

Name of Company: _____ Employer ID No: _____ NFA ID No: _____
 _____ 0010 _____ 0020 _____ 0030

Address of Principal Place of Business: _____ Person to Contact Concerning this Report: _____
 _____ 0050 _____ 0040
 Telephone No: _____ 0060
 E-Mail Address: _____ 0065

1. Report for the period beginning _____ 0070
 and ending: _____ 0080

2. Type of Report
 Certified Regular quarterly/semiannually Monthly 1.12(b)
 Special call by: Other -- Identify: _____
 _____ 0090

3. Check whether
 Initial Filing Amended Filing _____ 0095

4. Name of FCM's Designated Self-Regulatory Organization:
 _____ 0100

5. Name(s) of consolidated subsidiaries and affiliated companies:

Name	Percentage Ownership	Line of Business
_____	_____ 0110	_____ 0120 0130
_____	_____ 0140	_____ 0150 0160
_____	_____ 0170	_____ 0180 0190
_____	_____ 0200	_____ 0210 0220
_____	_____ 0230	_____ 0240 0250

The futures commission merchant, or applicant for registration therefor, submitting this Form and its attachments and the person whose signature appears below represent that, to the best of their knowledge, all information contained therein is true, correct and complete. It is understood that all required items, statements and schedules are integral parts of this Form and that the submission of any amendment represents that all unamended items, statements and schedules remain true, correct and complete as previously submitted. It is further understood that any intentional misstatements or omissions of facts constitute Federal Criminal Violations (see 18 U.S.C. 1001)

Signed this _____ day of _____, 19 _____

Manual Signature _____

Type or Print Name

Chief Executive Officer Chief Financial Officer
 General Partner Sole Proprietor
 Corporate Title: _____

Authority: Sections 4c, 4d, 4f, 4g, 5a, 8a, and 17 of the Commodity Exchange Act (7 U.S.C. §§ 6c, 6d, 6f, 6g, 7a, 12a and 21)

(2-88: previous editions are obsolete)

Name of Company:

0

Employer ID No:

0

NFA ID No:

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CFTC FORM 1-FR-FCM
STATEMENT OF FINANCIAL CONDITION
AS OF 12/30/1899

Assets

Current

NonCurrent

Total

1. Funds segregated or in separate accounts pursuant to CEAct and the regulations

A. U.S. exchanges (page 11, line 13)	\$		1000			\$	0	1005
B. Dealer options (page 12, line 2.C.)		0	1010				0	1015
C. Foreign exchanges (page 14, line 8)		0	1020				0	1030
D. Cleared Swaps (page 15 line 13)		0	1022				0	1032

(Do not duplicate line 1. Assets below)

2. Cash			1040				0	1050
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3. Securities, at market value

A. Firm owned			1055				0	1065
B. Noncustomer-owned			1070				0	1075
C. Individual partners' securities accounts			1090				0	1095
D. Stock in clearing organization - cost			1100				0	1110

4. Securities purchased under resale agreements			1115				0	1125
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5. Receivables from and deposits with U.S. commodity clearing organizations

A. Margins			1130				0	1135
B. Settlement receivable			1140				0	1145
C. Guarantee deposits			1150				0	1155
D. Net long (short) options value			1157				0	1158

6. Receivables from and deposits with foreign commodity clearing organizations

A. Margins			1160				0	1170
B. Settlement receivable			1175				0	1180
C. Guarantee deposits			1182				0	1190
D. Net long (short) options value			1191				0	1193

7. Receivables from registered FCMs

A. Net liquidating equity			1195				0	1205
B. Security Deposits							0	1215
C. Other			1220				0	1230

8. Receivables from foreign commodity brokers

A. Net liquidating equity			1235				0	1245
B. Security deposits							0	1255
C. Other			1260				0	1270

9 Receivables from traders on U.S. commodity exchanges						
A. Customer debit and deficit accounts		1275		1280	0	1285
B. Noncustomer and proprietary accounts		1290		1295	0	1300
C. Other		1305		1310	0	1315
D. Allowance for doubtful accounts				1320	0	1325

10. Receivables from traders on foreign boards of trade						
A. Customer Debit and deficit accounts		1330		1335	0	1340
B. Noncustomer and proprietary accounts		1345		1350	0	1355
C. Other		1360		1365	0	1370
D. Allowance for doubtful accounts				1375	0	1380

11. Inventories of cash commodities, raw materials, work in progress and finished goods						
A. Covered		1385		1390	0	1395
B. Not covered		1400		1405	0	1410

12. Secured Demand Notes (value of collateral)						
\$		1415				
Safety Factor						
\$		1420		1425		1430
					0	1435

13. Other receivables and advances						
A. Merchandise accounts receivable		1440		1445	0	1450
B. Notes receivable		1455		1460	0	1465
C. Commissions and brokerage receivable		1470		1475	0	1480
D. Receivables from employees and associated persons		1485		1490	0	1495
E. Advances on cash commodities		1500		1505	0	1510
F. Dividends and interest		1515		1520	0	1525
G. Taxes receivable		1530		1535	0	1540
H. Receivable from subsidiaries and affiliates		1545		1550	0	1555
Enter Total Itemize...						
I. Other (itemize on a separate page)		0	1560	0	1565	0
J. Allowance for doubtful accounts				1575	0	1580

14. Unrealized gains on forward contracts and commitments						
		1585		1590	0	1595

15. Exchange memberships, at cost (market value)						
\$		1600		1605	0	1610

16. Investments in subsidiaries						
		1612		1615	0	1620

17. Plant, property, equipment and capitalized leases (cost net of accumulated depreciation and amortization of)						
\$	Enter Total	Itemize...	1625	1630	1635	0
						1640

18 Prepaid expenses and deferred charges						
				1645	0	1650

19						
A. Other assets (itemize on a separate page)		0	1655	0	1660	0
B. Retail Forex Aggregate Assets			1657		1662	0

20 Total Assets						
\$		0	1670	\$	0	1675
					\$	0
						1680

Liabilities

21. Payables to banks		
A. Secured loans	\$	2000
B. Unsecured loans		2010
C. Overdrafts		2020

22. Equities in commodity accounts		
A. Customers trading on U.S. commodity exchanges		2030
B. Customers trading on foreign exchanges		2040
C. Customers' dealer options accounts		2050
D. Noncustomers' accounts		2060
E. General partners' trading accounts (not included in capital)		2070
F. Customer Trading Cleared Swaps		2072

23. Payable to U.S. commodity clearing organizations		2080
Including short option value \$	2075	

24. Payable to foreign commodity clearing organizations		2090
Including short option value \$	2085	

25. Payable to registered futures commission merchants		2100
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26. Payable to foreign commodity brokers		2110
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27. Accounts payable, accrued expenses and other payables		
A. Accounts payable and accrued expenses		2120
B. Salaries, wages, commissions and bonuses payable		2130
C. Taxes payable		2140
D. Deferred income taxes		2150
E. Security deposits held		2160
F. Advances against commodities		2170
G. Unrealized losses on forward contracts and commitments		2180
H. Due to subsidiaries and affiliates		2190
I. Notes, mortgages and other payables due within twelve months		2200
J. Obligation to Retail FX Customers		2205

Enter Total Itemize...

J. Other (itemize on a separate page)	0	2210
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28. Notes, mortgages and other payables not due within twelve months of the date of this statement		
A. Unsecured		2220
B. Secured		2230

29. Securities sold under agreements to repurchase		2240
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30. Securities sold not yet purchased at market value		2250
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31. Liabilities subordinated to the claims of general creditors		
A. Subject to a satisfactory subordination agreement		2260
B. Not subject to a satisfactory subordination agreement		2270

32. Total liabilities	\$	0	2280
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Ownership Equity

33. Sole proprietorship	\$		2500
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34. Partnership or Limited Liability Company			
A. Partnership or LLC contributed and retained capital	\$		2510
B. Additional capital per partnership agreement (equities in partners' trading accounts, etc.)			2515
C. Total	\$	0	2520

35. Corporation			
A. Preferred stock	\$		2530
B. Common stock			2535
C. Additional paid in capital			2540
D. Retained earnings			2545
E. Subtotal	\$	0	2550
F. Less: capital stock in treasury			2555
G. Total	\$	0	2560

36. Total ownership equity (line 33, 34.C, or 35.G)	\$	0	2570
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37. Total liabilities and ownership equity (add lines 32 and 36)	\$	0	2580
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Name of Company:

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Employer ID No:

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CFTC FORM 1-FR-FCM

STATEMENT OF THE COMPUTATION OF THE MINIMUM CAPITAL REQUIREMENTS
AS OF 12/30/1899

Net Capital

1. Current assets (page 3, line 20)	\$	0
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2. Increase/(decrease) to U.S. clearing organization stock to reflect margin value		
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3. Net current assets	\$	0
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4. Total liabilities (page 5, line 32)	\$	0	3030
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5. Deductions from total liabilities

A. Liabilities subject to satisfactory subordination

agreements (page 5, line 31. A)	\$	0	3040
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B. Certain deferred income tax liability

(see regulation 1.17(c) (4) (iv))	0	3050
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C. Certain current income tax liability

(see regulation 1.17(c) (4) (v))	0	3060
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D. Long term debt pursuant to regulation

1.17(c)(4)(vi)	0	3070
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E. Total Deductions (add lines 5.A. - 5.D)

(0	3080)
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F. Adjusted liabilities (subtract line 5.E from line 4)

0

6. Net capital (subtract line 5.F from line 3)	\$	0
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Charges against Net Capital (see regulation 1.17(c) (5))

7. Excess of advances paid on cash commodity

contracts over 95% of the market value

Enter Total

Itemize...

of commodities covered by such contracts

\$	0
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8. Five percent (5%) of the market value of inventories covered by open futures contracts or commodity options (no charges are applicable to inventories registered as deliverable on a contract market and which are covered by futures contracts)	0
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9. Twenty percent (20%) of market value of uncovered inventories	0
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10. Ten percent (10%) of the market value of commodities underlying fixed price commitments and forward contracts which are covered by open futures contracts or commodity options	0
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11. Twenty percent (20%) of the market value of commodities underlying fixed price commitments and forward contracts which are not covered by open futures contracts or commodity options	0
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12. Charges as specified in section 240.15c3-1(c) (2) (vi) and (vii) against securities owned by the firm, including securities representing investments of domestic and foreign customer funds:				
	Market Value		Charge	
A. U.S. and Canadian Government obligations	0	3160	0	3170
B. State and Municipal government obligations	0	3180	0	3190
C. Certificates of Deposit, commercial paper and bankers acceptances	0	3200	0	3210
D. Corporate obligations	0	3220	0	3230
E. Stocks and warrants	0	3240	0	3250
F. Other securities	0	3260	0	3270
G. Total charges (add lines 12.A - 12.F)				0

13. Charges as specified in section 240.15c3-1(c) (2) (iv) (F)	
A. Against securities purchased under agreements to resell	0
B. Against securities sold under agreements to repurchase	0

14. Charges on securities options as specified in section 240.15c3-1 Appendix A	0
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15. Undermargined commodity futures and option accounts -- amount in each account required to meet maintenance margin requirements, less the amount of current margin calls in that account and the amount of any noncurrent deficit in the account	
A. Customer accounts	0
B. Noncustomer accounts	0
C. Omnibus accounts	0

16. Charges against open commodity positions in proprietary accounts	
A. Uncovered exchange-traded futures and granted option contracts	
i. percentage of margin requirements applicable to such contracts	\$ 0 3350
ii. less: equity in proprietary accounts included in liabilities	0 3360 0
B. Ten percent (10%) of market value of commodities which underlie commodity options not traded on a contract market carried long by the applicant or registrant which has value and such value increased adjusted net capital (this charge is limited to the value attributed to such options)	0
C. Commodity options which are traded on contract markets and carried long in proprietary accounts . Charge is the same as would be applied if the applicant or registrant was the grantor of the options (this charge is limited to the value attributed to such options)	0

17. Five percent (5%) of all unsecured receivables from foreign brokers	0
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18. Deficiency in collateral for secured demand notes	0
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19. Adjustment to eliminate benefits of consolidation	Enter Total	Itemize...	
(explain on a separate page)			0

20. Total charges (add lines 7 through 20)	\$ 0
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Net Capital Computation

21. Adjusted net capital (subtract line 21 from line 6)	0
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22. Net Capital required

A. Risk Based Requirement

i. Amount of Customer Risk

Maintenance Margin

3515

ii. Enter 8% of line 22.A.i

0 3525

iii. Amount of Non-Customer Risk

Maintenance Margin

3535

iv. Enter 8% of line 22.A.iii

0 3545

v. Enter the sum of 22.A.ii and 22.A.iv

0 3555

B. Minimum DollarAmount Requirement

3565

C. Other NFA Requirement

3575

D. Enter the greater of lines 22.A.v, 22.B or 22.C.

#VALUE!

23. Excess Net Capital (line 21 less line 22.C.)

\$

#VALUE!

Computation of Early Warning Level

24. Enter the greater of 110% 22.A.v. or 150% of 22.B. or 150% of 22.C or \$375,000.

\$

#VALUE!

This is your early warning capital level. If the amount is greater than the amount on line 22, you must immediately notify your DSRO and the Commission and begin filing monthly financial reports pursuant to section 1.12 of the regulations.

Guaranteed Introducing Brokers

25 List all IBs with which guarantee agreements have been entered into by the FCM and which are currently in effect.

(List additional IBs on a separate page)



3000

3010

3020

3090

3100

3110

3120

3130

3140

3150

3280

3290

3300

3310

3320

3330

3340

3370

3380

3390

3410

3420

3430

3440

3500

3600

3610

3620

3650

Name of Company: 0	Employer ID No: 0	NFA ID No: 0
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**CFTC FORM 1-FR-FCM
STATEMENT OF INCOME(LOSS)
FOR THE PERIOD FROM 12/30/1899 THROUGH 12/30/1899**

Revenues

1. Commissions and brokerage			
A. Commodity transactions on U.S. commodity exchanges		\$	4000
B. Commodity transactions on foreign commodity exchanges	Enter Total	Describe	4010
C. Securities transactions			4020
D. Other brokerage activities (describe on a separate page)			0 4030
2. Firm trading accounts			
A. Commodity transactions	Enter Total	Describe	4040
B. Securities transactions			4050
C. Other firm trading (describe on a separate page)			0 4060
3. Income from advisory services			
4. Interest and dividends			
A. Interest earned on investments of customers' funds			4080
B. Interest earned on investments other than customers' funds			4090
C. Dividends			4100
Enter Total Itemize...			
5. Other income (itemize on a separate page)			
			0 4110
6. Total revenue			
		\$	0 4120
Expenses			
7. Sales personnel commissions			
		\$	4200
8. Floor brokerage			
			4210
9. Clerical and administrative employees' expenses			
			4220
10. Commissions to other FCMs			
			4230
11. Exchange clearance fees			
			4240
12. Occupancy and equipment costs			
			4250
13. Promotional costs			
			4260
14. Communications			
			4270
15. Data processing			
			4280
16. Bad debt expense			
			4290
17. Trade errors			
A. Customers' accounts			4300
B. Other			4310
18. Interest			
			4320
Enter Total Itemize...			
19. Other expenses (itemize on a separate page)			
			0 4330
20. Total expenses			
		\$	0 4340
21. Income (loss) before income taxes and items below			
		\$	0 4400
22. Provision for income taxes			
			4410
23. Equity in earnings (losses) of unconsolidated subsidiaries, less applicable tax			
			4420
24. Extraordinary gains (losses), less applicable tax			
			4430
25. Cumulative effect of changes in accounting principles, less applicable tax			
			4440
26. Net Income (loss)			
		\$	0 4450

Name of Company:

0

Employer ID No:

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**CFTC FORM 1-FR-FCM
STATEMENT OF CHANGES IN OWNERSHIP EQUITY
FOR THE PERIOD FROM 12/30/1899 THROUGH 12/30/1899**

1. Total ownership equity as previously reported		\$		4500
2. Net Income (loss) for the period			0	4510
3. Other Additions to capital (explain below)	Enter Total	Explain	0	4520
4. Dividends			()	4530
5. Other deductions from capital (including partner and proprietary withdrawals) (explain below)	Enter Total	Explain	0	4540
6. Balance (page 5 line 36)		\$	0	4550

**CFTC FORM 1-FR-FCM
STATEMENT OF CHANGES IN LIABILITIES SUBORDINATED TO THE CLAIMS OF GENERAL CREDITORS
PURSUANT TO A SATISFACTORY SUBORDINATION AGREEMENT
FOR THE PERIOD FROM 12/30/1899 THROUGH 12/30/1899**

			All satisfactory Subordinated Debt	Debt that Qualifies as Equity Capital*
1. Total subordinated borrowings as previously reported		\$	4600	\$ 4605
2. Increases (explain below)	Enter Total	Explain	0	4610
3. Decreases (explain below)	Enter Total	Explain	(0)	4620
4. Balance (page 5, line 31.A)		\$	0	4630

* Equity Capital is defined in regulation 1.17(d).
(2-88)

Name of Company: 0	Employer ID No: 0	NFA ID No: 0
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CFTC FORM 1-FR-FCM

**STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION FOR CUSTOMERS TRADING ON U.S. COMMODITY EXCHANGES
AS OF 12/30/1899**

SEGREGATION REQUIREMENTS (Section 4d(2) of the CEAct)

1. Net ledger balance			
A. Cash		\$	5000
B. Securities (at market)			5010

2. Net unrealized profit (loss) in open futures contracts traded on a contract market			
			5020

3. Exchange traded options			
A. Market value of open option contracts purchased on a contract market			5030
B. Market value of open option contracts granted (sold) on a contract market			5040

4. Net equity (deficit) (Add lines 1, 2 and 3)			
		\$	0 5050

5. Accounts liquidating to a deficit and accounts with debit balances-			
gross amount		\$	5060
Less: amount offset against U.S. Treasury obligations owned by particular customers		(0 5080

6. Amount required to be segregated (add lines 4 and 5)			
		\$	0 5090

FUNDS IN SEGREGATED ACCOUNTS

7. Deposited in segregated funds bank accounts			
A. Cash		\$	5100
B. Securities representing investments of customers' funds (at market)			5110
C. Securities held for particular customers or option customers in lieu of cash margins (at market)			5120

8. Margins on deposit with clearing organizations of contract markets:			
A. Cash			5130
B. Securities representing investments of customers' funds (at market)			5140
C. Securities held for particular customers or option customers in lieu of cash margins (at market)			5150

9. Net settlement from (to) clearing organizations of contract markets			
			5160

10. Exchange traded options			
A. Value of open long option contracts			5170
B. Value of open short option contracts		(5180

11. Net equities with other FCMs			
A. Net liquidating equity			5190
B. Securities representing investments of customers' funds (at market)			5200
C. Securities held for particular customers or option customers in lieu of cash (at market)			5210

Enter Total		Describe		
12. Segregated funds on hand (describe on separate page):			0	5215

13. Total amount in segregation (add lines 7 through 12)			
		\$	0 5220

14. Excess (deficiency) funds in segregation (subtract line 6 from line 13)			
		\$	0 5230

15. Management Target Amount for Excess funds in segregation			
			5240

Name of Company: 0	Employer ID No: 0	NFA ID No: 0
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CFTC FORM 1-FR-FCM

STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION FOR CUSTOMERS TRADING ON U.S. COMMODITY EXCHANGES
AS OF 12/30/1899

SEGREGATION REQUIREMENTS (Section 4d(2) of the CEAct)

16. Excess (deficiency) funds in segregation over (under) Management Target Amount Excess	0	5250
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(2-88)

Name of Company: 0	Employer ID No: 0	NFA ID No: 0
CFTC FORM 1-FR-FCM STATEMENT OF SEGREGATION REQUIREMENTS AND FUNDS IN SEGREGATION FOR CUSTOMERS DEALER OPTIONS ACCOUNTS AS OF 12/30/1899		

1. Amount required to be segregated in accordance with Commission regulation 32.6		\$	5400
2. Funds in segregated accounts			
a. Cash	\$	5410	
b. Securities (at market)		5420	
c. Total		0	5430
3. Excess (deficiency) funds in segregation (subtract line 2.C from line 1)		\$	0 5440

Name of Company: 0	Employer ID No: 0	NFA ID No: 0
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CFTC FORM 1-FR-FCM
STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS PURSUANT TO COMMISSION
REGULATION 30.7
AS OF 12/30/1899

FOREIGN FUTURES AND FOREIGN OPTIONS SECURED AMOUNTS

Amount required to be set aside pursuant to law, rule or regulation of a foreign government or a rule of a self-regulatory organization authorized thereunder			
			5605

1. Net ledger balance - Foreign Futures and Foreign Options Trading - All Customers			
A. Cash			5615
B. Securities (at market)			5617

2. Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade			5625
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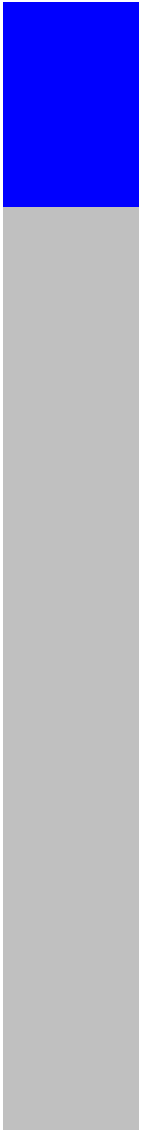
3. Exchange traded options			
A. Market value of open option contracts purchased on a foreign board of trade			5635
B. Market value of open contracts granted (sold) on a foreign board of trade			5637

4. Net equity (deficit) (add lines 1., 2., and 3.)		0	5645
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5. Accounts liquidating to a deficit and accounts with debit balances - gross amount		5651	
Less: amount offset by customer owned securities		5652	0
			5654

6. Amount required to be set aside as the secured amount - Net Liquidating Equity Method (add lines 4 and 5)		0	5655
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7. Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6.		0	5660
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Name of Company: 0	Employer ID No: 0	NFA ID No: 0
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CFTC FORM 1-FR-FCM
STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS
FOR FOREIGN FUTURES AND OPTIONS CUSTOMERS
PURSUANT TO COMMISSION REGULATION 30.7
AS OF 12/30/1899

FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. Cash in Banks

A. Banks located in the United States 5700

B. Other banks qualified under Regulation 30.7 Inter Total Detail... 5720

Name(s): 5720

2. Securities

A. In safekeeping with banks located in the United States 5740

B. In safekeeping with other banks qualified under Regulation 30.7 Inter Total Detail... 5760

Name(s): 5760

3. Equities with registered futures commission merchants

A. Cash	<input type="text" value="5780"/>	5780
B. Securities	<input type="text" value="5790"/>	5790
C. Unrealized gain (loss) on open futures contracts	<input type="text" value="5800"/>	5800
D. Value of long option contracts	<input type="text" value="5810"/>	5810
E. Value of short option contracts	<input type="text" value="5815"/>	5815
	<input type="text" value="0"/>	0

4. Amounts held by clearing organizations of foreign boards of trade

Name(s):

A. Cash	<input type="text" value="0"/>	5840
B. Securities	<input type="text" value="0"/>	5850
C. Amount due to (from) clearing organizations - daily variation	<input type="text" value="0"/>	5860
D. Value of long option contracts	<input type="text" value="0"/>	5870
E. Value of short option contracts	<input type="text" value="0"/>	5875
	<input type="text" value="0"/>	0

5. Amounts held by members of foreign boards of trade

Name(s):

A. Cash	<input type="text" value="0"/>	5900
B. Securities	<input type="text" value="0"/>	5910
C. Amount due to (from) clearing organizations - daily variation	<input type="text" value="0"/>	5920
D. Value of long option contracts	<input type="text" value="0"/>	5930
E. Value of short option contracts	<input type="text" value="0"/>	5935
	<input type="text" value="0"/>	0

6. Amounts with other depositories designated by foreign boards of trade Inter Total Detail...

Name(s):

7. Segregated funds on hand (describe: Inter Total Detail...)

8. Total funds in separate section 30.7 accounts (to Page 13, line 2)

9. Excess (deficiency) set Aside Funds for Secured Amount (subtract Line 7 Secured Statement page 16 from Line 8)

Name of Company: 0	Employer ID No: 0	NFA ID No: 0
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CFTC FORM 1-FR-FCM
STATEMENT OF SECURED AMOUNTS AND FUNDS HELD IN SEPARATE ACCOUNTS
FOR FOREIGN FUTURES AND OPTIONS CUSTOMERS
PURSUANT TO COMMISSION REGULATION 30.7
AS OF 12/30/1899

10. Management Target Amount for Excess funds in separate section 30.7 accounts	
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11. Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target	0
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A. If any securities shown above are other than the types of securities referred to in Commission regulation 1.25, attach a separate schedule detailing the obligations shown on each such line.





Name of Company: 0	Employer ID No: 0	NFA ID No: 0
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CFTC FORM 1-FR-FCM

**STATEMENT OF CLEARED SWAPS CUSTOMER SEGREGATION REQUIREMENTS AND FUNDS IN CLEARED SWAPS CUSTOMER ACCOUNTS
UNDER 4D(F) OF CEA
AS OF 12/30/1899**

Cleared Swaps Customer Requirements

1. Net ledger balance			
A. Cash	\$		8500
B. Securities (at market)			8510
2. Net unrealized profit (loss) in open cleared OTC derivatives			8520
3. Cleared OTC derivatives options			
A. Market value of open cleared OTC derivatives option contracts purchased			8530
B. Market value of open cleared OTC derivatives option contracts granted (sold)			8540
4. Net equity (deficit) (Add lines 1, 2 and 3)	\$	0	8550
5. Accounts liquidating to a deficit and accounts with debit balances- gross amount	\$		8560
Less: amount offset by customer owned securities	(8570
		0	8580
6. Amount required to be sequestered for cleared OTC derivatives customers (add lines 4 and 5)	\$	0	8590

Funds in Cleared OTC Derivatives Customer Sequestered Accounts

7. Deposited in cleared OTC derivatives customer sequestered accounts at banks			
A. Cash	\$		8600
B. Securities representing investments of customers' funds (at market)			8610
C. Securities held for particular customers or option customers in lieu of cash margins (at market)			8620
8. Margins on deposit with derivatives clearing organizations in cleared OTC derivatives customer sequestered accounts			
A. Cash			8630
B. Securities representing investments of customers' funds (at market)			8640
C. Securities held for particular customers or option customers in lieu of cash margins (at market)			8650
9. Net settlement from (to) derivatives clearing organizations			8660
10. Cleared OTC derivatives options			
A. Value of open cleared OTC derivatives long option contracts			8670
B. Value of open cleared OTC derivatives short option contracts	(8680
11. Net equities with other FCMs			
A. Net liquidating equity			8690
B. Securities representing investments of customers' funds (at market)			8700
C. Securities held for particular customers or option customers in lieu of cash (at market)			8710
12. Cleared OTC derivatives customer funds on hand		0	8715
13. Total amount in sequestration (add lines 7 through 12)	\$	0	8720
14. Excess (deficiency) funds in sequestration (subtract line 6 from line 13)	\$	0	8730
15. Management Target Amount for Excess funds in cleared swaps segregated accounts		0	8760
16. Excess (deficiency) funds in cleared swaps customer accounts over (under)		0	8770

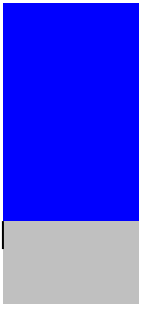
Name of Company: 0	Employer ID No: 0	NFA ID No: 0
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CFTC FORM 1-FR-FCM

STATEMENT OF CLEARED SWAPS CUSTOMER SEGREGATION REQUIREMENTS AND FUNDS IN CLEARED SWAPS CUSTOMER ACCOUNTS
UNDER 4D(F) of CEA
AS OF 12/30/1899

Cleared Swaps Customer Requirements

Management Target Excess



Name of Company: 0	Employer ID No: 0	NFA ID No: 0
CFTC FORM 1-FR-FCM Exchange Supplementary NFA Financial Requirements Section 16 Information AS OF 12/30/1899		

Leverage Calculation

a. Total Assets	
b. Amount required to be segregated	0
c. Amount required to be set aside in separate section 30.7 accts	0
d. Amount required to be sequestered for cleared OTC derivatives customers	0
f. US Treasury securities - Long (firm owned)	
g. US Government agency and government sponsored entities - Long(firm owned)	
h. Reverse Repos backed by US Treasury securities and US Government agency and govt sponsored entities(firm owned)	
i. Ownership Equity	0
j. Subordinated Loans	0

Leverage

Depositories

During the month did the firm maintain customer segregated funds at a depository which is an affiliate?

During the month did the firm maintain separate 30.7 funds at a depository which is an affiliate?

During the month did the firm maintain cleared swaps customer segregated funds at a depository which is an affiliate?

FCM's Customer Segregated Funds Residual Interest Target (choose one):

a. Minimum dollar amount:	
b. Minimum percentage of customer segregated funds required:	
c. Dollar amount range between:	
d. Percentage range of customer segregated funds required between:	

FCM's Customer Secured Amount Funds Residual Interest Target (choose one):

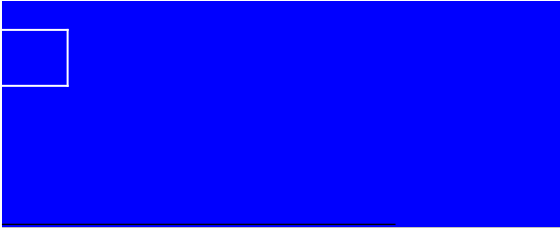
a. Minimum dollar amount:	
b. Minimum percentage of customer segregated funds required:	
c. Dollar amount range between:	
d. Percentage range of customer segregated funds required between:	

FCM's Cleared Swaps Customer Collateral Residual Interest Target (choose one):

a. Minimum dollar amount:	
b. Minimum percentage of cleared swaps customer collateral required:	
c. Dollar amount range between:	
d. Percentage range of cleared swaps customer collateral required between:	

Eligible Contract Participant Information

Name of Company: 0			Employer ID No: 0			NFA ID No: 0		
CFTC FORM 1-FR-FCM Exchange Supplementary NFA Financial Requirements Section 16 Information AS OF 12/30/1899								
Did the firm act as counterparty to a forex transaction with any Eligible Contract Participants (ECPs)?						<input type="radio"/> Yes		
						<input type="radio"/> No		
If yes, indicate the number of ECPS that the firm acted as a counterparty to a forex transaction(s).						<input type="text"/>		



8800	
8810	
8820	
8830	
8850	
8860	
8870	
8880	
8890	
	#DIV/0! 8900

<input type="radio"/>		8910
<input type="radio"/>		8911
<input type="radio"/>		8920
<input type="radio"/>		8921
<input type="radio"/> Yes		8925
<input type="radio"/> No		8925

8930		
8940		
8950	<input type="text"/>	8950
8960	<input type="text"/>	8960

8970		
8980		
8990	<input type="text"/>	8990
9000	<input type="text"/>	9000

9010		
9020		
9030	<input type="text"/>	9031
9040	<input type="text"/>	9041

9042		
9042		
9043		

FREEDOM OF INFORMATION ACT ("FOIAct") NOTICE

Certain statements and schedules in financial reports received by the Commission from futures commission merchants ("FCMs") are considered by the Commission to be a public record, copies of which may be obtained upon written request to the Commission's Freedom of Information, Privacy and Sunshine Acts compliance staff in Washington, D.C. Such financial reports include CFTC Form 1-FR-FCM and Securities and Exchange Commission Financial and Operational Combined Uniform Single Report ("FOCUS report"). Pursuant to Section 1.10(g) of the Commission's regulations, the following portions of these reports will be considered public and be made available pursuant to requests received under the FOIAct:

- (1) the Statement of Financial Condition;
- (2) the Statement of the Computation of the Minimum Capital Requirements (the schedule of guaranteed introducing brokers that is to be included with this statement in Form 1-FR-FCM will be considered public);
- (3) the Statement of Segregation Requirements and Funds in Segregation for Customers Trading on U.S. Commodity Exchanges;
- (4) the Statement of Segregation Requirements and Funds in Segregation for Customers' Dealer Options Accounts;
- (5) the Statement of Secured Amounts and Funds Held in Separate Accounts for Foreign Futures and Foreign Options Customers;
- (6) supplemental schedules that explain or provide additional details concerning any line item for which a supplemental schedule is specifically called for by the statements set forth in (1) through (5) above; and
- (7) the independent public accountant's opinion, if the report is audited.

These statements will be considered public whether filed in electronic or in hard copy form. All other statements or schedules included in form 1-FR-FCM or the FOCUS report, and notes to audited financial reports will be deemed non-public.

Generally, the Commission may disclose to third parties portions of the "nonpublic" information in the report under the following circumstances: (1) in connection with matters in litigation; (2) in connection with Commission investigations; (3) where the information is furnished to regulatory, self-regulatory and law enforcement agencies to assist them in meeting responsibilities assigned to them by law; and (4) where disclosure is required under the FOIAct.

Petitions for confidential treatment filed by an FCM with respect to any of the public information contained in the Form 1-FR-FCM or the FOCUS report will not be processed by Commission staff. However, if the applicant or registrant believes that the placing of any other information submitted on or with its report in the Commission's public files would constitute an unwarranted invasion of the applicant's or registrant's personal privacy or would reveal sensitive business information, the registrant or applicant may petition the Commission to treat such other information as nonpublic pursuant to Section 145.9 in response to requests under the Freedom of Information Act. Section 145.9 of the Commission's regulations affords the applicant or registrant the right to notice and a right to appeal any Commission staff decision to disclose non-public information pursuant to a request for information under the FOIAct.

National Futures Association Supplemental Schedule FCM

A) Capital Requirements and Restrictions

This schedule provides additional information and calculations which are required by National Futures Association but are not provided for on the Form 1-FR. All FCMs (including securities brokers/dealers) must complete Sections A & B.

Minimum Capital Schedule must be completed before filing

		1	2	3	4
		Minimum Capital Requirement	Early Warning Requirement	Equity Withdrawal Restriction	Suspended Repayment Restriction
A. Minimum dollar amount		1,000,000	1,500,000	#VALUE!	#VALUE!
B. Calculation based on branch offices					
# branch offices	<input type="text"/>				
# guaranteed IBs	<input type="text"/>				
# branch offices of guaranteed IBs	<input type="text"/>				
=	0	0	0	0	0
C. Calculation based on associated persons					
# associated persons	<input type="text"/>				
# associated persons of guaranteed IBs	<input type="text"/>				
=	0	0	0	0	0
D. Calculation based on customer funds					
Customer funds required to be segregated and foreign futures/ options secured amount, less market value of options up to the amount of funds in the customer's account	<input type="text"/>	0	0	0	0
E. Forex Dealer Members ONLY					
8. Gross revenue from Forex transactions with retail customers	<input type="text"/>				
9. Total net aggregate notional value of all open Forex transactions in retail customer and non-customer (not proprietary) accounts	<input type="text"/>	0	0	0	0
10. Total aggregate retail forex assets [Reference CFTC Regulation 5.1(b)]	0				
11. Total amount of retail forex obligation [Reference CFTC Regulation 5.1(l)]	0	0			
F. Calculation based on Risk Margin		0	0	0	0
Greatest of A to F		1,000,000	1,500,000	#VALUE!	#VALUE!
	+ Subordinated debt maturing in next 6 mos.			<input type="text"/>	0
	+ Expected capital withdrawals in next 6 mos.			<input type="text"/>	
	Total			#VALUE!	0

National Futures Association Supplemental Schedule FCM**B) Equity Capital Ratio**

Equity capital must be at least 30% of the required total shown here.

Ownership Equity	0	Ownership Equity	0
+ Qualifying subordinated debt	0	+ Total subordinated debt	0
= Equity Capital	0		

= Required Total 0

Equity Capital/Required Total: 0.0000%

