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

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

| | |
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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 01/01/09 AND ENDING 12/31/09
MM/DD/YY MM/DD/YY

A. REGISTRANT IDENTIFICATION

NAME OF BROKER-DEALER: Rippe + Kingston Capital Advisors Inc
Winton Associates, Inc.

| |
|-------------------|
| OFFICIAL USE ONLY |
| FIRM I.D. NO. |

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

1077 Celestial Street

(No. and Street)

Cincinnati
(City)

Ohio
(State)

45202
(Zip Code)

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

Donald J. Feldmann

(513) 997-4592

(Area Code - Telephone Number)

B. ACCOUNTANT IDENTIFICATION

INDEPENDENT PUBLIC ACCOUNTANT whose opinion is contained in this Report*

Flynn & Company, Inc.

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

7800 E. Kemper Road
(Address)

Cincinnati
(City)

Ohio
(State)

45249
(Zip Code)

CHECK ONE:

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

| |
|------------------------------|
| FOR OFFICIAL USE ONLY |
| |

*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 (06-02)

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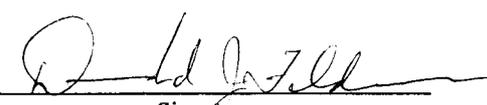
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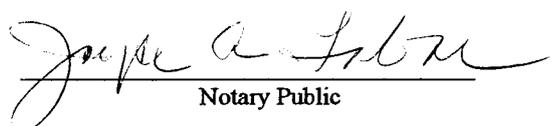
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OATH OR AFFIRMATION

I, Donald J. Feldmann, swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statement and supporting schedules pertaining to the firm of Winton Associates, Inc., as of December 31, 2009, 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:


Signature

President and CEO
Title


Notary Public

JOYCE A. TABAR
Notary Public, State of Ohio
My Commission Expires 05-20-2014

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

- (a) Facing Page.
- (b) Statement of Financial Condition.
- Statement of Income (Loss).
- (d) Statement of Changes in Financial Condition.
- (e) Statement of Changes in Stockholders' Equity or Partners' or Sole Proprietors' 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).

Winton Associates, Inc.

SEC File Number 8-35572

Financial Statements and Supplemental Schedules
for the Year Ended December 31, 2009 and
Independent Auditors' Report
and Supplemental Report on Internal Control

Filed pursuant to Rule 17a-5(e)(3) under the
Securities Exchange Act of 1934
as a PUBLIC DOCUMENT

FLYNN & COMPANY, INC.
Certified Public Accountants

Winton Associates, Inc.

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Independent Auditors' Report

To the Board of Directors
Winton Associates, Inc.

We have audited the accompanying statement of financial condition of Winton Associates, Inc. (the "Company"), a wholly-owned subsidiary of Rippe & Kingston Co. P.S.C., for the year ended December 31, 2009, and the related statements of operations, shareholder's equity and cash flows for the year then ended that you are filing pursuant to Rule 17a-5 under the Securities Exchange Act of 1934. These financial statements are the responsibility of the Company's management. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of 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. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, such financial statements present fairly, in all material respects, the financial position of Winton Associates, Inc. at December 31, 2009, and the results of its operations and its cash flows for the year then ended in conformity with accounting principles generally accepted in the United States of America.

Flynn & Company, Inc.

February 4, 2010

WINTON ASSOCIATES, INC.
STATEMENT OF FINANCIAL CONDITION
DECEMBER 31, 2009

ASSETS

| | |
|---------------------------|----------------------|
| Current Assets | |
| Cash and cash equivalents | \$ 24,672 |
| Fees receivable | 763 |
| Refundable income taxes | 45,550 |
| Prepaid expenses | <u>1,973</u> |
| | |
| TOTAL ASSETS | <u><u>72,958</u></u> |

LIABILITIES AND SHAREHOLDER'S EQUITY

| | |
|--|-------------------------|
| Current Liabilities | |
| Accounts payable | 2,250 |
| Other accrued liabilities | <u>7,417</u> |
| | |
| Total Liabilities | 9,667 |
| | |
| Shareholder's Equity | |
| Common stock, no par value; 500 shares authorized 300 shares issued and outstanding, at stated value of \$5 per share | 1,500 |
| Additional paid-in capital | 70,500 |
| (Deficit) retained earnings | <u>(8,709)</u> |
| | |
| Total Shareholder's Equity | <u>63,291</u> |
| | |
| TOTAL LIABILITIES AND SHAREHOLDER'S EQUITY | <u><u>\$ 72,958</u></u> |

The accompanying notes are an integral part of these statements.

WINTON ASSOCIATES, INC.
STATEMENT OF OPERATIONS
FOR THE YEAR ENDED DECEMBER 31, 2009

| | |
|---------------------------------------|----------------------------|
| Revenues | |
| Investment banking fees | \$ 93,392 |
| Interest and other income | 381 |
| Total revenues | <u>93,773</u> |
| | |
| Expenses | |
| Salaries | 188,650 |
| Payroll taxes | 14,968 |
| Employee benefits | 20,925 |
| Occupancy and maintenance | 4,080 |
| Practice development | 19,489 |
| Insurance | 862 |
| Publications | 1,113 |
| Other operating expense | 21,872 |
| Management fee paid to affiliate | 12,000 |
| Total expenses | <u>283,959</u> |
| | |
| Loss before income tax benefit | (190,186) |
| | |
| Income tax benefit | <u>66,566</u> |
| | |
| Net Loss | <u><u>\$ (123,620)</u></u> |

The accompanying notes are an integral part of these statements.

WINTON ASSOCIATES, INC.
STATEMENT OF CHANGES IN SHAREHOLDER'S EQUITY
FOR THE YEAR ENDED DECEMBER 31, 2009

| | Common Stock | | | | Total Shareholder's Equity |
|------------------------------|--------------|-----------------|----------------------------------|-----------------------------------|----------------------------------|
| | Shares | Stated Value | Additional Paid-In Capital | Retained Earnings (Deficit) | |
| Balance at January 1, 2009 | 300 | \$ 1,500 | \$ 23,500 | \$ 114,911 | \$ 139,911 |
| Contributions | - | - | 47,000 | - | 47,000 |
| Net loss | - | - | - | (123,620) | (123,620) |
| Balance at December 31, 2009 | <u>300</u> | <u>\$ 1,500</u> | <u>\$ 70,500</u> | <u>\$ (8,709)</u> | <u>\$ 63,291</u> |

The accompanying notes are an integral part of these statements.

WINTON ASSOCIATES, INC.
STATEMENT OF CASH FLOWS
FOR THE YEAR ENDED DECEMBER 31, 2009

| | |
|---|-------------------------|
| Cash Flows from Operating Activities | |
| Net loss | \$ (123,620) |
| Adjustments to reconcile net loss to net cash used in operating activities: | |
| Increase in prepaid expenses | (1,973) |
| Increase in income taxes receivable | (45,550) |
| Increase in accounts payable | 2,250 |
| Increase in other accrued liabilities | 7,417 |
| Decrease in accounts receivable | 9,237 |
| Decrease in income taxes payable | <u>(21,016)</u> |
| Net cash used in operating activities | (173,255) |
| Cash Flows from Financing Activities | |
| Capital contributions | <u>47,000</u> |
| Net decrease in cash and cash equivalents | (126,255) |
| Cash and cash equivalents, beginning of year | <u>150,927</u> |
| Cash and cash equivalents, end of year | <u><u>\$ 24,672</u></u> |

The accompanying notes are an integral part of these statements.

WINTON ASSOCIATES, INC.
NOTES TO FINANCIAL STATEMENTS
DECEMBER 31, 2009

NOTE A – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Nature of Company and Operations

Winton Associates, Inc. (the “Company”) is a broker/dealer registered under the Securities Exchange Act of 1934. The Company is a wholly-owned subsidiary of Rippe & Kingston Co. P.S.C. (R&K).

Investment banking fees relate primarily to private placement offerings.

As a member of Financial Industry Regulatory Authority, Inc. (FINRA), the company is exempt from the requirements of Rule 15c3-3 of the Securities and Exchange Commission (SEC) because it operates under Section (k)(2)(ii) of that Rule.

Basis of Presentation

The accounting and reporting policies of the Company conform with accounting principles generally accepted in the United States of America (“GAAP”) as contained in the Accounting Standards Codification (“ASC”) issued by the Financial Accounting Standards Board (“FASB”). The financial statements of the Company have been prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America. A summary of significant accounting polices follow and are described below to enhance the usefulness of the financial statements to the reader.

Use of Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

Cash and Cash Equivalents

For statement of financial condition and cash flow purposes, the Company considers all highly liquid debt instruments, with a maturity of 3 months or less at date of purchase to be cash equivalents.

Accounts receivable

Accounts receivable are stated at net realizable value. The Company provides an allowance for doubtful accounts based on management’s periodic review of accounts. Accounts are considered delinquent when payments have not been received within the agreed upon terms, and are written off when management determines that collection is not probable. As of December 31, 2009, management has determined that no allowance for doubtful accounts is required.

WINTON ASSOCIATES, INC.
NOTES TO FINANCIAL STATEMENTS
DECEMBER 31, 2009

NOTE A - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

Revenue Recognition

Revenue from investment banking and service contracts is recognized when earned. Administration fees are recognized as service is provided.

Net Capital Requirements

The Company is required to maintain a minimum net capital balance (as defined) of \$5,000 pursuant to the SEC's Uniform Net Capital Rule 15c3-1. The Company's net capital balance was \$15,005 at December 31, 2009. The Company must also maintain a ratio of aggregate indebtedness (as defined) to net capital of not more than 15 to 1. The Company's ratio was .6443 to 1 at December 31, 2009

Income taxes

The Company is included in R&K's consolidated income tax return. The Company makes payments to R&K sufficient to pay its proportionate share of Federal, state and local tax liabilities, computed at statutory rates. The Company accounts for income taxes under an asset and liability approach that requires the recognition of deferred tax assets and liabilities for the expected future tax consequences of events that have been recognized in the Company's financial statements or tax returns. In estimating future tax consequences, all expected future events other than enactments of changes in the tax law or rates are considered. The Company reviews its deferred tax assets for ultimate realization and records a valuation allowance to reduce the deferred tax asset if it is more likely than not that some portion, or all, of these deferred tax assets will not be realized.

The Company has adopted the provisions of *Accounting for Uncertainty in Income Taxes* as required by the ASC standards. The Company recognizes the financial statement benefit of a tax position only after determining that the relevant tax authority would be more likely than not sustain the position following an audit. For tax positions meeting the more-likely-than-not threshold, the amount recognized in the financial statements is the largest benefit that has a greater than 50 percent likelihood of being realized upon ultimate settlement with the relevant tax authority. Upon adoption of this provision, there was no material effect on the Company's financial position or results of operations and no adjustment to shareholder's equity.

Recently Adopted or Issued Accounting Pronouncements

In June 2009, the FASB issued an accounting pronouncement establishing the FASB "Accounting Standards Codification" ("ASC"). The pronouncement establishes only two levels of GAAP, authoritative and nonauthoritative, and has become the source of authoritative, nongovernmental GAAP. All existing accounting standard documents are superseded. This pronouncement was effective for interim and annual periods ending after September 15, 2009. ASC is not intended to change or alter existing GAAP. The Company adopted this pronouncement effective December 31, 2009. There was no effect on the Company's financial condition, results of operations or cash flows from the adoption of this pronouncement.

WINTON ASSOCIATES, INC.
NOTES TO FINANCIAL STATEMENTS
DECEMBER 31, 2009

NOTE A - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

Recently Adopted or Issued Accounting Pronouncement (Continued)

In September 2006, the FASB issued an accounting pronouncement *Fair Value Measurements* as required by the ASC standards, which defines fair value, establishes a framework for measuring fair value, and expands disclosures about fair value measurement. It also emphasizes that fair value is a market-based measurement, not an entity-specific measurement, and sets out a fair value hierarchy with the highest priority being quoted prices in active markets. Fair value measurements are disclosed by level within that hierarchy. The Company has also adopted the provisions of the ASC that relate to non-financial assets and liabilities that are not recognized or disclosed at fair value on a recurring basis. The adoption of this pronouncement did not have a material impact on the Company's financial statements.

In May 2009, the FASB issued a pronouncement for *Subsequent Events* as required by the ASC standards, which requires companies to evaluate events and transactions that occur after the statement of financial position date but before financial statements are issued or are available to be issued. In particular, this standard sets forth: 1) the period after the statement of financial position date during which management of a reporting company should evaluate events or transactions that may occur for potential recognition or disclosure in the financial statements, 2) the circumstances under which a company should recognize events or transactions occurring after the statement of financial position date in its financial statements and 3) the disclosures that a company should make about events or transactions that occurred after the statement of financial position date. In accordance with this standard, a company should apply the requirements to interim and annual financial periods ending after June 15, 2009. The adoption of this pronouncement did not have a material effect on the Company's financial statements.

NOTE B – FAIR VALUE MEASUREMENTS

The Company has adopted the provisions of *Fair Value Measurements and Disclosures* as required by the ASC standards. Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The topic provides guidance on various methods used to measure fair value including market, income and cost approaches. These approaches require the Company to utilize certain assumptions about risk. These inputs can be readily observable, market corroborated, or generally unobservable inputs. The Company attempts to utilize valuation techniques that maximize the use of observable inputs and minimize the use of unobservable inputs. Based on the inputs used in the valuation techniques, the Company is required to classify the inputs under a fair value hierarchy that ranks the inputs based on their quality and reliability. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets and liabilities (which are considered "level 1" measurements) and the lowest priority to unobservable inputs (which are considered "level 3" measurements). The three levels of the fair value hierarchy are as follows:

Level 1 – Quoted prices (unadjusted) in active markets for identical assets or liabilities in active markets that the Company has the ability to access as of the measurement date.

WINTON ASSOCIATES, INC.
NOTES TO FINANCIAL STATEMENTS
DECEMBER 31, 2009

NOTE B – FAIR VALUE MEASUREMENTS (CONTINUED)

Level 2 – Significant other observable inputs other than the Level 1 prices, such as quoted prices for similar assets or liabilities in active markets, quoted prices for identical or similar assets in inactive markets, inputs other than quoted prices that are observable for the asset or liability, and inputs that are derived principally from other means. If the asset or liability has a specified (contractual) term, the Level 2 input must be observable for substantially the full term of the asset or liability.

Level 3- Significant unobservable inputs that reflect an entity's own assumptions about the assumptions that market participants would use in pricing an asset or liability.

NOTE C – CONCENTRATIONS OF CREDIT RISK

Financial instruments which potentially subject the Company to concentrations of credit risk consist of cash and cash equivalents. The Company maintains its cash in a bank account which, at times, may exceed federally insured limits. The Company has not experienced any losses in these accounts.

NOTE D – INCOME TAXES

During 2009 the Company recorded the following income tax benefit:

| | |
|-----------------|------------------|
| Federal | \$ 66,566 |
| State and Local | <u>-</u> |
| | <u>\$ 66,566</u> |

There were no deferred tax assets, deferred tax liabilities at December 31, 2009, nor deferred components of income tax expense for the year then ended. The Company made no income tax related payments to R&K during 2009.

NOTE E – SUBSEQUENT EVENTS

In conformity with the ASC standards, the Organization has evaluated for disclosure all subsequent events and transactions through February 4, 2010, which was the date the financial statements were available to be issued for the year ended December 31, 2009.

Independent Auditors' Report on Supplementary Information
Required by Rule 17a-5 of the Securities and Exchange Commission

To the Board of Directors
Winton Associates, Inc.

We have audited the accompanying financial statements of Winton Associates, Inc. as of and for the year ended December 31, 2009, and have issued our report thereon dated February 4, 2010. Our audit was conducted for the purpose of forming an opinion on the basic financial statements taken as a whole. The information contained in Schedules I and II is presented for the purpose of additional analysis and is not a required part of the basic financial statements, but is supplementary information required by Rule 17a-5 under the Securities Exchange Act of 1934. Such information has been subjected to the auditing procedures applied in our audit of the basic financial statements and, in our opinion, is fairly stated in all material respects in relation to the basic financial statements taken as a whole.

Flynn & Company, Inc.

February 4, 2010

WINTON ASSOCIATES, INC.
SCHEDULE I -COMPUTATION OF NET CAPITAL
PURSUANT TO RULE 15c3-1
UNDER THE SECURITIES EXCHANGE ACT OF 1934
DECEMBER 31, 2009

| | Unaudited Amounts Per December 31 FOCUS Report |
|---|---|
| Net Capital: | |
| Shareholder's equity | \$ 63,291 |
| Nonallowable assets | <u>(48,286)</u> |
| NET CAPITAL | 15,005 |
| MINIMUM CAPITAL REQUIRED TO BE MAINTAINED (Greater of \$5,000 or 6-2/3% of aggregate indebtedness) | <u>5,000</u> |
| EXCESS NET CAPITAL | <u><u>\$ 10,005</u></u> |
| AGGREGATE INDEBTEDNESS | <u><u>\$ 9,667</u></u> |
| RATIO OF AGGREGATE INDEBTEDNESS TO NET CAPITAL | <u><u>.6443 to 1</u></u> |

There are no material reconciling items between the amounts presented above and the amounts as reported in Winton Associates, Inc.'s unaudited FOCUS Report as of December 31, 2009. Therefore, no reconciliation of the two computations is deemed necessary.

WINTON ASSOCIATES, INC.
SCHEDULE II- COMPUTATION FOR DETERMINATION OF RESERVE
REQUIREMENTS AND INFORMATION FOR POSSESSION
OR CONTROL REQUIREMENTS PURSUANT TO RULE 15C3-3
UNDER THE SECURITIES EXCHANGE ACT OF 1934
DECEMBER 31, 2009

The Company is not required to present the schedules "Computation for Determination of Reserve Requirements under Rule 15c3-3" or "Information for Possession or Control Requirements under Rule 15c3-3" as it meets the exemptive provisions or Rule 15c3-3 under Section (k)(2)(ii) of that Rule.

Supplemental Report of Independent Auditors on Internal Control
Required by Rule 17a-5(g)(1) of the Securities and Exchange Commission

February 4, 2010

To the Board of Directors
Winton Associates, Inc.

In planning and performing our audit of the financial statements and supplemental schedules of Winton Associates, Inc. (the "Company"), a wholly-owned subsidiary of Rippe & Kingston Co. P.S.C., as of and for the year ended December 31, 2009, in accordance with auditing standards generally accepted in the United States of America, we considered the Company's internal control over financial reporting (internal control) as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Company's internal control. Accordingly, we do not express an opinion on the effectiveness of the Company's internal control.

Also, as required by Rule 17a-5(g)(1) of the Securities and Exchange Commission (SEC), we have made a study of the practices and procedures followed by the Company, including consideration of control activities for safeguarding securities. This study included tests of such practices and procedures that we considered relevant to the objectives stated in Rule 17a-5(g) in making the periodic computations of aggregate indebtedness and net capital under Rule 17a-3(a)(11) and for determining compliance with the exemptive provisions of Rule 15c3-3. Because the Company does not carry securities accounts for customers or perform custodial functions relating to customer securities, we did not review the practices and procedures followed by the Company in any of the following:

1. Making quarterly securities examinations, counts, verifications and comparisons and recordation of differences required by Rule 17a-13.
2. Complying with the requirements for prompt payment for securities under Section 8 of Federal Reserve Regulation T of the Board of Governors of the Federal Reserve System.

The management of the Company is responsible for establishing and maintaining internal control and the practices and procedures referred to in the preceding paragraph. In fulfilling this responsibility, estimates and judgments by management are required to assess the expected benefits and related costs of controls, and of the practices and procedures referred to in the preceding paragraph, and to assess whether those practices and procedures can be expected to achieve the SEC's above-mentioned objectives. Two of the objectives of internal control and the practices and procedures are to provide management with reasonable, but not absolute, assurance that assets for which the Company has responsibility are safeguarded against loss from unauthorized use or disposition, and that transactions are executed in accordance with management's authorization and recorded properly to permit the preparation of financial statements in conformity with generally accepted accounting principles. Rule 17a-5(g) lists additional objectives of the practices and procedures listed in the preceding paragraph.

Because of inherent limitation in any internal control or the practices and procedures referred to above, error or fraud may occur and not be detected. Also, projection of any evaluation of them to future periods is subject to the risk that they may become inadequate because of changes in conditions or that effectiveness of their design and operation may deteriorate.

A *control deficiency* in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent or detect misstatements on a timely basis. A *significant deficiency* is a control deficiency, or combination of control deficiencies, that adversely affects the entity's ability to initiate, authorize, record, process, or report financial data reliably in accordance with generally accepted accounting principles such that there is more than a remote likelihood that a misstatement of the entity's financial statements that is more than inconsequential will not be prevented or detected by the entity's internal control.

A *material weakness* is a significant deficiency or combination of significant deficiencies in internal control that results in more than a remote likelihood that a material misstatement of the financial statements will not be prevented, or detected and corrected by the entity on a timely basis.

Our consideration of internal control was for the limited purpose described in the first and second paragraphs and would not necessarily identify all deficiencies in internal control that might be material weaknesses. We did not identify any deficiencies in internal control and control activities for safeguarding securities that we consider to be material weaknesses, as defined above.

We understand that practices and procedures that accomplish the objectives referred to in the second paragraph of this report are considered by the SEC to be adequate for its purposes in accordance with the Securities Exchange Act of 1934 and related regulations, and that practices and procedures that do not accomplish such objectives, in all material respects, indicate a material inadequacy for such purposes. Based on this understanding and on our study, we believe that the Company's practices and procedures were adequate at December 31, 2009 to meet the SEC's objectives.

This report is intended solely for the information and use of the Board, management, the SEC, and other regulatory agencies that rely on Rule 17a-5(g) under the Securities Exchange Act of 1934 in their regulation of registered brokers and dealers, and is not intended to be and should not be used by anyone other than these specified parties.