

## General Assessment Reconciliation

(33-REV 10t

Fiscal year ended 12:31, 2015

Carefully Review Instructions

Work on Copy before e-mailing to PO In

## 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.

1/12-1251"....."\*\*\*\*\*"ALL FOR AADC 940  
066849 EINRA DEC  
N4 FINANCIAL INC  
1900 ()FARRELL ST STE 145  
SATE MATEO CA 944103-T373

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

Name and telephone number of person to contact re: this form

Mark Rogers 415 738-6220 \_\_\_\_\_

2 A. General Assessment total from page 2'	0
B. Less payment made with SIPC-6 filed (exclude Interest, _____)	0
Date Paid _____	
C. Less prior overpayment applied _____	0
D Assessment balance due or (overpayment) _____	
E. Interest computed on late payment (see instruction E for _____ days at 20% per annum)	0
F. Total assessment balance and interest due (or overpayment carried forward)	\$0
PAID WITH THIS FORM:	
Check enclosed, payable to SIPC	
Total (must be same as F above)	\$0
H Overpayment carried forward	\$10

3 Subsidiaries (SI and predecessors (Part) 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

N4 Financial, Inc.



President EO

Dated the 22 day of January 20 16

This form and the assessment payment is due 60 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.

SIPC REVIEWER

Dates _____	Postmarked _____	Received _____	Reviewed _____
Calculations _____	Documentation _____	Forward Copy _____	
Exceptions:			
Disposition of exceptions:			

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

Amounts for the beginning 11112015  
and ending 1211 2015

Item No.

Eliminate cents

2a Total revenue (FOCUS Line 12 Parr HA Line 1 Code 40301

\$ 252

2b Additions

121 Net loss from principal transactions in securities in the following accounts:  
131 Net loss from principal transactions in commodities trading accounts.  
141 Interest and dividend expense deducted in determining item 2a.  
15, Net loss from management of or participation in the underwriting or distribution of securities.  
6i 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  
171 Net loss from securities in investment accounts.

Total additions

252

2c. Deductions

161 100% of commissions and markups earned from transactions in time certificates of deposit and time Treasury bills, bankers acceptances or commercial paper that mature nine months or less from issuance date  
171 Direct expenses for printing advertising and legal fees incurred in connection with other revenue related to the securities business (revenue defined by Section 16i9(L) of the Act).  
(8) Other revenue not related either directly or indirectly to the securities business (See Instruction C)

Interest

;Deductions in excess of \$100,000 require documentation)

252

91 ii Total interest and dividend expense (FOCUS Line 22 PART IIA Line 13, Code 4075 plus line 2bi4i above) but not in excess of total interest and dividend income

ii 40% of margin interest earned on customers securities accounts 140% at FOCUS line 5. Code 39601.

Enter the greater of line iii or

Total deductions

0

252

2d SIPC Net Operating Revenues

\$

2e General Assessment @ 0025

\$ 0

Go to page 1, line 2.A