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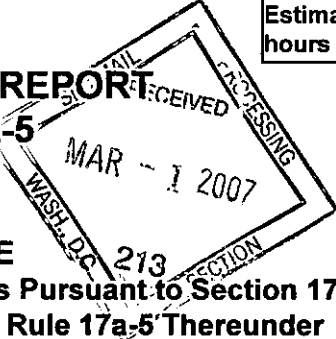
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MISSION

OMB APPROVAL	
OMB Number:	3235-0123
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Estimated average burden hours per response . . .	12.00

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



SEC FILE NUMBER
8-51912

FACING PAGE

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

REPORT FOR THE PERIOD BEGINNING 1/1/2006 AND ENDING 12/31/06  
MM/DD/YY MM/DD/YY

**A. REGISTRANT IDENTIFICATION**

NAME OF BROKER-DEALER: AT INVESTOR SERVICES, INC.

OFFICIAL USE ONLY
FIRM I.D. NO.

ADDRESS OF PRINCIPAL PLACE OF BUSINESS: (Do not use P.O. Box No.)

50 Rockefeller Plaza, 15<sup>th</sup> Floor

New York NY 10020  
(City) (State) (Zip Code)

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT

Noelle Osterbur

312-368-7883

(Area Code - Telephone No.)

**B. ACCOUNTANT IDENTIFICATION**

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

Ernst & Young LLP

5 Times Square New York NY 10036  
(Address) (City) (State) (Zip Code)

CHECK ONE:

- Certified Public Accountant
- Public Accountant
- Accountant not resident in United States or any of its possessions.

**PROCESSED**  
MAR 22 2007  
THOMSON FINANCIAL

FOR OFFICIAL USE ONLY

\*Claims for exemption from the requirement that the annual report 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).

Potential 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.

Handwritten signature and date: 3/21/07

## OATH OR AFFIRMATION

I, Noelle Osterbur, swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statements and supporting schedules pertaining to the firm of AT Investor Services, Inc., as of February 21, 2007 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:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

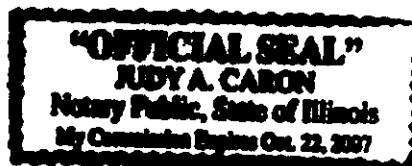
Noelle Osterbur

Signature

Financial Reporting Manager

Title

Judy A. Caron  
Notary Public



This report \*\* contains (check all applicable boxes):

- (a) Facing Page.
- (b) Statement of Financial Condition.
- (c) Statement of Income (Loss).
- (d) Statement of Cash Flows.
- (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 15c3-3.
- (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.
- (o) Independent auditor's report on internal control.
- (p) Schedule of segregation requirements and funds in segregation – customers' regulated commodity futures account pursuant to Rule 171-5.

\*\*For conditions of confidential treatment of certain portions of this filing, see section 240.17a-5(e)(3).

STATEMENT OF FINANCIAL CONDITION

AT Investor Services, Inc.

December 31, 2006

With Report of Independent Registered Public Accounting Firm

AT Investor Services, Inc.  
Statement of Financial Condition

December 31, 2006

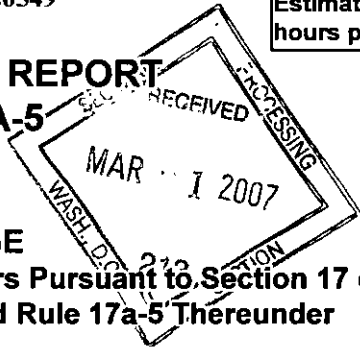
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UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

OMB APPROVAL  
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Expires: February 28, 2010  
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hours per response . . . 12.00

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

Ernst & Young LLP

5 Times Square

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

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NY

10036

(Address)

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CHECK ONE:

- Certified Public Accountant
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- Accountant not resident in United States or any of its possessions.

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## OATH OR AFFIRMATION

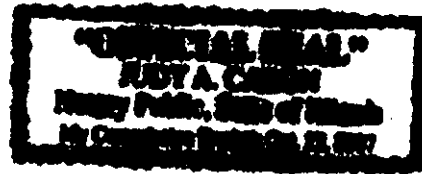
I, Noelle Osterbur, swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statements and supporting schedules pertaining to the firm of AT Investor Services, Inc., as of February 21, 2007 are true and correct. I further swear (or affirm) that neither the company nor any partner, proprietor, principal officer or director has any proprietary interest in any account classified solely as that of a customer, except as follows:

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

Noelle Osterbur  
Signature

Financial Reporting Manager  
Title

Judy A. Carson  
Notary Public



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- (p) Schedule of segregation requirements and funds in segregation – customers' regulated commodity futures account pursuant to Rule 171-5.

\*\*For conditions of confidential treatment of certain portions of this filing, see section 240.17a-5(e)(3).

## Report of Independent Registered Public Accounting Firm

The Stockholder and Board of Directors  
AT Investor Services, Inc.

We have audited the accompanying statement of financial condition of AT Investor Services, Inc. (the Company), an independent wholly owned subsidiary of AMVESCAP PLC, as of December 31, 2006. This statement of financial condition is the responsibility of the Company's management. Our responsibility is to express an opinion on this statement of financial condition based on our audit.

We conducted our audit in accordance with auditing standards generally accepted in the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the statement of financial condition is free of material misstatement. We were not engaged to perform an audit of the Company's internal control over financial reporting. Our audit included consideration of internal control over financial reporting as a basis for designing audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Company's internal control over financial reporting. Accordingly, we express no such opinion. An audit also includes examining, on a test basis, evidence supporting the amounts and disclosures in the statement of financial condition, assessing the accounting principles used and significant estimates made by management, and evaluating the overall statement of financial condition presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the statement of financial condition, referred to above presents fairly, in all material respects, the financial position of AT Investor Services, Inc. at December 31, 2006, in conformity with U.S. generally accepted accounting principles.



February 19, 2007

AT Investor Services, Inc.

Statement of Financial Condition

December 31, 2006

**Assets**

Cash and cash equivalents	\$ 238,735
Receivable from affiliates	65,198
Receivables	50,000
Prepaid expenses	20,090
Total assets	<u>\$ 374,023</u>

**Liabilities and shareholder's equity**

Payable to affiliates	\$ 137,226
Accrued expenses	17,500
Total liabilities	<u>154,726</u>

Shareholder's equity:

Common stock:	
\$100 par value, 1,000 shares authorized, issued, and outstanding	100,000
Additional paid-in capital	557,552
Accumulated deficit	<u>(438,255)</u>
Total shareholder's equity	<u>219,297</u>
Total liabilities and shareholder's equity	<u>\$ 374,023</u>

*See accompanying notes.*



# AT Investor Services, Inc.

## Notes to Statement of Financial Condition

December 31, 2006

### 1. Organization and Nature of Business

AT Investor Services, Inc. (the Company) is a broker-dealer registered with the Securities and Exchange Commission (SEC) and is a member of the National Association of Securities Dealers (NASD). The Company is a New York Corporation and commenced operations in March 2001.

The Company maintains an agreement with Pershing LLC, a subsidiary of BNY Brokerage Inc., for clearing services on a fully disclosed basis for accounts introduced by the Company. Pershing LLC services include access to securities of investment companies, individual equities, and fixed income products.

Effective February 14, 2003, pursuant to a Purchase Agreement dated October 28, 2002, by and among Industrial Bank of Japan Trust Company, Delphi Corporation, Atlantic Wealth Management Group, Inc., and Pell Rudman Maryland, Inc., all outstanding shares of capital stock of IBJ Whitehall Securities, Inc. were acquired by Atlantic Wealth Management Group, Inc. (the Parent). This transaction occurred in conjunction with the acquisition of Whitehall Asset Management for \$20 million by the Parent. As part of this transaction, IBJ Whitehall Securities, Inc. was renamed AT Investor Services, Inc.

Since February 14, 2003, AT Investor Services, Inc. is and has been a wholly owned subsidiary of Atlantic Trust Group, Inc. (formerly Atlantic Wealth Management Group, Inc.), which is wholly owned by AMVESCAP Group Services, Inc. (AGS). The ultimate U.S. parent is AVZ, Inc. (AVZ), which is ultimately wholly owned by AMVESCAP PLC.

### 2. Summary of Significant Accounting Principles

#### General

The statement of financial condition has been prepared in conformity with accounting principles generally accepted in the United States (GAAP). The preparation of the statement of financial condition in conformity with GAAP requires management to make estimates and assumptions that affect amounts reported in the statement of financial condition and accompanying notes. Management believes that estimates utilized in preparing its statement of financial condition are reasonable and prudent. Actual results could differ from those estimates.

## AT Investor Services, Inc.

### Notes to Statement of Financial Condition (continued)

#### 2. Summary of Significant Accounting Principles (continued)

##### Income Taxes

AVZ and its subsidiaries file a consolidated federal income tax return. Each North American subsidiary is charged or credited by AVZ with an amount equivalent to the federal income tax expense or benefit as computed on a separate-return basis. The Company files a separate return for state income tax purposes. Amounts due to or due from AVZ for federal income taxes are included in payable to affiliates in the accompanying statement of financial condition.

The Company uses the asset and liability method of accounting for income taxes. Using this method, deferred taxes are determined based on the difference between the financial statement and tax bases of assets and liabilities using enacted tax rates currently in effect. Deferred tax expense represents the change in the net deferred tax liability.

##### Financial Instruments With Off-Balance Sheet Risk

The securities transactions of the Company's customers are introduced on a fully disclosed basis with a clearing broker-dealer. The Company holds no customer funds or securities. The clearing broker-dealer is responsible for execution, collection of and payment of funds, and receipt and delivery of securities relative to customer transactions. Off-balance-sheet risk exists with respect to these transactions due to the possibility that customers may be unable to fulfill their contractual commitments wherein the clearing broker-dealer may charge any related losses to the Company. The Company seeks to minimize this risk through procedures designed to monitor the creditworthiness of its customers and to ensure that customer transactions are executed properly by the clearing broker-dealer.

#### 3. Income taxes

The Company had no deferred tax assets or liabilities at December 31, 2006.

#### 4. Related-Party Transactions

At December 31, 2006, the Company had a receivable from affiliates of \$65,198 and a payable to affiliates of \$137,226. These amounts are non-interest bearing and due upon demand.

AT Investor Services, Inc.

Notes to Statement of Financial Condition (continued)

**5. Net Capital and Reserve Requirements and Other Regulatory Matters**

The Company is subject to the Securities and Exchange Commission Uniform Net Capital Rule 15c3-1. This regulation requires both the maintenance of a minimum level of net capital as well as a ratio of aggregate indebtedness to net capital, both as defined. At December 31, 2006, the Company had net capital, as defined, of \$84,009, which was \$73,694 in excess of its required minimum net capital of \$10,315, which represents 6 2/3% of aggregate indebtedness. The Company's ratio of aggregate indebtedness to net capital was 184.18% at December 31, 2006.

*END*