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

SEC  
Mail Processing  
Section

SEC FILE NUMBER  
**8-31215**

JUL 10 2017

**FACING PAGE  
Information Required of Brokers and Dealers Pursuant to Section 17 of the  
Securities Exchange Act of 1934 and Rule 17a-5 Thereunder**

Washington DC  
712

REPORT FOR THE PERIOD BEGINNING MAY 1, 2016 AND ENDING APRIL 30, 2017  
MM/DD/YY MM/DD/YY

**A. REGISTRANT IDENTIFICATION**

NAME OF BROKER DEALER: **A & A SECURITIES, LLC**  
ADDRESS OF PRINCIPAL PLACE OF BUSINESS: (Do not use P.O. Box No.)

OFFICIAL USE ONLY  
FIRM ID. NO.

**1151 GIBSON ROAD**

(No. and Street)

**SELAH**

(City)

**WA**

(State)

**98942**

(Zip Code)

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT  
**JAMES W HUMBARD** **509-697-5651**  
(Area Code - Telephone No.)

**B. ACCOUNTANT DESIGNATION**

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

**OHAB AND COMPANY, PA**

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

**100 E. SYBELIA AVENUE, SUITE 130, MAITLAND**

(Address and City)

**FLORIDA**

(State)

**32751**

(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 audit 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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SEC 1410 (06-02)

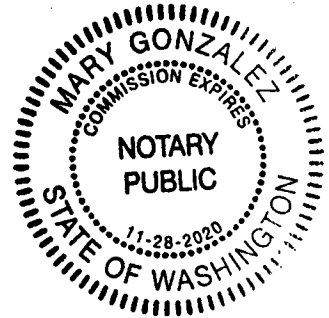
OATH OR AFFIRMATION

I, JAMES W HUMBARO, swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statement and supporting schedules pertaining to the firm or A & A SECURITIES, LLC, as of APRIL 30, 2017 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:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

James W Humbard  
Signature  
**PRESIDENT**  
Title

Mary Gonzalez  
Public Notary



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 Proprietor's 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 15c3-1.
- (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).

**A&A SECURITIES LLC**

**FINANCIAL STATEMENTS**

**FOR THE YEAR APRIL 30, 2017**

**A&A SECURITIES LLC**  
**FINANCIAL STATEMENTS**  
**YEAR ENDING APRIL 30, 2017**

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# **Ohab and Company, P.A.**

100 E. Sybelia Ave. Suite 130  
Maitland, FL 32751

*Certified Public Accountants*  
Email: [pam@ohabco.com](mailto:pam@ohabco.com)

Telephone 407-740-7311  
Fax 407-740-6441

## REPORT OF INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM

To the Board of Directors and Members  
of A & A Securities, LLC

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

*Ohab and Company, P.A.*

Maitland, Florida

June 30, 2017

**A&A SECURITIES LLC**  
**STATEMENT OF FINANCIAL CONDITION**  
**APRIL 30, 2017**

**ASSETS**

**CURRENT ASSETS**

Cash	\$ 673
Cash Deposit with Clearing Organization	6,197
Accounts Receivable	<u>50</u>

**TOTAL ASSETS** **\$6,920**

**MEMBER'S EQUITY** **\$6,920**

The accompanying notes are an integral part of these financial statement's.

**A&A SECURITIES LLC**  
**STATEMENT OF INCOME AND MEMBER'S EQUITY**  
**YEAR ENDING APRIL 30, 2017**

Variable Annuity Fees		988
Mutual Fund Fees		<u>789</u>
Total Revenue		1,777
Commissions		1,100
Other Expenses		<u>194</u>
Total Expense	\$	<u>1,294</u>
NET INCOME (LOSS)		<u>483</u>
MEMBER'S EQUITY, beginning of year	\$	6,437
MEMBER'S WITHDRAWALS		0
CAPITAL CASH CONTRIBUTION		<u>0</u>
MEMBER'S EQUITY, end of the year	\$	<u>6,920</u>

The accompanying notes are an integral part of these financial statements.

**A&A SECURITIES LLC**  
**STATEMENT OF CASH FLOWS**  
**YEAR ENDING APRIL 30, 2017**

**CASH FLOWS FROM OPERATING ACTIVITIES**

Net Income (Loss)	\$	483
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Net Cash used Provided by Operating Activities		<u>483</u>
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CASH, beginning of year		190
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CASH, end of year		<u>\$ 673</u>
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The accompanying notes are an integral part of these financial statements.



**A&A SECURITIES LLC**

**NOTES TO FINANCIAL STATEMENT**

**APRIL 30, 2017**

**(1) Summary of Significant Accounting Policies**

**Nature of Business**

A&A SECURITIES LLC (a limited liability company) is registered with the Securities and Exchange Commission as a Broker Dealer under the Securities Exchange Act of 1934 and is a Member of The Financial Industry Regulatory Authority and the Securities Investor Protection Corporation. The Limited Liability Company serves clients primarily located in Eastern Washington State. Revenue is earned by selling Stocks, Mutual Funds and Variable Annuities. The Company also is authorized as a Municipal Securities Dealer (broker) and an Investment Advisory Services.

All securities transactions are cleared through Hilltop Securities on a fully disclosed basis. The Limited Liability Company does not hold or receive funds of subscribers or securities of issuers, and does not hold customers funds or securities.

**Cash and Cash Equivalents**

The Company considers all highly liquid investments with an original maturity of 3 months or less to be cash equivalents for the purposes of the statement of cash flows.

**Use of Estimates**

The preparation of the financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of asset and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

**Federal Income Tax**

The Limited Liability Company is not a tax-paying entity for the purposes of Federal or State Income Tax. Accordingly, no provision has been made in these financial statements for Federal Income Tax. The members of the Company are generally not subject to U.S. Federal, State or Local Income Tax examinations related to the Company's activities for Tax years before 2014.

**Revenue Recognition**

The Company recognizes commission income net of clearing fees on a trade date basis.

**A&A SECURITIES LLC**  
**NOTES TO FINANCIAL STATEMENT**  
**APRIL 30, 2017**

(2) **Related Party Transaction**

The Company uses, at no cost, office space and services provided by related businesses of the Member manager. It is possible the terms of certain related party transactions are not the same as those that would result from transactions by wholly unrelated parties.

(3) **Net Capital Requirements**

The Limited Liability Company is subject to the Securities and Exchange Commission's Uniform Net Capital Rule (rule 15c-3-1), which requires the maintenance of minimum net capital and that the ratio of aggregate indebtedness to the net capital, both as defined, not to exceed 15 to 1. At April 30, 2017, the Company had net capital of \$6,920 which was \$1,920 in excess of its required net capital of \$5,000. The Company had no aggregate indebtedness as of April 30, 2017.

(4) **Possession or Control Requirements**

The Company adheres to the exemption provision of SEC rule 15c-3(k)(2)(ii) by having clients send all funds and securities to the correspondent clearing firm who carries the customer accounts. Therefore, the Company does not hold or have any possession or control of customer funds or securities.

(5) **Subsequent Events**

At the date of the audit report for A&A Securities LLC, there were no subsequent events regarding debt issuance, business acquisition or capitalization of the Company.

(6) **Advertising Expense**

During the period ending, April 30, 2017, the Company incurred no advertising expense.

(7) **Pending and Threatened Litigation**

As of the audit reporting date April 30, 2017, there were no pending or threatened litigation against the Company or its members. Also, the Company is not a party to any pending or threatened litigation

(8) **Commitments and Contingency**

The company had no commitments or contingencies as of April 30, 2017.

**SCHEDULE I**

**A&A SECURITIES LLC**

**COMPUTATION AND RECONCILIATION OF NET CAPITAL UNDER SEC RULE 15c3-1**

**AS OF APRIL 30, 2017**

**Computation of Net Capital**

Total Member Equity \$ 6,920

Non-Allowable Assets: Securities not readily marketable 0

Net Capital 6,920

Aggregated Indebtedness \$ 0

**Computation of basic Net Capital requirement**

Minimum Net Capital requires greater of 6-2/3% of total aggregate indebtedness. \$ 0

Minimum dollar Net Capital requirement of reporting Broker Dealer. \$ 5,000

Excess Net Capital \$ 1,920

Percentage of aggregate Indebtedness of Net Capital 0%

There are no material differences existing between the above computation and the computation included in the company's corresponding unaudited Form X-17A-5 part II A filing, as of April 30, 2017. Accordingly, no reconciliation is necessary.



# **Ohab and Company, P.A.**

100 E. Sybelia Ave. Suite 130  
Maitland, FL 32751

*Certified Public Accountants*  
Email: [pam@ohabco.com](mailto:pam@ohabco.com)

Telephone 407-740-7311  
Fax 407-740-6441

## REPORT OF INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM

To the Board of Directors and Members  
of A & A Securities, LLC

We have audited the accompanying statement of financial condition of A & A Securities, LLC as of April 30, 2017, 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 A & A Securities, LLC's management. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with the standards of the Public Company Accounting Oversight Board (United States). Those standards require that we 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. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of A & A Securities, LLC as of April 30, 2017, and the results of its operations and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

The Schedule I has been subjected to audit procedures performed in conjunction with the audit of A & A Securities, LLC's financial statements. The supplemental information is the responsibility of A & A Securities, LLC's management. Our 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 our opinion on the supplemental information, we evaluated whether the supplemental information, including its form and content, is presented in conformity with 17 C.F.R. §240.17a-5. In our opinion, the Schedule I is fairly stated, in all material respects, in relation to the financial statements as a whole.

*Ohab and Company, P.A.*

Maitland, Florida

June 30, 2017

A&A Securities LLC

1151 Gibson Rd.

Selah, Washington 98942

TO WHOM IT MAY CONCERN:

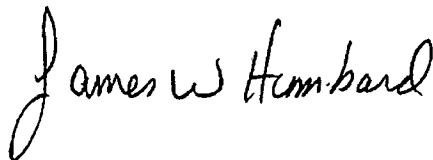
A&A Securities LLC is a registered broker-dealer subject to Rule 17a-5 promulgated by the Securities and Exchange Commission (17 C.F.R. §240.17a-5, "Reports to be made by certain broker-dealers"). This Exemption Report was prepared as required by 17 C.F.R. §240.17a-5(d)(1) and (4). To the best of its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

- (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)(ii)
- (2) The Company met the identified exemption provision in 17 C.F.R. §240.15c3-3(k)(2)(ii) throughout the most recent fiscal year without exception.

A&A Securities LLC

I James W. Humbard affirm that, to the best of my knowledge and belief, this Exemption Report is true and correct.

By:



President and CEO

Date: 04-30-2017