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Public

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

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

SEC  
Mail Processing  
Section

FEB 28 2014

Washington DC  
404

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42303

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 01/01/13 AND ENDING 12/31/13  
MM/DD/YY MM/DD/YY

**A. REGISTRANT IDENTIFICATION**

NAME OF BROKER-DEALER: Brookwood Associates, LLC  
ADDRESS OF PRINCIPAL PLACE OF BUSINESS: (Do not use P.O. Box No.)  
15 Piedmont Center, Suite 820

OFFICIAL USE ONLY
FIRM I.D. NO.

Atlanta Georgia 30305  
(City) (State) (Zip Code)

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT  
Robert Winborne 404-874-7433  
(Area Code - Telephone Number)

**B. ACCOUNTANT IDENTIFICATION**

INDEPENDENT PUBLIC ACCOUNTANT whose opinion is contained in this Report\*  
Windham Brannon, P.C.

3630 Peachtree Road, NE, Suite 600 Atlanta Georgia 30326  
(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	

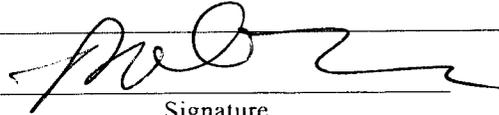
\*Claims for exemption from the requirement that the annual report be covered by the opinion of an independent public accountant must be supported by a statement of facts and circumstances relied on as the basis for the exemption. See Section 240.17a-5(e)(2)

CPA  
5/24/14

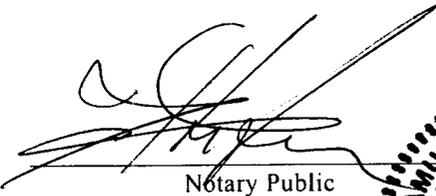
OATH OR AFFIRMATION

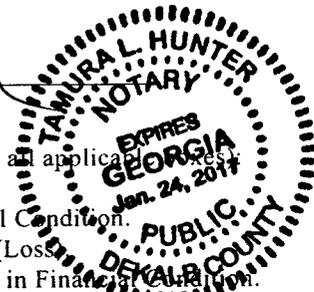
I, Robert Winborne, swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statement and supporting schedules pertaining to the firm of Brookwood Associates, LLC, as of December 31, 2013, are true and correct. I further swear (or affirm) that neither the company nor any partner, proprietor, principal officer or director has any proprietary interest in any account classified solely as that of a customer, except as follows:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

  
Signature

\_\_\_\_\_  
Title

  
Notary Public



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

- (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).

# Brookwood Associates, L.L.C.

## Statements of Financial Condition December 31, 2013 and 2012

	2013	2012
<b>Assets</b>		
<b>Current assets</b>		
Cash	\$ 2,808,782	\$ 4,166,231
Accounts receivable, net of allowance for doubtful accounts of \$8,294 in 2013 and 2012	80,605	170,250
Other receivables	10,000	26,849
<b>Total current assets</b>	<b>2,899,387</b>	<b>4,363,330</b>
<b>Property, furniture and equipment, net of accumulated depreciation of \$370,261 in 2013 and \$336,090 in 2012</b>	<b>86,925</b>	<b>100,715</b>
<b>Other assets</b>		
Deposits	22,150	22,150
<b>Total assets</b>	<b>\$ 3,008,462</b>	<b>\$ 4,486,195</b>
<b>Liabilities and members' equity</b>		
<b>Current liabilities</b>		
Accounts payable and accrued expenses	\$ 1,218,214	\$ 1,535,072
<b>Accrued lease obligation</b>	<b>142,281</b>	<b>171,610</b>
<b>Members' equity</b>	<b>1,647,967</b>	<b>2,779,513</b>
<b>Total liabilities and members' equity</b>	<b>\$ 3,008,462</b>	<b>\$ 4,486,195</b>