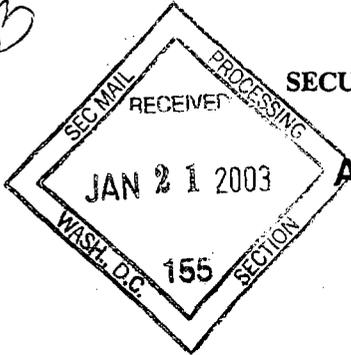


1-03



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

**A1 2/24/03 OMB APPROVAL OMB Number: 3235-0123 Expires: September 30, 1998 Estimated average burden hours per response . . . 12.00

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

SEC FILE NUMBER 8-12-01725 8-16853



FACING PAGE Information Required of Brokers and Dealers of the Securities Exchange Act of 1934 and Rule 17a-5 Thereunder

03002772

REPORT FOR THE PERIOD BEGINNING 1/1/02 AND ENDING 12/31/02

A. REGISTRANT IDENTIFICATION

NAME OF BROKER-DEALER: IRVING LOCKER D/B/A ESICO CO.

OFFICIAL USE ONLY FIRM ID. NO.

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

15 W. 72 ST # 29F

(No. and Street)

NEW YORK

NY

10023

(City)

(State)

(Zip Code)

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

IRVING LOCKER

212-874-7936

(Area Code - Telephone No.)

B. ACCOUNTANT IDENTIFICATION

INDEPENDENT PUBLIC ACCOUNTANT whose opinion is contained in this Report*

ABDALA, SAM

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

3A S. MAIN ST.

MARLBORO

N.J.

07746

(Address)

(City)

(State)

(Zip Code)

CHECK ONE:

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

PROCESSED

FOR OFFICIAL USE ONLY MAR 10 2003 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).

3/25/03

OATH OR AFFIRMATION

I, IRVING LOCKER, swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statement and supporting schedules pertaining to the firm of ESICO CO., as of DECEMBER 31, 2007 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:

DAVID S. LOCKER
Notary Public, State of New York
No. 01LO4970053
Qualified in New York County
Commission Expires July 30, 2006

Irving Locker
Signature
PROPRIETOR
Title

David S. Locker
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).

SAM ABDALA
PUBLIC ACCOUNTANT
3A SOUTH MAIN STREET- BLDG 3A
MARLBORO, NJ 07746
732-780-2742

January 14, 2003

Securities & Exchange Commission
26 Federal Plaza
New York, N.Y. 10007

Gentlemen:

I have examined the Focus Report for Esico Co. for the period from January 1, 2002 to December 31, 2002. My examination was made in accordance with generally accepted auditing standards and accordingly included a review of the system of internal control and procedures for safeguarding securities. My examination also included a test of the accounting records necessary, including the audit procedures prescribed by the Securities & Exchange Commission.

In my opinion, the Focus Report presents fairly the Financial Condition of Esico Co. as of December 31, 2002. In conformity with the generally accepted accounting principals applied on a consistent basis. There are no inequacies in the accounting system or system of internal control and procedures for safeguarding securities. In addition Esico Co. is in full compliance with all NASD requirements for the year 2003 testing.

Here is the additional information you require:

(d) Statement of changes in Financial Condition:

Cash Balance 1/1/02		\$8,784
Funds Received:		
Commission income	\$9,048	
Interest income	<u>335</u>	<u>9,383</u>
Total		\$18,167
Funds Disbursed:		
Operating expenses	6,632	
Salary drawing	<u>2,006</u>	<u>8,638</u>
Cash Balance 12/31/02		\$ 9,529

(h) Computation of Determination of Reserve Requirements pursuant to Rule 15c 3-3:

Since Esico Co. deals only in Mutual Funds and has complied with the exemptive provisions under Rule 15c 3-3: this is not applicable.

SAM ABDALA
PUBLIC ACCOUNTANT
3A SOUTH MAIN STREET- BLDG 3A
MARLBORO, NJ 07746
732-780-2742

January 14, 2003

Page 2

- (k) A reconciliation between the audited and unaudited Statement of Financial Condition.
- (m) Esico Co. is exempt from S.I.P.C. Assesment Report since it deals only in Mutual Funds. A copy of Certificate of Exclusion from membership is attached.

Very truly yours,

Sam Abdala

Sam Abdala

SIPC-3

(15 - REV 12/02)

SECURITIES INVESTOR PROTECTION CORPORATION

Certification of Exclusion From Membership

TO BE FILED BY A BROKER-DEALER WHO CLAIMS EXCLUSION FROM MEMBERSHIP IN THE SECURITIES INVESTOR PROTECTION CORPORATION ("SIPC") UNDER SECTION 78ccc(a)(2)(A)(ii) OF THE SECURITIES INVESTOR PROTECTION ACT OF 1970 ("SIPA").

Name of Broker-Dealer, Address, Designated Examining Authority and 1934 Act registration number:

8 - 16853 NASD
IRVING LOCKER
d/b/a ESICO CO
15 WEST 72ND STREET STE 29-F
NEW YORK, NY 10023

Note: If any of the information shown on the mailing label requires correction, please so indicate on the form filed.

Name and telephone number of person to contact respecting this form:

IRVING LOCKER 212874 7936

certifies that during the year ending **December 31, 2003** its business as a broker-dealer is expected to consist exclusively of one or more of the following (check appropriate boxes):

- (i) the distribution of shares of registered open end investment companies or unit investment trusts;
- (ii) the sale of variable annuities;
- (iii) the business of insurance;
- (iv) the business of rendering investment advisory services to one or more registered investment companies or insurance company separate accounts;

and that, therefore, under section 78ccc(a)(2)(A)(ii) of the SIPA it is excluded from membership in SIPC.

State whether during the prior year this organization's business as a broker-dealer consisted exclusively of one or more of items (i) through (iv) above: Yes No (if inapplicable, please explain).

The following bylaw was adopted by the Board of Directors:

Interest on Assessments. If all or any part of an assessment payable under Section 4 of the Act has not been received by the collection agent within 15 days after the due date thereof, the member shall pay, in addition to the amount of the assessment, interest at the rate of 20% per annum of the unpaid portion of the assessment for each day it has been overdue. If any broker or dealer has incorrectly filed a claim for exclusion from membership in the Corporation, such broker or dealer shall pay, in addition to assessments due, interest at the rate of 20% per annum on the unpaid assessment for each day it has not been paid since the date on which it should have been paid.

In the event of any subsequent change in the business of the undersigned broker-dealer that would terminate such broker-dealer's exclusion from membership in SIPC pursuant to section 78ccc(a)(2)(A)(ii) of the SIPA, the undersigned broker-dealer will immediately give SIPC written notice thereof and make payment of all assessments thereafter required under Section 78ddd(c) of the SIPA.

FOR SIPC REVIEWER

DATES: _____
Postmarked Received Reviewed

Complete: _____

Exceptions:

Disposition of Exceptions:

The broker or dealer submitting this form and the person by whom it is executed represent thereby that all information contained herein is true, correct and complete.

Dated the 2 day of JAN., 2003

ESICO CO.

(Name of Corporation, Partnership or other organization)

Irving Locker
(Authorized signature)

OWNER
(Title)

Return this completed form no later than 30 days after the beginning of the year, using the enclosed return envelope.
Retain a copy of this form for a period of not less than 6 years, the latest 2 years in an easily accessible place.

FOCUS REPORT

FORM
X-17A-5

(Financial and Operational Combined Uniform Single Report)

Part IIA Quarterly 17a-5(a)

INFORMATION REQUIRED OF BROKERS AND DEALERS PURSUANT TO RULE 17

COVER

Select a filing method:

Basic Alternate [0011]

Name of Broker Dealer:

ESICO CO.
[0013]

SEC File Number: 8- 16853
[0014]

Address of Principal Place of
Business:

15 W. 72 ST. #29E
[0020]

NEW YORK NY 10023
[0021] [0022] [0023]

Firm ID: 1705
[0015]

For Period Beginning

1/1/02
[0024]

And Ending

3/31/02
[0025]

Name and telephone number of person to contact in regard to this report:

Name: IRVING LOCKER

[0030]

Phone: 212-874-7936

[0031]

Name(s) of subsidiaries or affiliates consolidated in this report:

Name:

[0032]

Phone:

[0033]

Name:

[0034]

Phone:

[0035]

Name:

[0036]

Phone:

[0037]

Name:

[0038]

Phone:

[0039]

Does respondent carry its own customer accounts?

Yes [0040]

No [0041]

Check here if respondent is filing an audited report

[0042]

ASSETS

Consolidated <input type="radio"/> [0198]		Unconsolidated <input type="radio"/> [0199]			
		Allowable	Non-Allowable	Total	
1.	Cash	<u>9528</u>		<u>9528</u>	[0750]
		[0200]			
2.	Receivables from brokers or dealers:				
	A. Clearance account	_____			
		[0295]			
	B. Other	_____	_____	_____	[0810]
		[0300]	[0550]		
3.	Receivables from non-customers	_____	_____	_____	[0830]
		[0355]	[0600]		
4.	Securities and spot commodities owned, at market value:				
	A. Exempted securities	_____			
		[0418]			
	B. Debt securities	_____			
		[0419]			
	C. Options	_____			
		[0420]			
	D. Other securities	_____			
		[0424]			
	E. Spot commodities	_____		_____	[0850]
		[0430]			
5.	Securities and/or other investments not readily marketable:				
	A. At cost				
		<u>42300</u>			
		[0130]			
	B. At estimated fair value	_____	<u>42300</u>	<u>42300</u>	[0860]
		[0440]	[0610]		
6.	Securities borrowed under subordination agreements and partners' individual and capital securities accounts, at market value:				
	A. Exempted securities	_____			
		[0150]			
	B. Other securities	_____			
		[0160]			

7.	Secured demand notes market value of collateral:	[0470]	[0640]	[0890]
	A. Exempted securities			
		[0170]		
	B. Other securities			
		[0180]		
8.	Memberships in exchanges:			
	A. Owned, at market			
		[0190]		
	B. Owned, at cost		[0650]	
	C. Contributed for use of the company, at market value		[0660]	[0900]
9.	Investment in and receivables from affiliates, subsidiaries and associated partnerships	[0480]	[0670]	[0910]
10.	Property, furniture, equipment, leasehold improvements and rights under lease agreements, at cost-net of accumulated depreciation and amortization	[0490]	[0680]	[0920]
11.	Other assets	[0535]	[0735]	[0930]
12.	TOTAL ASSETS	9528 [0540]	42300 [0740]	51828 [0940]

LIABILITIES AND OWNERSHIP EQUITY

Liabilities	A.I. Liabilities	Non-A.I. Liabilities	Total
13. Bank loans payable	[1045]	[1255]	[1470]
14. Payable to brokers or dealers:			
A. Clearance account	[1114]	[1315]	[1560]
B. Other	[1115]	[1305]	[1540]
15. Payable to non-customers	[1155]	[1355]	[1610]
16. Securities sold not yet purchased, at market value		[1360]	[1620]
17. Accounts payable, accrued liabilities, expenses and other	[1205]	[1385]	[1685]
18. Notes and mortgages payable:			
A. Unsecured	[1210]		[1690]
B. Secured	[1211]	[1390]	[1700]
19. Liabilities subordinated to claims of general creditors:			
A. Cash borrowings:			
1. from outsiders		[1400]	[1710]
2. Includes equity subordination (15c3-1(d)) of	[0970]		
B. Securities borrowings, at market value:	[0980]		
from outsiders		[1410]	[1720]
C. Pursuant to secured demand note collateral agreements:	[0990]		
		[1420]	[1730]

	1.	from outsiders			
			[1000]		
	2.	Includes equity subordination (15c3-1(d)) of			
			[1010]		
	D.	Exchange memberships contributed for use of company, at market value		[1430]	[1740]
	E.	Accounts and other borrowings not qualified for net capital purposes			
			[1220]	[1440]	[1750]
20.	TOTAL LIABILITIES	0	[1230]	0	0
			[1450]	[1760]	

Ownership Equity

					Total
21.	Sole proprietorship				51828
					[1770]
22.	Partnership (limited partners [1020])				
					[1780]
23.	Corporations:				
	A.	Preferred stock			[1791]
	B.	Common stock			[1792]
	C.	Additional paid-in capital			[1793]
	D.	Retained earnings			[1794]
	E.	Total			[1795]
	F.	Less capital stock in treasury			[1796]
24.	TOTAL OWNERSHIP EQUITY				51828
					[1800]
25.	TOTAL LIABILITIES AND OWNERSHIP EQUITY				51828
					[1810]

STATEMENT OF INCOME (LOSS)

REVENUE

1. Commissions:		
a. Commissions on transactions in exchange listed equity securities executed on an exchange		_____ [3935]
b. Commissions on listed option transactions		_____ [3938]
c. All other securities commissions	9048	_____ [3939]
d. Total securities commissions	9048	_____ [3940]
2. Gains or losses on firm securities trading accounts		
a. From market making in options on a national securities exchange		_____ [3945]
b. From all other trading		_____ [3949]
c. Total gain (loss)		_____ [3950]
3. Gains or losses on firm securities investment accounts		_____ [3952]
4. Profit (loss) from underwriting and selling groups		_____ [3955]
5. Revenue from sale of investment company shares		_____ [3970]
6. Commodities revenue		_____ [3990]
7. Fees for account supervision, investment advisory and administrative services		_____ [3975]
8. Other revenue	335	_____ [3995]
9. Total revenue	9383	_____ [4030]

EXPENSES

10. Salaries and other employment costs for general partners and voting stockholder officers		_____ [4120]
11. Other employee compensation and benefits		_____ [4115]
12. Commissions paid to other broker-dealers		_____ [4140]
13. Interest expense		_____ [4075]
a. Includes interest on accounts subject to subordination agreements		_____ [4070]
14. Regulatory fees and expenses	634	_____ [4195]
15. Other expenses	5998	_____ [4100]

16. Total expenses 6632
[4200]

NET INCOME

17. Net Income(loss) before Federal Income taxes and items below (Item 9 less Item 16) 2751
[4210]

18. Provision for Federal Income taxes (for parent only)
[4220]

19. Equity in earnings (losses) of unconsolidated subsidiaries not included above
[4222]

a. After Federal income taxes of
[4238]

20. Extraordinary gains (losses)
[4224]

a. After Federal income taxes of
[4239]

21. Cumulative effect of changes in accounting principles
[4225]

22. Net income (loss) after Federal income taxes and extraordinary items 2751
[4230]

MONTHLY INCOME

23. Income (current monthly only) before provision for Federal income taxes and extraordinary items (3310)
[4211]

EXEMPTIVE PROVISIONS

25. If an exemption from Rule 15c3-3 is claimed, identify below the section upon which such exemption is based

- A. (k) (1)--Limited business (mutual funds and/or variable annuities only) [4550]
- B. (k) (2)(A)--"Special Account for the Exclusive Benefit of customers" maintained [4560]
- C. (k) (2)(B)--All customer transactions cleared through another broker-dealer on a fully disclosed basis. Name of clearing firm(s) [4570]

Clearing Firm SEC#s	Name	Product Code
8- [4335A]		____ [4335B]
8- [4335C]		____ [4335D]
8- [4335E]		____ [4335F]
8- [4335G]		____ [4335H]
8- [4335I]		____ [4335J]

- D. (k) (3)--Exempted by order of the Commission [4580]

B.	Subordinated securities borrowings	_____	[3670]	
C.	Trading and investment securities:			
1.	Exempted securities	_____	[3735]	
2.	Debt securities	_____	[3733]	
3.	Options	_____	[3730]	
4.	Other securities	_____	[3734]	
D.	Undue Concentration	_____	[3650]	
E.	Other (List)			
		_____	[3736A]	_____
		_____	[3736B]	
		_____	[3736C]	_____
		_____	[3736D]	
		_____	[3736E]	_____
		_____	[3736F]	
		_____	[3736]	_____
10.	Net Capital			_____
				0
				9528

				[3740]

				[3750]

COMPUTATION OF BASIC NET CAPITAL REQUIREMENT

Part A

11.	Minimum net capital required (6-2/3% of line 19)	_____	0	[3756]
12.	Minimum dollar net capital requirement of reporting broker or dealer and minimum net capital requirement of subsidiaries computed in accordance with <u>Note(A)</u>	_____	5000	[3758]
13.	Net capital requirement (greater of line 11 or 12)	_____	5000	[3760]
14.	Excess net capital (line 10 less 13)	_____	4528	[3770]
15.	Excess net capital at 1000% (line 10 less 10% of line 19)	_____	9528	[3780]

COMPUTATION OF AGGREGATE INDEBTEDNESS

16.	Total A.I. liabilities from Statement of Financial Condition	_____	0	[3790]
17.	Add:			
A.	Drafts for immediate credit	_____		[3800]

B. Market value of securities borrowed for which no equivalent value is paid or credited _____ [3810]

C. Other unrecorded amounts(List)

_____ [3820A]	_____ [3820B]
_____ [3820C]	_____ [3820D]
_____ [3820E]	_____ [3820F]
	_____ [3820]

19. Total aggregate indebtedness

_____ [3830]

20. Percentage of aggregate indebtedness to net capital (line 19 / line 10)

% _____ [3840]
 _____ [3850]

OTHER RATIOS

21. Percentage of debt to debt-equity total computed in accordance with Rule 15c3-1(d)

% _____ [3860]

SCHEDULED WITHDRAWALS

Ownership Equity and Subordinated Liabilities maturing or proposed to be withdrawn within the next six months and accruals, (as defined below), which have not been deducted in the computation of Net Capital.

Type of Proposed Withdrawal or Accrual	Name of Lender or Contributor	Insider or Outsider	Amount to be Withdrawn (cash amount and/or Net Capital Value of Securities)	Withdrawal or Maturity Date (MMDDYYYY)	Expect to Renew
[4600]	[4601]	[4602]	[4603]	[4604]	[4605]
[4610]	[4611]	[4612]	[4613]	[4614]	[4615]
[4620]	[4621]	[4622]	[4623]	[4624]	[4625]
[4630]	[4631]	[4632]	[4633]	[4634]	[4635]
[4640]	[4641]	[4642]	[4643]	[4644]	[4645]
[4650]	[4651]	[4652]	[4653]	[4654]	[4655]
[4660]	[4661]	[4662]	[4663]	[4664]	[4665]
[4670]	[4671]	[4672]	[4673]	[4674]	[4675]
[4680]	[4681]	[4682]	[4683]	[4684]	[4685]
[4690]	[4691]	[4692]	[4693]	[4694]	[4695]
TOTAL			0		
\$			[4699]		

Omit Pennies

Instructions Detail listing must include the total of items maturing during the six month period following the report date, regardless of whether or not the capital contribution is expected to be renewed. The schedule must also include proposed capital withdrawals scheduled within the six month period following the report date including the proposed redemption of stock and payments of liabilities secured by fixed assets (which are considered allowable assets in the capital computation pursuant to Rule 15c3-1(c)(2)(iv)), which could be required by the lender on demand or in less than six months.

Withdrawal Code	Description
1	Equity Capital
2	Subordinated Liabilities
3	Accruals
4	15c3-1(c)(2)(iv) Liabilities

STATEMENT OF CHANGES

**STATEMENT OF CHANGES IN OWNERSHIP EQUITY
(SOLE PROPRIETORSHIP, PARTNERSHIP OR CORPORATION)**

1.	Balance, beginning of period	51084	[4240]
	A. Net income (loss)	2251	[4250]
	B. Additions (includes non-conforming capital of		[4260]
		[4262]	
	C. Deductions (includes non-conforming capital of	2007	[4270]
		[4272]	
2.	Balance, end of period (From item 1800)	51828	[4290]

**STATEMENT OF CHANGES IN LIABILITIES SUBORDINATED
TO CLAIMS OF GENERAL CREDITORS**

3.	Balance, beginning of period	0	[4300]
	A. Increases		[4310]
	B. Decreases		[4320]
4.	Balance, end of period (From item 3520)	0	[4330]

FORM X-17A-5	<h2 style="margin: 0;">FOCUS REPORT</h2> <p style="margin: 0;">(Financial and Operational Combined Uniform Single Report)</p> <p style="margin: 0;">Schedule I</p> <p style="margin: 0; font-size: small;">INFORMATION REQUIRED OF BROKERS AND DEALERS PURSUANT TO RULE 17</p>
-------------------------	---

Report for period beginning 01/01/2002 and ending 12/31/2002
[8005] [8006]

SEC File Number: 16853
[8011]

Firm ID: 1705

1. Name of Broker Dealer: ESICO CO.
[8020]

2. Name(s) of broker-dealer(s) merging with respondent during reporting period:

Name: _____		Phone: _____
[8053]		[8057]
Name: _____		Phone: _____
[8054]		[8058]
Name: _____		Phone: _____
[8055]		[8059]
Name: _____		Phone: _____
[8056]		[8060]

3. Respondent conducts a securities business exclusively with registered broker-dealers: Yes No [8073]

4. Respondent is registered as a specialist on a national securities exchange: Yes No [8074]

5. Respondent makes markets in the following securities:

(a) equity securities	Yes <input type="radio"/> No <input checked="" type="radio"/> [8075]
(b) municipals	Yes <input type="radio"/> No <input checked="" type="radio"/> [8076]
(c) other debt instruments	Yes <input type="radio"/> No <input checked="" type="radio"/> [8077]

6. Respondent is registered solely as a municipal bond dealer: Yes No [8078]

7. Respondent is an insurance company or an affiliate of an insurance company: Yes No [8079]

8. Respondent carries its own public accounts: Yes No [8084]

9. Respondent's total number of public customer accounts:

(carrying firms filing X-17A-5 Part II only)

(a) Public customer accounts _____ [8080]

(b) Omnibus accounts _____ [8081]

10. Respondent clears its public customer and/or proprietary accounts: Yes No [8085]

11. Respondent clears its public customer accounts in the following manner:
- (a) Direct Mail (New York Stock Exchange Members Only) [8086]
 - (b) Self Clearing [8087]
 - (c) Omnibus [8088]
 - (d) Introducing [8089]
 - (e) Other [8090]
 - (f) Not Applicable [8091]

12. (a) Respondent maintains membership(s) on national securities exchange(s): Yes No [8100]
- (b) Names of national securities exchange(s) in which respondent maintains memberships:
- (1) American [8120]
 - (2) Boston [8121]
 - (3) CBOE [8122]
 - (4) Midwest [8123]
 - (5) New York [8124]
 - (6) Philadelphia [8125]
 - (7) Pacific Coast [8126]
 - (8) Other [8129]

13. Employees:

- (a) Number of full-time employees _____ 0 [8101]
- (b) Number of full-time employees registered representatives employed by respondent included in 13(a) _____ 0 [8102]

14. Number of NASDAQ stocks respondent makes market _____ 0 [8103]

15. Total number of underwriting syndicates respondent was a member _____ 0 [8104]

16. Number of respondent's public customer transactions:
- Actual Estimate
- (a) equity securities transactions effected on a national securities exchange _____ [8107]
 - (b) equity securities transactions effected other than on a national securities exchange _____ [8108]
 - (c) commodity, bond, option, and other transactions effected on or off a national securities exchange _____ [8109]

17. Respondent is a member of the Securities Investor Protection Corporation Yes No [8111]
-
18. Number of branch offices operated by respondent _____ 0
[8112]
-
19. (a) Respondent directly or indirectly controls, is controlled by, or is under common control with a U.S. bank Yes No [8130]
- (b) Name of parent or affiliate _____ [8131]
- (c) Type of institution _____ [8132]
-
20. Respondent is an affiliate or subsidiary of a foreign broker-dealer or bank Yes No [8113]
-
21. (a) Respondent is a subsidiary of a registered broker-dealer Yes No [8114]
- (b) Name of parent _____ [8116]
-
22. Respondent is a subsidiary of a parent which is not a registered broker or dealer Yes No [8115]
-
23. Respondent sends quarterly statements to customers pursuant to Rule 10b-10(b) in lieu of daily or immediate confirmations: Yes No [8117]
- * Required in any Schedule I filed for the calendar year 1978 and succeeding years.
-
24. Aggregate Dollar Amount of Non-Exempted OTC Sales of Exchange-Listed Securities Done by Respondent During the Reporting Period _____ 0
[8118]

N.A.S.D. Miscellaneous Information

Annual Municipal Income _____ 0
[8151]