

### General Assessment Reconciliation

For the fiscal year ended 12/31/2016

(Read carefully the instructions in your Working Copy before completing this Form)

**TO BE FILED BY ALL SIPC MEMBERS WITH FISCAL YEAR ENDINGS**

1. Name of Member, address, Designated Examining Authority, 1934 Act registration no. and month in which fiscal year ends for purposes of the audit requirement of SEC Rule 17a-5:

12-14-1980 MEDCO APOC 230  
GROSS PAPA DEC  
KALON CAPITAL INC  
11255 PARKWOOD CIR STE 206  
ALPHARETTA GA 30201-2021

**Note:** If any of the information shown on the mailing label requires correction, please e-mail any corrections to [form@spc.org](mailto:form@spc.org) and so indicate on the form filed.

Name and telephone number of person to contact regarding this item.

2. A. General Assessment (Mem 2a from page 2)

: 30.380.

8. Less payment made with SIPC-6 filed (exclude interest)

15,583.89

7-27-15

Date Paid

C. ~~Less prior overpayment applied~~

1

D. Adjustment balance due or (overpayment)

14-796-11

E. Interest computed on late payment (see instruction E) for \_\_\_\_\_ days at 20% per annum

1000

F. Total assessment balance and interest due (or overpayment carried forward)

§ \_\_\_\_\_

**G. PAID WITH THIS FORM:**

Check enclosed, payable to SIPC  
Total (must be same as F above)

\$ 14,796.11

#### H. Overpayment carried forward

51

3 Subsidiaries (S) and predecessors (P) included in this form (give name and 1934 Act registration number):

The SIPC member submitting this form and the person by whom it is executed represent hereby that all information contained herein is true, correct and complete.

Kalos Capital, Inc



Michael J. Sullivan

Vice President

Dated the 19 day of January, 20 11

This form and the assessment payment is due 40 days after the end of the fiscal year. Retain the Working Copy of this form for a period of not less than 6 years, the latest 2 years in an easily accessible place.

## BOOK REVIEWER

Date: \_\_\_\_\_

<u>Postmarked</u>	<u>Received</u>	<u>Reviewed</u>
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Category	Documentation	External Copy
Administrative	...	...
Technical	...	...
Financial	...	...
Legal	...	...
Marketing	...	...
Human Resources	...	...
Operations	...	...
Research & Development	...	...
Customer Service	...	...
Product Development	...	...
Quality Assurance	...	...
Compliance	...	...
Information Technology	...	...
Facilities Management	...	...
Procurement	...	...
Supply Chain Management	...	...
Logistics	...	...
Transportation	...	...
Warehousing	...	...
Distribution	...	...
Retail	...	...
Wholesale	...	...
Manufacturing	...	...
Construction	...	...
Real Estate	...	...
Healthcare	...	...
Education	...	...
Government	...	...
Non-Profit	...	...
Media	...	...
Entertainment	...	...
Food & Beverage	...	...
Travel & Hospitality	...	...
Automotive	...	...
Aerospace	...	...
Defense	...	...
Energy	...	...
Utilities	...	...
Telecommunications	...	...
Internet	...	...
Software	...	...
Hardware	...	...
Peripherals	...	...
Services	...	...
Consulting	...	...
Engineering	...	...
Architecture	...	...
Design	...	...
Art	...	...
Music	...	...
Performing Arts	...	...
Visual Arts	...	...
Literature	...	...
Journalism	...	...
Public Relations	...	...
Advertising	...	...
Marketing Research	...	...
Sales	...	...
Customer Relationship Management	...	...
Business Development	...	...
Partnerships	...	...
Acquisitions	...	...
Mergers	...	...
Divestitures	...	...
Restructuring	...	...
Bankruptcy	...	...
Liquidation	...	...
Reorganization	...	...
Insolvency	...	...
Debt Restructuring	...	...
Equity Restructuring	...	...
Capital Markets	...	...
Investment Banking	...	...
Private Equity	...	...
Venture Capital	...	...
Angel Investing	...	...
Seed Funding	...	...
Series A Funding	...	...
Series B Funding	...	...
Series C Funding	...	...
Series D Funding	...	...
Series E Funding	...	...
Series F Funding	...	...
Series G Funding	...	...
Series H Funding	...	...
Series I Funding	...	...
Series J Funding	...	...
Series K Funding	...	...
Series L Funding	...	...
Series M Funding	...	...
Series N Funding	...	...
Series O Funding	...	...
Series P Funding	...	...
Series Q Funding	...	...
Series R Funding	...	...
Series S Funding	...	...
Series T Funding	...	...
Series U Funding	...	...
Series V Funding	...	...
Series W Funding	...	...
Series X Funding	...	...
Series Y Funding	...	...
Series Z Funding	...	...
Series AA Funding	...	...
Series AB Funding	...	...
Series AC Funding	...	...
Series AD Funding	...	...
Series AE Funding	...	...
Series AF Funding	...	...
Series AG Funding	...	...
Series AH Funding	...	...
Series AI Funding	...	...
Series AJ Funding	...	...
Series AK Funding	...	...
Series AL Funding	...	...
Series AM Funding	...	...
Series AN Funding	...	...
Series AO Funding	...	...
Series AP Funding	...	...
Series AQ Funding	...	...
Series AR Funding	...	...
Series AS Funding	...	...
Series AT Funding	...	...
Series AU Funding	...	...
Series AV Funding	...	...
Series AW Funding	...	...
Series AX Funding	...	...
Series AY Funding	...	...
Series AZ Funding	...	...
Series BA Funding	...	...
Series BB Funding	...	...
Series BC Funding	...	...
Series BD Funding	...	...
Series BE Funding	...	...
Series BF Funding	...	...
Series BG Funding	...	...
Series BH Funding	...	...
Series BI Funding	...	...
Series BJ Funding	...	...
Series BK Funding	...	...
Series BL Funding	...	...
Series BM Funding	...	...
Series BN Funding	...	...
Series BO Funding	...	...
Series BP Funding	...	...
Series BQ Funding	...	...
Series BR Funding	...	...
Series BS Funding		

Case # \_\_\_\_\_ Doc# \_\_\_\_\_ Filing Date \_\_\_\_\_

**Exceptions.**

**Optimization of treatment:**

1

**DETERMINATION OF "SIPC NET OPERATING REVENUES"  
AND GENERAL ASSESSMENT**

Amounts for the 1 year period  
beginning 1/1/2015  
and ending 12/31/2015

Item No.	Estimate amount
1a. Total revenue (FOCUS Line 12/PART IIA Line 5, Code 9930)	\$ <u>29,967,161</u>
2b. Additions:	
(1) Total revenues from the securities business of subsidiaries (except foreign subsidiaries) and predecessors not included above.	_____
(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.	_____
(5) Net loss from management of or participation in the underwriting or distribution of securities.	_____
(6) Expenses other than advertising, printing, registration fees and legal fees deducted in determining net profit from management of or participation in underwriting or distribution of securities.	_____
(7) Net loss from securities in investment accounts.	_____
Total additions	_____
2c. Deductions:	
(1) Revenues from the distribution of shares of a registered open end investment company or unit investment trust from the sale of variable annuities, from the business of insurance, from investment advisory services rendered to registered investment companies or insurance company separate accounts, and from institutions in security interest products	<u>&lt;17,814,915&gt;</u>
(2) Revenues from commodity transactions.	_____
(3) Commissions, floor brokerage and clearance paid to other SIPC members in connection with securities transactions.	_____
(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 and (ii) Treasury bills, bankers acceptances or commercial paper that mature nine months or less from issuance date.	_____
(7) Direct expenses of printing advertising and legal fees incurred in connection with other revenue related to the securities business (revenue defined by Section 602(b)(1) of the Act)	_____
(8) Other revenue not retained either directly or indirectly to the securities business (See Instruction C):	_____
(Deductions in excess of \$10,000 require documentation)	_____
(9) (i) Total interest and dividend expense (FOCUS Line 23/PART IIA Line 13, Code 9075 plus item 2(b)(4) above) but not in excess of total interest and dividend income	\$ _____
(ii) 40% of margin interest earned on customers securities accounts (40% of FOCUS line 5, Code 3990)	\$ _____
Enter the greater of line 9(i) or (ii)	_____
Total Deductions	<u>&lt;17,814,915&gt;</u>
2d. SIPC Net Operating Revenues	<u>12,152,136</u>
2e. General Assessment @ .0025	<u>30,380</u>
	(No page 1 line 24)