44765	BNPS	BNP PARIBAS BROKERAGE SERVICES, INC.	KING OF PRUSSIA	PA
15879	8-32874	BNYC	BNY CLEARING SERVICES LLC	MILWAUKEE	WI
23065	8-40208	BOCM	BANC ONE CAPITAL MARKETS, INC.	CHICAGO	IL
26091	8-42263	BOFA	BANC OF AMERICA SECURITIES LLC	CHARLOTTE	NC
6822	8-38286	BRDG	BRIDGE TRADING COMPANY	ST. LOUIS	MO
104065	8-52538	BRGE	NEWBRIDGE SECURITIES CORPORATION	FT. LAUDERDALE	FL
22062	8-39382	BRUS	HD BROUS & CO., INC.	GREAT NECK	NY

Firm ID	SEC 8-Number	MPID	Firm Name	City	State
28432	8-43724	BSSC	BEAR, STEARNS SECURITIES CORP.	BROOKLYN	NY
41262	8-49343	BTRD	B-TRADE SERVICES LLC	NEW YORK	NY
28042	8-43400	BULA	BULLARO SECURITIES CORP.	ASTORIA	NY
118812	8-53687	BWNC	STC SECURITIES CORPORATION	FT. LAUDERDALE	FL
134	8-00201	CANT	CANTOR FITZGERALD & CO.	NEW YORK	NY
5393	8-16514	CHAS	CHARLES SCHWAB & CO., INC.	SAN FRANCISCO	CA
15776	8-32746	CHGO	ABN AMRO INCORPORATED	CHICAGO	IL
27829	8-42750	CHIL	CHILIAN PARTNERS, L.P.	WEST PALM BEACH	FL
630	8-18333	CIBC	CIBC WORLD MARKETS CORP.	NEW YORK	NY
10141	8-27045	CLGL	C. L. GLAZER & COMPANY, INC.	GREENWICH	CT
31295	8-40963	CLYN	CARLIN EQUITIES CORP.	NEW YORK	NY
7616	8-22522	COWN	SG COWEN SECURITIES CORPORATION	NEW YORK	NY
41400	8-49400	CPST	CAPSTONE INVESTMENTS	SAN DIEGO	CA
120767	8-65343	CRTW	CURTISWOOD CAPITAL, LLC	NASHVILLE	TN
24771	8-41389	CWEI	CANTOR, WEISS & FRIEDNER, INC.	NEW YORK	NY
44523	8-50739	CYBR	CYBERTRADER, INC.	AUSTIN	TX
113591	8-53331	DANN	KEVIN DANN & PARTNERS, LLC	NEW YORK	NY
1588	8-17103	DAVA	DAVENPORT & COMPANY LLC	RICHMOND	VA
1576	8-12242	DAWA	DAIWA SECURITIES AMERICA INC.	NEW YORK	NY
2525	8-17822	DBKS	DEUTSCHE BANK SECURITIES INC.	NEW YORK	NY
118212	8-53650	DIVA	DIVINE CAPITAL MARKETS LLC	NEW YORK	NY
222	8-12676	DIVP	DIVERSIFIED SECURITIES, INCORPORATED	LONG BEACH	CA
42159	8-49730	DLJD	HARRIS INVESTOR SERVICES LLC	JERSEY CITY	NJ
7560	8-17574	DLJP	PERSHING LLC	JERSEY CITY	NJ
1660	8-10048	DOFT	DOFT & CO., INC.	NEW YORK	NY
41957	8-49647	DRKW	DRESDNER KLEINWORT WASSERSTEIN SECURITIES LLC	NEW YORK	NY
35693	8-46838	ECUT	BNY BROKERAGE INC.	NEW YORK	NY
6731	8-18104	EDFM	MAN SECURITIES INC	CHICAGO	IL
42071	8-49684	EDGE	EDGETRADE.COM, INC.	NEW YORK	NY
47584	8-51820	EGSB	ELECTRONIC GLOBAL SECURITIES, INC.	NEW YORK	NY
3429	8-36808	EHSJ	E. H. SMITH JACOBS & CO., INC.	NEW YORK	NY
37453	8-47754	ELEC	ELECTRONIC TRADING GROUP, LLC	NEW YORK	NY
104038	8-52502	EQTY	EQUITY TRADING ONLINE, LLC	NEW YORK	NY
25025	8-41354	ETRS	E*TRADE CLEARING LLC	NEW YORK	NY
298	8-02018	FACT	FIRST ALBANY CAPITAL INC.	ALBANY	NY
1781	8-09952	FAGI	FAGENSON & CO., INC.	NEW YORK	NY

Firm ID	SEC 8-Number	MPID	Firm Name	City	State
816	8-00422	FBCO	CREDIT SUISSE FIRST BOSTON LLC	NEW YORK	NY
17344	8-35158	FCCP	FIRST CLEARING, LLC	GLEN ALLEN	VA
7784	8-23292	FIBS	FIDELITY BROKERAGE SERVICES LLC	BOSTON	MA
39473	8-48711	FILL	TRADESTATION SECURITIES, INC.	PLANTATION	FL
3023	8-17615	FLGR	PFLUEGER & BAERWALD INC.	SAN FRANCISCO	CA
41392	8-49398	FLNK	FINANCIAL LINKS, INC.	RALEIGH	NC
36118	8-47023	FMAT	FIMAT USA, INC.	NEW YORK	NY
16362	8-33753	FNYS	FIRST NEW YORK SECURITIES L.L.C.	NEW YORK	NY
13822	8-23787	FOCC	FIRST OPTIONS OF CHICAGO INC.	CHICAGO	IL
5633	8-16335	FOMA	AMERITRADE, INC.	OMAHA	NE
20375	8-38287	FONE	F1 TRADING.COM, INC.	MINEOLA	NY
6703	8-18028	FOUR	THE FOURTEEN RESEARCH CORPORATION	NEW YORK	NY
316	8-01523	FSWC	FIRST SOUTHWEST COMPANY	DALLAS	TX
6681	8-17974	FWCO	FIRST WASHINGTON CORPORATION	SEATTLE	WA
48029	8-52010	GBSC	GOLDEN BENEFICIAL SECURITIES	HOUSTON	TX
16686	8-34344	GKMC	HARRIS NESBITT GERARD, INC.	NEW YORK	NY
104281	8-52780	GLBZ	ONLINE BROKERAGE SERVICES	WATERVILLE	OH
361	8-00129	GSCO	GOLDMAN, SACHS & CO.	NEW YORK	NY
396	8-17737	HAZL	HAZLETT, BURT & WATSON, INC.	WHEELING	WV
453	8-33133	HDLY	J.J.B. HILLIARD, W.L. LYONS, INC.	LOUISVILLE	KY
6193	8-17005	HERO	BERNARD HEROLD & CO., INC.	NEW YORK	NY
33725	8-34415	IAEC	ISRAEL ENGLANDER	NEW YORK	NY
36418	8-47257	IBKR	INTERACTIVE BROKERS LLC	GREENWICH	CT
7897	8-23669	ICLS	INSTINET CLEARING SERVICES, INC.	NEW YORK	NY
37401	8-47724	ICTI	INTERNATIONAL CORRESPONDENT TRADING, INC.	JERSEY CITY	NJ
124245	8-65649	INDX	INDEX SECURITIES, LLC	SAN CLEMENTE	CA
2288	8-01865	INGS	INGALLS & SNYDER, LLC	NEW YORK	NY
104236	8-52704	INTG	INTEGRITY TRADING, INC.	KIRKLAND	WA
39295	8-48614	INVST	INVESTIN SECURITIES CORP.	DALLAS	TX
20746	8-38430	ISLD	THE ISLAND ECN	NEW YORK	NY
14343	8-30593	JBOC	NATIONAL CLEARING CORP.	BEVERLY HILLS	CA
2347	8-15074	JEFF	JEFFERIES & COMPANY, INC.	LOS ANGELES	CA
43571	8-50317	JIMK	SUNSTATE EQUITY TRADING	TAMPA	FL
473	8-17530	JOLE	JOHNSTON, LEMON & CO. INCORPORATED	WASHINGTON	DC
6888	8-26089	JONE	JONES & ASSOCIATES, INC.	WESTLAKE VILLAGE	CA
24907	8-41225	JRPS	DIRECT BROKERAGE, INC.	NEW YORK	NY

Firm ID	SEC 8-Number	MPID	Firm Name	City	State
104041	8-52509	KBAD	ADIRONDACK ELECTRONIC MARKETS LLC	NEW YORK	NY
7720	8-23135	KBCO	KAHN BROTHERS & CO. INC.	NEW YORK	NY
2440	8-13028	KIML	KIMELMAN & BAIRD, LLC	NEW YORK	NY
113326	8-53312	KKSS	HEDGE FUND CAPITAL PARTNERS, LLC	NEW YORK	NY
42093	8-49698	KVXS	KV EXECUTION SERVICES LLC	NEW YORK	NY
2498	8-25581	LAFF	R. F. LAFFERTY & CO., INC.	NEW YORK	NY
7506	8-12324	LEHM	LEHMAN BROTHERS INC.	NEW YORK	NY
104021	8-52511	LETS	CHOICETRADE	EAST BRUNSWICK	NJ
34048	8-46201	LEXT	LEXIT CAPITAL, LLC	HOBOKEN	NJ
117176	8-53595	LGNT	LEGENT CLEARING CORP.	OMAHA	NE
104369	8-52843	LIME	LIME BROKERAGE LLC	NEW YORK	NY
29500	8-44351	LMAN	B. LATERMANN & CO., INC.	NEW YORK	NY
10929	8-28004	LOEB	LOEB PARTNERS CORPORATION	NEW YORK	NY
33135	8-42152	LSCI	LEK SECURITIES CORPORATION	NEW YORK	NY
505	8-17230	LTCO	LADENBURG, THALMANN & CO., INC.	NEW YORK	NY
2625	8-08132	MADF	BERNARD L. MADOFF INVESTMENT SECURITIES LLC	NEW YORK	NY
103680	8-52194	MDAS	MIDAS SECURITIES, LLC	BUENA PARK	CA
42677	8-49951	MDBC	MDB CAPITAL GROUP LLC	SANTA MONICA	CA
566	8-30177	MDLD	MCDONALD INVESTMENTS INC.	CLEVELAND	OH
30080	8-44733	MDON	MCDONNELL, INC.	CHICAGO	IL
21520	8-41415	MDWD	MIDWOOD SECURITIES, INC.	NEW YORK	NY
18296	8-36420	MERI	MERRIMAN CURHAN FORD & CO.	SAN FRANCISCO	CA
117476	8-53596	MFML	MAKO FINANCIAL MARKETS, LLC	NEW YORK	NY
40096	8-48960	MFXG	MAXIMUM FINANCIAL INVESTMENT GROUP, INC.	TROY	MI
7691	8-07221	MLCO	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	NEW YORK	NY
47815	8-51911	MNRC	MONARCH CAPITAL GROUP, LLC	NEW YORK	NY
4161	8-15001	MOKE	MORGAN KEEGAN & COMPANY, INC.	MEMPHIS	TN
36000	8-46998	MPBS	AUTOMATED TRADING DESK BROKERAGE SERVICES, LLC	MT. PLEASANT	SC
2764	8-28816	MSRO	MESIROW FINANCIAL, INC.	CHICAGO	IL
47293	8-51750	MTCO	MILLER TABAK	NEW YORK	NY
47485	8-51825	MTRN	MULTITRADE SECURITIES LLC	NEW YORK	NY
119625	8-65216	MWRE	FTN MIDWEST RESEARCH SECURITIES CORP	CLEVELAND	OH
7299	8-13978	NBSI	HARRIS NESBITT CORP.	CHICAGO	IL
39940	8-48905	NDXT	NDX TRADING, INC.	MINNEAPOLIS	MN

Firm ID	SEC 8-Number	MPID	Firm Name	City	State
25843	8-42352	NEAL	KING FINANCIAL SERVICES, INC.	OLD BRIDGE	NJ
16360	8-33772	NEED	NEEDHAM & COMPANY, INC.	NEW YORK	NY
2908	8-01068	NEUB	NEUBERGER BERMAN, LLC	NEW YORK	NY
13041	8-26740	NFSC	NATIONAL FINANCIAL SERVICES LLC	BOSTON	MA
39410	8-48696	NISC	NATIONAL INVESTOR SERVICES CORP.	NEW YORK	NY
4297	8-15255	NMRA	NOMURA SECURITIES INTERNATIONAL, INC.	NEW YORK	NY
18975	8-37105	NTMG	NUTMEG SECURITIES, LTD.	FAIRFIELD	CT
104012	8-52473	NWMK	NEWMARK SECURITIES LTD.	TYLER	TX
103843	8-52326	NYFX	NYFIX MILLENNIUM, L.L.C.	NEW YORK	NY
2091	8-22371	OGRU	OSCAR GRUSS & SON, INCORPORATED	NEW YORK	NY
5979	8-16752	OLDE	H&R BLOCK FINANCIAL ADVISORS, INC.	DETROIT	MI
36816	8-47474	ONLI	HOLD BROTHERS ON-LINE INVESTMENT SERVICES L.L.C.	JERSEY CITY	NJ
25816	8-43168	OTAA	OTA LLC	PURCHASE	NY
103849	8-52354	OXPS	OPTIONSXPRESS	CHICAGO	IL
117783	8-53605	PALC	PALI CAPITAL, INC.	NEW YORK	NY
25866	8-42095	PFSI	PENSON FINANCIAL SERVICES, INC.	DALLAS	TX
10993	8-27945	PFTC	PREFERREDTRADE, INC.	SAN FRANCISCO	CA
665	8-15204	PIPR	U.S. BANCORP PIPER JAFFRAY INC.	MINNEAPOLIS	MN
16139	8-33359	PRST	MERRILL LYNCH PROFESSIONAL CLEARING CORP.	NEW YORK	NY
7471	8-27154	PRUS	PRUDENTIAL EQUITY GROUP, INC.	NEW YORK	NY
103719	8-52216	PTAR	PENSTAR TRADING, LLC	SARASOTA	FL
8174	8-16267	PWJC	UBS FINANCIAL SERVICES INC.	NEW YORK	NY
119955	8-65239	QLAB	QUANTLAB SECURITIES LP	HOUSTON	TX
705	8-10999	RAJA	RAYMOND JAMES & ASSOCIATES, INC.	ST. PETERSBURG	FL
31194	8-45411	RBCM	RBC DAIN RAUSCHER INC.	MINNEAPOLIS	MN
18377	8-24255	RBLT	ROSENBLATT SECURITIES INC.	NEW YORK	NY
14094	8-26718	REFC	REFCO SECURITIES, LLC	NEW YORK	NY
7671	8-22871	REND	REYNDERS, GRAY & CO., INCORPORATED	NEW YORK	NY
7432	8-19060	ROBB	LABRANCHE FINANCIAL SERVICES, INC.	NEW YORK	NY
38455	8-48255	RSKY	REDSKY SECURITIES, LLC	CHICAGO	IL
728	8-16429	RTHS	ROTHSCHILD INVESTMENT CORPORATION	CHICAGO	IL
791	8-11754	SALI	STERNE, AGEE & LEACH, INC.	BIRMINGHAM	AL
3911	8-14662	SASI	THE SEIDLER COMPANIES INCORPORATED	LOS ANGELES	CA
7059	8-08177	SBSH	CITIGROUP GLOBAL MARKETS INC.	NEW YORK	NY
2692	8-13535	SCHB	SCHWAB CAPITAL MARKETS L.P.	JERSEY CITY	NJ
755	8-44373	SEAB	SEABOARD SECURITIES, INC.	FLORHAM PARK	NJ

Firm ID	SEC 8-Number	MPID	Firm Name	City	State
8330	8-24971	SEAP	SEAPORT SECURITIES CORP.	NEW YORK	NY
14020	8-34354	SHMR	O'CONNOR & COMPANY	CHICAGO	IL
3403	8-04024	SHRE	SHUFRO, ROSE & CO., LLC	NEW YORK	NY
3466	8-00526	SILK	SPEAR, LEEDS & KELLOGG, L.P.	NEW YORK	NY
114657	8-53430	SKYC	SKY CAPITAL LLC	NEW YORK	NY
123421	8-65585	SMEX	SMART EXECUTION SECURITIES, LLC	SAN CLEMENTE	CA
20580	8-38325	SMHI	SANDERS MORRIS HARRIS INC.	HOUSTON	TX
15425	8-32227	SNDV	SOUNDVIEW TECHNOLOGY CORPORATION	OLD GREENWICH	CT
17972	8-36005	SOLO	SOLOWEY & CO.	MIAMI	FL
3496	8-01927	SPHN	STEPHENS INC.	LITTLE ROCK	AR
6271	8-17212	STCM	SUNTRUST CAPITAL MARKETS, INC.	ATLANTA	GA
6670	8-17758	STOX	STOCKCROSS FINANCIAL SERVICES, INC.	BOSTON	MA
45141	8-51004	SWFT	SWIFT TRADE SECURITIES USA INC	TORONTO ONTARIO	
7973	8-17582	SWIS	SWISS AMERICAN SECURITIES INC.	NEW YORK	NY
6220	8-45123	SWST	SOUTHWEST SECURITIES, INC.	DALLAS	TX
41353	8-49386	TDCO	THOMPSON DAVIS & CO., INC.	RICHMOND	VA
103802	8-52290	TDSC	TRACK DATA SECURITIES CORPORATION	BROOKLYN	NY
120116	8-65260	THEM	THEMIS TRADING LLC	CHATHAM	NJ
45716	8-51141	THRC	THOR CAPITAL LLC	NEW YORK	NY
37761	8-47943	TNTO	TERRA NOVA TRADING, L.L.C.	CHICAGO	IL
3600	8-13621	TRFR	TRANSAMERICA FINANCIAL ADVISORS, INC.	LOS ANGELES	CA
103360	8-52181	TRNX	TRINIX SECURITIES LLC	ENCINITAS	CA
7654	8-22651	UBSW	UBS SECURITIES LLC	STAMFORD	CT
46145	8-51314	UNEX	UNX, INC.	BURBANK	CA
20804	8-38485	UPLN	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PAR	SCOTTSDALE	AZ
11238	8-18118	USIC	U.S. SECURITIES INTERNATIONAL	NEW YORK	NY
26258	8-42448	VNDM	VANDHAM SECURITIES CORP.	NEW YORK	NY
39798	8-48838	VOLM	NEOVEST TRADING	ATLANTA	GA
104226	8-52688	VWPT	VIEWPOINT SECURITIES, LLC	BEND	OR
10012	8-25936	WABR	WALL STREET ACCESS	NEW YORK	NY
17912	8-35930	WANG	WANG INVESTMENT ASSOCIATES, INC.	NEW YORK	NY
7870	8-23395	WATH	TD WATERHOUSE INVESTOR SERVICES, INC.	NEW YORK	NY
797	8-07080	WATL	A.B. WATLEY, INC.	NEW YORK	NY
875	8-00484	WAYN	WAYNE HUMMER INVESTMENTS L.L.C.	CHICAGO	IL
1252	8-02698	WBLR	WILLIAM BLAIR & COMPANY L.L.C.	CHICAGO	IL
126292	8-65876	WCHV	WACHOVIA CAPITAL MARKETS, LLC	CHARLOTTE	NC

Firm ID	SEC 8-Number	MPID	Firm Name	City	State
3777	8-14299	WDCO	WILSON-DAVIS & CO., INC.	SALT LAKE CITY	UT
867	8-02671	WDSB	HELFANT GROUP, INC.	NEW YORK	NY
877	8-12987	WEDB	WEDBUSH MORGAN SECURITIES INC.	LOS ANGELES	CA
7536	8-32215	WELC	H. G. WELLINGTON & CO., INC.	NEW YORK	NY
39310	8-48636	WEXS	WEXFORD CLEARING SERVICES, LLC	NEW YORK	NY
120719	8-65336	WEXX	WOLVERINE EXECUTION SERVICES, LLC	CHICAGO	IL
27308	8-43009	WGTC	WG TRADING COMPANY LIMITED PARTNERSHIP	GREENWICH	CT
10467	8-30639	WIEN	WIEN SECURITIES CORP.	JERSEY CITY	NJ
46237	8-51354	WISL	THOMAS WEISEL PARTNERS LLC	SAN FRANCISCO	CA
24673	8-41285	WLDC	WORLDSCO, L.L.C.	NEW YORK	NY
42505	8-49936	WPAC	WHITE PACIFIC SECURITIES, INC.	SAN FRANCISCO	CA
2998	8-15648	WPGC	ROBECO USA BROKERAGE SERVICES	NEW YORK	NY
120435	8-65301	WRTH	WORTHINGTON SECURITIES, L.L.C.	DALLAS	TX
19616	8-37180	WSPD	WACHOVIA SECURITIES, LLC	RICHMOND	VA
8056	8-24126	YOSE	YORK SECURITIES, INC.	NEW YORK	NY
123000	8-65555		LINKBROKERS DERIVATIVES CORPORATION	NEW YORK	NY