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

SEC FILE NUMBER
8-53161

Washington DC
406

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: **Maia Securities, Inc.**

OFFICIAL USE ONLY
FIRM I.D. NO.

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

18958 Daisetta Street, Suite 305

(No. and Street)

Rowland Heights

CA

91748

(City)

(State)

(Zip Code)

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

James K. Tien

626-581-7658

(Area Code - Telephone Number)

B. ACCOUNTANT IDENTIFICATION

INDEPENDENT PUBLIC ACCOUNTANT whose opinion is contained in this Report*

Edward Richardson, CPA

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

15565 Northland Dr Suite 508

West Southfield

Michigan

48075

(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)

SEC 1410 (06-02)

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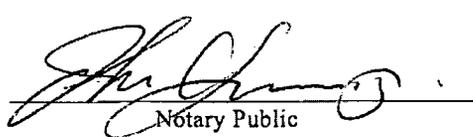
OATH OR AFFIRMATION

I, James K. Tien, swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statement and supporting schedules pertaining to the firm of Maia Securities, Inc. 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:


Signature

C.E.O.

Title


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).

Maia Securities Inc

Financial Statements and Supplemental Schedules

Required by the U.S. Securities and Exchange Commission

Including Independent Auditor's Report Thereon

For the Year-Ended December 31, 2016

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*Edward Richardson Jr., CPA
15565 Northland Dr W Ste 508
Southfield, MI 48075
248-559-4514*

Independent Auditor's Report

Board of Directors
Maia Securities, Inc.
18958 Daisetta Street, Suite #305
Rowland Heights, CA 91748

Report on the Financial Statements

I have audited the accompanying statement of financial condition of Maia Securities, Inc. as of December 31, 2016 and the related statements of income, changes in stockholder's equity, changes in liabilities to claims of general creditors, and cash flows for the year ended. These financial statements are the responsibility of Maia Securities, Inc. management. My responsibility is to express an opinion on these financial statements based on my audit.

Auditor's Responsibility

I conducted this audit in accordance with the standards of the Public Company Accounting Oversight Board (United States). Those standards require that I plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. I believe that my audit provides a reasonable basis for my opinion.

Opinion

In my opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Maia Securities, Inc. as of December 31, 2016, and results of its operations and its cash flows to the year then ended in conformity with accounting principles generally accepted in the United States.

Other Matters

The Supplemental Information has been subjected to audit procedures performed with audit of Maia Securities, Inc. financial statements. Supplemental Information is the responsibility of Maia Securities, Inc.'s management. My 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 my opinion on the

Supplemental Information, I evaluated whether the net Capital Computation, including its form and content is presented in conformity 17 C.F.R. # 240 17a-5. In my opinion, the Net Capital Computation is fairly stated, in all material respects, in relation to the financial statements as a whole.

Edward Richardson Jr. CPA

Edward Richardson Jr., CPA
Southfield, MI. 48075
February 10, 2017

Maia Securities Inc
Financial Statements
Statement of Financial Condition
As of and for the Year-Ended December 31, 2016

	Dec 31, 16
ASSETS	
Current Assets	
Checking/Savings	
Far East Bus DDA	36,614.41
Tomato CD	263,738.54
tomato checking	2,798.55
Total Checking/Savings	303,151.50
Accounts Receivable	
Account Receivable	40,935.06
Total Accounts Receivable	40,935.06
Other Current Assets	
Dain Correspondent	63,351.86
Other Receivable	13,972.61
Prepaid Taxes	676.00
Total Other Current Assets	78,000.47
Total Current Assets	422,087.03
Fixed Assets	
Accumulated Amortization	-6,731.39
Accumulated Depreciation	-100,675.00
Automobile	79,358.79
Computer	28,854.24
Leasehold Improvements	6,731.39
Office Equipment	13,661.12
Office furniture & fixtures	35,291.50
Total Fixed Assets	56,490.65
Other Assets	
Deposits	3,200.00
Total Other Assets	3,200.00
TOTAL ASSETS	481,777.68

LIABILITIES & EQUITY

Liabilities	
Current Liabilities	
Other Current Liabilities	
Accrued Expense	8,201.59
Commission Payable	58,239.63
Payroll Liabilities	15,567.53
Pension Payable	<u>60,000.00</u>
Total Other Current Liabilities	<u>142,008.75</u>
Total Current Liabilities	<u>142,008.75</u>
Total Liabilities	142,008.75
Equity	
Add'l Paid-in-Capital	119,765.00
C Corp Retained Earnings	11,245.86
Common Stock	30,819.00
Retained Earnings	1,625,885.58
S Corp. Withdrawal	-
Net Income	<u>34,825.45</u>
Total Equity	<u>339,768.93</u>
TOTAL LIABILITIES & EQUITY	<u><u>481,777.68</u></u>

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

Maia Securities Inc
Financial Statements
Statement of Income Statement
As of and for the Year-Ended December 31, 2016

	Jan - Dec 16
Ordinary Income/Expense	
Income	
Sales-Commission	759,593.70
Total Income	759,593.70
Expense	
Amortization Expense	468.99
Automobile Expense	4,949.67
Bank Service Charges	30.00
Cleaning	6,000.00
Clearance Fee	256,092.00
Commissions	180,343.50
Depreciation Expense	5,295.00
Exchange Fee	2,792.00
Freight Out	68.75
Income Tax- State	800.00
Insurance Expense	21,516.77
Legal & Professional Expense	18,271.00
Miscellaneous	11,004.48
Office Supplies	1,646.37
Outside Services	7,212.87
Pension Expense	60,000.00
Postage and Delivery	1,642.13
Rent Expense	9,520.00
Rental Equipment	17,585.24
Salaries and Wages	83,000.00
System Access Fee	43,123.73
Taxes- Payroll	6,700.30
Taxes-Business Property	331.22
Telephone Expense	2,806.14
Travel Expense	5,387.85
Utilities	1,944.60
Total Expense	748,532.61
Net Ordinary Income	11,061.09

Other Income/Expense	
Other Income	
Interest Income	23,625.70
Other Income	<u>138.66</u>
Total Other Income	<u>23,764.36</u>
Net Other Income	<u>23,764.36</u>
Net Income	<u><u>34,825.45</u></u>

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

Maia Securities Inc
Financial Statements
Statement of Cash Flows
As of and for the Year-Ended December 31, 2016

	Jan - Dec 16
OPERATING ACTIVITIES	
Net Income	34,825.45
Adjustments to reconcile Net Income to net cash provided by operations:	
Account Receivable	-40,935.06
Dain Correspondent	-63,351.86
Other Receivable	-13,972.61
Prepaid Taxes	-676.00
Accrued Expense	8,201.59
Commission Payable	58,239.63
Payroll Liabilities	15,567.53
Pension Payable	60,000.00
Net cash provided by Operating Activities	57,898.67
INVESTING ACTIVITIES	
Accumulated Amortization	6,731.39
Accumulated Depreciation	100,675.00
Automobile	-79,358.79
Computer	-28,854.24
Leasehold Improvements	-6,731.39
Office Equipment	-13,661.12
Office furniture & fixtures	-35,291.50
Deposits	-3,200.00
Net cash provided by Investing Activities	-59,690.65
FINANCING ACTIVITIES	
Add'l Paid-in-Capital	119,765.00
C Corp Retained Earnings	11,245.86
Common Stock	30,819.00
Retained Earnings	1,625,885.58
S Corp. Withdrawal	1,482,771.96
Net cash provided by Financing Activities	304,943.48
Net cash increase for period	303,151.50
Cash at end of period	303,151.50

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

Maia Securities Inc
Financial Statements
Statement of Changes in Ownership Equity
For the Year Ended December 31, 2016

	Common Stock Shares	Common Stock	Paid-In Capital	Retained Earnings	Total
Balance, December 31, 2016	1,000	\$ 30,819	\$ 119,765	\$ 204,539	\$ 354,943
Net Income				34,825	34,825
Distribution	<u> </u>	<u> </u>	<u> </u>	<u>(50,000)</u>	<u>(50,000)</u>
Balance, December 31, 2016	<u>1,000</u>	<u>\$ 30,819</u>	<u>\$ 119,765</u>	<u>\$ 189,184</u>	<u>\$ 339,768</u>

Maia Securities Inc
Financial Statements
Statement of Changes in Subordinated Liabilities
As of and for the Year-Ended December 31, 2016

Information relating to Subordinated Liabilities is not applicable to Maia Securities, Inc.

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

Maia Securities Inc
Notes to Financial Statements
As of and for the Year-Ended December 31, 2016

Note 1 – Organization and Nature of Business

Maia Securities, Inc. (the Company) was incorporated in the State of California on February 9, 2001. The Company is a registered broker-dealer with the Securities and Exchange Commission (SEC), the Financial Industry Regulatory Authority ("FINRA") and the Securities Investor Protection Corporation ("SIPC").

Note 2 – Significant Accounting Policies

Basis of Presentation – The Company conducts the following types of business as a securities broker-dealer, which comprises several classes of services, including:

- Broker or dealer retailing corporate equity securities over-the-counter
- Mutual fund retailer
- Put and call broker or dealer or option writer

Under its membership agreement with FINRA and pursuant to Rule 15c3 (k) (2) (ii), the Company conducts business on a fully disclosed basis and does not execute or clear securities transactions for customers. Accordingly, the Company is exempt from the requirement of Rule 15c3-3 under the Securities Exchange Act of 1934 pertaining to the possession or control of customer assets and reserve requirements.

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 revenues and expenses during the reporting period. Actual results could differ from those estimates.

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

Provision for Income Taxes – The Company has elected to be taxed under the provisions of subchapter S of the Internal Revenue Code and comparable State of California statutes wherein the Company's taxable federal and state income is taxed directly to the shareholder. Additionally, the state of California imposes a 1.5% state franchise tax on the corporation's taxable income.

The accounting principles generally accepted in the United States of America provides accounting and disclosure guidance about positions taken by an organization in its tax returns that might be uncertain. Management has considered its tax positions and believes that all of the positions taken by the Company in its Federal and State organization tax returns are more likely than not to be sustained upon examination. The Company is subject to examinations by U.S. Federal and State tax authorities from 2012 to the present, generally for three years after they are filed.

Depreciation – Depreciation is provided on a straight-line basis using estimated useful lives of five to ten years. Leasehold improvements are amortized over the lesser of the economic useful life of the improvement or the term of the lease.

Employee Benefit Plans – The Company sponsors a defined benefit pension plan and reports the funded status of the plan in its statement of financial position and measures the plan assets and benefit obligations as of December 31.

In December 2008, authoritative guidance was issued that requires employers to provide additional disclosures about plan assets of a defined benefit pension or other post-retirement plan. The objective of this guidance was to provide users of financial statements with an understanding of how investment allocation decisions are made, the major categories of plan assets held by the plans, the inputs and valuation techniques used to measure the fair value of plan assets, and fair value measurements determined using significant unobservable inputs of a reconciliation of changes between the beginning and ending balances. The Company adopted the new disclosure requirements for the year ended December 31, 2008 by disclosure in footnote 11 instead of flowing the changes in benefit plan through the financial statements.

Subsequent Events - Management has reviewed the results of operations for the period of time from its year end December 31, 2016 through February 10, 2017, the date the financial statements were available to be issued, and has determined that no adjustments are necessary to the amounts reported in the accompanying financial statements nor have any subsequent events occurred, the nature of which would require disclosure.

Note 3 - Fair Value

FASB ASC 820 defines fair value, establishes a framework for measuring fair value, and establishes a fair value hierarchy which prioritizes the inputs to valuation techniques. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. A fair value measurement assumes that the transaction to sell the asset or transfer the liability occurs in the principal market for the asset or liability or, in the absence of a principal market, the most advantageous market. Valuation techniques that are consistent with the market, income or cost approach, as specified by FASB ASC 820, are used to measure fair value.

The fair value hierarchy prioritizes the inputs to valuation techniques used to measure fair value into three broad levels:

- Level 1 inputs are quoted prices (unadjusted) in active markets for identical assets or liabilities the Company has the ability to access.
- Level 2 inputs are inputs (other than quoted prices included within level 1) that are observable for the asset or liability, either directly or indirectly.
- Level 3 inputs are unobservable inputs for the asset or liability and rely on management's own assumptions about the assumptions that market participants would use in pricing the asset or liability. (The unobservable inputs should be developed based on the best information available in the circumstances and may include the Company's own data.)

The following table presents the Company's fair value hierarchy for those assets and liabilities measured at fair value on a recurring basis as of December 31, 2016.

Fair Value Measurements on a Recurring Basis As of December 31, 2016

	Level 1	Level 2	Level 3	Total
Assets				
Certificate of Deposit	\$ 263,739	-	-	\$ 263,739
Clearing Deposit	\$ 63,352	-	-	\$ 63,352
Total	<u>\$ 327,091</u>			<u>\$ 327,091</u>

Note 4 – Receivable From and Payable to Broker-Dealers and Clearing Organizations

Amounts receivable from and payable to broker-dealers and clearing organizations at December 31, 2016, consist of the following:

	Receivable	Payable
Fees and commissions receivable/payable	\$ 40,935	\$ 0

Note 5 – Clearing Broker Deposit

The Company has an agreement with a clearing broker which requires a minimum deposit of \$50,000. The clearing broker deposit at December 31, 2016 was \$63,352.

Note 6 – Related Party

The Company has an expense sharing arrangement with an affiliate whereby the affiliate reimburses the Company 50% of all expenses including office space, telephone and office supplies. During the year ending December 31, 2016, the Company billed the affiliate \$13,972 and the balance receivable from the affiliate at December 31, 2016 is \$13,972.

It is possible that the terms of certain of the related party transactions are not the same as those that would result from transactions among wholly unrelated parties.

Note 7 - Concentration of Credit Risk

The customers' securities transactions are introduced on a fully-disclosed basis with its clearing broker-dealer. The clearing broker-dealer carries all of the accounts of the customers of the Company and is responsible for execution, collection and payment of funds, and receipt and delivery of securities relative to customers' transactions. Due to the possibility that the customers may charge any losses it incurs to the Company, the Company seeks to minimize this

risk through procedures designed to monitor the credit worthiness of its customers and to ensure that customer transactions are executed properly by the clearing broker-dealer.

Note 8 – Certificate of Deposit

The Company holds two certificates of deposit with a value of \$263,739 at December 31, 2016. Interest at 1.14% per annum, maturing on September 7, 2018.

Note 9 – Net Capital Requirements

The Company is subject to the SEC Uniform Net Capital Rule (SEC Rule 15c3-1), which requires the maintenance of minimum net capital and requires that the ratio of aggregate indebtedness to net capital, both as defined, shall not exceed 15 to 1. Rule 15c3-1 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, the Company had net capital of \$265,429 which was \$255,962 in excess of its required net capital of \$9,467. The Company's net capital ratio was .53 to 1.

Note 10 - Income Taxes

As discussed in Note 2 - Significant Accounting Policies, the Company is subject to a 1.5% tax on net income over the minimum tax of \$800. At December 31, 2016, the Company recorded \$800 in California taxes.

Note 11 – Employee Benefit Plans

The Company sponsors a contributory defined benefit pension plan for qualifying employees. The amount of the annual benefit to be paid at normal retirement date is based on credited service, which varies based on participant hire dates.

Economic assumptions used to determine the benefit obligations recognized in the statements of financial position are:

Discount rate	5%
Rate of compensation increase	5%

Weighted average assumptions used to determine the net periodic benefit cost are:

Discount rate	5.19%
Expected return on plan assets	6%
Rate of compensation increase	5%

The Company is utilizing a yield curve methodology to determine its discount rate. This methodology uses a weighted average yield to determine the plan's discount rate by forecasting the plan's expected benefit payments by year.

The expected return on plan assets was derived by reviewing historical returns, preparing several models about future expected returns using the current diversified asset mix and conducting a historical study of market recoverability.

For the year ending December 31, 2016, the Company expects to contribute \$ 60,000 to the defined benefit pension plan.

The following tables provide further information about the Company's pension plan:

December 31, 2016

Projected Benefit obligations	\$2,700,000
Fair value of plan assets, net of plan liabilities of	\$2,630,000
Net unfunded status of the plan recognized	
As a liability in the statement of financial positions	\$ 0
Employer contributions	\$ 60,000
Benefit payments	\$ 0
Accumulated benefit obligation	\$2,400,000
Periodic benefit cost for the year ended	\$ 0

Amounts in unrestricted net assets that have not yet been recognized as a component of net periodic benefit cost compromise the following:

	Unrecognized Prior Service Cost	Actuarial Loss
Balance, December 31, 2016	\$ 0	\$ 0

The amounts in unrestricted net assets are expected to be recognized as a component of net periodic benefit cost for the year ending December 31, 2016 are \$ 0 and \$ 0, representing amortization of net prior service cost and amortization of actuarial loss, respectively.

Estimated future defined benefit pension payments reflecting expected future service for each of the five years subsequent to December 31, 2016 and in the aggregate for the five years thereafter are as follows:

Year Ending December 31,	Amount
2017	0
2018	0
2019	0
2020-22	3,000,000

There were no significant changes to the plan during the year.

Note 12 – Exemption from the SEC Rule 15c3-3

Maia Securities, Inc. is an introducing broker-dealer that clears all transactions with and for customers on a fully disclosed basis with an independent securities clearing company and promptly transmits all customer funds and securities to the clearing company, which carries all of the accounts of such customers and maintains and preserves such books and records pertaining thereto pursuant to the requirements of the SEC Rule 17a-3 and 17a-4, as are customarily made and kept by a clearing broker or dealer.

Note 13 – Operating Lease Commitments

The company leased office space under a non-cancellation operating lease expiring September 16, 2016. The company subleases a portion of the office space. At December 31, 2016, future minimum lease payments were as follows:

2017 \$13,600

Rent expense for the year ended December 31, 2016 is \$9,600 net of share paid by affiliate.

Maia Securities Inc
Supplementary Schedules Pursuant to SEA Rule 17a-5
Of the Securities and Exchange Act of 1934
As of and for the Year-Ended December 31, 2016

Statement Related to Uniform Net Capital Rule

The Company is a member of the FINRA and is subject to the SEC Uniform Net Capital Rule 15c3-1. This rule requires the maintenance of minimum net capital and requires that the ratio of aggregate indebtedness to net capital, both as defined, shall not exceed 1500% (15 to 1), or, during its first year of operations, 800% (8:1). Net capital and the related net capital ratio may fluctuate on a daily basis. At December 31, 2016, the Company had net capital of \$ 265,429 which was \$255,962 in excess of its required net capital of \$ 9,467. The Company's net capital ratio was 0.53 : 1 . The Company has elected to use the basic computation method, as is permitted by the rule, which requires that the Company maintain minimum Net Capital pursuant to a fixed dollar amount or 6-2/3% percent of total aggregate indebtedness, as defined, whichever is greater, and does not, therefore, calculate its net capital requirement under the alternative reserve requirement method.

Computation of Net Capital

Stockholder's Equity		\$ 339,769
Non-Allowable Assets		
Property, furniture, equipment	\$ 56,491	
Rent deposit	3,200	
Receivable	14,649	
Total Non-Allowable Assets		\$ 74,340
Haircuts on Securities Positions		
Securities Haircuts	\$ -	
Undue Concentration Charges	-	
Total Haircuts on Securities Positions		\$ -
Net Allowable Capital		\$ 265,429

Computation of Net Capital Requirement

Minimum Net Capital Required as a Percentage of Aggregate Indebtedness	\$ 9,467
Minimum Dollar Net capital Requirement of Reporting Broker-Dealer	5,000
Net Capital Requirement	9,467
Excess Net Capital	255,962

Computation of Aggregate Indebtedness

Total Aggregate Indebtedness	\$ 142,009
Percentage of Aggregate Indebtedness to Net Capital	53.5%

Computation of Reconciliation of Net Capital

Net Capital Computed on FOCUS IIA as of December31, 2016	\$ 265,429
Adjustments	
Increase (Decrease) in Equity	-
(Increase) Decrease in Non-Allowable Assets	-
(Increase) Decrease in Securities Haircuts	-
Net Capital per Audit	\$ 265,429
Reconciled Difference	

Statement Related to Exemptive Provision (Possession and Control)

Maia Securities, Inc. is an introducing broker-dealer that clears all transactions with and for customers on a fully disclosed basis with an independent securities clearing company and promptly transmits all customer funds and securities to the clearing company, which carries all of the accounts of such customers and maintains and preserves such books and records pertaining thereto pursuant to the requirements of the SEC Rule 17a-3 and 17a-4, as are customarily made and kept by a clearing broker or dealer.

The Company does not have possession or control of customer's funds or securities.

REPORT ON BROKER DEALER EXEMPTION

For the year ended December 31, 2016

Edward Richardson, Jr., CPA
15565 Northland Suite 508 West
Southfield, MI. 48075

February 10, 2017
Board of Directors
Maia Securities, Inc.
18958 Daisetta Street,
Suite #305 Rowland Heights, CA 91748

REPORT OF INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM

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

My 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 Maia Securities, Inc. 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, I do not express such an opinion.

Based on my review, I'm 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.



Edward Richardson, Jr., CPA



美亞証券
Maia Securities, Inc.

Member of FINRA. SIPC

Date: 02/10/2017

Edward Richardson, CPA
15565 Northland Dr. Suite 508
West Southfield, Michigan 48075

Re: SEA Rule 17a-5(d) (4) Exemption Report

Dear MR. Richardson:

Pursuant to the referenced rule, the following information is provided.

Under its membership agreement with FINRA and pursuant to Rule 15c3-3 (k) (2) (ii), the Company conducts business on a fully disclosed basis and does not execute or clear securities transactions for customers.

Maia Securities Inc. met the Section 204, 15c3-3 (k) (2) (ii) exemption for the period January 1, 2016 to December 31, 2016

Sincerely,

James K. Tien
Principal / Maia Securities, Inc.

18958 Daisetta St. #305 Rowland Heights, CA 91748
Tel: (626) 581-7658 • Fax: (626) 581-7608

Statement Related to SIPC Reconciliation

If revenues exceed \$500,000 remove this Statement Related to SIPC Reconciliation in its entirety

SEA Rule 17a-5(e)(4) requires a registered broker-dealer to file a supplemental report which includes procedures related to the broker-dealer's SIPC annual general assessment reconciliation or exclusion from membership forms. In circumstances where the broker-dealer reports \$500,000 or less in gross revenue they are not required to file the supplemental SIPC report. The Company is exempt from filing the supplemental report under SEA Rule 17a-5(e)(4) because it is reporting less than \$500,000 in gross revenue.

**REPORT ON SIPC ASSESSMENT RECONCILIATION
For the year ended December 31, 2016**

Edward Richardson Jr., CPA
15565 Northland Drive
Suite 508 West
Southfield, MI 48075

To the Members of
Maia Securities, Inc.
18958 Daisetta Street,
Suite #305
Rowland Heights, CA 91748

**INDEPENDENT ACCOUNTANT'S AGREED-UPON PROCEDURES REPORT ON SCHEDULE OF
ASSESSMENT AND PAYMENTS**

In accordance with Rule 17a-5©(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 [Transitional Assessment Reconciliation (Form SIPC-7) to the Securities Investor Protection Corporation (SIPC) for the period January 1, 2016 to December 31, 2016, which were agreed to by Maia Securities, Inc., and the Securities and Exchange Commission, Financial Industry Regulatory Authority, Inc. and the SIPC, solely to assist you and other specified parties in evaluating Maia Securities, Inc.'s compliance with the applicable instructions of the Transitional Assessment Reconciliation (Form SIPC-7). Maia Securities, Inc.'s management is responsible for Maia Securities, Inc.'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. 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:

Compared the listed assessment payments represented on Form SIPC-7 with the respective cash disbursements record entries, including check amount of \$611.47.

Compared audited Total Revenue for the period of January 01, 2016 through the December 31, 20145 (fiscal year-end) with the amounts reported on Form SIPC-7 for the same period noting no reportable reconciliation differences.

Compared any adjustments reported Form SIPC-7 with supporting schedules and work papers, to the extent such exists, noting no differences.

Proved the arithmetical accuracy of the calculations reflected on Form SIPC-7 noting no differences.

If applicable, compared the amount of any overpayment applied to the current assessment with the Form SIPC-7 on which it was originally computed. According to our findings, Maia Securities, Inc. had no reportable differences.

I was not engaged to, and did not conduct an examination, the objective of which would be the expression of an opinion on compliance. Accordingly, I do not express such an opinion. Had I performed additional procedures, other matters might have come to my 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.

Edward Richardson Jr. CPA

February 10, 2017

Statement Related to Material Inadequacies

This audit did not disclose any material inadequacies since the previous audit of the financial statements contained within the audit report of the Computation of Minimum Net Capital Requirement as reported in the Supplemental Schedules contained within the audit report or the filed Financial and Operational Combined Uniform Single Report filed pursuant to SEA Rule 15c3-1. The firm is exempt from 15c3-3; it does not maintain customer funds or securities and therefore does not maintain customer funds to segregate nor does it maintain separate accounts for customers.