

SEC



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

**OMB APPROVAL**  
OMB Number: 3235-0123  
Expires: February 28, 2010  
Estimated average burden  
hours per response..... 12.00

**SEC FILE NUMBER**  
8-09877

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 11/1/13 AND ENDING 12/31/13  
MM/DD/YY MM/DD/YY

**A. REGISTRANT IDENTIFICATION**

NAME OF BROKER-DEALER: Allan & Company of Florida

ADDRESS OF PRINCIPAL PLACE OF BUSINESS: (Do not use P.O. Box No.)  
  
(No. and Street)  
  
(City) (State) (Zip Code)

**OFFICIAL USE ONLY**  
FIRM I.D. NO.

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT  
  
(Area Code - Telephone Number)

**B. ACCOUNTANT IDENTIFICATION**

INDEPENDENT PUBLIC ACCOUNTANT whose opinion is contained in this Report\*  
Crowe Horwath  
(Name - if individual, state last, first, middle name)  
  
(Address) (City) (State) (Zip Code)

**CHECK ONE:**

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

SECURITIES AND EXCHANGE COMMISSION  
DEPARTMENT OF JUSTICE  
DEC 19 2014  
DIVISION OF TRADING & MARKETS

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\*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)

4278



Crowe Horwath LLP  
Independent Member Crowe Horwath International

Board of Directors  
Allen & Company of Florida, Inc.  
Lakeland, Florida

In planning and performing our audit of the financial statements of Allen & Company of Florida, Inc. ("Company") as of and for the year ended December 31, 2013, in accordance with auditing standards generally accepted in the United States of America, we considered the Company's internal control over financial reporting ("internal control") as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Company's internal control. Accordingly, we do not express an opinion on the effectiveness of the Company's internal control. Matters communicated in this letter are classified as follows.

- **Deficiency** – A control deficiency exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent or detect and correct misstatements on a timely basis.
- **Significant Deficiency** – A significant deficiency is a deficiency, or combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph and was not designed to identify all deficiencies in internal control that might be significant deficiencies or material weaknesses and therefore, there can be no assurance that all deficiencies, significant deficiencies, or material weaknesses have been identified. We did not identify any deficiencies in internal control that we consider to be material weaknesses, as defined above. However, we identified certain deficiencies in internal control that we are required to or wish to communicate to you.

SECURITIES AND EXCHANGE COMMISSION  
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DIVISION OF TRADING & MARKETS

SEGREGATION OF DUTIES		Significant Deficiency
<b>Observation:</b>	Segregation of duties is not optimal.	
<b>Recommendation:</b>	Internal controls are designed to safeguard assets and help or detect losses from employee dishonesty or error. A fundamental concept in a good system of internal control is segregation of duties. Although the size of the Company's accounting staff prohibits complete adherence to this concept, we believe that the following practices could be implemented to improved existing internal control without impairing efficiency: Mail is currently opened by the individuals that work the cage, which is appropriate with regard to segregation of duties. Cash receipts could be recorded and the deposit prepared by this individual. The cash receipts journal, supplemented by remittance advices, could be forwarded to the accounting staff for postings to the general ledger. Bank statements and appropriate advices should be received by someone other than employees maintaining cash records. Such items could be periodically reviewed prior to turning them over for reconciliation. Unusual items noted during review should be investigated promptly. Signed checks should be mailed without allowing them to be returned to the employee responsible for accounts payable. We understand that in the past the cost versus benefit analysis that has been performed as a result of this need has not allowed for the hiring of an additional accounting individual. We recommend that the costs and benefits continue to be evaluated.	
<b>Management Response:</b>	Each and every year we continue to evaluate and improve on the segregation of duties within the firm. Last year we hired another associate to work in Finance, and completely separated accounts receivable and payable. All items reconciled by one associate are reviewed and approved by another associate. There are numerous checks and balances. We will continue to improve on the segregation of duties with the 4 associates in the Finance department.	

This communication is intended solely for the information and use of management, [identify the body or individuals charged with governance, which can include owners in owner-managed enterprises, the Audit Committee, the Board of Directors, etc] and others within the organization, and [identify any specified governmental authorities, such as your regulatory agencies] and is not intended to be and should not be used by anyone other than these specified parties.

*Crowe Horwath LLP*  
Crowe Horwath LLP

Lakeland, Florida  
February 20, 2014

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION

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

FORM  
X-17A-5

(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

ALLEN & COMPANY OF FLORIDA, INC. 13

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

1401 SOUTH FLORIDA AVENUE 20

(No. and Street)

LAKELAND 21      FL 22      33803 23

(City)

(State)

(Zip Code)

SEC. FILE NO.

8-09877 14

FIRM ID NO.

25 15

FOR PERIOD BEGINNING (MM/DD/YY)

1/01/13 24

AND ENDING (MM/DD/YY)

12/31/13 25

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

Kristen Benton 30

(863) 616-6050 31

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

OFFICIAL USE

32

33

34

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36

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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. 78f (a) )

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

**BROKER OR DEALER**

**ALLEN & COMPANY OF FLORIDA, INC.**

as of 12/31/13

**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	1580
B. Other	401,526 1115	1305	401,526 1540
15. Payable to non-customers	52,879 1155	1355	52,879 1610
16. Securities sold not yet purchased, at market value		1360	1620
17. Accounts payable, accrued liabilities, expenses and other	599,059 1205	1385	599,059 1685
18. Notes and mortgages payable:			
A. Unsecured	1210		1680
B. Secured	1211	1390	1700
19. Liabilities subordinated to claims of general creditors:			
A. Cash borrowings:		1,850,000 1400	1,850,000 1710
1. from outsiders	\$ 1,850,000 970		
2. Includes equity subordination (15c3-1(d)) of .....	\$ 980		
B. Securities borrowings, at market value from outsiders		\$ 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	396,959 1220	1440	396,959 1750
20. TOTAL LIABILITIES	\$ 1,450,423 1230	\$ 1,850,000 1450	\$ 3,300,423 1760
 <u>Ownership Equity</u>			
21. Sole proprietorship			\$ 1770
22. Partnership (limited partners)	\$ 1020		1780
23. Corporation:			
A. Preferred stock			1791
B. Common stock		83,450	1792
C. Additional paid-in capital		642,664	1793
D. Retained earnings		1,506,634	1794
E. Total		2,232,748	1795
F. Less capital stock in treasury		( )	1796
24. TOTAL OWNERSHIP EQUITY			\$ 2,232,748 1800
25. TOTAL LIABILITIES AND OWNERSHIP EQUITY			\$ 5,533,171 1810

OMIT PENNIES

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

**BROKER OR DEALER**  
ALLEN & COMPANY OF FLORIDA, INC.

as of 12/31/13

**COMPUTATION OF NET CAPITAL**

1. Total ownership equity from Statement of Financial Condition	\$	2,232,748	<u>3480</u>
2. Deduct ownership equity not allowable for Net Capital			( <u>3490</u> )
3. Total ownership equity qualified for Net Capital		<u>2,232,748</u>	<u>3500</u>
4. Add:			
A. Liabilities subordinated to claims of general creditors allowable in computation of net capital		<u>1,850,000</u>	<u>3520</u>
B. Other (deductions) or allowable credits (List)			<u>3525</u>
5. Total capital and allowable subordinated liabilities	\$	<u>4,082,748</u>	<u>3530</u>
6. Deductions and/or charges:			
A. Total non-allowable assets from			
Statement of Financial Condition (Notes B and C)	\$	<u>946,845</u>	<u>3540</u>
B. Secured demand note deficiency			<u>3590</u>
C. Commodity futures contracts and spot commodities-proprietary capital charges			<u>3600</u>
D. Other deductions and/or charges			<u>3610</u>
		( <u>946,845</u> )	<u>3620</u>
7. Other additions and/or allowable credits (List)			<u>3630</u>
8. Net Capital before haircuts on securities positions	\$	<u>3,135,903</u>	<u>3640</u>
9. Haircuts on securities (computed, where applicable, pursuant to 15c3-1(f)):			
A. Contractual securities commitments	\$		<u>3660</u>
B. Subordinated securities borrowings			<u>3670</u>
C. Trading and investment securities:			
1. Exempted securities			<u>3735</u>
2. Debt securities			<u>3733</u>
3. Options			<u>3730</u>
4. Other securities		<u>284,148</u>	<u>3734</u>
D. Undue concentration			<u>3650</u>
E. Other (List)			<u>3736</u>
		( <u>284,148</u> )	<u>3740</u>
10. Net Capital	\$	<u>2,851,755</u>	<u>3750</u>

OMIT PENNIES

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

<b>BROKER OR DEALER</b> ALLEN & COMPANY OF FLORIDA, INC.	as of <u>12/31/13</u>
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**COMPUTATION OF BASIC NET CAPITAL REQUIREMENT**

**Part A**

11. Minimum net capital required (6-2/3% of line 19) .....	\$	96,695	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) .....	\$	250,000	3758
13. Net capital requirement (greater of line 11 or 12) .....	\$	250,000	3760
14. Excess net capital (line 10 less 13) .....	\$	2,601,755	3770
15. Net capital less greater of 10% of line 19 or 120% of line 12 .....	\$	2,551,755	3780

**COMPUTATION OF AGGREGATE INDEBTEDNESS**

16. Total A.I. liabilities from Statement of Financial Condition .....	\$	1,450,423	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 (L.Ist) .....	\$	3820	3830
19. Total aggregate indebtedness .....	\$	1,450,423	3840
20. Percentage of aggregate indebtedness to net capital (line 19 divided by line 10) .....	%	50.88	3850
21. Percentage of debt to debt-equity total computed in accordance with Rule 15c-3-1(d) .....	%	45.31	3860

**COMPUTATION OF ALTERNATE NET CAPITAL REQUIREMENT**

**Part B**

22. 2% of combined aggregate debt 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' debts .....	\$	3870	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	3880
24. Net capital requirement (greater of line 22 or 23) .....	\$	3760	3760
25. Excess net capital (line 10 less 24) .....	\$	3910	3910
26. Net capital in excess of the greater of:			
5% of combined aggregate debt items or 120% of minimum net capital requirement .....	\$	3920	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 debts 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**

**ALLEN & COMPANY OF FLORIDA, INC.**

For the period (MMDDYY) from 10/01/13 3932 to 12/31/13 3933  
Number of months included in this statement 3 3931

**REVENUE**

**STATEMENT OF INCOME (LOSS)**

<b>1. Commissions:</b>			
a. Commissions on transactions in exchange listed equity securities executed on an exchange	.....	\$	229,877 <u>3935</u>
b. Commissions on listed option transactions	.....		9,784 <u>3938</u>
c. All other securities commissions	.....		43,892 <u>3939</u>
d. Total securities commissions	.....		283,553 <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	.....		3945
b. From all other trading	.....		3949
c. Total gain (loss)	.....		3950
3. Gains or losses on firm securities investment accounts	.....		945 <u>3952</u>
4. Profits (losses) from underwriting and selling groups	.....		1,101 <u>3955</u>
5. Revenue from sale of investment company shares	.....		2,203,111 <u>3970</u>
6. Commodities revenue	.....		3990
7. Fees for account supervision, investment advisory and administrative services	.....		1,231,412 <u>3975</u>
8. Other revenue	.....		181,287 <u>3995</u>
9. Total revenue	.....	\$	3,901,409 <u>4030</u>

**EXPENSES**

10. Salaries and other employment costs for general partners and voting stockholder officers	.....		4120
11. Other employee compensation and benefits	.....		3,038,683 <u>4115</u>
12. Commissions paid to other brokers-dealers	.....		56,890 <u>4140</u>
13. Interest expense	.....		27,750 <u>4075</u>
a. Includes interest on accounts subject to subordination agreements	.....	<u>4070</u>	
14. Regulatory fees and expenses	.....		18,530 <u>4195</u>
15. Other expenses	.....		433,609 <u>4100</u>
16. Total expenses	.....	\$	3,575,462 <u>4200</u>

**NET INCOME**

17. Net income (loss) before Federal income taxes and items below (Item 9 less Item 16)	.....	\$	325,947 <u>4210</u>
18. Provision for Federal income taxes (for parent only)	.....		4220
19. Equity in earnings (losses) of unconsolidated subsidiaries not included above	.....		4222
a. After Federal income taxes of	.....	<u>4238</u>	
20. Extraordinary gains (losses)	.....		4224
a. After Federal income taxes of	.....	<u>4239</u>	
21. Cumulative effect of changes in accounting principles	.....		39,576 <u>4225</u>
22. Net income (loss) after Federal income taxes and extraordinary items	.....	\$	365,523 <u>4230</u>

**MONTHLY INCOME**

23. Income (current month only) before provision for Federal income taxes and extraordinary items	.....		(268,615) <u>4211</u>
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**FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT  
PART IIA**

<b>BROKER OR DEALER</b> <b>ALLEN &amp; COMPANY OF FLORIDA, INC.</b>
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For the period (MMDDYY) from 10/01/13 to 12/31/13

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

1. Balance, beginning of period	.....	\$	2,317,225	<u>4240</u>
A. Net income (loss)	.....		365,523	<u>4250</u>
B. Additions (includes non-conforming capital of	.....	\$	<u>4262</u>	)
C. Deductions (includes non-conforming capital of	.....	\$	<u>4272</u>	)
2. Balance, end of period (from item 1800)	.....	\$	2,232,748	<u>4290</u>

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

3. Balance, beginning of period	.....	\$	1,850,000	<u>4300</u>
A. Increases	.....			<u>4310</u>
B. Decreases	.....			<u>4320</u>
4. Balance, end of period (from item 3520)	.....	\$	1,850,000	<u>4330</u>

OMIT PENNIES

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

<b>BROKER OR DEALER</b> ALLEN & COMPANY OF FLORIDA, INC.	as of <u>12/31/13</u>
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**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 ..... X 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  
First Clearing Corporation, LLC 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 withdrawn (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>4698</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

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

FORM  
X-17A-5

**FOCUS REPORT**  
(FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT)

**Schedule I**

INFORMATION REQUIRED OF BROKERS AND DEALERS PURSUANT TO RULE 17a-5

Report for the Calendar Year 2013 [8004]  
or if less than 12 months

Report for the period beginning 01/01/13 [8005] and ending 12/31/13 [8006]  
MM DD YY MM DD YY

SEC FILE NUMBER
8-09877 [8011]

1. NAME OF BROKER DEALER		OFFICIAL USE ONLY
ALLEN & COMPANY OF FLORIDA, INC. [8020]	N 9	
	Firm No	M M Y Y

2. Name(s) of broker-dealer(s) merging with respondent during reporting period:

NAME :	[8053]	OFFICIAL USE ONLY	[8057]
NAME :	[8054]		[8058]
NAME :	[8055]		[8059]
NAME :	[8056]		[8060]

3. Respondent conducts a securities business exclusively with registered broker-dealers:  
(enter applicable code: 1=Yes 2=No)  2  [8073]

4. Respondent is registered as a specialist on a national securities exchange:  
(enter applicable code: 1=Yes 2=No)  2  [8074]

5. Respondent makes markets in the following securities:

(a) equity securities .....	(enter applicable code: 1=Yes 2=No)	<input type="checkbox"/> 2 <input checked="" type="checkbox"/> [8075]
(b) municipals .....	(enter applicable code: 1=Yes 2=No)	<input type="checkbox"/> 2 <input checked="" type="checkbox"/> [8076]
(c) other debt instruments .....	(enter applicable code: 1=Yes 2=No)	<input type="checkbox"/> 2 <input checked="" type="checkbox"/> [8077]

6. Respondent is registered solely as a municipal bond dealer:  
(enter applicable code: 1=Yes 2=No)  2  [8078]

7. Respondent is an insurance company or an affiliate of an insurance company:  
(enter applicable code: 1=Yes 2=No)  2  [8079]

8. Respondent carries its own public customer accounts:  
(enter applicable code: 1=Yes 2=No)  2  [8084]

9. Respondent's total number of public customer accounts:  
(carrying firms filing X-17A-5 Part II only)

(a) Public customer accounts .....	[ ]	[8080]
(b) Omnibus accounts .....	[ ]	[8081]

10. Respondent clears its public customer and/or proprietary accounts:  
(enter applicable code: 1=Yes 2=No)  2  [8085]

**FOCUS REPORT**  
**Schedule I**  
page 2

**11. Respondent clears its public customer accounts in the following manner:**

(enter a "1" in appropriate boxes)

- (a) Direct Mail (New York Stock Exchange Members Only) .....  8086
- (b) Self-Clearing .....  8087
- (c) Omnibus .....  8088
- (d) Introducing .....  8089
- (e) Other .....  8090

If Other please describe:

- (f) Not applicable .....  8091

**12.(a) Respondent maintains membership(s) on national securities exchange(s):**

(enter applicable code 1=Yes 2=No)

8100

**(b) Names of national securities exchange(s) in which respondent maintains memberships:**

(enter a "1" in appropriate boxes)

- (1) NYSE AMEX, LLC .....  8120
- (2) Boston .....  8121
- (3) CBOE .....  8122
- (4) Midwest .....  8123
- (5) New York .....  8124
- (6) Philadelphia .....  8125
- (7) Pacific Coast .....  8126
- (8) Other .....  8129

**13. Employees:**

- (a) Number of full-time employees .....  8101
- (b) Number of full-time registered representatives employed by respondent included in 13(a) ...  8102

**14. Number of NASDAQ stocks respondent makes market**

8103

**15. Total number of underwriting syndicates respondent was a member**

8104

Carrying or clearing firms filing X-17A Part II)

**16. Number of respondent's public customer transactions:**

Actual .....  8105  
Estimate .....  8106

- (a) equity securities transactions effected on a national securities exchange .....  8107
- (b) equity securities transactions effected other than on a national securities exchange .....  8108
- (c) commodity, bond, option and other transactions effected on or off a national securities exchange .....  8109

**FOCUS REPORT**  
**Schedule I**  
**page 3**

17. Respondent is a member of the Securities Investor Protection Corporation  
(enter applicable code 1=Yes 2=No)  **8111**

18. Number of branch offices operated by respondent .....  **8112**

19. (a) Respondent directly or indirectly controls, is controlled by, or is under  
common control with , a U.S. bank (enter applicable code 1=Yes 2=No) .....  **8130**

(b) Name of parent or affiliate  **8131**

(c) Type of institution  **8132**

20. Respondent is an affiliate or subsidiary of a foreign broker-dealer or bank  
(enter applicable code 1=Yes 2=No)  **8113**

21. (a) Respondent is a subsidiary of a registered broker-dealer  
(enter applicable code 1=Yes 2=No)  **8114**

(b) Name of parent  **8116**

22. Respondent is a subsidiary of a parent which is not a registered broker or dealer  
(enter applicable code 1=Yes 2=No)  **8115**

23. Respondent sends quarterly statements to customers pursuant to  
10b-10(b) in lieu of daily or immediate confirmations:  
(enter applicable code 1=Yes 2=No)\*  **8117**

24. Aggregate Dollar Amount of Non-Exempted OTC Sales of Exchange-Listed  
Securities Done by Respondent During the Reporting Period ..... \$  **8118**

\*Required in any Schedule I filed for the calendar year 1978 and succeeding years

FINRA Miscellaneous Information	
Annual Municipal Income	\$ <input type="text" value="69,620"/> <b>8151</b>

**Report of Independent Accountants on Applying Agreed-Upon Procedures**

Board of Directors of  
Allen & Company of Florida, Inc.  
Lakeland, Florida

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 accompanying General Assessment Reconciliation (Form SIPC-7) to the Securities Investor Protection Corporation (SIPC) for the year ended December 31, 2013, which were agreed to by Allen & Company of Florida, Inc. ("the Company"), the Securities and Exchange Commission, Financial Industry Regulatory Authority, Inc. and the SIPC, solely to assist the Company and the other specified parties in evaluating the Company's compliance with those requirements to Form SIPC-7. The Company's management is responsible for its Form SIPC-7. 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 this 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 were performed and our findings are as follows:

1. Compared the listed assessment payments in Form SIPC-7 for the year ended December 31, 2013, with respective cash disbursement records entries noting no differences;
2. Compared with the total revenue amounts reported in the audited financial statements included on Form X-17A-5 to the amounts reported in Form SIPC-7 for the year ended December 31, 2013, noting no difference;
3. Compared any adjustments reported in Form SIPC-7 for the year ended December 31, 2013, with supporting schedules and working papers, including excel spreadsheets derived from the Company's general ledger and subsidiary ledgers, noting no differences;
4. Proved the arithmetical accuracy of the calculations reflected in Form SIPC-7 for the year ended December 31, 2013, and in the related schedules and working papers supporting the adjustments nothing no differences.
5. Compared the amount of any overpayment applied to the current assessment with the Form SIPC-7 for the year ended December 31, 2013, on which it was originally computed noting there was no overpayment applied to the current assessment.

We were not engaged to, and did not conduct an examination, the objective of which would be the expression of an opinion on the Company's Form SIPC-7 or its items. 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.

*Crowe Horwath LLP*  
Crowe Horwath LLP

Lakeland, Florida  
February 20, 2014

**SIPC-7**

(33-REV 7/10)

**SECURITIES INVESTOR PROTECTION CORPORATION**

P.O. Box 92185 Washington, D.C. 20090-2185  
202-371-8300

**General Assessment Reconciliation**

For the fiscal year ended 12/31/2013

(Read carefully the instructions in your Working Copy before completing this Form)

**SIPC-7**

(33-REV 7/10)

**TO BE FILED BY ALL SIPC MEMBERS WITH FISCAL YEAR ENDINGS**

1. Name of Member, address, Designated Examining Authority, 1934 Act registration no. and month in which fiscal year ends for purposes of the audit requirement of SEC Rule 17a-5:

000077 FINRA DEC  
ALLEN & COMPANY OF FLORIDA INC 14\*14  
PO BOX 387  
LAKELAND FL 33802-0387

Note: If any of the information shown on the mailing label requires correction, please e-mail any corrections to form@sipc.org and so indicate on the form filed.

Name and telephone number of person to contact respecting this form.

- 2. A. General Assessment (item 2e from page 2) \$ 2,990
- B. Less payment made with SIPC-6 filed (exclude Interest) ( 1,500 )  
7-12-13  
Date Paid
- C. Less prior overpayment applied ( \_\_\_\_\_ )
- D. Assessment balance due or (overpayment) 1,490
- E. Interest computed on late payment (see instruction E) for \_\_\_\_\_ days at 20% per annum \_\_\_\_\_
- F. Total assessment balance and interest due (or overpayment carried forward) \$ 1,490
- G. PAID WITH THIS FORM:  
Check enclosed, payable to SIPC  
Total (must be same as F above) \$ 1,490
- H. Overpayment carried forward \$( \_\_\_\_\_ )

3. Subsidiaries (S) and predecessors (P) included in this form (give name and 1934 Act registration number):

The SIPC member submitting this form and the person by whom it is executed represent thereby that all information contained herein is true, correct and complete.

Allen & Company of Florida Inc.  
(Name of Corporation/Partnership or other organization)  
[Signature]  
(Authorized Signature)  
Financial Administrative Associate  
(Title)

Dated the 14<sup>th</sup> day of February, 2014.

This form and the assessment payment is due 60 days after the end of the fiscal year. Retain the Working Copy of this form for a period of not less than 6 years, the latest 2 years in an easily accessible place.

**SIPC REVIEWER**

Dates:            Postmarked            Received            Reviewed             
Calculations            Documentation            Forward Copy             
Exceptions:  
Disposition of exceptions:



**DETERMINATION OF "SIPC NET OPERATING REVENUES"  
AND GENERAL ASSESSMENT**

Amounts for the fiscal period  
beginning 1/1/2013  
and ending 12/31/2013

Item No.

Eliminate cents

2a. Total revenue (FOCUS Line 12/Part IIA Line 9, Code 4030)

\$ 14,396,061

2b. Additions:

- (1) Total revenues from the securities business of subsidiaries (except foreign subsidiaries) and predecessors not included above.
- (2) Net loss from principal transactions in securities in trading accounts.
- (3) Net loss from principal transactions in commodities in trading accounts.
- (4) Interest and dividend expense deducted in determining item 2a.
- (5) Net loss from management of or participation in the underwriting or distribution of securities.
- (6) Expenses other than advertising, printing, registration fees and legal fees deducted in determining net profit from management of or participation in underwriting or distribution of securities.
- (7) Net loss from securities in investment accounts.

Total additions

2c. Deductions:

- (1) Revenues from the distribution of shares of a registered open end investment company or unit investment trust, from the sale of variable annuities, from the business of insurance, from investment advisory services rendered to registered investment companies or insurance company separate accounts, and from transactions in security futures products.
- (2) Revenues from commodity transactions.
- (3) Commissions, floor brokerage and clearance paid to other SIPC members in connection with securities transactions.
- (4) Reimbursements for postage in connection with proxy solicitation.
- (5) Net gain from securities in investment accounts.
- (6) 100% of commissions and markups earned from transactions in (i) certificates of deposit and (ii) Treasury bills, bankers acceptances or commercial paper that mature nine months or less from issuance date.
- (7) Direct expenses of printing advertising and legal fees incurred in connection with other revenue related to the securities business (revenue defined by Section 16(9)(L) of the Act).
- (8) Other revenue not related either directly or indirectly to the securities business.  
(See Instruction C):

12,845,311

218,492

108,650

(Deductions in excess of \$100,000 require documentation)

(9) (i) Total interest and dividend expense (FOCUS Line 22/PART IIA Line 13, Code 4075 plus line 2b(4) above) but not in excess of total interest and dividend income.

\$ 27,750

(ii) 40% of margin interest earned on customers securities accounts (40% of FOCUS line 5, Code 3960).

\$ \_\_\_\_\_

Enter the greater of line (i) or (ii)

27,750

Total deductions

13,200,203

2d. SIPC Net Operating Revenues

\$ 1,195,858

2e. General Assessment @ .0025

\$ 2,990

(to page 1, line 2.A.)