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

MAR 02 2017

Washington DC  
406

SEC FILE NUMBER
8- 23378

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 01/01/16 AND ENDING 12/31/16  
MM/DD/YY MM/DD/YY

**A. REGISTRANT IDENTIFICATION**

NAME OF BROKER-DEALER: PTX Securities, LLC

OFFICIAL USE ONLY
FIRM I.D. NO.

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

6221 Chapel Hill Blvd, Suite 200

(No. and Street)

Plano  
(City)

Texas  
(State)

75093  
(Zip Code)

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

Michelle Loretto

972-473-2230

(Area Code - Telephone Number)

**B. ACCOUNTANT IDENTIFICATION**

INDEPENDENT PUBLIC ACCOUNTANT whose opinion is contained in this Report\*

Brian W. Anson

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

18425 Burbank Blvd., #606  
(Address)

Tarzana  
(City)

California  
(State)

91356  
(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)

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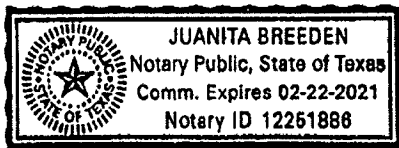
OATH OR AFFIRMATION

I, Terry Harvey, swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statement and supporting schedules pertaining to the firm of PTX Securities, LLC, as of December 31, 2016, 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:

State of Texas
County of Collin

Juanita Breeden
Notary Public 2/17/17

Terry Harvey
Signature
President, Inc.
Title



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

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

PTX SECURITIES, LLC

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**BRIAN W. ANSON**

Certified Public Accountant

18425 Burbank Blvd., Suite 606, Tarzana, CA 91356 • Tel. (818) 401-8800 • Fax (818) 401-8818

**REPORT OF INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM**

Board of Members  
PTX Securities, LLC  
Plano, Texas

I have audited the accompanying statement of financial condition of PTX Securities, LLC as of December 31, 2016 and the related statements of income, changes in members' equity, and cash flows for the year then ended. These financial statements are the responsibility of PTX Securities, LLC's management. My responsibility is to express an opinion on these financial statements based on my audit.

I conducted my audit in accordance with the standards of the Public Company Accounting Oversight Board (United States). Those standards require that I plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material 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. I believe that my audit provides a reasonable basis for my opinion.

In my opinion, the financial statements referred to above present fairly, in all material respects, the financial position of PTX Securities, LLC as of December 31, 2016 and the results of its operations and cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

The supplemental information for the year ended December 31, 2016 (Schedule I, Statement of Net Capital Under Rule 15c3-1, Schedule II, Determination of Determination of Reserve Requirements Under Rule 15c3-3 (exemption), and Schedule III, Information for Possession or Control Requirements Under Rule 15c3-3 (exemption)) has been subjected to audit procedures performed in conjunction with the audit of PTX Securities, LLC's financial statements. The supplemental information is the responsibility of PTX Securities, LLC's management. My audit procedures included determining whether the supplemental information reconciles to the financial statements or the underlying accounting and other records, as applicable, and performing procedures to test the completeness and accuracy of the information presented in the supplemental information. In forming my opinion on supplemental information, I evaluated whether the supplemental information, including the form and content is presented in conformity with Rule 17a-5 of the Securities Exchange Act of 1934. In my opinion, the supplemental information is fairly stated, in all material respects, in relation to the financial statements as a whole.

This opinion is intended solely for the information and use of the board of members, the Securities and Exchange Commission, and other regulatory agencies which 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.



Brian W. Anson  
Certified Public Accountant  
Tarzana, California  
February 27, 2017

**PTX SECURITIES, LLC**  
**STATEMENT OF FINANCIAL CONDITION**  
**DECEMBER 31, 2016**

<b>Assets</b>	<u><b>2016</b></u>
<b>Current Assets</b>	
Cash and equivalents	\$ 314,856
Accounts Receivable	65,266
Other Assets	8,256
	<hr/>
<b>Total assets</b>	<u><u><b>\$ 388,378</b></u></u>
 <b>Liabilities and Members' Equity</b>	
<b>Current liabilities</b>	
Accounts Payable	\$ 146,962
	<hr/>
<b>Total current liabilities</b>	146,962
 <b>Members Equity</b>	
	\$ 241,416
	<hr/>
<b>Total members' equity</b>	<u><u><b>241,416</b></u></u>
	<hr/>
<b>Total liabilities and members' equity</b>	<u><u><b>\$ 388,378</b></u></u>

*See accompanying notes to the financial statements*

**PTX SECURITIES, LLC**  
**STATEMENT OF INCOME**  
**FOR THE YEAR ENDED DECEMBER 31, 2016**

<b>Revenues:</b>	
Securities commissions and fees	\$ 3,243,969
Interest	95
Total revenue	<u>3,244,064</u>
<b>Expense:</b>	
Commission fee	1,875,849
Insurance	80,393
Legal & professional	159,728
Occupancy	85,919
Other	62,743
Regulatory fee	39,039
Salaries & wages	857,859
Other	<u>62,743</u>
Total expenses	<u>3,161,530</u>
<b>Net income</b>	<u><u>\$ 82,534</u></u>

*See accompanying notes to the financial statements*

**PTX SECURITIES, LLC**  
**STATEMENT OF CHANGE IN MEMBERS' EQUITY**  
**DECEMBER 31, 2016**

	<u>Total</u>
Balance, December 31, 2015	\$ 94,632
Members' Capital Contribution	64,250
Net Income	<u>82,534</u>
Balance, December 31, 2016	<u>\$ 241,416</u>

*See accompanying notes to the financial statements*

**PTX SECURITIES, LLC**  
**STATEMENT OF CASH FLOW**  
**FOR THE YEAR ENDED DECEMBER 31, 2016**

	<b>2016</b>
<b>Operating activities</b>	
Net income	\$ 82,534
Adjustments to reconcile net income to net cash provided by operating activities	
Accounts receivable	(65,891)
Accounts payable	146,962
Other Assets	(8,256)
<b>Net cash provided by operating activities</b>	<b>349,000</b>
<b>Financing activities</b>	
Capital Contributions	64,250
<b>Net cash provided by financing activities</b>	<b>64,250</b>
Increase in cash and equivalents	219,569
Cash and equivalents at 1/1/16	95,257
Cash and equivalents at 12/31/16	<b>\$ 314,856</b>

*See accompanying notes to the financial statements*



**PTX SECURITIES, LLC**  
Notes to Financial Statements  
December 31, 2016

**COMPANY:**

PTX SECURITIES, LLC (the "Company") was incorporated on September 20, 1978, converted to a limited liability company during 2012. PTX SECURITIES, LLC is a member of The Financial Industry Regulatory Authority (FINRA) and Securities Investor Protection Corporation (SIPC). The Company is a managing broker dealer that provides compliance and distribution services for alternative investment sponsors.

**SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES:**

The management has reviewed the results of operations for the period of time from its year end December 31, 2016 through February 27, 2017 the date the financial statements were available to be issued, and have determined that no adjustments are necessary to the amounts reported in the accompanying financial statements nor have any subsequent events occurred, the nature of which would require disclosure.

The Company is subject to audit by the Internal Revenue Service for years ending December 31, 2013, 2014, and 2015.

The financial statements are prepared on the accrual basis of accounting.

The company considers all short-term investments with an original maturity of three months or less to be cash.

The revenue for the company is 100% derived from one entity.

**CONCENTRATIONS OF CREDIT RISK:**

The Company engages in various trading and brokerage activities in which counterparties primarily include broker-dealers, banks, and other financial institutions. In the event counterparties do not fulfill their obligations, the Company may be exposed to risk. The risk of default depends on the creditworthiness of the counterparty or issuer of the instrument. It is the Company's policy to review, as necessary, the standing of each counterparty.

**NET CAPITAL:**

The Company is subject to the Securities and Exchange Commission Uniform Net Capital Rule (SEC rule 15c3-1), which requires the maintenance of minimum net capital and requires that the ratio of aggregate indebtedness to net capital, both as defined, shall not exceed 15 to 1. Net capital and aggregate indebtedness change day to day, but on December 31, 2016 the Company had net capital of \$233,160, which was \$223,363 in excess of its required net capital of \$9,797; and the Company's ratio was .63.

**PTX SECURITIES, LLC**  
**Notes to Financial Statements**  
**December 31, 2016**

**USE OF ESTIMATES:**

The presentation of financial statements in conformity with accounting principals 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 disclosures of contingent assets and liabilities, at the date of the financial statements and the reported amounts of revenue and expenses during the reporting period. Actual results could differ from those estimates.

**RELATED ENTITY TRANSACTIONS:**

Management services and operational costs are provided by an entity affiliated through common ownership and management. Payments to the affiliated entity totaled \$18,500 for the year ended December 31, 2016 for management fees.

**PTX SECURITIES, LLC  
SUPPLEMENTARY INFORMATION  
FOR THE YEAR ENDED DECEMBER 31, 2016**

Computation of Net Capital under Rule 15c3-1 of the Securities and Exchange Commission:

Total Members' equity from financial condition	\$	241,416
Deduction and charges:		
		(8,256)
		-
Net capital before haircut charges		233,160
Haircut		-
		-
Net Capital	\$	233,160
Minimum net cap	\$	9,797
Aggregate Indebtedness:		
Accounts Payable	\$	146,962
		-
Total aggregate indebtedness	\$	146,962
Computation of Basic Net Capital Requirement:		
Minimum net capital required	\$	9,797
Net capital		233,160
Excess net capital	\$	223,363
Ratio: Aggregate indebtedness to net capital		0.63

\*There was no changes from the Company filed Focus Report and this audit report.

**Schedule II**

**PTX SECURITIES, LLC**  
**SUPPLEMENTAL SCHEDULE REQUIRED BY RULE 17a-5**  
**COMPUTATION FOR DETERMINATION OF RESERVED REQUIREMENTS UNDER RULE 15c3-3**  
**OF THE SECURITIES, AND EXCHANGE COMMISSION**  
**DECEMBER 31, 2016**

**EXEMPTIVE PROVISIONS**

The Company has claimed an exemption from Rule 15c3-3 under section (k)(2)(i).

**Schedule III**

**PTX SECURITIES, LLC**  
**SUPPLEMENTAL SCHEUDLE REQUIRED BY RULE 17a-5**  
**INFORMATION RELATING TO POSSESSION OR**  
**CONTROL REQUIREMENTS UNDER RULE 15c3-3**  
**OF THE SECURITIES AND EXCHANGE COMMISSION**  
**DECEMBER 31, 2016**

The Company is exempt from the Rule 15c3-3 as it relates to possession and control requirements under the (k)(2)(ii) exemptive provision.

PTX Securities, LLC

6221 Chapel Hill Blvd, Suite 200  
Plano, Texas 75093

Exemption Report

PTX Securities, LLC (the Company) is a registered broker-dealer subject to Rule 17a-5 promulgated by Securities and Exchange Commission (17 C.F.R. §240.17a-5, "Reports to be made by certain brokers and dealers"). This Exemption Report was prepared as required by 17 C.F.R. §240.17a-5(d)(1)1 and (4). To the best of its knowledge and belief, the Company states the following:

1. The Company claimed an exemption from 17 C.F.R. §240.15c3-3 under the following provisions of 17 C.F.R. §240.15c3-3 (k)(2)(i).
2. The Company met the identified exemption provisions in 17 C.F.R. §240.15c3-3 (k)(2)(ii) throughout the period January 1, 2016 to December 31, 2016 without exemption.

PTX Securities, LLC

I, Terry Harvey, swear (or affirm) that, to my best knowledge and belief, this Exemption Report is true and correct.

By: 

\_\_\_\_\_  
President

February 27, 2017

**BRIAN W. ANSON**

*Certified Public Accountant*

18425 Burbank Blvd., Suite 606, Tarzana, CA 91356 • Tel. (818) 401-8800 • Fax (818) 401-8818

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**REPORT OF INDEPENDENT REGISTERED PUBLIC  
ACCOUNTING FIRM**

Board of Members  
PTX Securities, LLC  
Plano, Texas

I have reviewed management's statements, included in the accompanying Exemption Report in which (1) PTX Securities, LLC, identified the following provisions of 17 C.F.R. §15c3-3(k) under which PTX Securities, LLC claimed an exemption from 17 C.F.R. §240.15c3-3: (k)(2)(ii) (the "exemption provision") and (2) PTX Securities, LLC, stated that PTX Securities, LLC, met the identified exemption provision throughout the most recent fiscal year without exception. PTX Securities, LLC's management is responsible for compliance with the exemption provision and its statements.

My review was conducted in accordance with the standards of the Public Company Accounting Oversight Board (United States) and accordingly, included inquiries and other required procedures to obtain evidence about PTX Securities, LLC's compliance with the exemption provision. A review is substantially less in scope than an examination, the objective of which is the expression of an opinion on management's statements. Accordingly, I do not express such an opinion.

Based on my review, I am not aware of any material modifications that should be made to management's statements referred to above for them to be fairly stated, in all material respects, based on the provisions set forth in paragraph (k)(2)(ii) of Rule 15c3-3 under the Securities Exchange Act of 1934.



Brian W. Anson  
Certified Public Accountant  
Tarzana, California  
February 27, 2017