XAD 3/15



SEC UNITEDSTATES
Maisecurry of Deschange Commission
Section Washington, D.C. 20549

# Washington DC PART III

OMB APPROVAL
OMB Number: 3235-0123
Expires: April 30, 2013
Estimated average burden

hours per response..... 12.00

SEC FILE NUMBER 8- 68316

#### **FACING PAGE**

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

	ENDING 12/31/12
MM/DD/YY	MM/DD/YY
A. REGISTRANT IDENTIFICATION	
NAME OF BROKER-DEALER: Arvon Securities, LLC	OFFICIAL USE ONLY
ADDRESS OF PRINCIPAL PLACE OF BUSINESS: (Do not use P.O. Box No.)	FIRM I.D. NO.
161 NORTH CLARK STREET SUITE 4700	
(No. and Street)	
CHICAGO IL	60601
(City) (State)	(Zip Code)
NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD T	TO THIS REPORT
	(Area Code – Telephone Number
B. ACCOUNTANT IDENTIFICATION	1
INDEPENDENT PUBLIC ACCOUNTANT whose opinion is contained in this Report BROOKWEINER L.L.C.  (Name - if individual, state last, first, middle name)	
125 S. WACKER DRIVE STE 1000 CHICAGO	IL 60606
(Address) (City)	SECURITIES AND EXCHANGE TO INTENSION
CHECK ONE:	RECEIVED
CHECK ONE:  Certified Public Accountant  Public Accountant	MAR 1 1 2013
☐ Certified Public Accountant	

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.

SEC 1410 (06-02)

<sup>\*</sup>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)

#### OATH OR AFFIRMATION

I.		ROBERT GLOWNIAK, JR.	, swear (or affirm) that, to the best of
			ial statement and supporting schedules pertaining to the firm of
,		ARVON SECURITIES, LLC	, as
of		DECEMBER 31	, 2012 , are true and correct. I further swear (or affirm) that
			rincipal officer or director has any proprietary interest in any account
clas	SITIE	ied solely as that of a customer, except as fo	ilows:
		N/A	
			1/1/1/1/1/
			Signature
			Signature
			MANAGING DIRECTOR
		,	Title
1	~1	1 / 1 / 2 - 5	······································
2	10	Modary Public	OFFICIAL SEAL \$
	7.4.4	Notary Public	NANCY P COHEN
		<b>\( \)</b>	NOTARY PUBLIC - STATE OF ILLINOIS
Thi	s reg	port ** contains (check all applicable boxes	:): MY COMMISSION EXPIRES:08/16/15
X		Facing Page.	······································
X		Statement of Financial Condition.	
X		Statement of Income (Loss).	
	(d)	) Statement of Changes in Financial Condition	on.
$\mathbf{X}$	(e)	Statement of Changes in Stockholders' Eq	uity or Partners' or Sole Proprietors' Capital.
	(f)	Statement of Changes in Liabilities Subor	dinated to Claims of Creditors.
X	(g)	) Computation of Net Capital.	
	(h)	Computation for Determination of Reserve	e Requirements Pursuant to Rule 15c3-3.
	ia.	Information Relating to the Possession or	Control Requirements Under Rule 15c3-3.
	(ii)	A Reconciliation, including appropriate ex	planation of the Computation of Net Capital Under Rule 15c3-1 and the
	•	Computation for Determination of the Res	erve 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.	
	(1)	An Oath or Affirmation.	
	(m)	1) A copy of the SIPC Supplemental Report.	
	(n)	) A report describing any material inadequae	ies found to exist or found to have existed since the date of the previous audit.

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

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

OMB APPROVAL
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hours per response..... 12.00

# 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 f 1) Rule 17a-	iled pursuant to (Che 5(a) X 16 4) Special request t		2) Rule 17a-5(b)			3) Rule 17a-11 18 5) Other 26	1
NAME OF BROKER-DEA	NLER .				***************************************	SEC FILE NO.	
	JRITIES, LL	С			[13]	8-68316 FIRM I.D. NO.	14
ADDRESS OF PRINCIPA			P.O. Box No.)			150938	15
	CLARK STRE	ET SUITE			20	FOR PERIOD BEGINNING (MM/	DD/YY). <b>24</b>
	(No.	and Street)				O1/01/12 AND ENDING (MM/DD/YY)	
CHICAGO	21	IL	22	60601	23	,	
(City	)	(State)		(Zip Code)		12/31/12	25
NAME AND TELEPHOR	NE NUMBER OF PERS	SON TO CONTA	CT IN REGARD TO	THIS REPORT		(Area Code) — Telephone N	lo.
Robert G.	lowniak JR	S CONSOLIDAT	ED IN THIS REPOR	RT:	30	(312)216-5165 OFFICIAL USE	31
					32		33
					34		35
					36	•	37
					38		39
	7	Doro propo	NDENT CARRY ITS	MOTOLI MWO	ED ACCOUNTS	? YES 40 NO	x 41
ı	'	0040				1.0 <u>[ 10</u> 10 ]	42
			IF RESPONDENT IS	FILING AN AUDI	IED NEFUNI		
		whom it is complete.	ant/broker or dea executed represe It is understood t irts of this Form d items, statemen	nt hereby that a that all required and that the s	li information ( items, statem upmission of	ts attachments and the persicontained therein is true, corents, and schedules are corents amendment represents, correct and complete as pr	rect and nsidered that all eviously
		Dated the Manual sig	natures of:	17th_	day of <u>Fr</u>	brunny 20 1	3
		2)	Executive Office		Partner		
		3)	Operations Office			and the state of t	•
		ATTENTIO Criminal V	N — Intentional n iolations. (See 18	nisstatements o 3 U.S.C. 1001 a	r omissions of nd 15 U.S.C. 7	f facts constitute Federal 78:f(a))	
1	1						

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SEC 1696 (02-03) 1 of 16

### TO BE COMPLETED WITH THE ANNUAL AUDIT REPORT ONLY:

INDEPENDENT PUBLIC A	ACCOUNTANT whose opinion	on is contained in this	Report					
NAME (If individual, state	e last, first, middle name)							
BrookWeiner	, LLC							
				70				
ADDRESS								
125 South W	acker Drive,	10th Floor				-		
Chicago, IL	60606							
Al.,h-		71	72	· · · · · · · · · · · · · · · · · · ·	73	74		
	er and Street		City	State	Zip Co	ide		
CHECK ONE								
X Certified Pub	olic Accountant	7	5	FOR	SEC USE			
Public Accou	untant	70	<u> </u>					
Accountant r	not resident in United States	· 7	7	L				
or any of its	possessions	•						
:								
DO NOT WRITE UNDER THIS LINE FOR SEC USE ONLY								
[	WORK LOCATION	REPORT DATE	DOC. SEQ. NO.	CARD				
· ·		MM/DD/YY						
L	50	51	52	2 53				

## FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT PART IIA

BROKER OR DEALER	ARVON	SECURI	TIES,	LLC			N 3		100
	STATE		ANCIAL CO CERTAIN (			ARRYING, NONCLE	ARING AND		
			<b>V</b>	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,		s of (MM/DD/YY) SEC FILE NO.	12/ 8-6	31/12 8316 Consolidated Unconsolidated	99 98 198 X 199
				Allov	<u>vable</u>	Non-A	llowable	Tota	<u> </u>
4 0			1.0			HOILA	iiowquio		750
1. Cash		Э		, 224	200			\$ <u>10,224</u>	130
Receivables from brokers     A. Clearance account     B. Other					295 300	\$	550		810
3. Receivable from non-cust	omers	•••••			355		600	ኝ	830
<ol> <li>Securities and spot comm owned at market value:</li> <li>A. Exempted securities .</li> </ol>				-	418				
B. Debt securities C. Options		•••••			419 420				
D. Other securities					424				
E. Spot commodities					430				850
<ol><li>Securities and/or other inv not readily marketable:</li></ol>	restments								
A. At cost \( \frac{1}{2} \)		130							
B. At estimated fair value	B	1			440		610		860
<ol><li>Securities borrowed under</li></ol>									
agreements and partners'	•	oital							000
securities accounts, at ma	arket value:				460		630		880
A. Exempted securities \$		150							
B. Other		1 100							
securities \$		160							
7. Secured demand notes:					470		640		890
Market value of collateral:									
A. Exempted securities \$		170							
B. Other	-	1 110							
securities \$		180							
3. Memberships in exchange	s:								
A. Owned, at		400							
market \$ B. Owned, at cost	· · · · · ·	190					650		•
C. Contributed for use of		••••••							
market value						•	660		900
). Investment in and receival						6	1 000		
					480		670		910
subsidiaries and associate		***************************************			400		010		1310
Property, furniture, equipm     improvements and rights.		manta							
improvements and rights u	_								
at cost-net of accumulated	•				100		[ <u>600</u> ] -	,	[non]
amortization					490		680	B	920
11. Other assets			1.0	224	535		735	s 10,22	930
12. TOTAL ASSETS		š \$		,224	540	<b>&gt;</b>	740		4 940 MIT PENNIES

See Accompanying Notes to the Financial Statements

## FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT PART IIA

BROKER OR DEALER

ARVON SECURITIES, LLC

as of 12/31/12

### STATEMENT OF FINANCIAL CONDITION FOR NONCARRYING, NONCLEARING AND CERTAIN OTHER BROKERS OR DEALERS

#### **LIABILITIES AND OWNERSHIP EQUITY**

<u>Lia</u>	<u>bilities</u>		A.I. <u>Liabiliti</u>	<u>es</u>	Non-A.i. <u>Liabilities</u>	<u>Total</u>	
13.	Bank loans payable	\$		1045	\$ 1255	Y13 \$	1470
14.	Payable to brokers or dealers:			[2242]			4500
	A. Clearance account	10		1114	1315 1305		1560 1540
15	B. Other Payable to non-customers	10		1155	1355		1610
	Securities sold not yet purchased,			1			
	at market value				1360		1620
17.	Accounts payable, accrued liabilities,		1,466	1205	1385	1,466	1685
18	expenses and other	*****	1,400	1205	1000	1,400	1000
	A. Unsecured			1210			1690
	B. Secured			1211 72	1390	74	1700
	E. Liabilities subordinated to claims of general creditors:						
	A. Cash borrowings:				1400		1710
	1. from outsiders \$ 970						
	2. includes equity subordination (15c3-1(d))						
	of \$ 980  B. Securities borrowings, at market value				1410		1720
	from outsiders \$ 990				1410		1120
	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]	i .	1750
20.	TOTAL LIABILITIES	s	1,466	1230	1450	\$ 1,466	1760
		·			·		
	Ownership Equity				,	- <b>a</b>	1770
21.	Sole ProprietorshipPartnership (limited partners)	Ţ. /\$		1020 )	••••••	15 Þ	1770 1780
	Corporation:	· (Ψ		11020]/			
	A. Preferred stock		·····				1791
	B. Common stock					48,000	1792 1793
	C. Additional paid-in capital					(39,242)	1794
	E. Total					8,758	1795
	F. Less capital stock in treasury						1796
24. 25.	TOTAL OWNERSHIP EQUITY TOTAL L!ABILITIES AND OWNERSHIP EQUITY						1800 1810
25.	TOTAL LIADILITIES AND OWNERSHIP EQUITY	•••••		••••••	***************************************	Ψ <u>10,224</u>	1010

**OMIT PENNIES**