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**ANNUAL REPORTS  
 FORM X-17A-5  
 PART III**

FACING PAGE

Information Required Pursuant to Rules 17a-5, 17a-12, and 18a-7 under the Securities Exchange Act of 1934

FILING FOR THE PERIOD BEGINNING 01/01/21 AND ENDING 12/31/21  
MM/DD/YY MM/DD/YY

**A. REGISTRANT IDENTIFICATION**

NAME OF FIRM: Stock Traders DBA Joslin, Jeffrey Alex

TYPE OF REGISTRANT (check all applicable boxes):

- Broker-dealer     Security-based swap dealer     Major security-based swap participant  
 Check here if respondent is also an OTC derivatives dealer

ADDRESS OF PRINCIPAL PLACE OF BUSINESS: (Do not use a P.O. box no.)

16152 Beach Blvd., Suite 271

(No. and Street)

Huntington Beach CA 92647  
(City) (State) (Zip Code)

PERSON TO CONTACT WITH REGARD TO THIS FILING

Jeff Joslin (714) 375-1788 jeff@stocktradershb.com  
(Name) (Area Code – Telephone Number) (Email Address)

**B. ACCOUNTANT IDENTIFICATION**

INDEPENDENT PUBLIC ACCOUNTANT whose reports are contained in this filing\*

Tuttle & Bond, PLLC

(Name – if individual, state last, first, and middle name)

2954 Goehmann Lane Fredericksburg TX 78624  
(Address) (City) (State) (Zip Code)

03/19/2019 6543  
(Date of Registration with PCAOB)(if applicable) (PCAOB Registration Number, if applicable)

**FOR OFFICIAL USE ONLY**


\* Claims for exemption from the requirement that the annual reports be covered by the reports of an independent public accountant must be supported by a statement of facts and circumstances relied on as the basis of the exemption. See 17 CFR 240.17a-5(e)(1)(ii), if applicable.

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.

RMS

OATH OR AFFIRMATION

I, Jeff Joslin, swear (or affirm) that, to the best of my knowledge and belief, the financial report pertaining to the firm of Stock Traders, as of December 31, 2021, is true and correct. I further swear (or affirm) that neither the company nor any partner, officer, director, or equivalent person, as the case may be, has any proprietary interest in any account classified solely as that of a customer.

Signature:   
Title: Principal

See ATTACHED

Notary Public

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

- (a) Statement of financial condition.
- (b) Notes to consolidated statement of financial condition.
- (c) Statement of income (loss) or, if there is other comprehensive income in the period(s) presented, a statement of comprehensive income (as defined in § 210.1-02 of Regulation S-X).
- (d) Statement of cash flows.
- (e) Statement of changes in stockholders' or partners' or sole proprietor's equity.
- (f) Statement of changes in liabilities subordinated to claims of creditors.
- (g) Notes to consolidated financial statements.
- (h) Computation of net capital under 17 CFR 240.15c3-1 or 17 CFR 240.18a-1, as applicable.
- (i) Computation of tangible net worth under 17 CFR 240.18a-2.
- (j) Computation for determination of customer reserve requirements pursuant to Exhibit A to 17 CFR 240.15c3-3.
- (k) Computation for determination of security-based swap reserve requirements pursuant to Exhibit B to 17 CFR 240.15c3-3 or Exhibit A to 17 CFR 240.18a-4, as applicable.
- (l) Computation for Determination of PAB Requirements under Exhibit A to § 240.15c3-3.
- (m) Information relating to possession or control requirements for customers under 17 CFR 240.15c3-3.
- (n) Information relating to possession or control requirements for security-based swap customers under 17 CFR 240.15c3-3(p)(2) or 17 CFR 240.18a-4, as applicable.
- (o) Reconciliations, including appropriate explanations, of the FOCUS Report with computation of net capital or tangible net worth under 17 CFR 240.15c3-1, 17 CFR 240.18a-1, or 17 CFR 240.18a-2, as applicable, and the reserve requirements under 17 CFR 240.15c3-3 or 17 CFR 240.18a-4, as applicable, if material differences exist, or a statement that no material differences exist.
- (p) Summary of financial data for subsidiaries not consolidated in the statement of financial condition.
- (q) Oath or affirmation in accordance with 17 CFR 240.17a-5, 17 CFR 240.17a-12, or 17 CFR 240.18a-7, as applicable.
- (r) Compliance report in accordance with 17 CFR 240.17a-5 or 17 CFR 240.18a-7, as applicable.
- (s) Exemption report in accordance with 17 CFR 240.17a-5 or 17 CFR 240.18a-7, as applicable.
- (t) Independent public accountant's report based on an examination of the statement of financial condition.
- (u) Independent public accountant's report based on an examination of the financial report or financial statements under 17 CFR 240.17a-5, 17 CFR 240.18a-7, or 17 CFR 240.17a-12, as applicable.
- (v) Independent public accountant's report based on an examination of certain statements in the compliance report under 17 CFR 240.17a-5 or 17 CFR 240.18a-7, as applicable.
- (w) Independent public accountant's report based on a review of the exemption report under 17 CFR 240.17a-5 or 17 CFR 240.18a-7, as applicable.
- (x) Supplemental reports on applying agreed-upon procedures, in accordance with 17 CFR 240.15c3-1e or 17 CFR 240.17a-12, as applicable.
- (y) Report describing any material inadequacies found to exist or found to have existed since the date of the previous audit, or a statement that no material inadequacies exist, under 17 CFR 240.17a-12(k).
- (z) Other: \_\_\_\_\_

\*\*To request confidential treatment of certain portions of this filing, see 17 CFR 240.17a-5(e)(3) or 17 CFR 240.18a-7(d)(2), as applicable.



**Stock Traders**

**Financial Statements and Supplemental Schedules  
Required by the U.S. Securities and Exchange Commission**

**Including Independent Auditor's Report Thereon**

**December 31, 2021**

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**Stock Traders**  
**Independent Auditor's Opinion**  
**For the Year-ended December 31, 2021**



## REPORT OF INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM

To Proprietor of Stock Traders

### Opinion on The Financial Statements

We have audited the accompanying statement of financial condition of Stock Traders (the "Company") as of December 31, 2021, and the related statements of operations, proprietor's equity and cash flows for the year then ended, including the related notes (collectively referred to as "financial statements"). In our opinion, the financial statements present fairly, in all material respects, the financial position of the Company as of December 31, 2021, and the results of its operations and its cash flows for the year then ended in conformity with accounting principles generally accepted in the United States of America.

### Basis for Opinion

These financial statements are the responsibility of the Company's management. Our responsibility is to express an opinion on the Company's financial statements based on our audit. We are a public accounting firm registered with the Public Company Accounting Oversight Board (United States) (PCAOB) and are required to be independent with respect to the Company in accordance with the U.S. federal securities laws and the applicable rules and regulations of the Securities and Exchange Commission and the PCAOB.

We conducted our audit of these financial statements in accordance with standards of the PCAOB. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement, whether due to error or fraud. The Company is not required to have, nor were we engaged to perform, an audit of its internal control over financial reporting. As part of our audits we are required to obtain an understanding of internal control over financial reporting 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.

Our audit included performing procedures to assess the risks of material misstatement of the financial statements, whether due to error or fraud, and performing procedures that respond to those risks. Such procedures included examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements. Our audit also included evaluating the accounting principles used and significant estimates made by management, as well as, evaluating the overall presentation of the financial statements. We believe that the audit provides a reasonable basis for our opinion.

### Report on Supplementary Information

The accompanying information contained in the Supplementary Information section has been subjected to audit procedures performed in conjunction with the audit of the Company's financial statement. The supplemental information is the 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 under the Securities Exchange Act of 1934 and, if applicable, under Regulation 1.10 under the Commodity Exchange Act. In our opinion, the information contained in the Supplementary Information section is fairly stated, in all material respects, in relation to the financial statements as a whole.

TUTTLE & BOND, PLLC

*Tuttle Bond, PLLC*

Fredericksburg, Texas

February 17, 2022

We have served as the Stock Traders's auditor since 2019.

Stock Traders

Financial Statements

For the year ended December 31, 2021

Stock Traders  
Statement of Financial Condition  
For the year ended December 31, 2021

<b>Assets</b>	
<b>Current Assets</b>	
Cash and Cash Equivalents	49,544
Securities Held for Sale	525,025
Commissions Receivable	15,528
<b>Total Current Assets</b>	<u>590,097</u>
<b>Other Assets</b>	
Lease (Right Of Use)	4,941
Security Deposit	890
<b>Total Other Assets</b>	<u>5,831</u>
<b>Total Assets</b>	<u><u>\$595,928</u></u>
<b>Liabilities and Owner's Equity</b>	
<b>Current Liabilities</b>	
Accounts Payable	3,021
Commissions Payable	4,458
<b>Total Current Liabilities</b>	<u>7,479</u>
Long-Term Lease Liabilities	4,941
<b>Owner's Equity</b>	
Retained Earnings	311,408
Accumulated Other Comprehensive Income	272,100
<b>Total Owner's Equity</b>	<u>583,508</u>
<b>Total Liabilities and Owner's Equity</b>	<u><u>\$595,928</u></u>

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

Stock Traders  
Statement of Comprehensive Income  
For the year ended December 31, 2021

Total Revenue	\$714,917
Expenses	
Commissions	55,049
Rent	10,732
Accounting	5,500
Dues And Subscriptions	3,243
Telephone	2,848
Miscellaneous	2,785
Supplies and Insurance	<u>1,027</u>
Total Expenses	\$81,184
<b>INCOME FROM OPERATIONS</b>	<b>\$633,733</b>
<b>OTHER INCOME (OTHER EXPENSES)</b>	
Interest and Dividend Income	\$5,275
Investment Income	<u>142</u>
Total Other Income	\$5,417
<b>INCOME BEFORE PROVISION FOR INCOME TAXES</b>	<b>\$639,150</b>
<b>PROVISION FOR INCOME TAXES</b>	<b>-</b>
<b>NET INCOME</b>	<b><u><u>\$639,150</u></u></b>
<b>OTHER COMPREHENSIVE INCOME</b>	
Unrealized Gain or Loss from for sale security	<u>\$193,175</u>
<b>COMPREHENSIVE INCOME</b>	<b><u><u>\$832,325</u></u></b>

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

Stock Traders  
Statement of Cash Flows  
For the Year-Ended December 31, 2021

CASH FLOWS FROM OPERATING ACTIVITIES

<b>Net Income</b>	<b>\$639,150</b>
Adjustments to reconcile net income (loss) to net cash provided (used) by operations:	
Increases / (Decreases) in:	
Commissions Receivables	(\$4,754)
Accounts Payable	\$2,853
<b>Net cash provided by operating activities</b>	<b>\$637,249</b>

CASH FLOWS FROM FINANCING ACTIVITIES

Owner's Draws	(\$637,210)
<b>Net cash provided (used) by financing activities</b>	<b>(\$637,210)</b>
<b>NET INCREASE IN CASH</b>	<b>\$39</b>
CASH, beginning of year	\$49,505
CASH, end of year	\$49,544

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

Stock Traders  
Statement of Changes in Ownership Equity  
For the Year-Ended December 31, 2021

<b>BEGINNING OWNER'S EQUITY, at December 31, 2020</b>	<b>\$388,393</b>
<b>ADJUSTMENTS TO OWNER'S EQUITY</b>	
Net income	\$639,150
Unrealized Gains (Losses)	\$193,175
Owner's Draws	(\$637,210)
<b>ENDING OWNER'S EQUITY, at December 31, 2021</b>	<b><u>\$583,508</u></b>

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

Stock Traders  
Notes to Financial Statements  
As of and for the Year-Ended December 31, 2021

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

The summary of significant accounting policies of Stock Traders is presented to assist in the understanding of the Company's financial statements. The financial statements and notes are representations of the Company's management, who is responsible for their integrity and objectivity.

Nature of operations - Stock Traders (a sole proprietorship), is a brokerage company in Huntington Beach, California, which started operations on June 1, 1995. Introducing broker/dealers place all transactions through other registered broker/dealers, fully disclosing all of the customer accounts to the clearing firm, and does not clear transactions nor carry customer accounts. Clearing brokers are responsible for holding the securities of the customer and for furnishing customers with statements regarding their accounts.

Stock Traders is registered with the SEC (Securities and Exchange Commission), FINRA (Financial Industry Regulatory Authority), SIPC (Securities Investor Protection Corporation), and with the State of California, Department of Corporations.

Method of accounting -The Company maintains its books on the accrual method of accounting recognizing income when earned and expenses when incurred.

Cash and cash equivalents - For purposes of the statement of cash flows, the Company considers all short-term securities purchased with a maturity of three months or less 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. Accordingly, actual results could differ from those estimates.

Commissions earned - All trading commissions are received through clearing brokers. Net commission checks are received after clearing, execution and other fees have been deducted by the clearing broker. In accordance with ASC 606, the Company recognizes revenue when services are transferred to clients. Revenue is recognized based on the amount of consideration that management expects to receive in exchange for these services in accordance with the terms of the contract with the client. To determine the amount and timing of revenue recognition, the Company must (1) identify the contract with the client, (2) identify the performance obligations in the contract, (3) determine the transaction price, (4) allocate the transaction price to the performance obligations in the contract, and (5) recognize revenue when the Company satisfies a performance obligation.

Stock Traders  
Notes to Financial Statements  
As of and for the Year-Ended December 31, 2021  
(Continued)

**NOTE 2 - CASH AND CASH EQUIVALENTS**

Pursuant to contract terms between Stock Traders and Hilltop Securities, Inc. (a clearing broker), a minimum balance of \$ 10,000 must be maintained in Stock Traders' Hilltop Securities, Inc. cash accounts at all times. The minimum balance is subject to change at the discretion of Hilltop Securities, Inc. based upon Stock Traders sales volume, business mix, or other risks. Upon termination of the relationship, funds will be released to Stock Traders after all accounts debits and liabilities are satisfied.

Funds in the money market account are shown at cost, which approximates market value. Money market funds are mutual funds whose underlying securities are very short-term money market instruments invested in private or government securities that are highly liquid and low risk. Money market funds are not federally insured.

**NOTE 3 - SECURITY DEPOSIT/ OFFICE LEASE**

In 2019, the Company renewed its lease agreement for its office space for three more years, expiring on June 13th, 2022. The security deposit for the office space is \$890, which will be returned to Stock Traders upon termination of the office lease per agreement between lessor and lessee. The remaining future long term lease liabilities are \$4,941 and are listed as a liability on the balance sheet. The remaining future right-of-use value is \$4,941 and is listed as an asset on the balance sheet.

**NOTE 4 - FAIR VALUE OF FINANCIAL INSTRUMENTS**

Substantially all of the Company's current assets and liabilities are considered financial instruments. These assets and liabilities are reflected at fair value, or at carrying value that approximate fair value because of the short-term nature of the instrument. Other financial instruments consist of long- term obligations. The fair value of long-term obligations is estimated based on current interest rates offered to the Company for obligations with similar remaining maturities. The recorded value of these financial instruments approximated fair value at December 31st, 2021.

**NOTE 5 – OTHER COMMITMENTS AND CONTINGENCIES**

As of December 31, 2021, the Company had no other commitments or contingencies.

**NOTE 6 - SUBSEQUENT EVENTS**

Management has evaluated subsequent events through February 17, 2022, the date of which the financial statements were available to be issued and concluded that no subsequent events have occurred that would require recognition in the financial statements or disclosure in the notes to the financial statements.

**Stock Traders**

**Supplementary Information Section**

**Pursuant to SEA Rule 17a-5 of the Securities and Exchange Act of 1934**

**As of and for the year ended December 31, 2021**

Stock Traders

Supplementary Computations

Pursuant to SEA Rule 17a-5 of the Securities and Exchange Act of 1934

As of and for the year ended December 31, 2021

Computation of Net Capital

Total Stockholder's Equity	\$ 583,508
Allowable Subordinated Loans	\$ -
Non-Allowable Assets	\$ 16,070
Haircuts on Securities Positions	
Securities Haircuts	\$ 78,754
Undue Concentration Charges	\$ 54,491
Net Allowable Capital	\$ 434,193

Computation of Net Capital Requirement

Minimum Net Capital Required as a Percentage of Aggregate Indebtedness	\$ 828
Minimum Dollar Net Capital Requirement of Reporting Broker/Dealer	\$ 50,000
Net Capital Requirement	\$ 50,000
Excess Net Capital	\$ 384,193

Computation of Aggregate Indebtedness

Total Aggregate Indebtedness	\$ 12,420
Percentage of Aggregate Indebtedness to Net Capital	2.86%

Computation of Reconciliation of Net Capital

Net Capital Computed and Reported on FOCUS IIA December 31, 2021	\$ 434,193
Adjustments	
Increase (Decrease) in Equity	\$ -
Increase (Decrease) in Subordinated Loans	\$ -
(Increase) Decrease in Non-Allowable Assets	\$ -
(Increase) Decrease in Securities Haircuts	\$ 0
(Increase) Decrease in Undue Concentration Charges	\$ (0)
Net Capital per Audit	\$ 434,193
Reconciled Difference	\$ -

## Stock Traders

### Supplementary Statements

Pursuant to SEA Rule 17a-5 of the Securities and Exchange Act of 1934  
As of and for the year ended December 31, 2021

#### 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% (15:1), 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, 2021, the Company had net capital of \$434,193 which was \$384,193 in excess of its required net capital of \$50,000. The Company's ratio of aggregate indebtedness to net capital was 2.86%. 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. There were no material differences reported as Net Capital in the audited computation of Net Capital and the broker-dealer's corresponding unaudited Part IIA of the FOCUS report required under Rule 15c3-1.

#### Statement Related to Exemptive Provision (Possession and Control)

The Company does not have possession or control of customer's funds or securities. There were no material inadequacies in the procedures followed in adhering to the Company's stated exemptive provisions of SEA Rule 15c3-3-3(k)2(ii).

#### Statement Related to Material Inadequacies

This audit did not disclose any material inadequacies since the previous audit of the financial statements in the accounting system or in the internal control related to reporting or the practices and procedures required pursuant to Rule 17a-5. 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.

#### Statement Related to SIPC Reconciliation

SEA Rule 17a-5(e)(4) requires a registered broker-dealer not exempt from SIPC membership with gross revenues that exceed \$500,000 to file an Agreed Upon Procedures Report. In circumstances where the broker-dealer reports less than \$500,000 in gross revenue they are not required to an Agreed Upon Procedures Report. Broker-dealers exempt from SIPC membership are required to file a copy of Form SIPC 3 evidencing exclusion from membership and an Agreed Upon Procedures Report. If required to file, the relevant report shall be included in this Supplemental Information section. Please see that section in this reported for this information.

Stock Traders  
Supplementary Auditor's Report on Exemption Letter

Pursuant to SEA Rule 17a-5(d)(1)(i)(B)(2) Of the Securities and Exchange Act of 1934

As of and for the year ended December 31, 2021



Supplementary Schedules Pursuant to SEA Rule 17a-5  
of the Securities and Exchange Act of 1934  
For the Year-End December 31, 2021

Report of Independent Registered Public Accounting Firm  
Exemption Review Report Pursuant to 15c3-3

Exemption: 15c3-3(k)(2)(ii)

Jeff Joslin  
Stock Traders  
16152 Beach Blvd., Suite 271  
Huntington Beach, CA 92647

Dear Jeff Joslin,

We have reviewed management's statements, included in the accompanying Representation Letter of Exemptions, in which Stock Traders identified 15c3-3(k)(2)(ii) as the provision under 17 C.F.R. § 15c3-3(k) under which it claims exemption from 17 C.F.R. § 240.15c3-3. Stock Traders stated that it has met the 15c3-3(k)(2)(ii) exemption throughout the most recent fiscal year without exception, or, with exception, as noted in the Representation Letter of Exemption. Stock Traders'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 Stock Traders'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 my review, I am 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 Rule 15c3-3 under the Securities Exchange Act of 1934.

**TUTTLE & BOND, PLLC**

*Tuttle Bond, PLLC*

Fredericksburg, Texas  
February 17, 2022

Stock Traders

Supplementary Customer Protection Exemption Letter

Pursuant to SEA Rule 17a-5(d)(1)(i)(B)(2) of the Securities and Exchange Act of 1934

As of the year ended December 31, 2021

**Stock Traders**

16152 Beach Blvd., Suite 271  
Huntington Beach, CA 92647

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Tuttle & Bond, PLLC  
2954 Goehmann Lane  
Fredericksburg, TX 78624

Re: Exemption Report Pursuant to SEA Rule 17a-5(d)(1)(i)(B)(2)

To the best knowledge and belief, Stock Traders;

1. Claims exemption 15c3-3(k)(2)(ii) from 15c3-3;
2. We have met the identified exemption from January 01, 2021 through December 31, 2021, without exception, unless, noted in number 3, below;
3. We have no exceptions to report this fiscal year.

Regards,

  
Jeff Joslin  
Sole Proprietor  
Stock Traders

Stock Traders - (714) 375-1788 - jeff@stocktradershb.com

Stock Traders  
Supplementary Auditor's Agreed Upon Procedures Report

Pursuant to SEA Rule 17a-5(d)(1)(i)(B)(2) of the Securities and Exchange Act of 1934

As of the year ended December 31, 2021



## Stock Traders

### 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, 2021

#### Report of Independent Registered Public Accounting Firm on Applying Agreed Upon Procedures Pursuant to SEA Rule 17a-5(e)(4)

Stock Traders is a member of the Securities Investor Protection Corporation (SIPC). 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 Assessments and Payments, Forms SIPC-7 to the Securities Investor Protection Corporation (SIPC) for the periods through December 31, 2021, which were agreed to by Stock Traders and the Securities and Exchange Commission, Financial Industry Regulatory Authority and the SIPC, solely to assist you and other specified parties in evaluating Stock Traders's compliance with the applicable instructions of the Assessment Reconciliation Forms SIPC 7. Stock Traders's management is responsible for Stock Traders'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 and 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 were performed, and our findings are as follows:

1. Compared the listed assessment payments represented on Form SIPC 6 & 7 with the respective cash disbursements record entries, noting no differences.
2. Compared audited Total Revenue for the period of January 01, 2021 through December 31, 2021 (fiscal year-end) with the amounts reported on Forms SIPC-7, noting no differences.
3. Compared any adjustments reported on Form SIPC-7 with supporting schedules and work papers, to the extent such exists, noting no differences.
4. Proved the arithmetical accuracy of the calculations reflected on Form SIPC-7, noting no differences.
5. If applicable, 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 are not engaged to and did not conduct an examination for which the objective would be to express 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.

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.

**TUTTLE & BOND, PLLC**

*Tuttle Bond, PLLC*

Fredericksburg, Texas  
February 17, 2022

Stock Traders

Supplementary Agreed Upon Procedures Report SIPC Reconciliation

Pursuant to SEA Rule 17a-5(d)(1)(i)(B)(2) of the Securities and Exchange Act of 1934

As of the year ended December 31, 2021

Stock Traders  
December 31, 2021  
SIPC 7 Reconciliation

Total Due	\$	303
Overpayment Applied	\$	-
Balance Due after Applied Overpayment	\$	149

		<u>Date Paid:</u>	<u>Check #:</u>	<u>Paid To:</u>	
Paid with SIPC 6	\$	154	July 26, 2021	3676	SIPC
Paid with SIPC 7	\$	149	January 13, 2022	3690	SIPC
Total Paid	\$	303			
Reconciled Difference (Overpayment) Underpayment	\$	(0)			