



# RJO' Brien News

## INTRODUCING BROKER NEWSLETTER

Service is our trade ■ Since 1914

### Seasons Greetings!

*When we reflect back on 2014, it will be a year most likely to be remembered for industry reforms. Together, we have been confronted with stricter margin collection time frames, new market data fees, and a constricting FCM landscape.*

*But, as with all things, opportunities and blessings can be found amongst the hardships. This year, RJO was blessed to celebrate our Centennial Year! With celebrations at our largest IB*

*Conference yet and the resurrection of the "Denison Derby" golf outing, it is quite apparent we would not be in this position today without all our customers. Therefore, we would like to thank our cherished clients for your friendship, support, and patronage through the years—we couldn't have done it without you!*

*On behalf of everyone at R.J. O'Brien, we wish you and your family a holiday season filled with peace, happiness, and joy!*

*Many Blessings,*

*Katie Hanley*

*Executive Director, IB Division*

### FIA Elects New Chairman...

**C**ongrats Gerry Corcoran! On July 18, 2014, FIA announced that the members of the FIA's Board of Directors elected our very own Chairman and Chief Executive Officer, Gerald F. Corcoran, as chairman of the FIA. Mr. Corcoran has been a member of the FIA board since March 2008 and has been serving as Vice Chairman since March 2013.

Walt Lukken, President and Chief Executive Officer of FIA said, "Gerry has been a member of FIA board for more than six years and an indispensable part of our growth and development as an organization. On behalf of FIA and its member firms, I want to express our appreciation for his willingness to step forward and serve as our Chairman."

He's been in this business for more than 25 years and I look forward to having the benefit of his leadership and counsel."

Mr. Corcoran will serve as chairman until the next annual meeting in March 2015.



#### In This Issue

*FIA Elects  
New Chairman*

*General Reminders*

*Research  
Distribution*

*RJO Webinars  
& Bulletins*

*RJO Product  
Presentations*

*RJO Celebrates  
Centennial*

*Denison Derby*

*19th Annual  
"Exchange of Ideas"*

*Holiday Calendar*

## General Reminders

### Tax Reporting, Redistributing Research, Regional Meetings, Webinars, & Product Presentations

#### YEAR-END PROCEDURES

As the end of 2014 approaches, we strongly stress the importance of checking your customer accounts to ensure correct year-end tax reporting. As a regular daily procedure, we highly recommend checking your preliminary and final equity runs for any inaccuracies. However, this practice becomes essential going into year-end for 1099 tax purposes. All trading activity generated on December 31, 2014 must be reviewed that day to ensure 1099 tax statements for 2014 are filed accurately. Failure to make corrections on this last trading day will create an incorrect 1099 tax statement that **cannot be altered**.



In order to better assist you and your clients, RJO will again provide support in relation to questions customers may have regarding their 1099 tax statements. RJO's Client Services Department will be able to answer all inquiries received by email at [taxquestions@rjobrien.com](mailto:taxquestions@rjobrien.com) or at their toll-free hotline 1-877-232-9563. Look for a letter containing more information on this service shortly after the first of the year.

#### MARKET-COMMENTARY DISTRIBUTION

More and more, market commentary distribution has been a hot topic of conversation. We have many third party commentary outlets that are available for our IBs. However, these outlets are not allowed to be redistributed to anyone. The only market commentary that can be redistributed are items that are written by a RJO Employee. For example, MRT is one of the outlets that RJO does allow to be redistributed. If you have any questions or concerns about this topic, please do not hesitate to reach out to the RJO Compliance Department at [compliancedept@rjobrien.com](mailto:compliancedept@rjobrien.com).

#### REGIONAL MEETINGS

Each year RJO hosts several futures outlook presentations throughout the US featuring RJO's Head of Market Insights

Richard Feltes, and CME Group's economist, Blu Putnam. These hour-long outlooks are immediately followed by dinner. Please be on the lookout for information on upcoming meetings in your area. If you would want an outlook meeting to take place near your area, please email a request to the IB department at [ibmarketing@rjobrien.com](mailto:ibmarketing@rjobrien.com).

#### STAYING INFORMED

To help keep you abreast of all regulatory changes and additions, RJO Compliance sends a monthly regulatory bulletin via email. These bulletins come directly from Lisa Baker, Compliance Trainer & Analyst. Therefore, be sure to permission [lbaker@rjobrien.com](mailto:lbaker@rjobrien.com) in your email address book so these emails do not get stuck in your spam filter. Did you miss a bulletin? Don't worry! Attend an interactive Webinar presentation hosted by RJO Compliance on the third Tuesday of every month at 2:30PM (CT). These webinars are also recorded and can be accessed on demand under *Research* at [www.rjobrien.com](http://www.rjobrien.com). As these new regulations come down the pipeline, please be aware that RJO policies and procedures may be affected as a result. Watch for **"Announcement"** and **"Alert"** emails from RJO with updates on affected policies. As always, RJO's Compliance Department is at your disposal. Please feel free to contact your compliance representative at 312-373-5937 or [compliancedept@rjobrien.com](mailto:compliancedept@rjobrien.com).



#### PRODUCT PRESENTATIONS

RJO offers product webinar presentations on the first, third, and fourth Thursday of every month at 2:00PM (CT). These presentations are hosted by Client Services and include a conference call and interactive Web Seminar component. The week of a webinar, an electronic invite will be sent to your email inbox with participation instructions.

Following is the schedule for the first half of 2015. Please note that this schedule

is subject to change. For the most up-to-date schedule please refer to the Reference Documents section under *Research* at [www.rjobrien.com](http://www.rjobrien.com).

For more information on how to login and participate in these informative presentations, please contact Client Services at 1-877-396-9316 or [rjohelp@rjobrien.com](mailto:rjohelp@rjobrien.com).

#### 2015 Product Presentation

##### Webinar Schedule

*\*Subject to change*

Jan. 15th	WebOE
Jan. 20th	Hightower Teleconference
Jan. 22nd	WebOE
Jan. 29th	Website
Feb. 5th	WebOE
Feb. 17th	Hightower Teleconference
Feb. 19th	WebOE
Feb. 26th	RJO Mobile Trader
Mar. 19th	Esign
Mar. 24th	Hightower Teleconference
Mar. 26th	Risk Applications
Apr. 2nd	WebOE
Apr. 16th	Website
Apr. 21st	Hightower Teleconference
Apr. 23rd	RJO Mobile Trader
Apr. 30th	Reference Tools
May 7th	WebOE
May 19th	Hightower Teleconference
May 21st	Web Bridge & Report Grabber
May 28th	Risk Applications
June 4th	Reference Tools
June 18th	RJO Mobile Trader
June 23rd	Hightower Teleconference

**R.J. O'Brien Celebrates Centennial**  
**CME Group—October 17, 2014—Chicago, IL**

On October 17, 2014 RJO celebrated the firm's 100th birthday. The CME Group honored the firm, its last surviving founding member, with an award ceremony overlooking the trading floor.

Follow the 100-year journey in our commemorative Centennial video exploring the humble beginnings, challenges and growth of the nation's oldest and largest independent futures brokerage firm. The video features interviews with 96-year-old Robert J. O'Brien, Sr. – along with other family members, RJO executives and industry leaders for insights into the company that O'Brien's father-in-law, John V. McCarthy, founded as a butter and egg merchant in 1914. The video can be found at <https://www.rjobrien.com/about/100years>.



Pictured: (Back Row) Leo Melamed, John O'Brien Sr., Gerald F. Corcoran, Bob J. O'Brien Jr., and Terry Duffy. (Front Row) Geraldine McCarthy O'Brien and Robert J. O'Brien Sr.



**Denison Derby—September 26-27, 2014—Denison, IA**

After a several year hiatus, RJO brought back the highly requested Denison Derby. This event took place at the Boulder Inn & Suites located on the Majestic Hills Golf Course in Denison, Iowa. The weekend was kick-started with a grain outlook from RJO's Head of Market Insights, Richard Feltes. The weather was perfect for a round of golf, but the weekend did not end there; we danced the night away to the band "Free Beer & Chicken" into the wee hours!

**Denison Derby 2014 Foursomes**



## 19th Annual Introducing Brokers' Conference

March 20-21, 2015 in San Antonio, Texas



If you haven't heard, RJO will be heading to the RIVERWALK for the 19th Annual "Exchange of Ideas" Introducing Brokers' Conference!

Please join us March 20-21, 2015 at the Hyatt Regency located directly on the Riverwalk in San Antonio, TX for food, entertainment, a thought-provoking program, and of course **FUN!**

On Friday, March 20th, we will be having break out sessions from several RJO Employees, which will include topics from compliance to managed futures. On Saturday, March 21st we will hear presentations from some of

your favorite speakers like Randy Blach (CEO, CattleFax), David Hightower (President, The Hightower Report), and Richard Feltes (Head of Market Insights, R.J. O'Brien). On top of this, we will have some additional guests that we think will make for an overall stimulating program.

The San Antonio Riverwalk has something to offer for every guest. For the history buff, you can enjoy the sites of the Alamo and the two-and-half mile long Riverwalk; for the foodie, you can dine at over 100 world-renowned restaurants, bars, and clubs; and for the bargain hunter, you can enjoy the historic Market Square for some of the most unique and exciting shopping experiences.

Be sure to book your airfare and room reservations early for the best

discounted prices. Room reservations can be made by calling the Hyatt Regency at (888) 421-1442 and mentioning you are with R. J. O'Brien. You can also book online at <https://resweb.passkey.com/go/rjobrie>. Receive reduced rates starting at \$189.00 per night when booking before **March 2, 2015**. Also, don't forget to RSVP with RJO by contacting Katie Rogers at (312) 373-5277 or [krogers@rjobrien.com](mailto:krogers@rjobrien.com) to let us know the names of the guests who will be attending.



SEE YOU DOWN ON THE RIVERWALK!

### Mark Your Calendar 2015 Exchange Holiday Schedule

Thursday, January 1st	New Year's Day 2015
Monday, January 19th	Dr. Martin Luther King Jr. Day
Monday, February 16th	President's Day
Friday, March 20th— Saturday, March 21st	19th Annual "Exchange of Ideas" IB Conference—San Antonio, TX
Friday, April 3rd	Good Friday
Monday, May 25th	Memorial Day
Friday, July 3rd	Independence Day
Monday, September 7th	Labor Day
Monday, October 12th	Columbus Day (Foreign Exchange & Interest Rate Products Only)
Wednesday, November 11th	Veterans Day (Foreign Exchange & Interest Rate Products Only)
Thursday, November 26th	Thanksgiving Day
Friday, December 25th	Christmas Day

#### DISCLAIMER

The information contained herein has been taken from trade and statistical services and other sources we believe are reliable. R.J. O'Brien does not guarantee that such information is accurate or complete and it should not be relied upon as such. Opinions expressed reflect judgments at this date and are subject to change without notice.