

# ROTH CAPITAL PARTNERS, LLC

## CONSOLIDATED STATEMENT OF FINANCIAL CONDITION AS OF JUNE 30, 2016

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### ASSETS

CASH AND CASH EQUIVALENTS	\$ 13,772,942
CASH - RESTRICTED	327,949
RECEIVABLE FROM CLEARING BROKERS	10,538,409
TRADE RECEIVABLES	3,650,194
SECURITIES OWNED (Note 2):	
Marketable — at market value (including \$45,908 securing payables to employees)	12,047,789
Not readily marketable — at fair value (including \$5,280,763 securing payables to employees)	9,423,252
FURNITURE, EQUIPMENT, AND LEASEHOLD IMPROVEMENTS — At cost — less accumulated depreciation and amortization of \$5,228,184	688,818
OTHER ASSETS	<u>1,200,223</u>
TOTAL	<u>\$ 51,649,576</u>

### LIABILITIES AND MEMBERS' EQUITY

ACCOUNTS PAYABLE AND ACCRUED LIABILITIES	\$ 3,523,389
SALARIES, COMMISSIONS, AND BONUSES PAYABLE	8,412,819
PAYABLES TO EMPLOYEES FOR SECURITIES OWNED (Note 4)	5,326,671
SECURITIES SOLD BUT NOT YET PURCHASED — At market value	<u>1,492,500</u>
Total liabilities	18,755,379
MEMBERS' EQUITY	<u>32,894,197</u>
TOTAL	<u>\$ 51,649,576</u>

See notes to consolidated statement of financial condition