

UNITEDSTATES
SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

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

SEC FILE NUMBER
8- 45329

## **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	1/01/12	12AND ENDING 12/31/12			
	MM/DD/YY		MM/DD/YY		
A. REG	ISTRANT IDENTIFIC	ATION			
NAME OF BROKER-DEALER: Zwing	the Securities	uc	C OFFICIAL USE ONLY		
DDRESS OF PRINCIPAL PLACE OF BUSINESS: (Do not use P.C			FIRM I.D. NO.		
1775 Sherman Street, Suite 1775		<u> </u>			
	(No. and Street)				
Denver	со	8020	80203		
(City)	(State)	(Zip Co	(Zip Code)		
NAME AND TELEPHONE NUMBER OF PER Scott A Logan 303-225-0900	RSON TO CONTACT IN RI	EGARD TO THIS REPORT	r		
		(Агеа	Code - Telephone Number		
B. ACCO	UNTANT IDENTIFIC	ATION			
INDEPENDENT PUBLIC ACCOUNTANT wh Hein + Associates, LLP	ose opinion is contained in	-			
1999 Broadway, Suite 4000	Denver	•	02		
(Address)	(City)	SECURITIES NAME - AUTHANIG	(Zip Code)		
	(***)	FECEIVE			
CHECK ONE:		MAY 222	n13		
Certified Public Accountant		MAY 22 F			
☐ Public Accountant		REGISTRATIONS	BRANCH		
☐ Accountant not resident in United	d States or any of its possess	ions 13 REGISTRATION			
	OR OFFICIAL USE ON	LY			

\*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.

SEC 1410 (06-02)

# OATH OR AFFIRMATION

I, Scott A Logan	A Logan , swear (or affirm) that, to the best of			
my knowledge and belief the accompanying Rivington Securities, LLC	ing financial statement and supporting schedules pertaining to the firm of			
of December 31	, as , 2012 , are true and correct. I further swear (or affirm) that			
	prietor, principal officer or director has any proprietary interest in any account			
classified solely as that of a customer, exc				
classified solely as that of a customer, ext	cept as follows:			
Waty Puzz				
N.O.				
DeaAnna !				
Call				
	2 Still Survey			
of Colorada	Signature			
Ol Colo Lin	Scott A Logan, Designated Principal			
	Title			
XIDYN AC 120V				
Notary Public				
- Notaly Fublic				
This report ** contains (check all applicat	ple boxes):			
(a) Facing Page.				
(b) Statement of Financial Condition.				
(c) Statement of Income (Loss). (d) Statement of Changes in Financia	I Condition			
(a) Statement of Changes in Stockhol	ders' Equity or Partners' or Sole Proprietors' Capital.			
(f) Statement of Changes in Liabilities	es Subordinated to Claims of Creditors			
(g) Computation of Net Capital.				
(h) Computation for Determination of	f Reserve Requirements Pursuant to Rule 15c3-3.			
	ssion or Control Requirements Under Rule 15c3-3.			
	priate explanation of the Computation of Net Capital Under Rule 15c3-1 and the			
	f the Reserve Requirements Under Exhibit A of Rule 15c3-3.			
consolidation.	ited and unaudited Statements of Financial Condition with respect to methods of			
(I) An Oath or Affirmation.				
(m) A copy of the SIPC Supplemental	Report.			
(n) A report describing any material in	adequacies 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).



Hein & Associates LLP 1999 Broadway Suite 4000 Denver, Colorado 80202 www.heincpa.com p 303.298.9600 f 303.298.8118

#### INDEPENDENT AUDITOR'S REPORT

To the Managing Members Rivington Securities, LLC Denver, Colorado

## Report on the Financial Statements

We have audited the accompanying statements of financial condition of Rivington Securities, LLC (the "Company") as of December 31, 2012 and 2011, and the related statements of operations, changes in members' equity and cash flows for the years then ended that are filed pursuant to Rule 17a-5 under the Securities Exchange Act of 1934, and the related notes to the financial statements.

# Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

# Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the Company's preparation and fair presentation of the financial statements in order to design 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. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

To the Managing Members Rivington Securities, LLC

## **Opinion**

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Rivington Securities, LLC as of December 31, 2012 and 2011, and the results of its operations and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

#### Other Matter

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The information contained in Schedules I and II is presented for purposes of additional analysis and is not a required part of the financial statements, but is supplementary information required by Rule 17a-5 under the Securities Exchange Act of 1934. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information in Schedules I and II has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information in Schedules I and II is fairly stated in all material respects in relation to the financial statements as a whole.

Hein & Associates LLP

HEIN ! ASSOCIATES LLP

Denver, Colorado February 4, 2013

RIVINGTON SECURITIES, LLC (a wholly-owned subsidiary of Rivington Capital Advisors, LLC)

# STATEMENTS OF FINANCIAL CONDITION

	DECEMBER 31,						
		2012	2011				
ASSETS							
CASH AND CASH EQUIVALENTS	\$	366,596	\$	264,472			
PREPAID EXPENSES AND OTHER ASSETS		10,569		9,519			
TOTAL ASSETS	<u>\$</u>	377.165	\$	273,991			
LIABILITIES AND MEMBERS' EQUITY							
ACCRUED EXPENSES	\$	1,904	\$	1,269			
MEMBERS' EQUITY		375,261		272,722			
TOTAL LIABILITIES AND MEMBERS' EQUITY		377.165	\$	273,991			