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OMB APPROVAL	
OMB Number:	3235-0123
Expires:	May 31, 2017
Estimated average burden hours per response.....	12.00

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

SEC  
 Mail Processing  
 Section  
 FEB 27 2017

SEC FILE NUMBER
8-67236

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 01/01/2016 AND ENDING 12/31/2016  
MM/DD/YY MM/DD/YY

**A. REGISTRANT IDENTIFICATION**

NAME OF BROKER-DEALER: BHK Securities, LLC  
 ADDRESS OF PRINCIPAL PLACE OF BUSINESS: (Do not use P.O. Box No.)  
220 Lakeshore Drive, Suite 250

OFFICIAL USE ONLY
FIRM I.D. NO.

(No. and Street)  
Birmingham Alabama 35209  
(City) (State) (Zip Code)

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT  
J. Bailey Knight 205-322-2025  
(Area Code - Telephone Number)

**B. ACCOUNTANT IDENTIFICATION**

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

Pearce, Bevill, Leesburg, Moore, P.C.

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

110 Office Park Drive, Suite 100 Birmingham Alabama 35223  
(Address) (City) (State) (Zip Code)

CHECK ONE:

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

<b>FOR OFFICIAL USE ONLY</b>

\*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)

JCO

OATH OR AFFIRMATION

I, J. Bailey Knight, swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statement and supporting schedules pertaining to the firm of BHK Securities, LLC, as of December 31, 2016, 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:

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

J. Bailey Knight  
Signature  
CEO  
Title

Melissa Robbins  
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).



11/13/2013

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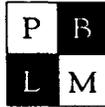
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Matthew H. Young, CPA  
Thomas C. Zoebelcin, CPA, MBA, CGMA

## REPORT OF INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM

To the Member of  
BHK Securities, LLC  
Birmingham, Alabama

We have audited the accompanying financial statements of BHK Securities, LLC (the Company) which comprise the statements of financial condition as of December 31, 2016 and 2015, and the related statements of income, changes in member's 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 and supplemental information. The Company's management is responsible for these financial statements. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits 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 audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of BHK Securities, LLC as of December 31, 2016 and 2015, and the results of its operations and its cash flows for the years then ended in conformity with accounting principles generally accepted in the United States of America.

The accompanying Schedule I - Computation of Net Capital Under Rule 15c3-1 of the Securities and Exchange Commission has been subjected to audit procedures performed in conjunction with the audit of the Company's financial statements. The supplemental information is the

**Members:**

- The American Institute of Certified Public Accountants
- The Alabama Society of Certified Public Accountants
- PCPS - The AICPA Alliance for CPA Firms
- National CPA Health Care Advisors Association

responsibility of the Company'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.

Pearce, Bevell, Leesburg, Moore, P.C.

February 15, 2017

**BHK SECURITIES, LLC**

**STATEMENTS OF FINANCIAL CONDITION  
DECEMBER 31, 2016 AND 2015**

---

<b>ASSETS</b>		
	<b>2016</b>	<b>2015</b>
<b>CURRENT ASSETS</b>		
Cash and cash equivalents	\$ 302,537	\$ 346,727
Receivable from clearing organization		
Clearing deposit	101,398	101,392
Other	48,806	22,875
Due from related party	<u>1,050</u>	<u>515</u>
<b>TOTAL CURRENT ASSETS</b>	<u><u>\$ 453,791</u></u>	<u><u>\$ 471,509</u></u>
 <b>LIABILITIES AND MEMBER'S EQUITY</b>		
<b>CURRENT LIABILITIES</b>		
Accounts payable	\$ 612	\$ 1,930
Accounts payable - related party	14,492	15,372
Accrued expenses	17,004	16,763
Current deferred revenue	<u>14,286</u>	<u>14,286</u>
<b>TOTAL CURRENT LIABILITIES</b>	46,394	48,351
Long-term deferred revenue	<u>58,333</u>	<u>72,619</u>
<b>TOTAL LIABILITIES</b>	104,727	120,970
<b>MEMBER'S EQUITY</b>		
Member's equity	<u>349,064</u>	<u>350,539</u>
<b>TOTAL LIABILITIES AND MEMBER'S EQUITY</b>	<u><u>\$ 453,791</u></u>	<u><u>\$ 471,509</u></u>

See report of independent registered public accounting firm and notes to financial statements.

**BHK SECURITIES, LLC**

**STATEMENTS OF INCOME  
FOR THE YEARS ENDED DECEMBER 31, 2016 AND 2015**

	<b>2016</b>	<b>2015</b>
<b>REVENUES</b>		
Commissions	\$ 1,442,824	\$ 1,615,295
Other income	151,228	62,010
Interest and dividends	2,266	2,497
	<u>1,596,318</u>	<u>1,679,802</u>
<b>EXPENSES</b>		
Employee compensation and benefits	712,280	843,313
Occupancy	96,774	79,502
Communications and data processing	74,787	80,423
Professional fees	72,439	79,051
Business and professional development	48,872	55,755
Exchange and clearance fees	39,122	44,654
Business taxes and licenses	35,747	31,651
Office and administrative	25,193	25,969
Insurance	12,254	11,378
Trading errors	7,356	-
	<u>1,124,824</u>	<u>1,251,696</u>
<b>NET INCOME</b>	<u>\$ 471,494</u>	<u>\$ 428,106</u>

See report of independent registered public accounting firm and notes to financial statements.

**BHK SECURITIES, LLC**

**STATEMENTS OF CHANGES IN MEMBER'S EQUITY  
FOR THE YEARS ENDED DECEMBER 31, 2016 AND 2015**

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<b>Member's Equity, January 1, 2015</b>	<b>\$ 374,434</b>
Distributions paid to member	(452,001)
Net income	<u>428,106</u>
<b>Member's Equity, December 31, 2015</b>	<b>350,539</b>
Distributions paid to member	(472,969)
Net income	<u>471,494</u>
<b>Member's Equity, December 31, 2016</b>	<b><u><u>\$ 349,064</u></u></b>

See report of independent registered public accounting firm and notes to financial statements.

**BHK SECURITIES, LLC****STATEMENTS OF CASH FLOWS  
FOR THE YEARS ENDED DECEMBER 31, 2016 AND 2015**

	<b>2016</b>	<b>2015</b>
<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>		
Net income	\$ 471,494	\$ 428,106
Adjustments to reconcile net income to net cash provided by operating activities:		
Changes in operating assets and liabilities:		
Clearing deposit	(6)	-
Receivable from clearing organization - other	(25,931)	(1,226)
Due from related party	(535)	(515)
Accounts payable	(1,318)	1,245
Accounts payable - related party	(880)	15,372
Accrued expenses	241	183
Deferred revenue	<u>(14,286)</u>	<u>86,905</u>
<b>CASH PROVIDED BY OPERATING ACTIVITIES</b>	<b>428,779</b>	<b>530,070</b>
<b>CASH FLOWS FROM FINANCING ACTIVITIES</b>		
Distributions to members	<u>(472,969)</u>	<u>(452,001)</u>
<b>CASH USED BY FINANCING ACTIVITIES</b>	<u>(472,969)</u>	<u>(452,001)</u>
<b>NET INCREASE (DECREASE) IN CASH AND AND CASH EQUIVALENTS</b>	<b>(44,190)</b>	<b>78,069</b>
<b>CASH AND CASH EQUIVALENTS AT BEGINNING OF YEAR</b>	<u>346,727</u>	<u>268,658</u>
<b>CASH AND CASH EQUIVALENTS AT END OF YEAR</b>	<u><u>\$ 302,537</u></u>	<u><u>\$ 346,727</u></u>

See report of independent registered public accounting firm and notes to financial statements.

**BHK SECURITIES, LLC**  
NOTES TO FINANCIAL STATEMENTS  
FOR THE YEARS ENDED DECEMBER 31, 2016 AND 2015

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**1. ORGANIZATION AND NATURE OF BUSINESS**

BHK Securities, LLC (the Company) is an introducing Broker Dealer that was organized in 2006 as an LLC with perpetual duration for the purpose of engaging in the business of effecting transactions in securities for the accounts of others, effecting transactions in securities for the Company's own account, to act as intermediary between buyers and sellers, to charge commissions, to act as an agent when buying securities to act as a principal when selling securities and to engage in all other activities related incidental thereto. The Company is a broker-dealer registered with the Securities and Exchange Commission (SEC) and is a member of various exchanges and the Financial Industry Regulatory Authority ("FINRA"). The Company is a wholly owned subsidiary of BHK Holdings, LLC (the Parent).

**2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

***Basis of Presentation*** - The Company is engaged in a single line of business as a securities broker-dealer, which comprises several classes of services. The financial statements are prepared on the accrual basis of accounting in accordance with U.S. generally accepted accounting principles.

***Evaluation of subsequent events*** - Management has assessed subsequent events through February 15, 2017, the date the financial statements were available to be issued and concluded no events or transactions occurred during that period requiring recognition or disclosure.

***Use of Estimates*** - The preparation of financial statements in conformity with U.S. generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenue and expenses during the reporting period. Actual results could differ from those estimates.

***Cash and Cash Equivalents*** - For the purposes of the Statement of Cash Flows, the Company considers all highly liquid investments, with an original maturity of three months or less, that are not held for sale, to be cash equivalents. From time to time, the Company may maintain cash balances with financial institutions in excess of federally insured limits.

***Receivable from Clearing Organization*** - The Company reports receivables at net realizable value. Management determines the allowance for doubtful accounts based on historical losses and current economic conditions. On a continuing basis, management analyzes delinquent receivables and once these receivable are determined to be uncollectible they are written-off through a charge against an

existing allowance account or against earnings. The Company is also required, by agreement, to maintain at all times a broker's deposit account with its clearing broker in the amount of \$100,000.

**Investment Advisory and Account Supervision Income** - Investment advisory and account supervision commissions and fees are received quarterly but are recognized as earned on a pro rata basis over the term of the contract.

**Commissions** - Commissions and related clearing expenses are recorded on a trade-date basis as securities transactions occur.

**Income taxes** - The Company is a limited liability company. Accordingly, under the Internal Revenue Code, all taxable income or loss flows through to its members. Therefore, no income tax expense or liability is recorded in the accompanying financial statements.

The Company follows guidance pertaining to accounting for uncertainty in income taxes. As a result of this adoption, management assessed whether there were any uncertain tax positions which may give rise to income tax liabilities and determined that there were no such matters requiring recognition in the accompanying financial statements. The Company files income tax returns in the U.S. federal jurisdiction and the state of Alabama. With few exceptions, the Company is no longer subject to U.S. federal, state and local, or non-U.S. income tax examinations by tax authorities for years before 2013.

### **3. RECLASSIFICATIONS**

Certain reclassifications have been made to the 2015 financial statements in order to conform to the current year's format. Member's equity and net income remain unchanged due to these classifications.

### **4. TRANSACTIONS WITH CLEARING ORGANIZATION**

The Company has entered into a clearing agreement with First Clearing, LLC. Under the terms of this agreement, the Company utilizes the clearing, execution and other services provided by First Clearing, LLC (FCL). Specific services include execution of orders for the Company's customers whose cash or margin accounts have been accepted by FCL; generation, preparation and mailing of confirmations of customer accounts; preparation and mailing of summary monthly or quarterly statements; settlements of contracts and transactions in securities; engagement in all cashiering functions for the customer accounts; construction and maintenance of books and records for all transactions executed and cleared through FLC; and, reporting of orders entered into FCL's order entry system by FCL on behalf of the Company in accordance with the FINRA Order Audit Trail System (OATS).

Under this agreement, the Company is required at all times to maintain a minimum net capital of \$250,000, as computed in accordance with Rule 15c3-1. The

Company was in compliance with respect to this agreement at December 31, 2016 and 2015.

## 5. RELATED PARTY TRANSACTIONS

The Company is a wholly owned subsidiary of BHK Holdings, LLC. In connection with this relationship, the Company and its Parent have executed an expense sharing agreement whereby the Company receives a monthly allocation of expenses incurred by the Parent on its behalf. During 2016 and 2015, the Company incurred expenses under this agreement totaling \$690,564 and \$786,865, respectively. The Company owed its Parent Company \$14,492 and \$15,372 related to these intercompany transactions which are included in accounts payable – related party in the accompanying balance sheets as of December 31, 2016 and 2015, respectively. Included in these amounts is a provision for rent payments. The total amount of rent expensed by the Company for the years ended December 31, 2016 and 2015 amounted to \$93,991 and \$73,316, respectively. The Company's portion of future minimum rent payments as of December 31, 2016 is as follows:

2017	\$ 95,875
2018	97,797
2019	<u>91,294</u>
	<u>\$ 284,966</u>

## 6. EMPLOYEE BENEFIT PLANS

The Company participates in the Parent Company's 401k profit sharing retirement plan covering all employees who meet eligibility requirements. The Company's annual discretionary contribution to the plan is based on employee eligible earnings and results of the Company's operations. The Company expensed \$37,445 and \$33,695 for contributions to the plan on behalf of its employees for the years ended December 31, 2016 and 2015, respectively.

## 7. NET CAPITAL REQUIREMENTS

The Company is subject to the Securities and Exchange Commission Uniform Net Capital Rule (SEC Rule 15c3-1), which requires the maintenance of minimum net capital and requires the ratio of aggregate indebtedness to net capital, both as defined, shall not exceed 15 to 1 (and the rule of the "applicable" exchange also provides that equity capital may not be withdrawn or cash dividends paid if the resulting net capital ratio would exceed 10 to 1). At December 31, 2016 and 2015, the Company had net capital of \$339,935 and \$341,062, respectively, which were \$239,935 and \$241,062, respectively, in excess of its required minimum net capital of \$100,000. The Company's percentage of aggregate indebtedness to net capital was 9.45% for 2016 and 9.79% for 2015.

**8. COMPUTATION FOR DETERMINATION OF RESERVE REQUIREMENTS UNDER  
RULE 15c3-3 OF THE SECURITIES AND EXCHANGE COMMISSION**

The Company is exempt from the provisions of Rule 15c3-3 under the Security Exchange Act of 1934 pursuant to paragraph (k)(2)(i) of the rule.

**9. INFORMATION RELATING TO THE POSSESSION OR CONTROL  
REQUIREMENTS UNDER RULE 15c3-3 OF THE SECURITIES AND EXCHANGE  
COMMISSION**

The Company is exempt from the provisions of Rule 15c3-3 under the Security Exchange Act of 1934 pursuant to paragraph (k)(2)(i) of the rule.

**SUPPLEMENTARY INFORMATION**

**BHK SECURITIES, LLC**

**SCHEDULE I  
COMPUTATION OF NET CAPITAL UNDER RULE 15c3-1 OF THE  
SECURITIES AND EXCHANGE COMMISSION  
AS OF DECEMBER 31, 2016**

**COMPUTATION OF NET CAPITAL**

Total member's equity qualified for net capital	\$ 349,064
Non-allowable assets:	
Due from related party	<u>(1,050)</u>
Net Capital before haircuts on securities positions	348,014
Haircuts on 15c3-1(f) securities:	
Money market funds	<u>(8,079)</u>
<b>Net Capital</b>	<b><u><u>\$ 339,935</u></u></b>

**COMPUTATION OF AGGREGATE INDEBTEDNESS**

Total liabilities from Statement of Financial Condition	\$ 104,727
Less: Deferred revenue	<u>72,619</u>
<b>Total aggregate indebtedness</b>	<b><u><u>\$ 32,108</u></u></b>

**COMPUTATION OF BASIC NET CAPITAL REQUIREMENT**

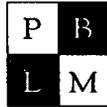
Minimum dollar net capital requirement of reporting broker	\$ 100,000
Excess net capital	239,935
Percentage of aggregate indebtedness to net capital	9.45%

**Reconciliation with Company's computations**

(included in Part II of Form X-17A-5 as of December 31, 2016):

Net capital, as reported in the Company's Part IIA (unaudited) FOCUS Report	<u>\$ 339,935</u>
<b>Net Capital per above</b>	<b><u><u>\$ 339,935</u></u></b>

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## INDEPENDENT ACCOUNTANTS' REVIEW REPORT ON MANAGEMENT'S EXEMPTION REPORT

To the Member of  
BHK Securities, LLC

We have reviewed management's statements, included in the accompanying Exemption Report, in which (1) BHK Securities, LLC identified the following provisions of 17 C.F.R. §15c3-3(k) under which BHK Securities, LLC claimed an exemption from 17 C.F.R. §240.15c3-3: (2)(ii) (the "exemption provisions") and (2) BHK Securities, LLC stated that BHK Securities, LLC met the identified exemption provisions throughout the most recent fiscal year without exception. BHK Securities, LLC'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 BHK Securities, LLC'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.

*Pearce, Bevell, Leesburg, Moore, P.C.*

February 15, 2017

**Members:**

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- The Alabama Society of Certified Public Accountants
- PCPS - The AICPA Alliance for CPA Firms
- National CPA Health Care Advisors Association



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www.bhklc.com

### Exemption Report

Throughout the fiscal year ended December 31, 2016, BHK Securities LLC ("Broker-Dealer") claimed an exemption to SEC Rule 15c3-3 pursuant to paragraph k(2)(ii) ("identified exemption provision").

Broker-Dealer has met the identified exemption provision throughout the most recent fiscal year without exception.

A handwritten signature in black ink, appearing to be "Burt" followed by a large, stylized flourish that loops back to the right.

Authorized Signature

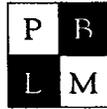
CEO

Title

1.27.17

Date

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 James Norris, CPA



**PEARCE, BEVILL,  
 LEESBURG, MOORE, PC.**  
 CERTIFIED PUBLIC ACCOUNTANTS

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 Thomas C. Zoebel, CPA, MBA, CGMA

**INDEPENDENT ACCOUNTANTS' REPORT  
 REQUIRED BY SEC RULE 17a-5(e)(4)  
 ON APPLYING AGREED-UPON PROCEDURES  
 RELATED TO AN ENTITY'S  
 SIPC ASSESSMENT RECONCILIATION**

To the Member of  
 BHK Securities, LLC

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 Reconciliation (Form SIPC-7)] to the Securities Investor Protection Corporation (SIPC) for the year ended December 31, 2016, which were agreed to by BHK Securities, LLC, and the Securities and Exchange Commission, Financial Industry Regulatory Authority, Inc., and the SIPC, solely to assist you and the other specified parties in evaluating BHK Securities, LLC's compliance with the applicable instructions of the General Assessment Reconciliation (Form SIPC-7). BHK Securities, LLC's management is responsible for the BHK Securities, LLC's compliance with those requirements. This agreed-upon procedures engagement was conducted in accordance with attestation standards established by the Public Company Accounting Oversight Board (United States). 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-7 with respective cash disbursement records entries in the general ledger noting no differences;
2. Compared the amounts reported on the audited Form X-17A-5 for the year ended December 31, 2016, as applicable, with the amounts reported in Form SIPC-7 for the year ended December 31, 2016, noting no differences;
3. Compared any adjustments reported in Form SIPC-7 with supporting schedules and working papers noting no differences;

**Members:**

- The American Institute of Certified Public Accountants
- The Alabama Society of Certified Public Accountants
- PCPS - The AICPA Alliance for CPA Firms
- National CPA Health Care Advisors Association

4. Proved the arithmetical accuracy of the calculations reflected in Form SIPC-7 and in the related schedules and working papers supporting any adjustments noting no differences; and
5. Compared the amount of any overpayment applied to the current assessment with the Form SIPC-7 on which it was originally computed 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 and should not be used by anyone other than these specified parties.

*Pearce, Bevell, Leesburg, Moore, P.C.*

February 15, 2017

**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**

**SIPC-7**

(33-REV 7/10)

For the fiscal year ended December 31, 2016

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

**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:

**BHK Securities LLC**  
2200 Lakeshore Drive, Suite 250  
Birmingham, AL 35209  
SEC# 8-67236      FINRA# 139665      DEC

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.

Robby Hazzard (205)874-1000

**WORKING COPY**

- 2. A. General Assessment (Item 2e from page 2) \$ 3,266
- B. Less payment made with SIPC-6 filed (exclude Interest) ( 1,703 )  
07/30/2016  
Date Paid
- C. Less prior overpayment applied ( \_\_\_\_\_ )
- D. Assessment balance due or (overpayment) 1,563
- 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) \$ 1,563
- G. PAID WITH THIS FORM:  
Check enclosed, payable to SIPC  
Total (must be same as F above) \$ 1,563
- 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.

**BHK Securities LLC**

(Name of Corporation, Partnership or other organization)

*[Signature]*  
(Authorized Signature)

Dated the 6 day of FEBRUARY, 2017.

CEO

(Title)

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:

**BHK SECURITIES, LLC**  
**AUDITED FINANCIAL STATEMENTS AND**  
**SUPPLEMENTARY INFORMATION**  
**YEARS ENDED DECEMBER 31, 2016 and 2015**

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