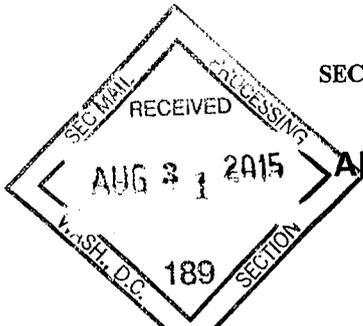


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**ANNUAL AUDITED REPORT  
FORM X-17A-5  
PART III**

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 07/01/14 AND ENDING 06/30/15  
MM/DD/YY MM/DD/YY

**A. REGISTRANT IDENTIFICATION**

NAME OF BROKER-DEALER: Googins Advisors, Inc.

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

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

6417 University Avenue

(No. and Street)

Middleton

(City)

WI

(State)

53562-3417

(Zip Code)

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT

Louise P. Googins, President

(608)836-3229

(Area Code - Telephone Number)

**B. ACCOUNTANT IDENTIFICATION**

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

Beggin Tipp Lamm LLC

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

1415 E State St. Suite 608

(Address)

Rockford

(City)

IL

(State)

61104

(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)

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.

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OATH OR AFFIRMATION

I, Louise P. Googins, swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statement and supporting schedules pertaining to the firm of Googins Advisors, Inc., as of June 30, 20 15, 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:

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

*Signed before me on 3/28/15  
Dane County, WI*

Louise P. Googins  
Signature

President  
Title

*my commission  
expires 4/26/19*

  
Notary Public

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

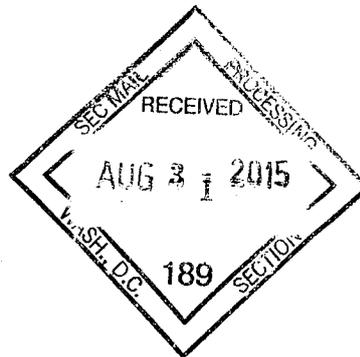
- (a) Facing Page.
- (b) Statement of Financial Condition.
- (c) Statement of Income (Loss).
- (d) Statement of Changes in Financial Condition.
- (e) Statement of Changes in Stockholders' Equity or Partners' or Sole Proprietors' Capital.
- (f) Statement of Changes in Liabilities Subordinated to Claims 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).

GOOGINS ADVISORS, INC.

ANNUAL AUDIT REPORT

For the Year Ended  
June 30, 2015



**BEGGIN TIPP LAMM** LLC

---

CERTIFIED PUBLIC ACCOUNTANTS

STRATEGIC THINKING • PROFESSIONAL INTEGRITY

GOOGINS ADVISORS, INC.

ANNUAL AUDIT REPORT

For the Year Ended  
June 30, 2015

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STRATEGIC THINKING • PROFESSIONAL INTEGRITY

## REPORT OF INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM

Board of Directors  
Googins Advisors, Inc.  
Middleton, WI

We have audited the accompanying financial statements of Googins Advisors, Inc., which comprise the statement of financial condition as of June 30, 2015, and the related statements of income, changes in stockholders' equity, and cash flows for the year 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 and supplemental information. Googins Advisors Inc.'s management is responsible for these financial statements. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with the standards of the Public Company Accounting Oversight Board (United States). Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. The company is not required to have, nor were we engaged to perform, an audit of its internal control over financial reporting. Our audit included consideration of internal control over financial reporting as a basis for designing 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 over financial reporting. Accordingly, we express no such opinion. An audit also includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial condition of Googins Advisors, Inc. as of June 30, 2015, and the results of its operations and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

The information on pages 12 through 16 has been subjected to audit procedures performed in conjunction with the audit of Googins Advisors, Inc.'s financial statements. The supplemental information is the responsibility of Googins Advisors, Inc.'s management. Our audit procedures included determining whether the supplemental information reconciles to the financial statements or the underlying accounting and other records, as applicable, and performing procedures to test the completeness and accuracy of the information presented in the supplemental information. In forming our opinion on the supplemental information, we evaluated whether the supplemental information, including its form and content, is presented in conformity with Rule 17a-5 of the Securities Exchange Act of 1934. In our opinion, the supplemental information is fairly stated, in all material respects, in relation to the financial statements as a whole.



Rockford, Illinois  
August 25, 2015

**GOOGINS ADVISORS, INC.**  
**STATEMENT OF FINANCIAL CONDITION**  
**June 30, 2015**

| <u>ASSETS</u>  | <u>2015</u>         |
|--|---------------------|
| <b>CURRENT:</b>  |                     |
| Cash and cash equivalents  | \$ 1,418,355        |
| Commissions receivable   | 81,979              |
| Marketable securities  | 14,643              |
| <b>TOTAL ASSETS</b>  | <b>1,514,977</b>    |
| <b>FIXED ASSETS, at cost:</b>  |                     |
| Leasehold improvements   | 274,201             |
| Office equipment   | 156,725             |
| <b>TOTAL FIXED ASSETS</b>  | <b>430,926</b>      |
| Less accumulated depreciation  | (226,431)           |
| <b>NET FIXED ASSETS</b>  | <b>204,495</b>      |
| <b>INTANGIBLE ASSETS:</b>  |                     |
| Customer lists   | 62,541              |
| Less accumulated amortization  | (34,696)            |
| <b>TOTAL INTANGIBLE ASSETS</b>   | <b>27,845</b>       |
| <b>TOTAL ASSETS</b>  | <b>\$ 1,747,317</b> |
| <u>LIABILITIES AND STOCKHOLDERS' EQUITY</u>  |                     |
| <b>CURRENT LIABILITIES:</b>  |                     |
| Accounts payable   | \$ 6,875            |
| Accrued retirement contribution  | 69,000              |
| Income taxes payable   | 222,200             |
| Deferred income taxes  | 21,500              |
| Due to shareholder   | 800,066             |
| <b>TOTAL LIABILITIES</b>   | <b>1,119,641</b>    |
| <b>STOCKHOLDERS' EQUITY</b>  |                     |
| Common stock, \$1 par value shares, 50,000<br>shares authorized, 10,000 shares<br>issued and outstanding | 10,000              |
| Less treasury stock (5000 shares at par value)   | (5,000)             |
| Retained earnings  | 622,676             |
| <b>TOTAL STOCKHOLDERS' EQUITY</b>  | <b>627,676</b>      |
| <b>TOTAL LIABILITIES AND STOCKHOLDERS' EQUITY</b>  | <b>1,747,317</b>    |

The accompanying notes are an integral part of the financial statements.

**GOOGINS ADVISORS, INC.**  
**STATEMENT OF INCOME**  
**For the Year Ended June 30, 2015**

|                                |                   |
|--------------------------------|-------------------|
| <b>REVENUE:</b>                |                   |
| Commissions                    | \$ 2,539,210      |
| Investment income              | 1,706             |
| Unrealized gain on investments | 3,057             |
|                                | 2,543,974         |
| <br><b>EXPENSES:</b>           |                   |
| Directors fees                 | 70,000            |
| Salaries and benefits          | 1,359,090         |
| Independent contractors        | 17,292            |
| Payroll processing             | 2,110             |
| Repairs                        | 3,952             |
| Rents                          | 99,000            |
| Payroll taxes                  | 53,592            |
| Advertising                    | 41,018            |
| Printing and publication       | 2,128             |
| Insurance                      | 13,360            |
| Retirement contribution        | 75,997            |
| Retirement plan fees           | 7,154             |
| Accounting fees                | 23,792            |
| Legal and professional         | 67,229            |
| Fees and licenses              | 24,511            |
| Telephone                      | 8,758             |
| Office supplies and postage    | 16,355            |
| Computer expense               | 25,907            |
| Contributions                  | 2,550             |
| Client gifts                   | 14,302            |
| Meeting expense                | 3,816             |
| Travel and mileage             | 3,814             |
| Meals and entertainment        | 2,211             |
| Interest expense               | 1,764             |
| Depreciation                   | 22,817            |
| Amortization                   | 4,650             |
| Miscellaneous                  | 1,528             |
|                                | 1,968,697         |
| Income before income taxes     | 575,276           |
| Income tax expense             | 238,945           |
| <b>NET INCOME</b>              | <b>\$ 336,331</b> |

The accompanying notes are an integral part of the financial statements.

**GOOGINS ADVISORS, INC.**  
**STATEMENT OF CHANGES IN STOCKHOLDER'S EQUITY**  
**For the Year Ended June 30, 2015**

|                        | Common<br>Stock | Treasury<br>Stock | Retained<br>Earnings | Total      |
|------------------------|-----------------|-------------------|----------------------|------------|
| Balance, June 30, 2014 | \$ 10,000       | \$ (5,000)        | \$ 286,345           | \$ 291,345 |
| Net income             | -               | -                 | 336,331              | 336,331    |
| Balance, June 30, 2015 | \$ 10,000       | \$ (5,000)        | \$ 622,676           | \$ 627,676 |

The accompanying notes are an integral part of the financial statements.

**GOOGINS ADVISORS, INC.**  
**STATEMENT OF CASH FLOWS**  
**For the Year Ended June 30, 2015**

CASH FLOWS FROM OPERATING ACTIVITIES:

|  |                            |
|--|----------------------------|
| Net Income   | <u>\$ 336,331</u>          |
| Adjustment to reconcile net income to net cash<br>provide by operating activities: |                            |
| Depreciation   | 22,817                     |
| Amortization   | 4,650                      |
| Unrealized gain on investment  | (3,057)                    |
| Receivables  | 3,563                      |
| Accounts payable   | (10,577)                   |
| Accrued retirement contribution  | (67,915)                   |
| Income taxes   | <u>197,669</u>             |
| Total adjustments  | <u>147,151</u>             |
| Net cash provided by operating activities  | 483,482                    |
| CASH FLOWS FROM FINANCING ACTIVITIES,  |                            |
| Increase due to stockholders   | <u>(208,909)</u>           |
| NET INCREASE IN CASH   | 274,573                    |
| CASH AND CASH EQUIVALENTS, beginning of year                                       | <u>1,143,782</u>           |
| CASH AND CASH EQUIVALENTS, end of year   | <u><u>\$ 1,418,355</u></u> |

The accompanying notes are an integral part of the financial statements.

**GOOGINS ADVISORS, INC.**  
**NOTES TO FINANCIAL STATEMENTS**

**NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

**Operations**

Googins Advisors, Inc. formerly known as Googins & Anton, Inc. (the Company) operates as a broker in registered securities and other investments. The Company introduces and forwards, as a broker, all security transactions and accounts to Pershing LLC, which carries such accounts on a fully disclosed basis. Commissions receivable consist of amounts due from Pershing LLC, and other companies for whom the Company has sold annuities or mutual funds.

**Income Taxes**

Deferred income taxes result from the use of the accrual method for financial reporting purposes and the cash basis for tax purposes.

**Recognition of Revenue**

All securities and annuity transactions and related revenue and expenses are generally recorded on a trade-date basis.

**Cash Equivalents**

All highly liquid securities purchased with an original maturity of three months or less are considered to be cash equivalents.

**Use of Estimates**

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Actual results could differ from those estimates.

**Commissions Receivable**

Commissions receivable are recorded at the amount the Company expects to collect on balances outstanding at year-end. Management closely monitors outstanding balances and writes off, as of year-end, all balances deemed uncollectable by the time the financial statements are issued.

**Equipment and depreciation**

Property and equipment is stated at cost. Depreciation is computed over estimated useful lives of the assets using various depreciation methods. Depreciation expense totaled \$7,825 for the year ended June 30, 2015.

Repairs and maintenance are charged to expense when incurred and renewals and betterments are capitalized. When fixed assets are retired or otherwise disposed of, the cost and related accumulated depreciation are removed from the accounts with any resulting gain or loss reflected in income.

**Intangible Assets**

Intangible assets are stated at cost and are amortized using the straight-line method over 15 years. Amortization expense totaled \$4,650 for the year ended June 30, 2015.

GOOGINS ADVISORS, INC.

NOTES TO FINANCIAL STATEMENTS (Continued)

**NOTE 2 – FAIR VALUE MEASUREMENTS**

Financial Accounting Standards Board (FASB) Accounting Standards Codification (ASC) Topic 820, Fair Value Measurements, establishes a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarchy gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (level 1 measurements) and the lowest priority to unobservable inputs (level 3 measurements). The three levels for the fair value hierarchy under SFAS No. 157 are described below:

*Level 1*

Inputs to the valuation methodology are unadjusted quoted prices for identical assets or liabilities in active markets.

*Level 2*

Inputs to the valuation methodology include quoted prices for similar assets and liabilities in active markets, and inputs that are observable for the asset or liability, either directly or indirectly, for substantially the full term of the financial instrument.

*Level 3*

Inputs to the valuation methodology are unobservable and significant to the fair value measurement.

Marketable equity securities held by the Company at June 30, 2015, consist of 300 shares of NASDAQ OMX Group stock which is valued at the unadjusted quoted prices in active markets for identical assets (Level 1) at year-end.

| <u>June 30, 2015</u>    | <u>Original Cost</u> | <u>Market Value</u> |
|-------------------------|----------------------|---------------------|
| NASDAQ OMX common stock | \$ 3,300             | \$ 14,643           |

**NOTE 3 – NET CAPITAL REQUIREMENTS**

The Company is subject to the Uniform Net Capital Rule of the Securities and Exchange Commission, which requires the maintenance of a minimum net capital of \$5,000 at June 30, 2015, and that the ratio of aggregated indebtedness to net capital, both of which are defined, should not exceed 15 to 1. Net capital as of June 30, 2015 was \$625,480 and aggregated indebtedness was \$1,119,641. The ratio of aggregated indebtedness to net capital at June 30, 2015 was 1.79 to 1.

**GOOGINS ADVISORS, INC.**

**NOTES TO FINANCIAL STATEMENTS (Continued)**

**NOTE 4 – OPERATING LEASE COMMITMENTS AND RELATED PARTY TRANSACTIONS**

The Company's operating facility is leased from a stockholder of the Company under a verbal lease agreement. Rent expense totaled \$99,000 for the year ended June 30, 2015.

**NOTE 5 – PROFIT SHARING: 401(k) SAVINGS PLAN & CASH BALANCE PENSION PLAN**

The Company maintained a profit sharing pension plan which covered all employees who met eligibility requirements. This plan was terminated May 1, 2015. The Company made a safe harbor match equal to 3% of eligible employee salaries. Retirement contribution expense for this plan totaled \$14,797 for the year ended June 30, 2015.

A Cash Balance Pension Plan was established on May 1, 2015. The plan covers all employees who meet eligibility requirements. Retirement contribution expense for this plan totaled \$61,200 for the year ended June 30, 2015.

**NOTE 6 – INCOME TAXES**

The Company has adopted the provisions of FASB Interpretation No. (FIN) 48 "Accounting for Uncertainty in Income Taxes". FIN 48 clarifies the accounting for uncertainty in income taxes by prescribing a minimum recognition threshold for a tax position taken or expected to be taken in a tax return that is required to be met before being recognized in the financial statements. The application of the provisions of FIN 48 did not result in the creation of unrecognized tax benefits as of June 30, 2015.

The Company files federal and Wisconsin tax returns. The Company is no longer subject to federal and Wisconsin income tax examinations by tax authorities for the years before 2011.

The Company's income tax expense for the year ended June 30, 2015 consists of the following:

|                         |                   |
|-------------------------|-------------------|
| Taxes currently payable | \$ 242,445        |
| Deferred taxes          | <u>(3,500)</u>    |
| Income tax expense      | <u>\$ 238,945</u> |

**GOOGINS ADVISORS, INC.**

**NOTES TO FINANCIAL STATEMENTS (Continued)**

**NOTE 7 – COMMITMENTS AND CONTINGENCIES**

The Company's management has indicated that there are no commitments or guarantees against the assets of the Company. In addition, they have also indicated that there are no contingencies regarding litigation or arbitration.

**NOTE 8 – ADVERTISING COSTS**

The Company's management has elected to expense advertising costs as they are incurred. Advertising costs for the year ended June 30, 2015 is \$41,018.

**NOTE 9 – SUBSEQUENT EVENTS**

The Company's management has evaluated subsequent events through August 25, 2015, the date the financial statements were available to be issued, and has concluded that there are no significant subsequent events that would require adjustment to or disclosure in the financial statements.

**GOOGINS ADVISORS, INC.**  
**COMPUTATION OF NET CAPITAL REQUIRED BY RULE 15C3-1**  
**OF THE SECURITIES AND EXCHANGE COMMISSION**  
June 30, 2015

## COMPUTATION OF NET CAPITAL

|   |                       |
|---|-----------------------|
| Total Stockholders' Equity Qualified for net capital  | \$ 627,676            |
| Deduct haircuts on securities (computed, where applicable, pursuant<br>To Rule 15c3-1 (f) other securities) | <u>(2,196)</u>        |
| <br>NET CAPITAL   | <br><u>\$ 625,480</u> |

GOOGINS ADVISORS, INC.  
COMPUTATION OF NET CAPITAL REQUIRED BY RULE 15C3-1  
OF THE SECURITIES AND EXCHANGE COMMISSION  
June 30, 2015

COMPUTATION OF BASIC NET REQUIREMENT

|  |                   |
|--|-------------------|
| Net capital                                      | <u>\$ 625,480</u> |
| Net capital requirement                          | <u>\$ 5,000</u>   |
| Excess net capital                               | <u>\$ 620,480</u> |
| Excess net capital at 1000% (net cap -10% of AI) | <u>\$ 513,516</u> |

COMPUTATION OF AGGREGATE INDEBTEDNESS

|   |                     |
|---|---------------------|
| Total A.I. Liabilities                              | <u>\$ 1,119,641</u> |
| Percentage of aggregate indebtedness to net capital | <u>179.00%</u>      |

**GOOGINS ADVISORS, INC.**  
**SUMMARY OF AUDIT ADJUSTMENTS**  
**TO COMPUTATION OF NET CAPITAL REQUIREMENT**  
**June 30, 2015**

|  |                   |
|--|-------------------|
| Net capital as previously reported in the Financial and Operation Combined<br>and Operation Combined Uniform Single Report -<br>Part IIA (Unaudited) | \$ 445,091        |
| Audit adjustments:   |                   |
| Income taxes   | (150,611)         |
| Retirement accrual   | <u>331,000</u>    |
| Net capital as currently reported on Schedule I  | <u>\$ 625,480</u> |

**GOOGINS ADVISORS, INC.**  
**COMPUTATION FOR DETERMINATION OF RESERVE REQUIREMENT**  
**REQUIRED BY RULE 15C3-3 OF THE SECURITIES AND EXCHANGE COMMISSION**  
**June 30, 2015**

The Company is exempt from Rule 15C3-3 under paragraph (k) (2) (ii). The Company clears all transactions with and for customers on a fully disclosed basis with Pershing LLC, or other qualified investment companies, and promptly transmits all customer funds and securities, to Pershing LLC, or other qualified investment companies, which carries all of the accounts of such customers and maintains and preserves such books and records pertaining thereto pursuant to the requirements of Rules 17A-3 and 17A-4, as are customarily made and kept by a clearing broker or dealer.

**GOOGINS ADVISORS, INC.**  
**INFORMATION RELATING TO THE POSSESSION OR CONTROL REQUIREMENTS**  
**REQUIRED BY RULE 15C3-3 OF THE SECURITIES AND EXCHANGE COMMISSION**  
**June 30, 2015**

The Company is exempt from the possession and control requirements of Rule 15C3-3 under paragraph (k)(2)(ii). The company clears all transactions with and for customers on a fully disclosed basis either directly with mutual fund or insurance companies the Company has proper selling agreements with, or with Pershing LLC or other qualified investment companies, and promptly transmits all customer funds and securities to either each mutual fund or insurance company, or with Pershing, LLC, which carry all of the accounts of such customers and maintains and preserves such books and records pertaining thereto pursuant to the requirements of Rules 17A-3 and 17A-4, as are customarily made and kept by a clearing broker or dealer.

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## REPORT OF INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM

To the Board of Directors  
of Googins Advisors, Inc.

We have reviewed management's statements, included in the accompanying exemption report, in which (1) Googins Advisors, Inc. identified the following provisions of 17 C.F.R. §15c3-3(k) under which Googins Advisors, Inc. claimed an exemption from 17 C.F.R. §240.15c3-3 (k) (2) (ii) and (2) Googins Advisors, Inc. stated that they met the identified exemption provisions throughout the most recent fiscal year without exception. Googins Advisors, Inc.'s management is responsible for compliance with the exemption provisions and its statements.

Our review was conducted in accordance with the standards of the Public Company Accounting Oversight Board (United States) and, accordingly, included inquiries and other required procedures to obtain evidence about Googins Advisors, Inc.'s compliance with the exemption provisions. A review is substantially less in scope than an examination, the objective of which is the expression of an opinion on management's statements. Accordingly, we do not express such an opinion.

Based on our review, we are not aware of any material modifications that should be made to management's statements referred to above for them to be fairly stated, in all material respects, based on the provisions set forth in paragraph (k) (2) (ii) of Rule 15c3-3 under the Securities Exchange Act of 1934.



Rockford, Illinois

August 25, 2015

Googins Advisors, Inc.  
6417 University Avenue  
Middleton, WI 53262

Googins Advisors, Inc.'s Exemption Report

Googins Advisors, Inc. (the "Company") is a registered broker-dealer subject to Rule 17a-5 promulgated by the Securities and Exchange Commission (17 C.F.R. §240.17a-5, "Reports to be made by certain broker dealers"). This exemption report was prepared as required by 17 C.F.R. §240.17a-5(d)(1) and (4). To the best of its knowledge and belief, the Company states the following:

(1)The Company claimed an exemption from 17 C.F.R. §240.15c3-3 under the following provisions of 17 C.F.R. §240.15c3-3(k)(2)(ii)

(2)The Company stated that they met the identified exemption provisions throughout the most recent fiscal year without exception.

Googins Advisors, Inc.

I, Louise Googins, swear (or affirm) that, to my best knowledge and belief, this Exemption Report is true and correct.

By: Louise Googins

Title: President

August 25, 2015

STRATEGIC THINKING • PROFESSIONAL INTEGRITY

INDEPENDENT ACCOUNTANTS' AGREED UPON PROCEDURES REPORT  
ON SCHEDULE OF ASSESSMENT AND PAYMENTS (FORM SIPC-7)

To the Board of Directors  
Googins Advisors, Inc.  
Middleton, Wisconsin

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 Schedule of Assessment and Payments [General Assessment Payment (Form SIPC-6) and General Assessment Reconciliation (Form SIPC-7)] to the Securities Investor Protection Corporation (SIPC) for the year ended June 30, 2015, which were agreed to by Googins Advisors, Inc. and the Securities and Exchange Commission, Financial Industry Regulatory Authority, Inc., and SIPC solely to assist you and the other specified parties in evaluating Googins Advisors, Inc.'s compliance with the applicable instructions of the General Assessment Payment (Form SIPC-6) and General Assessment Reconciliation (Form SIPC-7). Googins Advisors, Inc.'s management is responsible for the Googins Advisors, Inc.'s compliance with those requirements. 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 we performed and our findings are as follows:

1. Compared the listed assessment payments in Form SIPC-6 and Form SIPC-7 with respective cash disbursements in the general ledger and to copies of disbursed checks noting no differences;
2. Compared the amounts reported on the audited Form X-17A-5 for the quarters ended September 30, 2014, December 31, 2014, March 31, 2015 and June 30, 2015, as applicable, with the amounts reported in Form SIPC-6 and Form SIPC-7 for the year ended June 30, 2015, noting no differences;
3. Proved the arithmetical accuracy of the calculations reflected in Form SIPC-6 and Form SIPC-7 and with Form X-17A-5 and Googins Advisors, Inc.'s Statement of Income supporting the adjustments noting no differences;

We were not engaged to, and did not conduct an examination, the objective of which would be the expression of an opinion on compliance. 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 or should not be used by anyone other than these specified parties.

  
Rockford, Illinois  
August 25, 2015

**BEGGIN TIPP LAMM LLC**

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