

FORM CUSTODY FOR BROKER-DEALERS

(Please read instructions before preparing Form)

NAME OF BROKER-DEALER _____

SEC FILE NO. _____

ADDRESS OF PRINCIPAL PLACE OF BUSINESS _____

FIRM ID NO. _____

(No. and Street) _____

FOR PERIOD BEGINNING (MM/DD/YY) _____

(City) _____ (State) _____ (Zip Code) _____

AND ENDING (MM/DD/YY) _____

NAME OF PERSON COMPLETING THIS REPORT _____

TELEPHONE NO. OF PERSON COMPLETING THIS REPORT _____

Item 1. A. Does the broker-dealer introduce customer accounts on a fully disclosed basis to another broker-dealer? 20000

B. If the answer to question 1.A is "yes," identify below the broker-dealer(s) (by name, SEC No., and CRD No.) to which the customer accounts are introduced on a fully disclosed basis:

Name	SEC No.	CRD No.
1 _____	20001	20002
2 _____	20004	20005
3 _____	20007	20008
4 _____	20010	20011
5 _____	20013	20014
6 _____	20016	20017
7 _____	20019	20020
8 _____	20022	20023
9 _____	20025	20026
10 _____	20028	20029

Item 2. A. Does the broker-dealer introduce customer accounts to another broker-dealer on an omnibus basis? 20100

B. If the answer to question 2.A is "yes," identify below the broker-dealer(s) (by name, SEC No., and CRD No.) to which the accounts are introduced on an omnibus basis:

Name	SEC No.	CRD No.
1 _____	20101	20102
2 _____	20104	20105
3 _____	20107	20108
4 _____	20110	20111
5 _____	20113	20114
6 _____	20116	20117
7 _____	20119	20120
8 _____	20122	20123
9 _____	20125	20126
10 _____	20128	20129

Item 3. A. Does the broker-dealer carry securities accounts (i.e., accounts that are not introduced on a fully disclosed basis to another broker-dealer) for customers? 20200

B. Does the broker-dealer carry securities accounts (i.e., accounts that are not introduced on a fully disclosed basis to any other broker-dealer) for non-customers? 20201

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Item 3. D. Securities and Cash Carried for the Accounts of Customers (if the answer to question 3.A is "yes")

i. Indicate by checking the appropriate boxes on the chart below the types and approximate market value of securities that are carried by the broker-dealer for the accounts of customers:

Type of Securities	Select Market Value Range
<input type="checkbox"/> 20300 U.S. Equity Securities	_____ 20301
<input type="checkbox"/> 20310 Foreign Equity Securities	_____ 20311
<input type="checkbox"/> 20320 U.S. Listed Options	_____ 20321
<input type="checkbox"/> 20330 Foreign Listed Options	_____ 20331
<input type="checkbox"/> 20340 Domestic Corporate Debt	_____ 20341
<input type="checkbox"/> 20350 Foreign Corporate Debt	_____ 20351
<input type="checkbox"/> 20360 U.S. Public Finance Debt	_____ 20361
<input type="checkbox"/> 20370 Foreign Public Finance Debt	_____ 20371
<input type="checkbox"/> 20380 U.S. Government Debt	_____ 20381
<input type="checkbox"/> 20390 Foreign Sovereign Debt	_____ 20391
<input type="checkbox"/> 20400 U.S. Structured Debt	_____ 20401
<input type="checkbox"/> 20410 Foreign Structured Debt	_____ 20411
<input type="checkbox"/> 20420 U.S. Mutual Funds	_____ 20421
<input type="checkbox"/> 20430 Foreign Mutual Funds	_____ 20431
<input type="checkbox"/> 20440 U.S. Exchange Traded Funds	_____ 20441
<input type="checkbox"/> 20450 Foreign Exchange Traded Funds	_____ 20451
<input type="checkbox"/> 20460 U.S. Private Funds	_____ 20461
<input type="checkbox"/> 20470 Foreign Private Funds	_____ 20471
<input type="checkbox"/> 20480 Other	_____ 20481

ii. Has the broker-dealer recorded all securities it carries for the accounts of customers on its stock record? 20490

If the answer is "no," explain in the space provided why the broker-dealer has not recorded such securities on its stock record and provide the approximate U.S. dollar market value of such unrecorded securities:

Market Value: \$ _____ 20491

Explanation: _____ 20492

iii. Indicate in the chart below each process used by the broker-dealer with respect to free credit balances in cash accounts it holds for customers by checking all the boxes that apply and providing applicable information:

Process
<input type="checkbox"/> 20493 Included in a computation under Rule 15c3-3(e)
<input type="checkbox"/> 20494 Held in a bank account under Rule 15c3-3(k)(2)(i)
<input type="checkbox"/> 20495 Swept to a U.S. bank
<input type="checkbox"/> 20496 Swept to a U.S. money market fund
<input type="checkbox"/> 20497 Other (Briefly describe in the space provided below)

_____ 20498

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Item 3. E. Securities and Cash Carried for the Accounts of Non-customers (if the answer to question 3.B is "yes")

i. Indicate by checking the appropriate boxes on the chart below the types and approximate market value of securities that are carried by the broker-dealer for the accounts of non-customers:

Type of Securities	Select Market Value Range
<input type="checkbox"/> 20500 U.S. Equity Securities	_____ 20501
<input type="checkbox"/> 20510 Foreign Equity Securities	_____ 20511
<input type="checkbox"/> 20520 U.S. Listed Options	_____ 20521
<input type="checkbox"/> 20530 Foreign Listed Options	_____ 20531
<input type="checkbox"/> 20540 Domestic Corporate Debt	_____ 20541
<input type="checkbox"/> 20550 Foreign Corporate Debt	_____ 20551
<input type="checkbox"/> 20560 U.S. Public Finance Debt	_____ 20561
<input type="checkbox"/> 20570 Foreign Public Finance Debt	_____ 20571
<input type="checkbox"/> 20580 U.S. Government Debt	_____ 20581
<input type="checkbox"/> 20590 Foreign Sovereign Debt	_____ 20591
<input type="checkbox"/> 20600 U.S. Structured Debt	_____ 20601
<input type="checkbox"/> 20610 Foreign Structured Debt	_____ 20611
<input type="checkbox"/> 20620 U.S. Mutual Funds	_____ 20621
<input type="checkbox"/> 20630 Foreign Mutual Funds	_____ 20631
<input type="checkbox"/> 20640 U.S. Exchange Traded Funds	_____ 20641
<input type="checkbox"/> 20650 Foreign Exchange Traded Funds	_____ 20651
<input type="checkbox"/> 20660 U.S. Private Funds	_____ 20661
<input type="checkbox"/> 20670 Foreign Private Funds	_____ 20671
<input type="checkbox"/> 20680 Other	_____ 20681

ii. Has the broker-dealer recorded all securities it carries for the accounts of non-customers on its stock record?

20690

If the answer is "no," explain in the space provided why the broker-dealer has not recorded such securities on its stock record and provide the approximate total U.S. dollar market value of such unrecorded securities:

Market Value: \$ _____ 20691

Explanation: _____ 20692

iii. Indicate in the chart below each process used by the broker-dealer with respect to free credit balances in the securities accounts of non-customers by checking all the boxes that apply and providing applicable information:

Process
<input type="checkbox"/> 20693 Included in a reserve computation
<input type="checkbox"/> 20694 Swept to a U.S. bank
<input type="checkbox"/> 20695 Swept to a U.S. money market fund
<input type="checkbox"/> 20696 Other (Briefly describe in the space provided below)

_____ 20697

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Item 4. Acting as a Carrying Broker-Dealer for Other Broker-Dealers

A. On a fully disclosed basis

i. Does the broker-dealer carry customer accounts for another broker-dealer(s) on a fully disclosed basis? 20700

ii. If the answer to question 4.A.i is "yes," indicate the number of broker-dealers: _____ 20701

iii. If the answer to question 4.A.i is "yes," identify any of these broker-dealers that are affiliates of the broker-dealer by name, CRD No., and "SEC File No.":

Broker-dealer Name	CRD No.	SEC No.
1 _____	_____	_____
2 _____	_____	_____
3 _____	_____	_____
4 _____	_____	_____
5 _____	_____	_____
6 _____	_____	_____
7 _____	_____	_____
8 _____	_____	_____
9 _____	_____	_____
10 _____	_____	_____

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Item 4. Acting as a Carrying Broker-Dealer for Other Broker-Dealers

B. On an omnibus basis

i. Does the broker-dealer carry customer accounts for another broker-dealer(s) on an omnibus basis? 20800

ii. If the answer to question 4.B.i is "yes," indicate the number of broker-dealers: _____ 20801

iii. If the answer to question 4.B.i is "yes," identify any of these broker-dealers that are affiliates of the broker-dealer by name, CRD No., and "SEC File No.":

Broker-dealer Name	CRD No.	SEC No.
1 _____	_____	_____
2 _____	_____	_____
3 _____	_____	_____
4 _____	_____	_____
5 _____	_____	_____
6 _____	_____	_____
7 _____	_____	_____
8 _____	_____	_____
9 _____	_____	_____
10 _____	_____	_____

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Item 5. A. Does the broker-dealer send trade confirmations directly to customers and other accountholders? 20900
 B. If the answer to question 5.A is "no," who sends the trade confirmations to customers and other accountholders?
 _____ 20901

Item 6. A. Does the broker-dealer send account statements directly to customers and other accountholders? 20902
 B. If the answer to question 6.A is "no," who sends the account statements to customers and other accountholders?
 _____ 20903
 C. Does the broker-dealer send account statements to anyone other than the beneficial owner of the account? 20904

Item 7. A. Does the broker-dealer provide customers and other accountholders with electronic access to information about the securities and cash positions in their accounts? 20905

Item 8. A. Is the broker-dealer also registered as an investment adviser:
 i. With the SEC under the Investment Advisers Act of 1940? 20906
 ii. With one or more U.S. states under the laws of the state? 20907

If the answer to question 8.A.i or 8.A.ii is "yes," answer each of the following items:

B. Provide the number of investment adviser clients: _____ 20908

C. Complete the following chart concerning the custodians of investment adviser client assets if any (including, if applicable, the broker-dealer):

- Column 1: The name of the custodian
- Column 2: The identity of the custodian by SEC File No. or CRD No. (if applicable)
- Column 3: Whether the broker-dealer/investment adviser has the authority to effect transactions in these advisory client accounts at the custodian
- Column 4: Whether the broker-dealer/investment adviser has the authority to withdraw funds and securities out of any accounts at the custodian
- Column 5: Whether the custodian sends account statements directly to the investment adviser clients
- Column 6: Whether the investment adviser client assets are on the broker-dealer's stock record

1. Name of the Custodian	2A. SEC No.	2B. CRD No.	3. Auth To Effect Trans?	4. Auth To W/D Funds/ Sec?	5. Cust sends Stmt?	6. Client Assets on Stock Record?
	20910	20911	20912	20913	20914	20915
	20920	20921	20922	20923	20924	20925
	20930	20931	20932	20933	20934	20935
	20940	20941	20942	20943	20944	20945
	20950	20951	20952	20953	20954	20955
	20960	20961	20962	20963	20964	20965
	20970	20971	20972	20973	20974	20975
	20980	20981	20982	20983	20984	20985
	20990	20991	20992	20993	20994	20995
	21000	21001	21002	21003	21004	21005

Item 9. A. Is the broker-dealer an affiliate of an investment adviser? 21010
 B. i. If the answer to Item 9.A is "yes," does the broker-dealer have custody of client assets of the adviser? 21011
 ii. If the answer to Item 9.B.i is "yes" indicate the approximate U.S. dollar market value of the adviser client assets of which the broker-dealer has custody: \$ _____ 21012