



02018588

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

**ANNUAL AUDITED REPORT  
FORM X-17A-5  
PART III**

OMB APPROVAL  
OMB Number: 3235-0123  
Expires: September 30, 1998  
Estimated average burden  
hours per response . . . 12.00

SEC FILE NUMBER  
~~8-51604~~

RECEIVED  
MAR 01 2002  
WASH. DC 354

8-51604

**FACING PAGE**

**Information Required of Brokers and Dealers Pursuant to Section 17 of the  
Securities Exchange Act of 1934 and Rule 17a-5 Thereunder**

REPORT FOR THE PERIOD BEGINNING 01/01/2001 AND ENDING 12/31/2001  
MM/DD/YY MM/DD/YY

**A. REGISTRANT IDENTIFICATION**

NAME OF BROKER-DEALER:

Supertrade Securities, Inc.

OFFICIAL USE ONLY

FIRM ID. NO.

ADDRESS OF PRINCIPAL PLACE OF BUSINESS: (Do not use P.O. Box No.)

10515 Bellaire Blvd., Suite M

(No. and Street)

Houston, Texas 77072

(City)

(State)

(Zip Code)

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT

Dennis T. L. Gordon (281) 561-5768

(Area Code -- Telephone No.)

**B. ACCOUNTANT IDENTIFICATION**

INDEPENDENT PUBLIC ACCOUNTANT whose opinion is contained in this Report\*

Tuttle, Nathan T., C.P.A.

(Name -- if individual, state last, first, middle name)

6111 Beverly Hill #6 Houston, TX 77057

(Address)

(City)

(State)

Zip Code)

CHECK ONE:

- Certified Public Accountant
- Public Accountant
- Accountant not resident in United States or any of its possessions.

PROCESSED

MAR 22 2002

FOR OFFICIAL USE ONLY

THOMSON  
FINANCIAL

\*Claims for exemption from the requirement that the annual report be covered by the opinion of an independent public accountant must be supported by a statement of facts and circumstances relied on as the basis for the exemption. See section 240.17a-5(e)(2).

SEC 1410 (3-91)

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

HF 3-21-02

OATH OR AFFIRMATION

I, Dennis T. L. Gordon, swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statement and supporting schedules pertaining to the firm of Supertrade Securities, Inc., as of

12/31, 2001, are true and correct. I further swear (or affirm) that neither the company nor any partner, proprietor, principal officer or director has any proprietary interest in any account classified solely as that of a customer, except as follows:

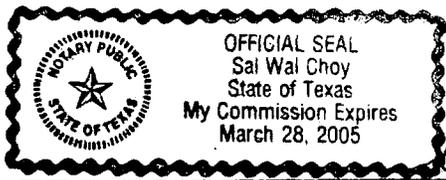
None

[Handwritten Signature]

Signature

Dennis T.L. Gordon, C.F.O.

Title



2/27/02

[Handwritten Signature]

Notary Public

This report\*\* contains (check all applicable boxes):

- (a) Facing page.
(b) Statement of Financial Condition.
(c) Statement of Income (Loss).
(d) Statement of Changes in Financial Condition.
(e) Statement of Changes in Stockholders' Equity or Partners' or Sole Proprietor's Capital.
(f) Statement of Changes in Liabilities Subordinated to Claims of Creditors.
(g) Computation of Net Capital.
(h) Computation for Determination of Reserve Requirements Pursuant to Rule 15c3-3.
(i) Information Relating to the Possession or control Requirements Under Rule 15c3-3.
(j) A Reconciliation, including appropriate explanation, of the Computation of Net Capital Under Rule 15c3-1 and the Computation for Determination of the Reserve Requirements Under Exhibit A. of Rule 15c3-3.
(k) A Reconciliation between the audited and unaudited Statements of Financial Condition with respect to methods of consolidation.
(l) An Oath or Affirmation.
(m) A copy of the SIPC Supplemental Report.
(n) A report describing any material inadequacies found to exist or found to have existed since the date of the previous audit.

\*\*For conditions of confidential treatment of certain portions of this filing, see section 240.17a-5(e)(3).

**SUPERTRADE SECURITIES, INC.**

**ANNUAL AUDITED REPORT  
DECEMBER 31, 2001**

**CONFIDENTIAL TREATMENT REQUESTED  
PER RULE 17A-5(e)(3)**

**NATHAN T. TUTTLE  
CERTIFIED PUBLIC ACCOUNTANT  
HOUSTON, TEXAS**

**NATHAN T. TUTTLE**

Certified Public Accountant

6111 Beverly Hill, Suite 6  
5338  
Houston, Texas 77057

Telephone (281) 216-

**INDEPENDENT AUDITOR'S REPORT**

To the Board of Directors and Stockholders  
Supertrade Securities, Inc.  
Houston, Texas

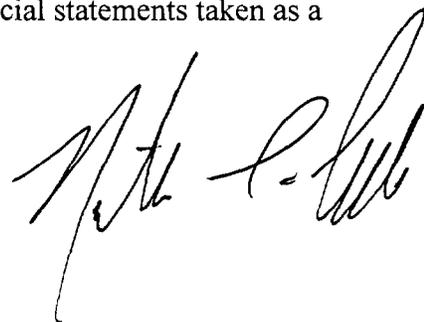
I have audited the accompanying statement of financial condition of Supertrade Securities, Inc. (a Texas Corporation) as of December 31, 2001, and the related statement of operations, cash flows, and changes in stockholders' equity year then ended. These financial statements are the responsibility of the Company's management. My responsibility is to express an opinion on these financial statements based on this audit.

I conducted this audit in accordance with generally accepted auditing standards. Those standards require that I plan and perform the audit to obtain a reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. I believe that my audit provides a reasonable basis for my opinion.

In my opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Supertrade Securities, Inc. as of December 31, 2001, and the results of its operations, cash flows, and changes in stockholders' equity for the year then ended in conformity with generally accepted accounting principles.

My audit was conducted for the purpose of forming an opinion of the financial statements taken as a whole. The accompanying information contained on Schedule 1 and Schedule 2 are presented for purposes of additional analysis and is not a required part of the financial statements but is supplementary information required by Rule 17a-5 of the Securities and Exchange Commission. Such information has been subjected to the auditing procedures applied in the audit of the financial statements and, in my opinion, is fairly stated in all material respects in relation to the financial statements taken as a whole.

February 23, 2001



# SUPERTRADE SECURITIES, INC.

## Statement of Financial Condition

December 31, 2001

### ASSETS

|                           |    |                      |
|---------------------------|----|----------------------|
| Cash and cash equivalents | \$ | 1,653                |
| Clearing Deposits         |    | 25,531               |
| Commissions receivable    |    | <u>9,747</u>         |
| Total assets              | \$ | <u><u>36,931</u></u> |

### LIABILITIES AND STOCKHOLDERS' EQUITY

#### Liabilities:

Total liabilities

-

#### Stockholders' equity

Common stock, no-par value

Authorized 100,000 shares; issued and  
outstanding 10,000 shares

\$ -

Additional paid-in capital

48,250

Accumulated deficit

(11,319)

Total stockholders' equity

36,931

Total liabilities and stockholders' equity

\$ 36,931

The accompanying Notes to Financial Statements are an integral part of this statement.