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

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 01/01/2012 AND ENDING 12/31/2012  
MM/DD/YY MM/DD/YY

**A. REGISTRANT IDENTIFICATION**

NAME OF BROKER-DEALER: GRIFFINEST ASIA SECURITIES, LLC  
ADDRESS OF PRINCIPAL PLACE OF BUSINESS: (Do not use P.O. Box No.)  
3452 E. FOOTHILL BLVD., SUITE 100

|                   |
|-------------------|
| OFFICIAL USE ONLY |
| FIRM I.D. NO.     |

(No. and Street)

PASADENA

(City)

CA

(State)

91107

(Zip Code)

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT  
KATIE TAI (626)792-1388  
(Area Code - Telephone Number)

**B. ACCOUNTANT IDENTIFICATION**

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

SIMON & EDWARD, LLP

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

17700 CASTLETON STREET, SUITE 488, CITY OF INDUSTRY, CA 91748

(Address)

(City)

(State)

(Zip Code)

**CHECK ONE:**

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

**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)

SEC 1410 (06-02)

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OATH OR AFFIRMATION

I, KATIE TAI, swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statement and supporting schedules pertaining to the firm of GRIFFINVEST ASIA SECURITIES, LLC, as of DECEMBER 31, 2012, 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:



*[Handwritten Signature]*

Signature

FINOP

Title

*[Handwritten Signature]* Feb. 27. 2013  
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 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.

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

# Griffinest Asia Securities, LLC

## Statement of Financial Condition

December 31,

2012

### ASSETS

|                                       |           |                |
|---------------------------------------|-----------|----------------|
| Cash and cash equivalents             | \$        | 202,884        |
| Cash and cash equivalents segregated  |           | 3,817          |
| Receivable from clearing organization |           | 74,630         |
| Commission receivables                |           | 90,000         |
| Deposit with clearing organization    |           | 101,073        |
| Property and equipment, net           |           | 5,998          |
| Other assets                          |           | 37,893         |
| <b>Total Assets</b>                   | <b>\$</b> | <b>516,295</b> |

### LIABILITIES AND MEMBER'S INTEREST

#### Liabilities:

|  |    |               |
|--|----|---------------|
| Payable to clearing organization               | \$ | 3,209         |
| Accounts payable and other accrued liabilities |    | 44,837        |
| <b>Total liabilities</b>                       |    | <b>48,046</b> |

#### Member's Interest:

|  |           |                |
|--|-----------|----------------|
| Member's interest                              |           | 468,249        |
| <b>Total Liabilities and Member's Interest</b> | <b>\$</b> | <b>516,295</b> |

See accompanying notes to financial statements.