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

SEC FILE NUMBER
8-48629

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 10/01/10 AND ENDING 9/30/11  
MM/DD/YY MM/DD/YY

**A. REGISTRANT IDENTIFICATION**

NAME OF BROKER-DEALER: QUATTRO M SECURITIES, INC.

OFFICIAL USE ONLY
133798549
FIRM I.D. NO.

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

2 White Birch Road

(No. and Street)

Pound Ridge

(City)

NY

(State)

10576

(Zip Code)

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

Eugene L. Mauro

914-764-4365

(Area Code - Telephone Number)

**B. ACCOUNTANT IDENTIFICATION**

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

Sidney W. Azriliant, CPA, P.C.

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

36 West 44th Street, Suite 1100, New York, NY

(Address)

(City)

(State)

10036

(Zip Code)

**CHECK ONE:**

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

<b>FOR OFFICIAL USE ONLY</b>

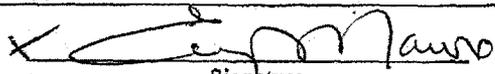
\*Claims for exemption from the requirement that the annual report be covered by the opinion of an independent public accountant must be supported by a statement of facts and circumstances relied on as the basis for the exemption. See Section 240.17a-5(e)(2)

Handwritten initials and date: *Ch. A. 11/5/11*

OATH OR AFFIRMATION

I, Eugene L. Mauro, swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statement and supporting schedules pertaining to the firm of Quattro M. Securities, Inc., as of September 30, 2011, 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:

No Exceptions

  
Signature

President/CEO

Title

  
Notary Public

**ANDREW KIRWIN**  
Notary Public, State of New York  
No. 020500002  
Qualified in Westchester County  
Commission Expires March 22, 2015

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

- (a) Facing Page.
- (b) Statement of Financial Condition.
- (c) Statement of Income (Loss).
- (d) Statement of Changes in Financial Condition.
- (e) Statement of Changes in Stockholders' Equity or Partners' or Sole Proprietors' 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) Internal Control Report
- (p) Rule 418.15 Statement

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

**QUATTRO M SECURITIES, INC.**

**AUDITED FINANCIAL STATEMENTS**

*For The Fiscal Year Ended September 30, 2011*

**SIDNEY W. AZRILIAN, CPA, P.C.**

Certified Public Accountants

36 West 44<sup>th</sup> St - Suite 1100 - New York, NY 10036

Telephone: 212-869-8223

To the Board of Directors  
Quattro M Securities, Inc.

We have audited the accompanying Statement of Financial Condition of Quattro M Securities, Inc. as of September 30, 2011, and the related Statements of Operations and Retained Earnings, Changes in Stockholders' Equity, Changes in Subordinated Liabilities, and Cash Flows for the year then ended. These financial statements are the responsibility of the Company's management. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with generally accepted auditing standards. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Quattro M Securities, Inc. as of September 30, 2011, and the results of its operations and its cash flows for the year then ended in conformity with generally accepted accounting principles.

Our audit was conducted for the purpose of forming an opinion on the basic financial statements taken as a whole. The information contained in the supplemental schedules is presented for purposes of additional analysis and is not a required part of the basic financial statements, but is supplementary information required by Rule 17a-5 of the Securities and Exchange Commission. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements and, in our opinion, is fairly stated in all material respects in relation to the basic financial statements taken as a whole.

November 21, 2011

SIDNEY W. AZRILIAN, CPA, P.C.



EXHIBIT A.

QUATTRO M SECURITIES, INC.

Statement of Financial Condition

As at September 30, 2011

ASSETS

Current Assets

Cash in bank	\$ 2,599	
Deposit with Clearing Organization	50,410	
Commissions Receivable - Clearing Corp.	<u>488,712</u>	\$541,721

Other Assets

Other Receivables		110,156
Due from Adler Coleman, bankrupt		<u>229,719</u>

TOTAL ASSETS

\$881,596

LIABILITIES AND STOCKHOLDERS' EQUITY

Current Liabilities

Accrued expenses payable		<u>\$197,997</u>
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Total Liabilities

\$197,997

Stockholders' Equity

Capital Stock Issued:

200 shares authorized - NPV

100 shares issued & outstanding \$ 500

Paid In Surplus: 65,000

Retained earnings: 618,099

Total Stockholders' Equity

\$ 683,599

TOTAL LIABILITIES & STOCKHOLDERS' EQUITY

\$881,596

The accompanying notes to financial statements are an integral part of this report.

SIDNEY W. AZRILIAN, CPA, P.C.

EXHIBIT B.

QUATTRO M SECURITIES, INC.

*Statement of Operations and Retained Earnings*

For the Fiscal Year ended September 30, 2011

Income

Commissions and floor brokerage	\$ 5,090,493
Interest earned on firm deposit and clearance accounts and other revenue	<u>4</u>
<u>Total Income</u>	<u>\$ 5,090,497</u>

Operating Expenses

Officer Compensation	280,000
Employees' compensation and benefits	1,379,689
Selling, general and admin expenses	1,952,654
Regulatory fees and expenses	682,745
Commissions Paid	<u>616,917</u>
<u>Total Operating Expense</u>	<u>\$ 4,912,005</u>

Net Income for Year	\$ 178,492
Retained Earnings - October 1, 2010	<u>439,607</u>
Retained Earnings - September 30, 2011	<u>\$ 618,099</u>

The accompanying notes to financial statements are an integral part of this report.

EXHIBIT C.

QUATTRO M SECURITIES, INC.

*Statement of Changes in Stockholders' Equity*

For the Fiscal Year ended September 30, 2011

<u>Balance - Beginning of Year</u>	\$505,107
Net Income per Exhibit B	<u>178,492</u>
<u>Balance - End of Year</u>	<u>\$683,599</u>

The accompanying notes to financial statements are an integral part of this report.

SIDNEY W. AZRILIAN, CPA, P.C.

EXHIBIT D.

QUATTRO M SECURITIES, INC.

*Statement of Changes in Subordinated Liabilities*

For the Fiscal Year ended September 30, 2011

<u>Balance - Beginning of Year</u>	\$ -0-
Qualified debt paid during year	<u>-0-</u>
<u>Balance - End of Year</u>	<u>\$ -0-</u>

The accompanying notes to financial statements are an integral part of this report.

SIDNEY W. AZRILIAN, CPA, P.C.

EXHIBIT E.

QUATTRO M SECURITIES, INC.

Statement of Cash Flows

For the Fiscal Year ended September 30, 2011

Cash Flows from Operating Activities

<u>Net Income per Exhibit B:</u>	\$ 178,492
<u>Changes in Assets &amp; Liabilities:</u>	
Increase in commissions receivable	(230,540)
Increase in other receivables	(110,156)
Increase in accrued expense payable	<u>118,429</u>
<u>Net Cash - Operating Activities:</u>	<u>(\$ 43,775)</u>
<u>Net Changes in Cash Equivalents:</u>	<u>(\$ 43,775)</u>
<u>Cash Balance - Beginning of Year:</u>	<u>\$ 46,374</u>
<u>Cash Balance - Ending of Year:</u>	<u>\$ 2,599</u>

Supplemental disclosure of cash flow information:

Cash paid during year for:

Interest	<u>\$ 176</u>
Corporation income & franchise taxes	<u>\$2,674</u>

The accompanying notes to financial statements are an integral part of this report.

QUATTRO M SECURITIES, INC.

NOTES TO FINANCIAL STATEMENTS

SEPTEMBER 30, 2011

- Note 1 - Date of Incorporation** - The Corporation was incorporated in New York on December 5, 1994 under the name of Quattro M Securities, Inc. The Corporation conducts a stock brokerage business on the floor of the New York Stock Exchange and from offices at 2 White Birch Road, Pound Ridge, NY 10576. In connection with the firm's stock brokerage business, it receives income from floor brokerage and commissions on customers' accounts. All customer transactions are cleared through ABN AMRO CLEARING LLC, on a fully disclosed basis.
- Note 2 - Commitments and contingencies** -- The Corporation leases a NYSE Membership and is responsible for monthly payments thereon. The Corporation has its corporate offices at 2 White Birch Road, Pound Ridge, New York 10576.
- Note 3 - Insurance** -- The Corporation maintains renewable Stockholders Blanket Bond as required by the New York Stock Exchange. The Corporation is a member of the Securities Investors Protections Corporation (SIPC).
- Note 4 - Net Capital Requirements** -- The Corporation is subject to Securities and Exchange Commission's Uniform Net Capital Rule (Rule 15C3-1), which requires the Corporation to maintain minimum dollar net capital of \$13,200. At September 30, 2011 the Corporation had net capital of \$343,724.
- Note 5 - Other Assets** - The Corporation is owed commissions from Adler Coleman & Co., in bankruptcy and other non current receivables, of \$229,719. No allowance for bad debts is made on this receivable, which is excluded from net capital.

SCHEDULE 1.

QUATTRO M SECURITIES, INC.

Computation of Net Capital Pursuant to Rule 15C3-1

As at September 30, 2011

Computation of Net Capital

<u>Total Stockholders' Equity - Exhibit A</u>	\$ 683,599
Subordinated debt	<u>-0-</u>
	683,599
<u>Less: Non-allowable assets</u>	<u>339,875</u>
<u>Net Capital</u>	<u>\$ 343,724</u>

Computation of Basic Net Capital Requirement

Minimum Net Capital Required	\$ <u>5,000</u>
Minimum Dollar Net Capital Requirement	\$ <u>13,200</u>
Excess Net Capital	\$ <u>330,524</u>
Percentage of Aggregate <u>Indebtedness to Net Capital</u>	<u>57.60%</u>

No material difference exists between our Audit Report for the fiscal year ending September 30, 2011 and the Focus Report X-17A-5 as of September 30, 2011.

The accompanying notes to financial statements are an integral part of this report.

SIDNEY W. AZRILIAN, CPA, P.C.

SCHEDULE 2.

QUATTRO M SECURITIES, INC.

*Information Relating to the Possession or  
Control Requirements*

Pursuant to Rule 15C3-3

As at September 30, 2011

The Corporation claims exemption from the requirements of Rule 15C3-3 under Section (k)(2)(B) of the rule, on the grounds that all customer transactions were cleared through ABN AMRO CLEARING LLC on a fully disclosed basis.

The accompanying notes to financial statements are an integral part of this report.

SIDNEY W. AZRILIAN, CPA, P.C.

**SIDNEY W. AZRILIAN, CPA, P.C.**

Certified Public Accountants

36 West 44<sup>th</sup> St - Suite 1100 - New York, NY 10036

Telephone: 212-869-8223

To the Board of Directors  
Quattro M Securities, Inc.

In planning and performing our audit of the financial statements of Quattro M Securities, Inc. as of September 30, 2011, we considered its internal control structure, including procedures for safeguarding securities in order to determine our auditing procedures for the purpose of expressing our opinion on the financial statements and not to provide

assurance on the internal control structure.

Also, as required by Rule 17a-5(g)(1) of the Securities and Exchange Commission, we have made a study of the practices and procedures (including tests of compliance with such practices and procedures) followed by Quattro M Securities, Inc. that we considered relevant to the objectives stated in Rule 17a-5(g), (1) in making the periodic computations of aggregate indebtedness and net capital under Rule 17a-3(a)(11) and the reserve required by Rule 15c3-3(e); (2) in making the quarterly securities examinations, counts, verifications and comparisons, and the recordation of differences required by Rule 17a-13; and (3) in complying with the requirements for prompt payment for securities under Section 8 of Regulation T of the Board of Governors of the Federal Reserve System.

The management of the Company is responsible for establishing and maintaining an internal control structure and the practices and procedures referred to in the preceding paragraph. In fulfilling this responsibility, estimates and judgments by management are required to assess the expected benefits and related costs of internal control structure policies and procedures, and of the practices and procedures referred to in the preceding paragraph and to assess whether those practices and procedures can be expected to achieve the Commission's above-mentioned objectives. Two of the objectives of an internal control structure and the practices and procedures are to provide management with reasonable, but not absolute, assurance that assets for which the Company has responsibility are safeguarded against loss from unauthorized use or disposition and that transactions are executed in accordance with management's authorization and recorded properly.

SIDNEY W. AZRILIAN, CPA, P.C.

to permit preparation of financial statements in conformity with generally accepted accounting principles.

Rule 17a-5(g) lists additional objectives of the practices and procedures listed in the preceding paragraph.

Because of inherent limitations in any internal control structure of the practices and procedures referred to above, errors or irregularities may occur and not be detected. Also, projection of any evaluation of them to future periods is subject to the risk that they may become inadequate because of changes in conditions or that the effectiveness of their design and operation may deteriorate.

Our consideration of the internal control structure would not necessarily disclose all matters of the internal control structure that might be material weaknesses under standards established by the American Institute of Certified Public Accountants. A material weakness is a condition in which the design or operation of the specific internal control structure elements does not reduce to a relatively low level the risk that errors or irregularities in amounts that would be material in relation to the financial statements being audited may occur and not be detected within a timely period by employees in the normal course of performing their assigned functions. However, we noted no matters involving the internal control structure, including procedures for safeguarding securities, that we consider to be material weaknesses as defined above.

We understand that practices and procedures that accomplish that objectives referred to in the second paragraph of this report are considered by the Commission to be adequate for its purposes in accordance with the Securities Exchange Act of 1934 and related regulations, and that practices and procedures that do not accomplish such objectives in all material respects indicate a material inadequacy of such purposes. Based on this understanding and on our study, we believe that the Company's practices and procedures were adequate at September 30, 2011 to meet the Commission's objectives.

This report is intended solely for the use of management, the Securities and Exchange Commission, and other regulatory agencies which rely on Rule 17a-5(t) under the Securities Exchange Act of 1934 and should not be used for any other purpose.

November 21, 2011

SIDNEY W. AZRILIAN, CPA, P.C.

SIDNEY W. AZRILIAN, CPA, P.C.

**QUATTRO M SECURITIES, INC.**  
**2 White Birch Road**  
**Pound Ridge, NY 10576**

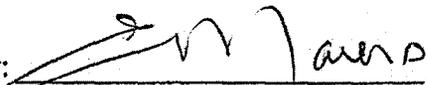
November 21, 2011

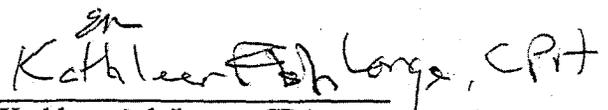
To All Members and Allied Members of Quattro M. Securities Inc.

Re: Rule 418.15 Statement

Please be advised that our Corporation has filed the annual financial statements at September 30, 2011 and operational reports with FINRA and the SEC. We attest that such financial statements and operational reports have been or will be made available to all members of the organization.

Very truly yours,

By:   
Eugene R. Mauro

By:   
Kathleen Ash Lange, CPA

**QUATTRO M SECURITIES, INC.**  
**2 White Birch Road**  
**Pound Ridge, NY 10576**

November 21, 2011

Sidney W. Azriliant, CPA, P.C.  
36 West 44<sup>th</sup> Street, Suite 1100  
New York, NY 10036

We are providing this letter in connection with your audit of the balance sheet of Quattro M Securities Inc. as of September 30, 2011 and the related statements of income, retained earnings and cash flows for the period then ended for the purpose of expressing an opinion as to whether the financial statements present fairly, in all material respects, the financial position, the results of operations, and cash flows of Quattro M Securities Inc. in conformity with U.S. generally accepted accounting principles. We confirm that we are also responsible for fair presentation in the financial statements of financial position, results of operations, and cash flows in conformity with generally accepted accounting principles. We are also responsible for adopting sound accounting policies, establishing and maintaining internal control, and preventing and detecting fraud.

We conform to the best of our knowledge and belief, as of November 21, 2011 the following representations made to you during your audit.

1. The financial statements referred to above are fairly presented in conformity with U.S. generally accepted accounting principles.
2. We have made available to you all financial records and related data and minutes of the meetings of the Board of Directors.
3. There have been no communications from regulatory agencies concerning noncompliance with, or deficiencies in, financial reporting practices.
4. There have been no material transactions that have not been properly recorded in the accounting records underlying the financial statements.
5. We believe the effects of the uncorrected financial statement misstatements summarized in the attached schedule are immaterial, both individually and in the aggregate, to the financial statements taken as a whole.
6. We acknowledge our responsibility for the design and implementation of programs and controls to prevent and detect fraud.
7. We have no knowledge of any fraud or suspected fraud affecting the company involving:

- a. Management.
  - b. Employees who have significant roles in internal control.
  - c. Others where the fraud could have a material effect on the financial statements.
8. We have no knowledge of any allegations of fraud or suspected fraud affecting the company received in communications from employees, regulators, or others.
9. The company has no plans or intentions that may materially affect the carrying value of classification of assets and liabilities.
10. The following have been properly recorded or disclosed in the financial statements:
- a. Related party transactions and related accounts receivable or payable, including sales, purchases, transfers, leasing arrangements, and guarantees.
  - b. Guarantees, whether written or oral, under which the company is contingently liable.
11. There are no estimates that may be subject to a material change in the near term that have not been properly disclosed in the financial statements. We understand, we have no knowledge of concentrations existing at the date of the financial statements that make the company vulnerable to the risk of severe impact that have not been properly disclosed in the financial statements.
12. There are no:
- a. Violations or possible violations of laws or regulations whose effect should be considered for disclosure in the financial statements or as a basis for recording a loss contingency.
  - b. Unasserted claims or assessments that our lawyer has advised us are probable of assertion and must be disclosed in accordance with Statement of Financial Accounting Standards No. 5.
  - c. Other liabilities or gain or loss contingencies that are required to be accrued or disclosed by Statement of Financial Accounting Standards No. 5.
13. The company has satisfactory title to all owned assets, and there are no liens or encumbrances on such assets nor has any asset been pledged.
14. We have complied with all aspects of contractual agreements that would have a material effect on the financial statements in the event of noncompliance.

No events have occurred subsequent to the balance sheet date and through the date of this letter that would require adjustment to or disclosure in the financial statements.

Signed: X [Signature] Lawo

Title: PRESIDENT

SIDNEY W. AZRILIAN, CPA, P.C.

THE BAR BUILDING - SUITE 1100

36 WEST 44TH STREET

NEW YORK, N. Y. 10036

TELEPHONE  
(212) 869-8223

November 22, 2011

Board of Directors  
Quattro M Securities, Inc.  
2 White Birch Road  
Pound Ridge, NY 10576-2324

Gentlemen:

In accordance with Rule 17a-5(e)(4) under the Securities Exchange Act of 1934, we have performed the procedures enumerated below with respect to the Schedule of General Assessment and Payments (Form SIPC-6) to the Securities Investor Protection Corporation (SIPC) for the Year Ended September 30, 2011, which we agreed to by Quattro M Securities, Inc. Co, Inc., the Securities and Exchange Commission, Financial Industry Regulatory Authority, Inc., and the SIPC and solely to assist you and the other specified parties in evaluating Quattro M. Securities, Inc.'s compliance with the applicable instructions of the General Assessment Payment Form (Form SIPC-6). Quattro M. Securities, Inc.'s management is responsible for the Quattro M Securities, Inc.'s compliance with those requirements. This agreed-upon procedures engagement was conducted in accordance with attestation standards established by the American Institute of Certified Public Accountants. The sufficiency of these procedures is solely the responsibility of those parties specified in the report. Consequently, we make no representation regarding the sufficiency of the procedures described below either for the purpose for which this report has been requested or for any other purpose. The procedures we performed and our findings are as follows:

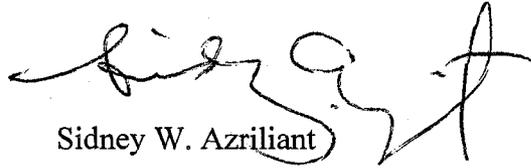
1. Compared the listed assessment payments in Form SIPC-6 with respective cash disbursement records entries noting no differences;
2. Compared the amounts reported on the audited Form X-17A-5 for the year ended September 30, 2011, as applicable, with the amounts reported in Form SIPC-6 for the year ended September 30, 2011, noting no differences.
3. Compared any adjustments reported in Form SIPC-6 with supporting schedules and working papers noting no differences;
4. Proved the arithmetical accuracy of the calculations reflected in Form SIPC-6 and in the related schedules and working papers supporting the adjustments noting no differences; and

We were not engaged to, and did not conduct an examination, the objective of which would be the expression of an opinion on compliance. Accordingly, we do not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of the specified parties listed above and is not intended to be and should not be used by anyone other than these specified parties.

Very truly yours,

SIDNEY W. AZRILIAN, CPA, PC



Sidney W. Azriliant

SWA:la

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION

FORM  
X-17A-5

FOCUS REPORT  
(FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT)  
PART IIA 12

(Please read instructions before preparing Form)

This report is being filed pursuant to (Check Applicable Block(s)):

- 1) Rule 17a-5(a)  16      2) Rule 17a-5(b)  17      3) Rule 17a-11  18  
4) Special request by designated examining authority  19      5) Other  26

NAME OF BROKER-DEALER

QUATTRO M SECURITIES INC.  13

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

2 WHITE BIRCH ROAD  20

(No. and Street)

POUND RIDGE  21

(City)

NY  22

(State)

10576-2324  23

(Zip Code)

SEC. FILE NO.

8-48629  14

FIRM ID NO.

39289  15

FOR PERIOD BEGINNING (MM/DD/YY)

07/01/11  24

AND ENDING (MM/DD/YY)

09/30/11  25

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT (Area code) - Telephone No.

NAME(S) OF SUBSIDIARIES OR AFFILIATES CONSOLIDATED IN THIS REPORT  30

OFFICIAL USE  31

DOES RESPONDENT CARRY ITS OWN CUSTOMER ACCOUNTS ? YES  40 NO  41  
CHECK HERE IF RESPONDENT IS FILING AN AUDITED REPORT  42

EXECUTION:

The registrant/broker or dealer submitting this Form and its attachments and the person(s) by whom it is executed represent hereby that all information contained therein is true, correct and complete. It is understood that all required items, statements, and schedules are considered integral parts of this Form and that the submission of any amendment represents that all unamended items, statements and schedules remain true, correct and complete as previously submitted.

Dated the \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_\_

Manual Signatures of:

- 1) \_\_\_\_\_  
Principal Executive Officer or Managing Partner
- 2) \_\_\_\_\_  
Principal Financial Officer or Partner
- 3) \_\_\_\_\_  
Principal Operations Officer or Partner

ATTENTION - Intentional misstatements or omissions of facts constitute Federal Criminal Violations. (See 18 U.S.C. 1001 and 15 U.S.C. 78:f (a) )

FINRA



**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART IIA**

<b>BROKER OR DEALER</b> QUATTRO M SECURITIES INC.	as of <u>09/30/11</u>
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**STATEMENT OF FINANCIAL CONDITION FOR NONCARRYING,  
NONCLEARING AND CERTAIN OTHER BROKERS OR DEALERS  
LIABILITIES AND OWNERSHIP EQUITY**

<u>Liabilities</u>	<u>A.I. Liabilities</u>	<u>Non-A.I. Liabilities</u>	<u>Total</u>
13. Bank loans payable .....	\$ 1045	\$ 1255	\$ 1470
14. Payable to brokers or dealers:			
A. Clearance account .....	1114	1315	1560
B. Other .....	1115	1305	1540
15. Payable to non-customers .....	1155	1355	1610
16. Securities sold not yet purchased, at market value .....		1360	1620
17. Accounts payable, accrued liabilities, expenses and other .....	197,997 1205	1385	197,997 1685
18. Notes and mortgages payable:			
A. Unsecured .....	1210		1690
B. Secured .....	1211	1390	1700
19. Liabilities subordinated to claims of general creditors:			
A. Cash borrowings:			
1. from outsiders \$ .....	970		1710
2. Includes equity subordination (15c3-1(d)) of .....	980		
B. Securities borrowings, at market value from outsiders \$ .....	990	1410	1720
C. Pursuant to secured demand note collateral agreements .....		1420	1730
1. from outsiders \$ .....	1000		
2. includes equity subordination (15c3-1(d)) of .....	1010		
D. Exchange memberships contributed for use of company, at market value .....		1430	1740
E. Accounts and other borrowings not qualified for net capital purposes .....	1220	1440	1750
20. TOTAL LIABILITIES .....	\$ 197,997 1230	\$ 1450	\$ 197,997 1760
 <u>Ownership Equity</u>			
21. Sole proprietorship .....			\$ 1770
22. Partnership (limited partners) .....	1020		1780
23. Corporation:			
A. Preferred stock .....			1791
B. Common stock .....			1792
C. Additional paid-in capital .....			1793
D. Retained earnings .....			683,599 1794
E. Total .....			683,599 1795
F. Less capital stock in treasury .....			( ) 1796
24. TOTAL OWNERSHIP EQUITY .....			\$ 683,599 1800
25. TOTAL LIABILITIES AND OWNERSHIP EQUITY .....			\$ 881,596 1810

OMIT PENNIES

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART IIA**

**BROKER OR DEALER**  
QUATTRO M SECURITIES INC.

as of 09/30/11

**COMPUTATION OF NET CAPITAL**

1. Total ownership equity from Statement of Financial Condition	\$	683,599	3480
2. Deduct ownership equity not allowable for Net Capital			(3490)
3. Total ownership equity qualified for Net Capital		683,599	3500
4. Add:			
A. Liabilities subordinated to claims of general creditors allowable in computation of net capital			3520
B. Other (deductions) or allowable credits (List)			3525
5. Total capital and allowable subordinated liabilities	\$	683,599	3530
6. Deductions and/or charges:			
A. Total non-allowable assets from			
Statement of Financial Condition (Notes B and C)	\$	339,875	3540
B. Secured demand note deficiency			3590
C. Commodity futures contracts and spot commodities-proprietary capital charges			3600
D. Other deductions and/or charges			3610
			(339,875) 3620
7. Other additions and/or allowable credits (List)			3630
8. Net Capital before haircuts on securities positions	\$	343,724	3640
9. Haircuts on securities (computed, where applicable, pursuant to 15c3-1(f)):			
A. Contractual securities commitments	\$		3660
B. Subordinated securities borrowings			3670
C. Trading and investment securities:			
1. Exempted securities			3735
2. Debt securities			3733
3. Options			3730
4. Other securities			3734
D. Undue concentration			3650
E. Other (List)			3736
			(3740)
10. Net Capital	\$	343,724	3750

OMIT PENNIES

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART IIA**

**BROKER OR DEALER**

**QUATTRO M SECURITIES INC.**

as of

09/30/11

**COMPUTATION OF BASIC NET CAPITAL REQUIREMENT**

**Part A**

11. Minimum net capital required (6-2/3% of line 19)	\$	13,200	3758
12. Minimum dollar net capital requirement of reporting broker or dealer and minimum net capital requirement of subsidiaries computed in accordance with Note (A)	\$	5,000	3758
13. Net capital requirement (greater of line 11 or 12)	\$	13,200	3760
14. Excess net capital (line 10 less 13)	\$	330,524	3770
15. Net capital less greater of 10% of line 19 or 120% of line 12	\$	323,924	3780

**COMPUTATION OF AGGREGATE INDEBTEDNESS**

16. Total A.I. liabilities from Statement of Financial Condition	\$	197,997	3790
17. Add:			
A. Drafts for immediate credit	\$	3800	
B. Market value of securities borrowed for which no equivalent value is paid or credited	\$	3810	
C. Other unrecorded amounts (List)	\$	3820	
19. Total aggregate indebtedness	\$	197,997	3840
20. Percentage of aggregate indebtedness to net capital (line 19 divided by line 10)	%	57.60	3850
21. Percentage of debt to debt-equity total computed in accordance with Rule 15c-3-1(d)	%	0.00	3860

**COMPUTATION OF ALTERNATE NET CAPITAL REQUIREMENT**

**Part B**

22. 2% of combined aggregate debit items as shown in Formula for Reserve Requirements pursuant to Rule 15c3-3 prepared as of the date of net capital computation including both brokers or dealers and consolidated subsidiaries' debits	\$	3870
23. Minimum dollar net capital requirement of reporting broker or dealer and minimum net capital requirement of subsidiaries computed in accordance with Note (A)	\$	3880
24. Net capital requirement (greater of line 22 or 23)	\$	3760
25. Excess net capital (line 10 less 24)	\$	3910
26. Net capital in excess of the greater of: 5% of combined aggregate debit items or 120% of minimum net capital requirement	\$	3920

**NOTES:**

(A) The minimum net capital requirement should be computed by adding the minimum dollar net capital requirement of the reporting broker dealer and, for each subsidiary to be consolidated, the greater of:

1. Minimum dollar net capital requirement, or
2. 6-2/3% of aggregate indebtedness or 4% of aggregate debits if alternative method is used.

(B) Do not deduct the value of securities borrowed under subordination agreements or secured demand notes covered by subordination agreements not in satisfactory form and the market values of the memberships in exchanges contributed for use of company (contra to item 1740) and partners' securities which were included in non-allowable assets.

(C) For reports filed pursuant to paragraph (d) of Rule 17a-5, respondent should provide a list of material non-allowable assets.

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART IIA**

**BROKER OR DEALER**

**QUATTRO M SECURITIES INC.**

For the period (MMDDYY) from 07/01/11 3932 to 09/30/11 3933  
Number of months included in this statement 3 3931

**REVENUE**

**STATEMENT OF INCOME (LOSS)**

**1. Commissions:**

a. Commissions on transactions in exchange listed equity securities executed on an exchange	\$ 1,668,809	<u>3935</u>
b. Commissions on listed option transactions		<u>3938</u>
c. All other securities commissions		<u>3939</u>
d. Total securities commissions	1,668,809	<u>3940</u>
<b>2. Gains or losses on firm securities trading accounts</b>		
a. From market making in options on a national securities exchange		<u>3945</u>
b. From all other trading		<u>3949</u>
c. Total gain (loss)		<u>3950</u>
<b>3. Gains or losses on firm securities investment accounts</b>		<u>3952</u>
<b>4. Profits (losses) from underwriting and selling groups</b>		<u>3955</u>
<b>5. Revenue from sale of investment company shares</b>		<u>3970</u>
<b>6. Commodities revenue</b>		<u>3990</u>
<b>7. Fees for account supervision, investment advisory and administrative services</b>		<u>3975</u>
<b>8. Other revenue</b>	1	<u>3995</u>
<b>9. Total revenue</b>	\$ 1,668,810	<u>4030</u>

**EXPENSES**

<b>10. Salaries and other employment costs for general partners and voting stockholder officers</b>	85,000	<u>4120</u>
<b>11. Other employee compensation and benefits</b>	352,324	<u>4115</u>
<b>12. Commissions paid to other brokers-dealers</b>	149,634	<u>4140</u>
<b>13. Interest expense</b>		<u>4075</u>
a. Includes interest on accounts subject to subordination agreements	<u>4070</u>	
<b>14. Regulatory fees and expenses</b>	171,144	<u>4195</u>
<b>15. Other expenses</b>	871,232	<u>4100</u>
<b>16. Total expenses</b>	\$ 1,629,334	<u>4200</u>

**NET INCOME**

<b>17. Net Income (loss) before Federal income taxes and items below (Item 9 less Item 16)</b>	\$ 39,476	<u>4210</u>
<b>18. Provision for Federal income taxes (for parent only)</b>		<u>4220</u>
<b>19. Equity in earnings (losses) of unconsolidated subsidiaries not included above</b>		<u>4222</u>
a. After Federal income taxes of	<u>4238</u>	
<b>20. Extraordinary gains (losses)</b>		<u>4224</u>
a. After Federal income taxes of	<u>4239</u>	
<b>21. Cumulative effect of changes in accounting principles</b>		<u>4225</u>
<b>22. Net income (loss) after Federal income taxes and extraordinary items</b>	\$ 39,476	<u>4230</u>

**MONTHLY INCOME**

<b>23. Income (current month only) before provision for Federal Income taxes and extraordinary items</b>	(154,095)	<u>4211</u>
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**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART IIA**

<b>BROKER OR DEALER</b> QUATTRO M SECURITIES INC.
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For the period (MMDDYY) from 07/01/11 to 09/30/11

**STATEMENT OF CHANGES IN OWNERSHIP EQUITY  
(SOLE PROPRIETORSHIP, PARTNERSHIP OR CORPORATION)**

1. Balance, beginning of period .....	\$	644,123	4240
A. Net income (loss) .....		39,476	4250
B. Additions (includes non-conforming capital of .....	\$	4262	) 4260
C. Deductions (includes non-conforming capital of .....	\$	4272	) 4270
2. Balance, end of period (from item 1800) .....	\$	683,599	4290

**STATEMENT OF CHANGES IN LIABILITIES SUBORDINATED  
TO CLAIMS OF GENERAL CREDITORS**

3. Balance, beginning of period .....	\$	4300	4300
A. Increases .....			4310
B. Decreases .....			4320
4. Balance, end of period (from item 3520) .....	\$		4330

OMIT PENNIES

**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART IIA**

**BROKER OR DEALER**  
QUATTRO M SECURITIES INC.

as of 09/30/11

**Exemptive Provision Under Rule 15c3-3**

25. If an exemption from Rule 15c3-3 is claimed, identify below the section upon which such exemption is based :

- A. (k) (1) - Limited business (mutual funds and/or variable annuities only) ..... \$ 4550
- B. (k) (2) (i) - "Special Account for the Exclusive Benefit of customers" maintained ..... 4560
- C. (k) (2) (ii) - All customer transactions cleared through another broker-dealer on a fully disclosed basis.  
Name(s) of Clearing Firm(s) - Please separate multiple names with a semi-colon  
ABN AMRO 4335 X 4570
- D. (k) (3) - Exempted by order of the Commission ..... 4580

**Ownership Equity and Subordinated Liabilities maturing or proposed to be  
withdrawn within the next six months and accruals, (as defined below),  
which have not been deducted in the computation of Net Capital.**

Type of Proposed Withdrawal or Accrual (See below for code to enter)	Name of Lender or Contributor	Insider or Outsider ? (In or Out)	Amount to be with- drawn (cash amount and/or Net Capital Value of Securities)	(MMDDYY) Withdrawal or Maturity Date	Expect to Renew (Yes or No)
<u>4600</u>	<u>4601</u>	<u>4602</u>	<u>4603</u>	<u>4604</u>	<u>4605</u>
<u>4610</u>	<u>4611</u>	<u>4612</u>	<u>4613</u>	<u>4614</u>	<u>4615</u>
<u>4620</u>	<u>4621</u>	<u>4622</u>	<u>4623</u>	<u>4624</u>	<u>4625</u>
<u>4630</u>	<u>4631</u>	<u>4632</u>	<u>4633</u>	<u>4634</u>	<u>4635</u>
<u>4640</u>	<u>4641</u>	<u>4642</u>	<u>4643</u>	<u>4644</u>	<u>4645</u>
<u>4650</u>	<u>4651</u>	<u>4652</u>	<u>4653</u>	<u>4654</u>	<u>4655</u>
<u>4660</u>	<u>4661</u>	<u>4662</u>	<u>4663</u>	<u>4664</u>	<u>4665</u>
<u>4670</u>	<u>4671</u>	<u>4672</u>	<u>4673</u>	<u>4674</u>	<u>4675</u>
<u>4680</u>	<u>4681</u>	<u>4682</u>	<u>4683</u>	<u>4684</u>	<u>4685</u>
<u>4690</u>	<u>4691</u>	<u>4692</u>	<u>4693</u>	<u>4694</u>	<u>4695</u>
<b>TOTAL</b>			\$ <u>4699</u>		

OMIT PENNIES

Instructions: Detail listing must include the total of items maturing during the six month period following the report date, regardless of whether or not the capital contribution is expected to be renewed. The schedule must also include proposed capital withdrawals scheduled within the six month period following the report date including the proposed redemption of stock and payments of liabilities secured by fixed assets (which are considered allowable assets in the capital computation pursuant to Rule 15c3-1(c) (2) (iv)), which could be required by the lender on demand or in less than six months.

<b>WITHDRAWAL CODE:</b>	<b>DESCRIPTION</b>
1.	Equity Capital
2.	Subordinated Liabilities
3.	Accruals
4.	15c3-1(c) (2) (iv) Liabilities