## REVENUE

### 1. Commissions

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
</table>
| A    | Listed Equities, ETFs and Closed End Funds Executed on an Exchange | $[13935]
| B    | Exchange Listed Equity Securities Executed OTC | $[13937]
| 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]
| I    | OTC Options | $[11006]
| J    | All Other Securities Commissions | $[13939]
| K    | Commodity Transactions | $[13991]
| 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)

<table>
<thead>
<tr>
<th>Reference Line</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>C: 3921</td>
<td>$[11008]</td>
</tr>
</tbody>
</table>

#### 1. Is any portion of Item M related to municipal securities?

- Yes
- No

**Total Commissions:** $[13940]

### 2. Revenue from Sale of Investment Company Shares

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
</table>
| 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)

<table>
<thead>
<tr>
<th>Reference Line</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>C: 3925</td>
<td>$[11022]</td>
</tr>
</tbody>
</table>

**Total Revenue From Sale of Insurance Based Products:** $[11029]

### 3. Revenue from Sale of Insurance Based Products

### 4. Gains or Losses on Derivative Trading Desks

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
</table>
| A    | Interest Rate/Fixed Income Products | $[13921]
| B    | Currency | $[13922]
| C    | Equity Products | $[13923]
| D    | Commodity Products | $[13924]
| E    | Other | $[13925]

**Total Gains or Losses on Derivative Trading Desks:** $[13926]
### 5. Net Gains or Losses on Principal Trades

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
<th>Dividends</th>
<th>Interest</th>
<th>Amount</th>
<th>Interest</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Equities, ETFs and Closed End Funds</td>
<td>Yes</td>
<td>☐</td>
<td>No</td>
<td>☑</td>
<td>$1030</td>
</tr>
<tr>
<td>B</td>
<td>U.S. Government and Agencies. Includes interest</td>
<td>Yes</td>
<td>☐</td>
<td>No</td>
<td>☑</td>
<td>$1031</td>
</tr>
<tr>
<td>C</td>
<td>Foreign Sovereign Debt. Includes interest</td>
<td>Yes</td>
<td>☐</td>
<td>No</td>
<td>☑</td>
<td>$1033</td>
</tr>
<tr>
<td>D</td>
<td>Corporate Debt. Includes interest</td>
<td>Yes</td>
<td>☐</td>
<td>No</td>
<td>☑</td>
<td>$1035</td>
</tr>
<tr>
<td>E</td>
<td>Mortgage-Backed and Other</td>
<td>Asset-Backed Securities. Includes interest</td>
<td>Yes</td>
<td>☐</td>
<td>No</td>
<td>☑</td>
</tr>
<tr>
<td>F</td>
<td>Municipals. Includes interest</td>
<td>Yes</td>
<td>☐</td>
<td>No</td>
<td>☑</td>
<td>$1039</td>
</tr>
<tr>
<td>G</td>
<td>Foreign Exchange</td>
<td>$</td>
<td>$</td>
<td>3902</td>
<td>C: 3902</td>
<td></td>
</tr>
<tr>
<td>H</td>
<td>Listed Options</td>
<td>$</td>
<td>$</td>
<td>1043</td>
<td>C: 3901</td>
<td></td>
</tr>
<tr>
<td>I</td>
<td>OTC Options</td>
<td>$</td>
<td>$</td>
<td>1041</td>
<td>C: 3901</td>
<td></td>
</tr>
<tr>
<td>J</td>
<td>Securities Based Swaps</td>
<td>$</td>
<td>$</td>
<td>1042</td>
<td>C: 3901</td>
<td></td>
</tr>
<tr>
<td>K</td>
<td>All Other Swaps</td>
<td>$</td>
<td>$</td>
<td>1043</td>
<td>C: 3901</td>
<td></td>
</tr>
<tr>
<td>L</td>
<td>Futures</td>
<td>$</td>
<td>$</td>
<td>1044</td>
<td>C: 3901</td>
<td></td>
</tr>
<tr>
<td>M</td>
<td>Commodity Transactions</td>
<td>$</td>
<td>$</td>
<td>3904</td>
<td>C: 3901</td>
<td></td>
</tr>
<tr>
<td>N</td>
<td>Other</td>
<td>$</td>
<td>$</td>
<td>3951</td>
<td>C: 3901</td>
<td></td>
</tr>
<tr>
<td>O</td>
<td>Aggregate amount if less than the greater of $5,000 or 5% of Total Revenue</td>
<td>$</td>
<td>$</td>
<td>1045</td>
<td>C: 3901</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Is any portion of Item O related to municipal securities?</td>
<td>Yes</td>
<td>☐</td>
<td>No</td>
<td>☑</td>
<td>$1046</td>
</tr>
<tr>
<td></td>
<td>Total Net Gains or Losses on Principal Trades</td>
<td>$</td>
<td>$</td>
<td>3950</td>
<td>A: 3950</td>
<td></td>
</tr>
</tbody>
</table>

### 6. Capital Gains (Losses) on Firm Investments

Includes Dividends and/or Interest | Yes | ☐ | No | ☑ | $1053 | $3952 | A: 3952 |

### 7. Interest / Rebate / Dividend Income

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
<th>Amount</th>
<th>C: 3900</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Securities Borrowings</td>
<td>$</td>
<td>$1069</td>
</tr>
<tr>
<td>B</td>
<td>Reverse Repurchase Transactions</td>
<td>$</td>
<td>$1061</td>
</tr>
<tr>
<td>C</td>
<td>Margin Interest</td>
<td>$</td>
<td>$3960</td>
</tr>
<tr>
<td>D</td>
<td>Interest earned from customer bank sweep (FDIC insured products) programs</td>
<td>$</td>
<td>$1062</td>
</tr>
<tr>
<td>E</td>
<td>Interest earned from customer fund sweeps into ‘40 Act Investments</td>
<td>$</td>
<td>$1063</td>
</tr>
<tr>
<td>F</td>
<td>Interest and/or Dividends on Securities held in Firm Inventory (not reported in Sections 4 or 5)</td>
<td>$</td>
<td>$1064</td>
</tr>
<tr>
<td>G</td>
<td>Other Interest</td>
<td>$</td>
<td>$3953</td>
</tr>
<tr>
<td>H</td>
<td>Aggregate amount if less than the greater of $5,000 or 5% of Total Revenue</td>
<td>$</td>
<td>$1065</td>
</tr>
<tr>
<td></td>
<td>Total Interest / Rebate / Dividend Income</td>
<td>$</td>
<td>$1069</td>
</tr>
</tbody>
</table>

### 8. Revenue from Underwritings and Selling Group Participation

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
<th>Amount</th>
<th>C: 3900</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Municipal Offerings</td>
<td>$</td>
<td>$1070</td>
</tr>
<tr>
<td>B</td>
<td>Registered Offerings</td>
<td>1. Offerings other than self or affiliate. Excludes municipals</td>
<td>$</td>
</tr>
<tr>
<td></td>
<td>2. Offerings, self or affiliate. Excludes municipals</td>
<td>$</td>
<td>$1072</td>
</tr>
<tr>
<td></td>
<td>Total Revenue from Registered Offerings</td>
<td>$</td>
<td>$1079</td>
</tr>
</tbody>
</table>
**SUPPLEMENTAL STATEMENT OF INCOME**

**BROKER-DEALER**

For the period (MMDDYY) from 3932 to 3933

Number of months included in this statement 3931

**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 ☐

1. Unregistered offerings, other than self or affiliate offerings. Section 1 $ ____________

2. Unregistered offerings, self or affiliate offerings. Section 2 $ ____________

Total Revenue from Unregistered Offerings: $ ____________

Total Revenue from Underwritings and Selling Group Participation: $ ____________

<table>
<thead>
<tr>
<th>9. Fees Earned</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Fees earned from affiliated entities</td>
<td>$ ____________</td>
<td>11090</td>
</tr>
<tr>
<td>B. Investment Banking Fees; M&amp;A Advisory</td>
<td>$ ____________</td>
<td>11091</td>
</tr>
<tr>
<td>C. Account Supervision and Investment Advisory Services</td>
<td>$ ____________</td>
<td>13975A: 3975</td>
</tr>
<tr>
<td>D. Administrative Fees</td>
<td>$ ____________</td>
<td>11092A: 3975</td>
</tr>
<tr>
<td>E. Revenue from Research Services</td>
<td>$ ____________</td>
<td>13980C/II: 3980</td>
</tr>
<tr>
<td>F. Rebates from Exchanges, ECNs, and ATSSs</td>
<td>$ ____________</td>
<td>11093</td>
</tr>
<tr>
<td>G. 12b-1 Fees</td>
<td>$ ____________</td>
<td>11094</td>
</tr>
<tr>
<td>H. Mutual Fund Revenue other than Concessions or 12b-1 Fees</td>
<td>$ ____________</td>
<td>11095</td>
</tr>
<tr>
<td>I. Execution Services</td>
<td>$ ____________</td>
<td>11096</td>
</tr>
<tr>
<td>J. Clearing Services</td>
<td>$ ____________</td>
<td>11097</td>
</tr>
<tr>
<td>K. Fees earned on customer bank sweep (FDIC insured products) programs</td>
<td>$ ____________</td>
<td>11098</td>
</tr>
<tr>
<td>L. Fees earned from sweep programs into ‘40 Act Investments</td>
<td>$ ____________</td>
<td>11099</td>
</tr>
<tr>
<td>M. Networking Fees from ‘40 Act Companies</td>
<td>$ ____________</td>
<td>11100</td>
</tr>
<tr>
<td>N. Other Fees</td>
<td>$ ____________</td>
<td>11101</td>
</tr>
<tr>
<td>O. Aggregate amount if less than the greater of $5,000 or 5% of Total Revenue (line 14030) (Do not complete Items A-N)</td>
<td>$ ____________</td>
<td>11102</td>
</tr>
</tbody>
</table>

**Total Fees Earned:** $ ____________

10. Commodities Revenue $ ____________

11. Other Revenue

A. Total Revenue from sale of Certificates of Deposit (CDs) issued by an affiliate $ ____________

B. Other Revenue $ ____________

If Other Revenue line [3995] is greater than both 10% of Total Revenue line [4030] 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:

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>11120</td>
<td>$ ____________</td>
<td>11121</td>
</tr>
</tbody>
</table>

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

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>11122</td>
<td>$ ____________</td>
<td>11123</td>
</tr>
</tbody>
</table>

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

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>11124</td>
<td>$ ____________</td>
<td>11125</td>
</tr>
</tbody>
</table>

**Total Revenue:** $ ____________

- Page 3 -
### EXPENSES

#### 12. Compensation Expenses

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
<th>Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Registered Representatives Compensation</td>
<td>$ ______</td>
<td>14119</td>
</tr>
<tr>
<td>B. Compensation paid to all other revenue producing personnel</td>
<td>$ ______</td>
<td>14040</td>
</tr>
<tr>
<td>C. Compensation paid to non-revenue producing personnel (including temporary personnel)</td>
<td>$ ______</td>
<td>11206</td>
</tr>
<tr>
<td>D. Bonuses</td>
<td>$ ______</td>
<td>11201</td>
</tr>
<tr>
<td>E. Other compensation expenses</td>
<td>$ ______</td>
<td>11202</td>
</tr>
<tr>
<td>F. Aggregate amount if less than the greater of $5,000 or 5% of Total Expenses (line 14200) (Do not complete Items A-E)</td>
<td>$ ______</td>
<td>11203</td>
</tr>
<tr>
<td><strong>Total Compensation Expenses</strong></td>
<td>$ ______</td>
<td>11209</td>
</tr>
</tbody>
</table>

#### 13. Commission, Clearance and Custodial Expenses

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
<th>Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Floor brokerage and fees paid</td>
<td>$ ______</td>
<td>14055</td>
</tr>
<tr>
<td>B. Amounts paid to Exchanges, ECNs, and ATSs</td>
<td>$ ______</td>
<td>14145</td>
</tr>
<tr>
<td>C. Clearance Fees Paid to broker-dealers</td>
<td>$ ______</td>
<td>11210</td>
</tr>
<tr>
<td>D. Clearance Fees Paid to non-broker-dealers</td>
<td>$ ______</td>
<td>14139</td>
</tr>
<tr>
<td>E. Commission Paid to other broker-dealers</td>
<td>$ ______</td>
<td>14140</td>
</tr>
<tr>
<td>F. 12b-1 Fees</td>
<td>$ ______</td>
<td>11211</td>
</tr>
<tr>
<td>G. Custodial Fees</td>
<td>$ ______</td>
<td>11212</td>
</tr>
<tr>
<td>H. Aggregate amount if less than the greater of $5,000 or 5% of Total Expenses (line 14200) (Do not complete Items A-G)</td>
<td>$ ______</td>
<td>11213</td>
</tr>
<tr>
<td><strong>Total Commission, Clearance and Custodial Fees</strong></td>
<td>$ ______</td>
<td>11219</td>
</tr>
</tbody>
</table>

#### 14. Expenses Incurred on Behalf of Affiliates and Others

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
<th>Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Soft dollar expenses</td>
<td>$ ______</td>
<td>11220</td>
</tr>
<tr>
<td>B. Rebates/Recapture of commissions</td>
<td>$ ______</td>
<td>11221</td>
</tr>
<tr>
<td><strong>Total Expenses incurred on Behalf of Affiliates and Others</strong></td>
<td>$ ______</td>
<td>11229</td>
</tr>
</tbody>
</table>

#### 15. Interest and Dividend Expenses

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

#### 16. Fees Paid to Third Party Service Providers

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
<th>Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. To Affiliates</td>
<td>$ ______</td>
<td>11240</td>
</tr>
<tr>
<td>B. To Third Parties</td>
<td>$ ______</td>
<td>11241</td>
</tr>
<tr>
<td><strong>Total Fees Paid to Third Party Service Providers</strong></td>
<td>$ ______</td>
<td>11249</td>
</tr>
</tbody>
</table>
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

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:

$______________ 11280

A-2. Description of : 2nd largest component of Other Expenses:

$______________ 11282

A-3. Description of : 3rd largest component of Other Expenses:

$______________ 11284

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
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:.................................................................................................................. $1310
   B. If Form D has been filed by the issuer, enter CIK (Filer ID Number):........................................... $1311
   C. Industry Group (Select One):........................................................................................................ $1312
   D. Federal Exemptions and Exclusions Claimed (Select all that apply):
      Rule 504(b)(1) (not (i), (ii) or (iii)) ........... □ $1313
      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.................................................. □ $1314
      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:.......................................................... $1315
   G. Total Offering Amount in dollars:................................................................................................. $1316
      or check “Indefinite” ........................................................................................................................ Indefinite □ $1317
   H. Total amount in dollars of securities sold during the reporting period by the member:.................. $1318
   I. Total number of customers to whom securities were sold with respect to
      the sales reported for Item H:.......................................................................................................... $1319
   J. Amount of revenue earned by the member with respect to
      the sales reported for Item H:.......................................................................................................... $1320
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: __________________________ $ _______ 11338
   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
3. Unregistered offering other than self or affiliate offering:

A. Name of Issuer/Sponsor:__________________________________________________________

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

C. Industry Group (Select One):__________________________

D. Federal Exemptions and Exclusions Claimed (Select all that apply):
   - Rule 504(b)(1) (not (i), (ii) or (iii)) ______
   - Rule 504(b)(1)(i) ______
   - Rule 504(b)(1)(ii) ______
   - Rule 504(b)(1)(iii) ______
   - Rule 505 ______
   - Rule 506 ______
   - Securities Act Section 4(5) ______
   - Investment Company Act Section 3(c) ______
   - Other ______

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

F. Minimum Investment accepted from any outside investor:________________________$___

G. Total Offering Amount in dollars:________________________$___
   or check “Indefinite” __________________________________________Indefinite ______

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

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

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

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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
SUPPLEMENTAL STATEMENT OF INCOME
OPERATIONAL PAGE

BROKER-DEALER

For the period (MMDDYY) from __________ to __________

______________________________  Number of months included in this statement __________

5. Unregistered offering other than self or affiliate offering:

A. Name of Issuer/Sponsor:______________________________________________________________

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

C. Industry Group (Select One):________________________________________________________

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

   Rule 504(b)(1) (not (i), (ii) or (iii)) □
   Rule 504(b)(1)(i) □
   Rule 504(b)(1)(ii) □
   Rule 504(b)(1)(iii) □
   Rule 505 □
   Rule 506 □
   Securities Act Section 4(5) □
   Investment Company Act Section 3(c) □
   Other □

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

   Equity □
   Debt □
   Option, Warrant or Other Right to Acquire Another Security □
   Security to be Acquired Upon Exercise of Option, Warrant or Other Right to Acquire Security □
   Pooled Investment Fund Interests □
   Tenant-in-Common Securities □
   Mineral Property Securities □
   Other □

F. Minimum Investment accepted from any outside investor:______________________________

G. Total Offering Amount in dollars:____________________________________________________

   or check “Indefinite”:______________________________________________________________ Indefinite □

H. Total amount in dollars of securities sold during the reporting period by the member:________

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

J. Amount of revenue earned by the member with respect to the sales reported for Item H:______________________________
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)……………….………………… 19109
   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……………………………………….…… 19113
   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……………….………………… 19114
   Securities……………….………………… 19115
   Mineral Property Securities……………….………………… 19116
   Other……………………………………….…… 19117

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
7. Unregistered offerings; self or affiliate offerings:

A. Name of Issuer/Sponsor: ____________________________

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

C. Industry Group (Select One): _______________________

D. Federal Exemptions and Exclusions Claimed (Select all that apply):
   - Rule 504(b)(1) (not (i), (ii) or (iii)) □
   - Rule 504(b)(1)(i) □
   - Rule 504(b)(1)(ii) □
   - Rule 504(b)(1)(iii) □
   - Rule 505 □
   - Rule 506 □
   - Securities Act Section 4(5) □
   - Investment Company Act Section 3(c) □
   - Other □

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

F. Minimum Investment accepted from any outside investor: ________________________ $__________

G. Total Offering Amount in dollars: ________________________ $__________
   or check “indefinite”: ________________________ Indefinite □

H. Total amount in dollars of securities sold during the reporting period by the member: ________________________ $__________

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

J. Amount of revenue earned by the member with respect to the sales reported for Item H: ________________________ $__________

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

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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
9. Unregistered offerings; self or affiliate offerings:

A. Name of Issuer/Sponsor: ____________________________________________________________

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

C. Industry Group (Select One): __________________________

D. Federal Exemptions and Exclusions Claimed (Select all that apply):
   - Rule 504(b)(1) (not (i), (ii) or (iii)) □
   - Rule 504(b)(1)(i) □
   - Rule 504(b)(1)(ii) □
   - Rule 504(b)(1)(iii) □
   - Rule 505 □
   - Rule 506 □
   - Securities Act Section 4(5) □
   - Investment Company Act Section 3(c) □
   - Other □

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

F. Minimum Investment accepted from any outside investor: _____________________________ $ □

G. Total Offering Amount in dollars: _____________________________________________ $ □
   or check “Indefinite” ___________________________________________________________________ Indefinite □

H. Total amount in dollars of securities sold during the reporting period by the member: ___________ $ □

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

J. Amount of revenue earned by the member with respect to the sales reported for Item H: ____________________________ $ □

K. Issuer/Sponsor’s affiliation to Broker-Dealer filing this Report (Select One): __________ □
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 ................................................................ 19196
   - 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
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