8-35381
rsuant to Section 17 of the 17a-5 Thereunder
AND ENDING 12/31/16
FION
No.) FIRM I.D. NO.
(Zip Code)
ARD TO THIS REPORT
(Arca Code – Telephone Number)
iddle name)
(State) (Zip Code) SECURITIES AND EXCHANGE COMMISSION RECEIVED APR 252017 IS. REGISTRATIONS BRANCH

*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)

Potential 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.

SEC 1410 (06-02)

Ours

General Assessment Reconciliation

BOK Financial Securities, Inc.

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For the Fiscal Period from January 1, 2016 through December 31, 2016 With Report of Independent Registered Accounting Firm

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SEC Mail Processing Section FEB 2 8 2017 Washington DC: 415

BOK Financial Securities, Inc. General Assessment Reconciliation

For the Fiscal Period from January 1, 2016 through December 31, 2016

Conten	ts							
General	Ass	sessment Reco	nciliation	 	 •••••	 		1
Report		Independent cedures	-	•		 -	•	

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SIPC-7 SECURITIES INVEST P.O. Box 9218	OR PROTECTIO 5 Washington, D.C. 202-371-8300	ON CORPORATION . 20090-2185	SIPC-7
33-REV 7/10) General As	nciliation	(33-REV 7/10)	
For the fisca	1/16		
(Read carefully the instructions		before completing this Form)	
TO BE FILED BY ALL SIPC			
Name of Member, address, Designated Examining Auth urposes of the audit requirement of SEC Rule 17a-5:	nority, 1934 Act regis	stration no. and month in which fis	cal year ends for
		Note: If any of the informa	cal year ends for tion shown on the ection, please e-mail ipc.org and so per of person to m.
 	8-35381	mailing label requires corr any corrections to form@s	ection, please e-mail
BOK Financial Securities Inc One Williams Center - Plaza East		indicate on the form filed.	ipc.org and so
Tulsa, Oklahoma 74172		Name and telephone numb	per of person to
1		contact respecting this for	m.
		Robert Ledvora (405) 272-2311
			400.000
A. General Assessment (item 2e from page 2)		\$	160,833
B. Less payment made with SIPC-6 filed (exclude inter 07/12/2016	est)	(90,707
Date Paid			
C. Less prior overpayment applied		(
D. Assessment balance due or (overpayment)			70,126
E. Interest computed on late payment (see instruction	n E) fordays a	it 20% per annum	
F. Total assessment balance and interest due (or ove	erpayment carried for	ward) \$	70,126
G. PAYMENT: √ the box Check mailed to P.O. Box Funds Wired ✓ Total (must be same as F above)	\$	70,126	
H. Overpayment carried forward	\$()	
Subsidiaries (S) and predecessors (P) included in this	form (give name and	1934 Act registration number):	
e SIPC member submitting this form and the rson by whom it is executed represent thereby at all information contained herein is true, correct		BOK Financial Securities	
nd complete.		Colut Le-lin	
and the 27th dates February on 17	/	(Authorized Signature) Chief Financial Officer	
ated the 27th day of February , 20 17.			
is form and the assessment payment is due 60 days r a period of not less than 6 years, the latest 2 year			I Copy of this form
E Dates:			
	eviewed		
	ocumentation	For	ward Copy

Ξ	Calculations
0	F
S	Exceptions:
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S	Disposition	of	exceptions:

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DETERMINATION OF "SIPC NET OPERATING REVENUES" AND GENERAL ASSESSMENT

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AND GENERAL ASSESSMENT	Amounts for the fiscal period beginning <u>1/1/2016</u> and ending <u>12/31/2016</u>
Item No. 2a. Total revenue (FOCUS Line 12/Part IIA Line 9, Code 4030)	Eliminałe cents \$74,273,388
2b. Additions: (1) Total revenues from the securities business of subsidiaries (except foreign subsidiaries) a predecessors not included above.	nd
(2) Net loss from principal transactions in securities in trading accounts.	
(3) Net loss from principal transactions in commodities in trading accounts.	
(4) Interest and dividend expense deducted in determining item 2a.	119,401
(5) Net loss from management of or participation in the underwriting or distribution of securitie	38.
(6) Expenses other than advertising, printing, registration fees and legal fees deducted in dete profit from management of or participation in underwriting or distribution of securities.	ermining net 66,970
(7) Net loss from securities in investment accounts.	
Total additions	186,371
 2c. Deductions: (1) Revenues from the distribution of shares of a registered open end investment company or investment trust, from the sale of variable annuities, from the business of insurance, from advisory services rendered to registered investment companies or insurance company separaccounts, and from transactions in security futures products. 	investment arate 10,130,945
(2) Revenues from commodity transactions.	-4,543
(3) Commissions, floor brokerage and clearance paid to other SIPC members in connection wit securities transactions.	h
(4) Reimbursements for postage in connection with proxy solicitation.	
(5) Net gain from securities in investment accounts.	
(6) 100% of commissions and markups earned from transactions in (i) certificates of deposit at (ii) Treasury bills, bankers acceptances or commercial paper that mature nine months or le from issuance date.	nd 288
(7) Direct expenses of printing advertising and legal fees incurred in connection with other rev related to the securities business (revenue defined by Section 16(9)(L) of the Act).	enue
 (8) Other revenue not related either directly or indirectly to the securities business. (See Instruction C): 	
(Deductions in excess of \$100,000 require documentation)	
 (9) (i) Total interest and dividend expense (FOCUS Line 22/PART IIA Line 13, Code 4075 plus line 2b(4) above) but not in excess of total interest and dividend income. 	50
(ii) 40% of margin interest earned on customers securities accounts (40% of FOCUS line 5, Code 3960).	
Enter the greater of line (i) or (ii)	50
Total deductions	10,126,452
2d. SIPC Net Operating Revenues	§64,333,307
2e. General Assessment @ .0025	\$160,833 (to page 1, line 2.A.)



Ernst & Young LLP 1700 One Williams Center Tulsa, OK 74172-0117 Tel: +1 918 560 3600 Fax: +1 918 560 3691 ey.com

Report of Independent Registered Public Accounting Firm on Applying Agreed-Upon Procedures

To the Board of Directors and Management of BOK Financial Securities, Inc.:

We have performed the procedures enumerated below, which were agreed to by the Board of Directors, management of BOK Financial Securities, Inc. (formerly known as BOSC, Inc.) (the Company), and the Securities Investor Protection Corporation (SIPC), set forth in the Series 600 Rules of SIPC. We performed the procedures solely to assist the specified parties in evaluating the Company's compliance with the applicable instructions of the General Assessment Reconciliation (Form SIPC-7) for the year ended December 31, 2016. The Company's management is responsible for the Company's compliance with those requirements. This agreed-upon procedures engagement was conducted in accordance with attestation standards of the Public Company Accounting Oversight Board (United States) and American Institute of Certified Public Accountants. The sufficiency of these procedures is solely the responsibility of those parties specified in this report. Consequently, we make no representation regarding the sufficiency of the procedures described below either for the purpose for which this report has been requested or for any other purpose.

The procedures we performed and our findings are as follows:

 Compared the assessment payments made in accordance with the General Assessment Payment Form (Form SIPC-6) and applied to the General Assessment calculation on Form SIPC-7 with respective cash disbursement record entries to the outgoing FED wire message.

There were no findings.

2. Compared the amounts reported in the audited financial statements required by SEC Rule 17a-5 with the amounts reported in Form SIPC-7 for the fiscal year ended December 31, 2016.

There were no findings.

3. Compared any adjustments reported in Form SIPC-7 with supporting schedules and working papers supporting the adjustments.

There were no findings.

4. Verified the arithmetical accuracy of the calculations reflected in Form SIPC-7 and in the schedules and working papers supporting the adjustments.

There were no findings.

Ernst & Young LLP 1700 One Williams Center Tulsa, OK 74172-0117 Tel: +1 918 560 3600 Fax: +1 918 560 3691 ey.com

We were not engaged to and did not conduct an examination, the objective of which would be the expression of an opinion on compliance with the applicable instructions of the General Assessment Reconciliation (Form SIPC-7) for the fiscal year ended December 31, 2016. Accordingly, we do not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of the specified parties listed above and is not intended to be and should not be used by anyone other than these specified parties.

Emst & Young UP

February 24, 2017

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BOK Financial Securities, Inc. Exemption Report For the Fiscal Period from January 1, 2016 through December 31, 2016 With Report of Independent Registered Public Accounting Firm

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Washington DC 415

Report of Independent Registered Public Accounting Firm

The Board of Directors and Management of BOK Financial Securities, Inc.

We have reviewed management's statements, included in the accompanying BOK Financial Securities, Inc.'s Exemption Report, in which (1) BOK Financial Securities, Inc. (formerly known as BOSC, Inc.) (the Company) identified the following provisions of 17 C.F.R. § 15c3-3(k) under which the Company claimed an exemption from 17 C.F.R. § 240.15c3-3: (k)(2)(ii) (the "exemption provision") and (2) the Company stated that it met the identified exemption provision for the period from January 1, 2016 through December 31, 2016 without exception. Management is responsible for compliance with the exemption provision and its statements.

Our 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 the Company's compliance with the exemption provisions. 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, we do not express such an opinion.

Based on our review, we are 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.

This report is intended solely for the information and use of the Board of Directors, management, the SEC, Financial Industry Regulatory Authority, other regulatory agencies that rely on Rule 17a-5 under the Securities Exchange Act of 1934 in their regulation of registered brokers and dealers, and other recipients specified by Rule 17a-5(d)(6) and is not intended to be and should not be used by anyone other than these specified parties.

Ernst & Young UP

February 24, 2017

BOK Financial Securities, Inc.'s Exemption Report

BOK Financial Securities, Inc. (the "Company") is a registered broker-dealer subject to Rule 17a-5 promulgated by the 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) and (4). To the best of its knowledge and belief, the Company states the following:

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)(ii) at December 31, 2015.

The Company met the identified exemption provisions in C.F.R. $240.15c_3-3(k)(2)(i)$ for the period from January 1, 2016 through December 31, 2016 without exception.

BOK Financial Securities, Inc.

I, Robert Ledvora, swear that, to my best knowledge and belief, this Exemption Report is true and correct.

By: Colute Luchan

Signed: Robert Ledvora Title: Chief Financial Officer Date: February 24, 2017