

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

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# FOCUS REPORT

## FORM X-17A-5

### SCHEDULE I

*(To be filed annually as of the end of calendar year)*

#### Contents

#### Schedule I      **INFORMATION REQUIRED OF ALL BROKERS AND DEALERS PURUSANT TO RULE 17a-5**

\* \* \* \* \*

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Name of Respondent

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.

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

**FORM X-17A-5 SCHEDULE I**

**GENERAL INSTRUCTIONS**

**NOTE TO RESPONDENTS:** Schedule I of Form X-17A-5 is a calendar year unconsolidated report to be filed by all registrants either as a supplement to the regular fourth quarter Part II of Form X-17A-5 within seventeen business days of the end of the third quarter.

Brokers or dealers which are exempt from the filing requirements of paragraphs (a)(iii) of Section 240.17a-5 are to submit, no later than 17 business days after the close of the calendar year, an annual report consisting of the Facing Page, balance sheet, and Revenue Expense Statement from Part IIA of Form and Schedule I of Form X-17A-5.

**Schedule I** requires the reporting of general information designed to measure certain economic and financial characteristics of the registrant.

**SPECIFIC INSTRUCTIONS**

**4** – The term “national securities exchange(s)” shall mean any exchange(s) registered under Section 6 of the Securities Exchange Act of 1934.

**9a & b** – “Equity security” shall mean any stock or similar security, or any security convertible with or without consideration, into such a security or carrying any warrant or right to subscribe to or purchase such a security.

The term “public customer” shall mean any person from whom or on whose behalf a broker or dealer has received or acquired or holds funds or securities for the account of such person, but shall not include a broker or dealer, or a general, special or limited partner or director or officer of the broker or dealer, or any person to the extent that such person has a claim for property or funds which by contract, agreement or understanding, or by operation of law is part of the capital of the broker or dealer or is subordinated to the claims of creditors of the broker or dealer. Omnibus accounts carried for other brokers or dealers shall not be included in the count of public customer accounts (Item 9a) but shall be included under Item 9b.

Only active public customer accounts will be included in the public customer account total. For an accountant to be considered “active” it must have a non-zero cash or securities balance at the end of the reporting period. Omnibus accounts carried for other brokers at the end of the reporting period are to be included in Omnibus account total.

**11** – Indicate with “1” the methods by which respondent clears its public customer accounts. If respondent has no customers, as defined in 9a and 9b above, respondent is to place a “1” in the “not applicable” box. If respondent principally clears its public customer transactions through other than a broker-dealer, place a “1” in the “other” box.

**12** – Exchange membership is to include associate and limited memberships as well as regular memberships. See Item 4 description for definition of “exchange.”

**13a & b** – Report only full time (full time is defined as anyone who works 40 hours or more per week for respondent) personnel employed by respondent as of the last business day of the year. A full time registered representative is any person who works a minimum of 30 hours per week and spends a minimum of 50 percent of his time engaged in effecting transactions with public customers on behalf of the respondent. The number of employees and registered representatives is “as of “ the last business day of the year.

**16a & b** – These items are to be completed only by carrying or clearing firms required to file Part II of Form X-17A-5. Report the total number of public customer transactions executed on a national securities exchange. If basis of count is an actual count, place a “1” in “actual” box. If statistical method is used, place a “1” in “estimate” box.

A transaction is defined as an executed trade which results in a customer trade confirmation. Therefore, the count of transactions should be taken from the customer side and should not include confirmation corrections. For count purposes, several executions at the same price, which result in one confirmation, should be counted as one transaction.

For investment company securities transactions in which cash or securities are handled by respondent (exclude transactions by others, such as voluntary or period payment plans), a count of trade confirmations should be used to obtain the transaction count. The street and customer side are counted as one transaction. For underwriting transactions, the takedown should be counted as one transaction and the ultimate sale to customers should be counted based on customers’ confirmations (e.g., an underwriting of 2,000 shares is ultimately sold to five customers-takedown of 2,000 shares counts as one trade and the sale to five customers counts as five trades.) For commodity transactions, purchase or sale of contracts are to be counted as one transaction and each subsequent closeout is to be counted as one transaction [e.g., five contracts of a commodity purchased in one trade (same price and on the same day) is one transaction, subsequent sale is five separate contracts (different day or price for each is five additional transactions)]. Do not include clearing house side in count.

For option transactions, the purchase of an option contract represents a transaction.

For commercial paper transactions, both the purchase and sale should be counted as separate transactions. Count may be taken from confirmation or acknowledgement tickets. Items which are not strictly principal trades, such as private placement sales should be included. Repurchase agreement sales and returns should also be included in count.

Corrections shall be excluded from the transaction count. However, an error transaction, that is a transaction where the wrong security was purchased and the correct security must later be purchased, is not considered a correction. For error transactions, the original transaction and the buy and sell from the error account are to be counted as separate transactions.

Firms carrying public customer accounts for other broker-dealers on a fully disclosed basis are to include transactions from those accounts in their number count. *Firms introducing accounts on a fully disclosed basis will report “zero” for these items.*

Although an actual count of transaction is preferred, an estimated count may be generated using the following methodology:

1. Select specific days for which transactions will be counted

(a) Randomly selecting one of the first 15 working days in the year as the starting date,

(b) Selecting each 8<sup>th</sup> working date thereafter throughout the entire year,

(c) Listing these dates in chronological order. This should result in a list of exactly 30 dates (If more than this number have been selected, randomly discard dates throughout the year until only 30 remain).

**19a, b & c-** Report whether respondent directly or indirectly controls, is controlled by, or under common control with a U.S. bank. If the answer is “yes” provide the name of the affiliated bank and/or bank holding company, and describe the type of institution. The term “bank” is defined in Section 3(a)(6) of the securities Exchange Act of 1934.

**24** – This figure is used to compute fees payable to the Commission under Section 31 of the Securities Exchange Act of 1934 (15 U.S.C § 78ec) for over-the-counter (“OTC”) sales of exchange-listed securities. The Commission has exempted some OTC sales of exchange-listed securities for Section 31 transaction fees and Securities Exchange Act Rule 31-1 [CFR §240.31-1] should be consulted in developing the figure to be reported in Item 24 of Schedule I.

# Form X-17A-5

# FOCUS REPORT

(Financial and Operational Combined Uniform Single Report)  
**Schedule I**

INFORMATION REQUIRED OF BROKERS AND DEALERS PURSUANT TO RULE 17a-5  
Report for the Calendar Year 20\_\_   
of if less than 12 months

Report for the period beginning  and ending   
MM DD YY MM DD YY

SEC FILE NUMBER
8- <input type="text" value="8011"/>

1. NAME OF BROKER DEALER

**N9**   
Firm No. M M Y Y

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

	NAME	OFFICIAL USE ONLY
▼ <sub>3</sub>	<input type="text" value="8053"/>	▼ <sub>40</sub> <input type="text" value="8057"/>
▼ <sub>4</sub>	<input type="text" value="8054"/>	<input type="text" value="8058"/>
▼ <sub>5</sub>	<input type="text" value="8055"/>	<input type="text" value="8059"/>
▼ <sub>6</sub>	<input type="text" value="8056"/>	<input type="text" value="8060"/>

3. Respondent conducts a securities business exclusively with registered broker-dealers:  
(enter applicable code: 1 = Yes 2 = No)

4. Respondent is registered as a specialist on a national securities exchange.  
(enter applicable code: 1 = Yes 2 = No)

5. Respondent is registered as a specialist on a national securities exchange:

(a) equity securities ..... (enter applicable code: 1 = Yes 2 = No)

(b) municipals ..... (enter applicable code: 1 = Yes 2 = No)

(a) other debt instruments ..... (enter applicable code: 1 = Yes 2 = No)

6. Respondent is registered solely as a municipal bond dealer:  
(enter applicable code: 1 = Yes 2 = No)

7. Respondent is an insurance company or an affiliate of an insurance company:  
(enter applicable code: 1 = Yes 2 = No)

8. Respondent carries its own public customer accounts:  
(enter applicable code: 1 = Yes 2 = No)

9. Respondent's total number of public customer accounts:  
(carrying firms filing X-17A-5 Part II only)

(a) Public customer accounts .....

(b) Omnibus accounts .....

10. Respondent clears its public customer and/or proprietary accounts:  
(enter applicable code: 1 = Yes 2 = No)

# FOCUS REPORT

## Schedule I

### page 2

11. Respondent clears its public customer accounts in the following manner:  
(enter a "1" in appropriate boxes)
- |  |                      |             |
|--|----------------------|-------------|
| (a) Direct Mail (New York Stock Exchange Members Only) ..... | <input type="text"/> | <b>8086</b> |
| (b) Self-Clearing .....                                      | <input type="text"/> | <b>8087</b> |
| (c) Omnibus .....  | <input type="text"/> | <b>8088</b> |
| (d) Introducing .....  | <input type="text"/> | <b>8089</b> |
| (e) Other .....  | <input type="text"/> | <b>8090</b> |

If Other please describe:

- (f) Not applicable .....
- |                      |             |
|----------------------|-------------|
| <input type="text"/> | <b>8091</b> |
|----------------------|-------------|

- 
12. (a) Respondent maintains membership(s) on national securities exchange(s):  
(enter applicable code: 1 = Yes 2 = No) .....
- |                      |             |
|----------------------|-------------|
| <input type="text"/> | <b>8100</b> |
|----------------------|-------------|

- (b) Names of national securities exchange(s) in which respondent maintains memberships:  
(enter a "1" in appropriate boxes)
- |                         |                      |             |
|-------------------------|----------------------|-------------|
| (1) American .....      | <input type="text"/> | <b>8120</b> |
| (2) Boston .....        | <input type="text"/> | <b>8121</b> |
| (3) CBOE .....          | <input type="text"/> | <b>8122</b> |
| (4) Midwest .....       | <input type="text"/> | <b>8123</b> |
| (5) New York .....      | <input type="text"/> | <b>8124</b> |
| (6) Philadelphia .....  | <input type="text"/> | <b>8125</b> |
| (7) Pacific Coast ..... | <input type="text"/> | <b>8126</b> |
| (8) Other .....         | <input type="text"/> | <b>8129</b> |

- 
13. Employees:  
(a) Number of full-time employees .....
- |                      |             |
|----------------------|-------------|
| <input type="text"/> | <b>8101</b> |
|----------------------|-------------|

- (b) Number of full-time registered representatives employed by respondent included in 13(a) .....
- |                      |             |
|----------------------|-------------|
| <input type="text"/> | <b>8102</b> |
|----------------------|-------------|

- 
14. Number of NASDAQ stocks respondent makes market .....
- |                      |             |
|----------------------|-------------|
| <input type="text"/> | <b>8103</b> |
|----------------------|-------------|

- 
15. Total number of underwriting syndicates respondent was a member .....
- |                      |             |
|----------------------|-------------|
| <input type="text"/> | <b>8104</b> |
|----------------------|-------------|

(Carrying or clearing firms filing X-17A-5 Part II)

16. Number of respondent's public customer transactions: Actual .....
- |                      |             |
|----------------------|-------------|
| <input type="text"/> | <b>8105</b> |
| Estimate .....       | <b>8106</b> |

- (a) equity securities transactions effected on a national securities exchange .....
- |                      |             |
|----------------------|-------------|
| <input type="text"/> | <b>8107</b> |
|----------------------|-------------|

- (b) equity securities transactions effected other than on a national securities exchange .....
- |                      |             |
|----------------------|-------------|
| <input type="text"/> | <b>8108</b> |
|----------------------|-------------|

- (c) commodity, bond, option, and other transactions effected on or off a national securities exchange .....
- |                      |             |
|----------------------|-------------|
| <input type="text"/> | <b>8109</b> |
|----------------------|-------------|

# FOCUS REPORT

## Schedule I

### page 3

17. Respondent is a member of the Securities Investor Protection Corporation ▼<sup>13</sup>  
(enter applicable code: 1 = Yes 2 = No) ...  **8111**

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18. Number of branch offices operated by respondent .....  **8112**

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19. (a) Respondent directly or indirectly controls, is controlled by, or is under  
common control with, a U.S. bank  
(enter applicable code: 1 = Yes 2 = No)  **8130**

(b) Name of parent or affiliate  **8131**

(c) Type of institution  **8132**

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20. Respondent is an affiliate or subsidiary of a foreign broker-dealer or bank  
(enter applicable code: 1 = Yes 2 = No)  **8113**

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21. (a) Respondent is a subsidiary of a registered broker-dealer  
(enter applicable code: 1 = Yes 2 = No)  **8114**

(b) Name of parent ▼<sup>12</sup>  **8116**

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22. Respondent is a subsidiary of a parent which is not a registered broker or dealer  
(enter applicable code: 1 = Yes 2 = No)  **8115**

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23. Respondent sends quarterly statements to customers pursuant to  
10b-10(b) in lieu of daily or immediate confirmations:  
(enter applicable code: 1 = Yes 2 = No)\*  **8117**

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24. Aggregate Dollar Amount of Non-exempted OTC Sales of Exchange-Listed  
Securities Done by Respondent During the Reporting Period ..... \$  **8118**

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*\*Required in any Schedule I filed for calendar year 1978 and succeeding years*