

INFORMATION FOR POSSESSION OR CONTROL REQUIREMENTS UNDER RULE 15c3-3

[Expressed in U.S. dollars]

As of September 30
Firm ID: 042072

State the market valuation and the number of items of:

	2020 \$
1. Customers' fully paid securities and excess margin securities not in the respondent's possession or control as of September 30, 2020, but for which the required action was not taken by respondent within the time frames specified under Rule 15c3-3	—
A. Actual number of items	None
2. Customers' fully paid securities and excess margin securities for which instructions to reduce for possession or control had not been issued as of September 30, 2020, excluding items existing from "temporary lags which result from normal business operations" as permitted under Rule 15c3-3	—
A. Actual number of items	None

There are no material differences between the amounts presented above and the amounts presented in the Company's September 30, 2020 amended unaudited FOCUS Part II Report filed on October 26, 2020.

