

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

ANNUAL REPORTS
FORM X-17A-5
PART III

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FACING PAGE

Information Required Pursuant to Rules 17a-5, 17a-12, and 18a-7 under the Securities Exchange Act of 1934

FILING FOR THE PERIOD BEGINNING 01/01/2021 AND ENDING 12/31/2021
MM/DD/YY MM/DD/YY

A. REGISTRANT IDENTIFICATION

NAME OF FIRM: AIMax Financial Solutions, LLC

TYPE OF REGISTRANT (check all applicable boxes):

- ☒ Broker-dealer ☐ Security-based swap dealer ☐ Major security-based swap participant
☐ Check here if respondent is also an OTC derivatives dealer

ADDRESS OF PRINCIPAL PLACE OF BUSINESS: (Do not use a P.O. box no.)

12 Van Syckles Road

	(No. and Street)	
<u>Clinton</u>	<u>NJ</u>	<u>08809</u>
(City)	(State)	(Zip Code)

PERSON TO CONTACT WITH REGARD TO THIS FILING

<u>Mark Schultz</u>	<u>908-500-5736</u>	<u>mark@generationstocome.com</u>
(Name)	(Area Code – Telephone Number)	(Email Address)

B. ACCOUNTANT IDENTIFICATION

INDEPENDENT PUBLIC ACCOUNTANT whose reports are contained in this filing*

Jennifer Wray CPA PLLC

(Name – if individual, state last, first, and middle name)			
<u>800 Bonaventure Way, Suite 168</u>	<u>Sugar Land</u>	<u>Texas</u>	<u>77479</u>
(Address)	(City)	(State)	(Zip Code)
<u>11/30/2016</u>	<u>6328</u>		
(Date of Registration with PCAOB)(if applicable)	(PCAOB Registration Number, if applicable)		

FOR OFFICIAL USE ONLY

* Claims for exemption from the requirement that the annual reports be covered by the reports of an independent public accountant must be supported by a statement of facts and circumstances relied on as the basis of the exemption. See 17 CFR 240.17a-5(e)(1)(ii), if applicable.

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.

OATH OR AFFIRMATION

I, Mark Schultz, swear (or affirm) that, to the best of my knowledge and belief, the financial report pertaining to the firm of AlMax Financial Solutions, LLC, as of December 31, 2021, is true and correct. I further swear (or affirm) that neither the company nor any partner, officer, director, or equivalent person, as the case may be, has any proprietary interest in any account classified solely as that of a customer.

Eric Marcy Jr

Notary Public



Signature: Mark C. Schultz

Title: President

This filing** contains (check all applicable boxes):

- ☒ (a) Statement of financial condition.
- ☐ (b) Notes to consolidated statement of financial condition.
- ☒ (c) Statement of income (loss) or, if there is other comprehensive income in the period(s) presented, a statement of comprehensive income (as defined in § 210.1-02 of Regulation S-X).
- ☒ (d) Statement of cash flows.
- ☒ (e) Statement of changes in stockholders' or partners' or sole proprietor's equity.
- ☐ (f) Statement of changes in liabilities subordinated to claims of creditors.
- ☒ (g) Notes to consolidated financial statements.
- ☒ (h) Computation of net capital under 17 CFR 240.15c3-1 or 17 CFR 240.18a-1, as applicable.
- ☐ (i) Computation of tangible net worth under 17 CFR 240.18a-2.
- ☒ (j) Computation for determination of customer reserve requirements pursuant to Exhibit A to 17 CFR 240.15c3-3.
- ☐ (k) Computation for determination of security-based swap reserve requirements pursuant to Exhibit B to 17 CFR 240.15c3-3 or Exhibit A to 17 CFR 240.18a-4, as applicable.
- ☐ (l) Computation for Determination of PAB Requirements under Exhibit A to § 240.15c3-3.
- ☒ (m) Information relating to possession or control requirements for customers under 17 CFR 240.15c3-3.
- ☐ (n) Information relating to possession or control requirements for security-based swap customers under 17 CFR 240.15c3-3(p)(2) or 17 CFR 240.18a-4, as applicable.
- ☒ (o) Reconciliations, including appropriate explanations, of the FOCUS Report with computation of net capital or tangible net worth under 17 CFR 240.15c3-1, 17 CFR 240.18a-1, or 17 CFR 240.18a-2, as applicable, and the reserve requirements under 17 CFR 240.15c3-3 or 17 CFR 240.18a-4, as applicable, if material differences exist, or a statement that no material differences exist.
- ☐ (p) Summary of financial data for subsidiaries not consolidated in the statement of financial condition.
- ☒ (q) Oath or affirmation in accordance with 17 CFR 240.17a-5, 17 CFR 240.17a-12, or 17 CFR 240.18a-7, as applicable.
- ☐ (r) Compliance report in accordance with 17 CFR 240.17a-5 or 17 CFR 240.18a-7, as applicable.
- ☒ (s) Exemption report in accordance with 17 CFR 240.17a-5 or 17 CFR 240.18a-7, as applicable.
- ☐ (t) Independent public accountant's report based on an examination of the statement of financial condition.
- ☒ (u) Independent public accountant's report based on an examination of the financial report or financial statements under 17 CFR 240.17a-5, 17 CFR 240.18a-7, or 17 CFR 240.17a-12, as applicable.
- ☐ (v) Independent public accountant's report based on an examination of certain statements in the compliance report under 17 CFR 240.17a-5 or 17 CFR 240.18a-7, as applicable.
- ☒ (w) Independent public accountant's report based on a review of the exemption report under 17 CFR 240.17a-5 or 17 CFR 240.18a-7, as applicable.
- ☐ (x) Supplemental reports on applying agreed-upon procedures, in accordance with 17 CFR 240.15c3-1e or 17 CFR 240.17a-12, as applicable.
- ☐ (y) Report describing any material inadequacies found to exist or found to have existed since the date of the previous audit, or a statement that no material inadequacies exist, under 17 CFR 240.17a-12(k).
- ☐ (z) Other: _____

**To request confidential treatment of certain portions of this filing, see 17 CFR 240.17a-5(e)(3) or 17 CFR 240.18a-7(d)(2), as applicable.

AlMax Financial Solutions, L.L.C.
Financial Statements and Supplementary Information
Pursuant to Rule 17a-5 of the
Securities and Exchange Commission
Year Ended December 31, 2021

AlMax Financial Solutions, L.L.C.
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December 31, 2021

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Jennifer Wray CPA PLLC

800 Bonaventure Way, Suite 168, Sugar Land, TX 77479
Tel: 281-923-7665 Email: jenniferwraycpa@yahoo.com PCAOB#6328

REPORT OF INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM

To the member of

AlMax Financial Solutions, LLC

Opinion on the Financial Statements

We have audited the accompanying statement of financial condition of AlMax Financial Solutions, LLC as of December 31, 2021, the related statements of income, changes in member's equity, and cash flows for the year ended December 31, 2021, and the related notes and schedules. In our opinion, the financial statements present fairly, in all material respects, the financial position of AlMax Financial Solutions, LLC as of December 31, 2021 and the results of its operations and its cash flows for the year ended December 31, 2021 in conformity with accounting principles generally accepted in the United States of America.

Basis for Opinion

These financial statements are the responsibility of AlMax Financial Solutions, LLC's management. Our responsibility is to express an opinion on AlMax Financial Solutions, LLC financial statements based on our audit. We are a public accounting firm registered with the Public Company Accounting Oversight Board (United States) (PCAOB) and are required to be independent with respect to AlMax Financial Solutions, LLC in accordance with the U.S. federal securities laws and the applicable rules and regulations of the Securities and Exchange Commission and the PCAOB.

We conducted our audit in accordance with the standards of the PCAOB. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement, whether due to error or fraud. Our audit included performing procedures to assess the risks of material misstatement of the financial statements, whether due to error or fraud, and performing procedures that respond to those risks. Such procedures included examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements. Our audit also included evaluating the accounting principles used and significant estimates made by management, as well as evaluating the overall presentation of the financial statements. We believe that our audit provides a reasonable basis for our opinion.

Auditor's Report on Supplemental Information

The supplementary information contained in Schedules I, II & III have been subjected to audit procedures performed in conjunction with the audit of AlMax Financial Solutions, LLC financial statements. The supplemental information is the responsibility of AlMax Financial Solutions, LLC 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 Supplementary schedule is fairly stated, in all material respects, in relation to the financial statements as a whole.

Jennifer Wray CPA PLLC



We have served as AlMax Financial Solutions, LLC's auditor since 2021.

Sugar Land, Texas

March 10, 2022

AlMax Financial Solutions, L.L.C.
Statement of Financial Condition
December 31, 2021

Assets

Cash	\$ 3,251
Trading securities, at fair value	10,560
Commissions receivable	5,499
Prepaid expenses	<u>3,838</u>

Total Assets	<u>\$ 23,148</u>
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Liabilities and Member's Equity

Liabilities

Accounts payable and accrued expenses	<u>\$ -</u>
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Total Liabilities	-
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Member's Equity	<u>23,148</u>
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Total Liabilities and Member's Equity	<u>\$ 23,148</u>
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AlMax Financial Solutions, L.L.C.
Statement of Income
For the Year Ended December 31, 2021

Revenues	
Commissions	\$ 29,324
Other Income	2,000
Dividend income	<u>3</u>
Total revenues	<u>31,327</u>
 Operating Expenses	
Commissions	76
Professional fees	20,268
Registration fees and assessments	3,929
Insurance	2,266
Other administrative expenses	<u>40</u>
 Total operating expenses	<u>26,579</u>
 Net Income	 <u><u>\$ 4,748</u></u>

See accompanying notes to the financial statements.

AlMax Financial Solutions, L.L.C.
Statement of Changes in Member's Equity
For the Year Ended December 31, 2021

Member's Equity, January 1, 2021	\$ 18,400
Net Income for the Year Ended December 31, 2021	<u>4,748</u>
Member's Equity, December 31, 2021	<u>\$ 23,148</u>

See accompanying notes to the financial statements.

AlMax Financial Solutions, L.L.C.
Statement of Cash Flows
For the Year Ended December 31, 2021

Cash Flows from Operating Activities

Net Income	\$ 4,748
Adjustments to Reconcile Net Income to Net Cash Provided by Operating Activities:	
(Increase) Decrease in Assets	
Trading securities, at fair value	(2)
Prepaid expenses	(345)
Commissions receivable	(107)
Increase (Decrease) in Liabilities	
Accounts payable and accrued expenses	<u>(4,190)</u>
Net Cash Used by Operating Activities	<u>4,644</u>
Net Increase in Cash	104
Cash, Beginning of Year	<u>3,147</u>
Cash, End of Year	<u><u>\$ 3,251</u></u>

SUPPLEMENTAL CASH FLOW INFORMATION

Interest paid	<u>\$ -</u>
Income taxes paid	<u>\$ -</u>

See accompanying notes to the financial statements.

AlMax Financial Solutions, L.L.C.
Notes to the Financial Statements
December 31, 2021

NATURE OF THE BUSINESS AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Nature of the Business

AlMax Financial Solutions, L.L.C. (the Company) is a Registered Broker Dealer with the Securities and Exchange Commission (SEC) and a member of the Financial Industry Regulatory Authority, Inc. (FINRA). The Company was formed in the State of New Jersey on May 4, 2000, is located in Clinton, New Jersey and is licensed to do business in eleven states. Its primary business is marketing mutual funds, variable annuities, and life insurance products. The Company serves as placement agent for such products. As a placement agent, the Company does not receive funds from clients, but rather funds are transmitted directly by mutual fund purchasers to the issuers' escrow agents or transfer agents.

The Company will be dissolved by December 31, 2025 unless otherwise terminated as provided for in the Company's operating agreement. Under the laws of the State of New Jersey, the liability of the Company's member is limited to his investment in the Company.

Basis of Accounting

The Company employs the accrual method of accounting for financial reporting purposes.

Commissions Receivable

The Company's commissions receivable consists principally of commissions due from issuers of mutual funds and variable annuities. Management periodically assesses the collectability of accounts receivable based upon the financial strength of the issuers of mutual funds and variable annuities. Management believes no allowance for doubtful accounts is required as of December 31, 2021.

Trading Securities

Under FASB ASC 320-10-25, securities bought and held principally for the purpose of selling them in the near term are classified as trading securities. Trading securities consist of a mutual fund with readily determinable fair value at December 31, 2021. Unrealized gains and losses are recognized currently in income from operations.

Fair Value of Financial Instruments

The fair values of cash, receivables, other current assets, accounts payable and accrued expenses, and margin payable approximate their carrying values because of the short-term maturity of these financial instruments.

Income Taxes

The Company is a single member limited liability company and, as such, is considered a disregarded entity for federal and state income tax purposes. Taxable income of the Company is passed through to the member and reported on his individual income tax returns. Accordingly, no income tax expense has been recorded in the financial statements.

Uncertain Tax Positions

Per FASB ASC 740-10, disclosure is not required of an uncertain tax position unless it is considered probable that a claim will be asserted and there is a more-likely-than-not possibility that the outcome will be unfavorable. Using this guidance, as of December 31, 2021, the Company has no uncertain tax positions that qualify for either recognition or disclosure in the financial statements. Generally, the Company's Federal and State tax returns filed after 2016 remain subject to examination by their respective taxing authorities. Neither of the Company's Federal or State tax returns are currently under examination.

AlMax Financial Solutions, L.L.C.
Notes to the Financial Statements
December 31, 2021

NATURE OF THE BUSINESS AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

Commissions and Revenue Recognition

The Company earns commissions by referring client transactions in mutual funds, variable annuities and life insurance products. Commissions revenue is recognized in the period earned when the Company's performance obligations are completed, typically the client's trade date.

The Company also earns annual trailing commissions and is responsible for ongoing client relations duties, which are recorded in those periods as the services are performed. These trailing revenues and expenses are subject to material variables; therefore, uncertain to estimate in advance.

Commissions expenses are recorded in the same period as the associated revenue.

Proprietary Securities Transactions

Proprietary securities transactions are recorded on the trade date including realized gains and losses.

Estimates and Uncertainties

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results, as determined at a later date, could differ from those estimates.

Fair Value of Financial Instruments

FASB ASC 820, *Fair Value Measurements and Disclosures*, fair value is defined as the price that would be received to sell an asset or paid to transfer a liability (i.e., the "exit price") in an orderly transaction between market participants at the measurement date.

In determining fair value, the Company uses various valuation approaches. A fair value hierarchy for inputs is used in measuring fair value that maximizes the use of observable inputs and minimizes the use of unobservable inputs by requiring that the most observable inputs are to be used when available.

Observable inputs are those that market participants would use in pricing the asset or liability based on market data obtained from sources independent of the Company. Unobservable inputs reflect the Company's assumptions about the inputs market participants would use in pricing the asset or liability developed based on the best information available in the circumstances. The fair value hierarchy is categorized into three levels based on the inputs as follows:

Level 1 - Valuations based on unadjusted quoted prices in active markets for identical assets or liabilities that the Company has the ability to access. Valuation adjustments are not applied to Level 1 investments. Since valuations are based on quoted prices that are readily and regularly available in an active market, valuation of these investments does not entail a significant degree of judgment.

Level 2 - Valuations based on quoted prices in markets that are not active or for which all significant inputs are observable, either directly or indirectly.

Level 3 - Valuations based on inputs that are unobservable and significant to the overall fair value measurement.

AlMax Financial Solutions, L.L.C.
Notes to the Financial Statements
December 31, 2021

NATURE OF THE BUSINESS AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

Fair Value of Financial Instruments (continued)

The availability of valuation techniques and observable inputs can vary from investment to investment and are affected by a wide variety of factors, including the type of investment, whether the investment is new and not yet established in the marketplace, and the other characteristics particular to the transaction. To the extent that valuation is based on models or inputs that are less observable or unobservable in the market, the determination of fair value requires more judgment. Those estimated values do not necessarily represent the amounts that may be ultimately realized due to the occurrence of future circumstances that cannot be reasonably determined. Because of the inherent uncertainty of valuation, those estimated values may be materially higher or lower than the values that would have been used had a ready market for the investments existed.

Fair value is a market-based measure considered from the perspective of a market participant rather than an entity specific measure. Therefore, even when market assumptions are not readily available, the Company's own assumptions are set to reflect those that market participants would use in pricing the asset or liability at the measurement date. The Company uses prices and inputs that are current as of the measurement date, including periods of market dislocation. In periods of market dislocation, the observability of prices and inputs may be reduced for many investments. This condition could cause an investment to be reclassified to a lower level within the fair value hierarchy. The Company had no investments that would be categorized as Level 2 or Level 3 in the fair value hierarchy at December 31, 2021.

Limitations

Fair value estimates are made at a specific point in time, based on relevant market information and information about the financial statement. These estimates are subjective in nature and involve uncertainties and matters of significant judgment and therefore cannot be determined with precision. Changes in assumptions could significantly affect the estimates.

CONCENTRATIONS OF BUSINESS AND CREDIT RISK

The Company's financial instruments that are potentially exposed to concentrations of credit risk consist primarily of cash, cash equivalents, short-term investments and commissions receivable. The Company places its cash equivalents with quality financial institutions. At times, such cash equivalents may be in excess of the FDIC insurance limit, or in some cases, may be completely uninsured. The Company believes no significant concentration of credit risk exists with respect to its cash, cash equivalents and commissions receivable. It is not the Company's policy to require collateral for receivables outstanding.

During the year ended December 31, 2021, 98% of commission revenue was derived from two major sources.

AlMax Financial Solutions, L.L.C.
Notes to the Financial Statements
December 31, 2021

FAIR VALUE OF FINANCIAL INSTRUMENTS

The Company's assets and liabilities recorded at fair value have been categorized based upon a fair value hierarchy as described in the Company's significant accounting policies in the NATURE OF THE BUSINESS AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES note. The following table presents information about the Company's assets measured at value as of December 31, 2021:

	<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>	<u>Total</u>
Securities owned, at market value				
Money market funds	\$ 10,560	\$ -	\$ -	\$ 10,560
Total	<u>\$ 10,560</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 10,560</u>

NET CAPITAL REQUIREMENTS

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. Rule 15c3-1 also provides that equity capital may not be withdrawn or cash dividends paid if the resulting net capital ratio would exceed 10 to 1. Net capital and aggregate indebtedness change day to day, but on December 31, 2021, the Company had net capital of \$13,600, which was \$8,600 in excess of its required net capital of \$5,000; and the Company's ratio of aggregate indebtedness to net capital was 0 to 1.

RELATED PARTY TRANSACTIONS

There is no related party transaction in 2021.

SUBSEQUENT EVENTS

The Company has evaluated events subsequent to the Statement of Financial Condition date for items requiring recording or disclosure in the financial statements. The evaluation was performed through the date of the financial statements. Based upon this review, the Company has determined that there were no events which took place that would have a material impact on its financial statements.

AlMax Financial Solutions, L.L.C.
Notes to the Financial Statements
December 31, 2021

COMMITMENT AND CONTINGENCIES

The Company has no commitments, no contingent liabilities and had not been named as a defendant in any lawsuit at December 31, 2021 or during the year then ended.

GUARANTEES

FASB ASC 460, Guarantees, requires the Company to disclose information about its obligations under certain guarantee arrangements. FASB ASC 460 defines guarantees as contracts and indemnification agreements that contingently require a guarantor to make payments to the guaranteed party based on changes in an underlying factor (such as an interest or foreign exchange rate, security or commodity price, an index or the occurrence or nonoccurrence of a specified event) related to an asset, liability or equity security of a guaranteed party. This guidance also defines guarantees as contracts that contingently require the guarantor to make payments to the guaranteed party based on another entity's failure to perform under an agreement as well as indirect guarantee of indebtedness of others.

The Company has issued no guarantees at December 31, 2021, or during the year then ended.

AlMax Financial Solutions, L.L.C.
Supplementary Information
Schedule I - Computation of Net Capital Under Rule 15c3-1 of
the Securities and Exchange Commission
December 31, 2021

NET CAPITAL

Total Member's Equity	\$ 23,148
Deductions and/or Charges:	
Non-Allowable Assets:	
Commissions receivable	5,499
Prepaid expenses	<u>3,838</u>
Total Non-Allowable Assets	<u>9,337</u>
Net Capital before haircuts on security positions	13,811
Haircuts on securities	
Other securities	<u>211</u>
Net Capital	<u>\$ 13,600</u>

AGGREGATE INDEBTEDNESS	<u>\$ 0</u>
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COMPUTATION OF BASIC NET CAPITAL REQUIREMENTS

Minimum net capital required	<u>\$ 0</u>
Minimum dollar net capital requirement	<u>\$ 5,000</u>
Excess Net Capital	<u>\$ 8,600</u>

Ratio of Aggregate Indebtedness to Net Capital	<u>0</u> to 1
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RECONCILIATION WITH COMPANY'S COMPUTATION

(Included in Part IIA of Form X-17a-5 as of December 31, 2021)

Net capital, as reported in Company's Part IIA (Unaudited) FOCUS report	\$ 13,600
Net audit adjustments and accruals	<u>-</u>
Net capital per above	<u>\$ 13,600</u>

AlMax Financial Solutions, L.L.C.
Supplementary Information
Schedule II - Computation for Determination of Reserve Requirements
Under Rule 15c3-3 of the Securities and Exchange Commission
As of December 31, 2021

The Company qualifies for exemption from the reserve requirement under paragraph (k)(1) of Rule 15c3-3.

AlMax Financial Solutions, L.L.C.
Schedule III - Information Relating to Possession or Control
Requirements Pursuant to Rule 15c3-3 of the Securities Exchange Commission
As of December 31, 2021

Information relating to possession or control requirements is not applicable to AlMax Financial Solutions, L.L.C. as the Company qualifies for exemption under paragraph (k)(1) of Rule 15c3-3.

AlMax Financial Solutions, L.L.C.
Report on Exemption Provisions
Pursuant of 17 C.F.R § 15c3-3(k)
For the Year Ended December 31, 2021

Jennifer Wray CPA PLLC

800 Bonaventure Way. Suite 168. Sugar Land, TX 77479
Tel: 281-923-7665 Email: jenniferwraycpa@yahoo.com PCAOB#6328

REPORT OF INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM

To the Members of
AlMax Financial Solutions, LLC

We have reviewed management's statements, included in the accompanying Exemption Report, in which (1) AlMax Financial Solutions, LLC identified the following provisions of 17 C.F.R. §15c3-3(k) under which AlMax Financial Solutions, LLC claimed an exemption from 17 C.F.R. §240.15c3-3(k)(1) (exemption provisions) and (2) AlMax Financial Solutions, LLC stated that AlMax Financial Solutions, LLC met the identified exemption provisions throughout the year ended December 31, 2020 without exception. AlMax Financial Solutions, 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 AlMax Financial Solutions, 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)(1) of Rule 15c3-3 under the Securities Exchange Act of 1934.

Jennifer Wray CPA PLLC



Sugar Land, Texas.

March 10, 2022

Assertions Regarding Exemption Provisions

We, as members of management of Almax Financial Solutions, L.L.C. ("the Company"), are responsible for compliance with the annual reporting requirements under Rule 17a-5 of the Securities Exchange Act of 1934. Those requirements compel a broker or dealer to file annual reports with the Securities Exchange Commission (SEC) and the broker or dealer's designated examining authority (DEA). One of the reports to be included in the annual filing is an exemption report prepared by an independent public accountant based upon a review of assertions provided by the broker or dealer. Pursuant to that requirement, the management of the Company hereby makes the following assertions:

The Company claims exemption from the custody and reserve provisions of Rule 15c3-3 by operating under the exemption provided by Rule 15c3-3, Paragraph (k)(1).

The Company met the identified exemption provision without exception throughout the year ended December 31, 2021.

Almax Financial Solutions, L.L.C.

By:



(Mark C. Schultz, Designated Principal)