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

SEC Mail Processing  
8-37065

SEC FILE NUMBER
8-37065

APR 11 2022

**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 01/01/2021 AND ENDING 12/31/2021  
MM/DD/YY MM/DD/YY

**A. REGISTRANT IDENTIFICATION**

NAME OF FIRM: TransAm Securities, Inc.

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.)

1111 Douglas Avenue

(No. and Street)

Altamonte Springs

FL

32714

(City)

(State)

(Zip Code)

PERSON TO CONTACT WITH REGARD TO THIS FILING

Aaron Bert, FINOPS    407-869-9800    aaron@financialgroup.com

(Name)

(Area Code – Telephone Number)

(Email Address)

**B. ACCOUNTANT IDENTIFICATION**

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

Haynie & Company

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

1785 West 2300 South

Salt Lake City

UT

84119

(Address)

(City)

(State)

(Zip Code)

10/20/2003

457

(Date of Registration with PCAOB)(if applicable)

(PCAOB Registration Number, if applicable)

**FOR OFFICIAL USE ONLY**

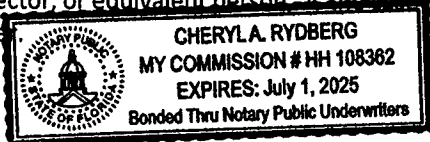
\* Claims for exemption from the requirement that the annual reports be covered by the reports of an independent public accountant must be supported by a statement of facts and circumstances relied on as the basis of the exemption. See 17 CFR 240.17a-5(e)(1)(ii), if applicable.

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RMS

### OATH OR AFFIRMATION

I, Aaron Bert, swear (or affirm) that, to the best of my knowledge and belief, the financial report pertaining to the firm of TransAm Securities, Inc., as of 12/31, 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.



Cheryl A. Rydberg  
Notary Public

Signature: [Signature]

Title:  
FINOPS

#### 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.

**TRANSAM SECURITIES, INC.**

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1785 West 2320 South  
Salt Lake City, UT 84119

801-972-4800

801-972-8941

www.HaynieCPAs.com

## REPORT OF INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM

To the Board of Directors and Shareholders  
of TransAm Securities, Inc.

### Opinion on the Financial Statements

We have audited the accompanying statement of financial condition of TransAm Securities, Inc. as of December 31, 2021, the related statement of income, changes in shareholder's equity, and cash flows for the year then ended, and the related notes (collectively referred to as the "financial statements"). In our opinion, the financial statements present fairly, in all material respects, the financial position of TransAm Securities, Inc. 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 TransAm Securities, Inc.'s management. Our responsibility is to express an opinion on TransAm Securities, Inc.'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 TransAm Securities, Inc. 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 in accordance with the 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 of material misstatement, whether due to error or fraud. 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 our audit provides a reasonable basis for our opinion.

### Auditor's Report on Supplemental Information

The supplemental information contained in the Computation of Net Capital has been subjected to audit procedures performed in conjunction with the audit of TransAm Securities, Inc.'s financial statements. The supplemental information is the responsibility of TransAm Securities, Inc.'s management. Our audit procedures included determining whether the supplemental information reconciles to the financial statements or the underlying accounting and other records, as applicable, and performing procedures to test the completeness and accuracy of the information presented in the supplemental information. In forming our opinion on the supplemental information, we evaluated whether the supplemental information, including its form and content, is presented in conformity with 17 C.F.R. §240.17a-5. In our opinion, the supplemental information contained in the Computation of Net Capital is fairly stated, in all material respects, in relation to the financial statements as a whole.

*Haynie & Company*

Haynie & Company  
Salt Lake City, Utah  
March 30, 2022

We have served as TransAm Securities, Inc.'s auditor since 2019.



An independently owned member  
RSM US Alliance

**RSM**

TRANSAM SECURITIES, INC.

STATEMENT OF FINANCIAL CONDITION  
DECEMBER 31, 2021

**ASSETS**

Cash and cash equivalents	\$	70,317
Other assets	\$	<u>4,967</u>
<i>Total assets</i>	\$	<u><u>75,284</u></u>

**LIABILITIES AND SHAREHOLDER'S EQUITY**

**LIABILITIES:**

Accounts payable	\$	-
Commissions payable	\$	<u>50</u>
<i>Total liabilities</i>	\$	<u><u>50</u></u>

**SHAREHOLDER'S EQUITY:**

Common stock, \$.01 par value; 1,000 shares authorized, issued and outstanding	\$	10
Additional paid-in capital	\$	38,000
Retained earnings	\$	<u>37,224</u>
<i>Total shareholder's equity</i>	\$	<u><u>75,234</u></u>
<i>Total liabilities and shareholder's equity</i>	\$	<u><u>75,284</u></u>

The accompanying notes are an integral part of these financial statements

TRANSAM SECURITIES, INC.  
STATEMENT OF INCOME (LOSS)  
YEAR ENDED DECEMBER 31, 2021

<b>REVENUE:</b>	
Commissions and fees	\$ 592,278
Other income	<u>\$ 640</u>
<i>Total revenue</i>	<u>\$ 592,918</u>
<b>EXPENSES:</b>	
Commissions and salaries	\$ 543,795
Professional fees	\$ 13,305
General and administrative expenses	\$ 52,482
Regulatory fees	<u>\$ 6,551</u>
<i>Total expenses</i>	<u>\$ 616,133</u>
<b>LOSS BEFORE INCOME TAX PROVISION</b>	<b>\$ (23,217)</b>
Income tax provision	<u>\$ -</u>
<b>NET LOSS</b>	<b><u>\$ (23,216)</u></b>

The accompanying notes are an integral part of these financial statements

TRANSAM SECURITIES, INC.

STATEMENT OF CHANGES IN SHAREHOLDER'S EQUITY  
YEAR ENDED DECEMBER 31, 2021

	Common stock		Additional	Retained	Total
	Shares	Amount	paid-in capital	earnings	
<b>BALANCES, December 31, 2020</b>	\$ 1,000	\$ 10	\$ 38,000	\$ 60,440	\$ 98,450
Net loss	\$ -	\$ -	\$ -	\$ (23,216)	\$ (23,216)
<b>BALANCES, December 31, 2021</b>	<u>\$ 1,000</u>	<u>\$ 10</u>	<u>\$ 38,000</u>	<u>\$ 37,224</u>	<u>\$ 75,234</u>

The accompanying notes are an integral part of these financial statements

TRANSAM SECURITIES, INC.

STATEMENT OF CASH FLOWS  
YEAR ENDED DECEMBER 31, 2021

<b>CASH FLOWS FROM OPERATING ACTIVITIES:</b>	
Net loss	\$ (23,216)
Adjustments to reconcile net income to net cash provided by operating activities:	
Decrease in commissions receivable	\$ 1,247
Increase in other assets	\$ (3,382)
Decrease in accounts payable	\$ (196)
Decrease in commissions payable	\$ (999)
<i>Net cash flows used by operating activities</i>	\$ 26,546
<b>CASH FLOWS FROM INVESTING ACTIVITIES:</b>	\$ - 0 -
<b>CASH FLOWS FROM FINANCING ACTIVITIES:</b>	\$ - 0 -
<b>NET DECREASE IN CASH</b>	\$ (26,546)
<b>CASH, at beginning of the year</b>	\$ 96,863
<b>CASH, at end of the year</b>	\$ 70,317
<b>Supplemental disclosure of cash flow information:</b>	
Cash paid for interest	\$ -
Cash paid for taxes	\$ (2,130)

The accompanying notes are an integral part of these financial statements

TRANSAM SECURITIES, INC.

**NOTES TO FINANCIAL STATEMENTS**

*For the year ended December 31, 2021*

**NOTE 1- NATURE OF OPERATIONS AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

**Nature of Operations and Organization**

TransAm Securities, Inc. (the "Company") is a securities broker-dealer registered with the Securities and Exchange Commission and is a member of the Financial Industry Regulatory Authority ("FINRA"), and the Securities Investor Protection Corporation ("SIPC"). The Company was incorporated under the laws of the state of Florida on November 21, 1986 as a securities broker-dealer.

The Company's primary activities include the sale of mutual funds and variable annuities.

**Cash Equivalents**

For purposes of reporting cash flow, cash and cash equivalents include money market accounts and any highly liquid debt instruments purchased with a maturity of three months or less.

**Commissions Receivable**

Commissions receivable are recorded at net realizable value. An allowance for doubtful accounts is provided based on prior collection experiences and management's analysis of specific accounts. The allowance is reviewed periodically and adjusted for commissions deemed uncollectible by management. In the opinion of management, no such allowance is deemed necessary at December 31, 2021.

**Revenue Recognition**

The Company recognizes revenue under the provisions of ASC 606 revenue from contracts with customers. ASC 606 requires that an entity recognize revenue to depict the transfer of promised goods or service to customers in an amount that reflects the consideration to which the entity expects to be entitled in exchange for those goods or services. The guidance requires an entity to follow a five-step model to (a) identify the contract(s) with a customer, (b) identify the performance obligations in the contract, (c) determine the transaction price, (d) allocate the transaction price to the performance obligations in the contract, and (e) recognize revenue when the entity satisfies a performance obligation.

TRANSAM SECURITIES, INC.

**NOTES TO FINANCIAL STATEMENTS**

*For the year ended December 31, 2021*

NOTE 1 – NATURE OF OPERATIONS AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

**Commissions**

*Brokerage commissions.* The Company buys and sells securities on behalf of its customers and each time a customer enters into a buy or sell transaction, the Company charges a commission. Commissions are recorded on the trade date and the trade blotter date. The Company believes that the performance obligation is satisfied on the trade date and the trade blotter date because that is when the underlying financial instrument or purchaser is identified, the pricing is agreed upon and the risks and rewards of ownership have been transferred to/from the customer.

**Use of Estimates**

The presentation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from these estimates.

**Computation of Customer Reserve**

The Company operates pursuant to the (k)(2)(i) exemptive provision of SEC Rule 15c3-3 and is therefore exempt from the computation for determination of reserve requirements. The Company is exempt from the possession and control requirements under SEC rule 15c3-3 in that it carries no customer accounts and promptly transmits all funds and securities to its clearing broker/dealers. The Company has set up a separate account called TransAm Securities, Inc. Exclusive Benefit of Customer Account.

**Income Taxes**

In accordance with FASB ASC (Financial Accounting Standards Board Accounting Standards Codification) No. 740, *Income Taxes*, the Company records deferred taxes using the liability method. Deferred taxes are recorded to reflect the tax consequences on future years of temporary differences between the tax bases of assets and liabilities and their financial reporting amounts at year end, based on enacted tax laws and statutory tax rates applicable to periods in which the differences are expected to affect taxable income. Valuation allowances are established when necessary to reduce deferred tax assets to the amount expected to be realized.

**TRANSAM SECURITIES, INC.**

**NOTES TO FINANCIAL STATEMENTS**

*For the year ended December 31, 2021*

**Uncertain Tax Positions**

The Company has not recognized any respective liability for unrecognized tax benefits as it has no known tax positions that would subject the Company to any material income tax exposure. A reconciliation of the beginning and ending amount of unrecognized tax benefits is not included, nor is there any interest accrued related to unrecognized tax benefits in interest expense or penalties in operating expenses as there are no unrecognized tax benefits. The tax years that remain subject to examination are the periods beginning on January 1, 2019, for all major tax jurisdictions.

**NOTE 2 - RELATED PARTY TRANSACTIONS**

The Company does not own office equipment or employ office administrative support personnel. Certified Financial Group, Inc. ("CFG") provides office space, marketing support equipment, and office administrative support personnel. CFG is owned by a family member of the Company's shareholder. On August 11, 2005, the Company entered into a management agreement with CFG to provide these services and renewed the agreement on September 29, 2017. The agreement shall continue in effect until terminated by either party. Expenses charged by CFG to the Company for the year ended December 31, 2021 totaled \$52,724. Consequently, operating results and financial position may be different than if the entities were autonomous.

**NOTE 3 - NET CAPITAL REQUIREMENTS**

The Company is subject to the Securities and Exchange Commission Uniform Net Capital Rule (rule 15c3-1), which requires the maintenance of minimum net capital at an amount equal to the greater of \$5,000 or 6 2/3% of aggregate indebtedness, and requires that the ratio of aggregate indebtedness to net capital not exceed 15 to 1.

At December 31, 2021, the Company had excess net capital of \$65,267 and a ratio of aggregate indebtedness to net capital of .0 to .0.

**NOTE 4 - LIABILITIES SUBORDINATED TO CLAIMS OF CREDITORS**

None of the Company's liabilities have been subordinated to the claims of general creditors at December 31, 2021.

**TRANSAM SECURITIES, INC.**

**NOTES TO FINANCIAL STATEMENTS**

*For the year ended December 31, 2021*

**NOTE 5 - CONCENTRATIONS**

72% of the commission income of approximately \$592,278 was generated from 3 registered representatives during the year ended December 31, 2021.

**NOTE 6 - COMMITMENTS AND CONTINGENCIES**

The Company has no knowledge of any violations or any suspected violations of any laws or regulations that would result in a future commitment of create a basis for accruing or disclosing a loss contingency in the financial statements under GAAP during the year ended December 31, 2021.

**NOTE 7- INCOME TAXES**

The Company accounts for income taxes under the asset and liability method, which requires the recognition of deferred tax assets and liabilities for the expected future tax consequences of events that have been included in the consolidated financial statements. Under this method, the Company determines deferred tax assets and liabilities on the basis of the differences between the financial statements and the tax basis of assets and liabilities by using estimated tax rates for the year in which the differences are expected to reverse.

For the year ended December 31, 2021, there was no tax provision due to the company having a loss and any use of NOL carryback would be immaterial. As of December 31, 2021, there is no provision for deferred tax assets or liabilities due to no material differences between the financial and tax basis of assets and liabilities.

The components of Income tax provision for the year ended December 31, 2021 are as follows:

Federal Income Tax:	
Current	\$ -0-
Deferred	\$ -0-
Valuation Allowance	\$ -0-
Net	\$ -0-

**NOTE 8- SUBSEQUENT EVENTS**

Subsequent events were evaluated through the date the financial statements were issued. The financial statements were approved for issue by management on March 30, 2022.

All but 2 of the registered representatives were terminated in the 1<sup>st</sup> and 2<sup>nd</sup> quarter of 2021, in anticipation of the pending sale of the Company. The Change of Membership Agreement (CMA) was filed with FINRA on January 27, 2022.

TRANSAM SECURITIES, INC.

COMPUTATION OF NET CAPITAL  
PURSUANT TO UNIFORM NET CAPITAL RULE 15c3-1  
DECEMBER 31, 2021

**CREDIT:**

Member's equity \$ 75,234

**DEBITS:**

Nonallowable assets: 4,967

Other assets

Commissions and other receivables over 30 days old -

*Total debits* 4,967

**NET CAPITAL** 70,267

Less Haircut on Securities -

Minimum requirements of 6 2/3% of aggregate indebtedness of  
\$1245 = \$83 or \$5,000, whichever is greater (5,000)

*Excess net capital* \$ 65,267

**AGGREGATE INDEBTEDNESS:**

Accounts payable \$ -

Commissions payable 50

*Total aggregate indebtedness* \$ 50

**RATIO OF AGGREGATE INDEBTEDNESS TO NET CAPITAL** .0 to .0

**NOTE:** There are no material differences between the above computation of net capital with that included in the Company's corresponding unaudited Form X-17A-5 Part II filing at December 31, 2021.



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Salt Lake City, UT 84119

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801-972-8941

www.HaynieCPAs.com

## REPORT OF INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM

To the Board of Directors and Shareholders  
of TransAm Securities, Inc.

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

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

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

*Haynie & Company*

Haynie & Company  
Salt Lake City, UT  
March 30, 2022



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An independently owned member  
RSM US Alliance



# TRANSAM SECURITIES, INC

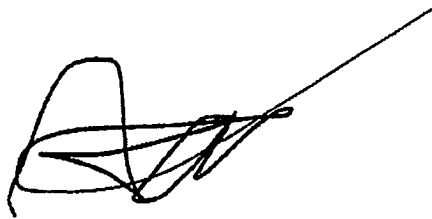
## EXEMPTION REPORT

To Whom It May Concern,

To the best knowledge and belief of TransAm Securities, Inc. (the "Company"), the Company claimed exemption from possession or control requirements of SEC Rule 15c3-3 under subparagraph (k)(2)(i) for the fiscal year ended December 31, 2021. This sub paragraph states:

- (k) EXEMPTIONS
- (2) The provisions of this rule shall not be applicable to a broker or dealer:
  - (i) Applies to broker-dealers who do not carry customer margin accounts and who promptly transmits all customer funds and delivers all securities received in connection with its activities as a broker or dealer. Broker-dealers claiming this exemption may not hold funds or securities for or owe money or securities to customers.

The Company met the identified exemption provisions throughout the most recent fiscal year without exception.



Aaron Bert, FINOPS



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REPORT OF INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM ON  
APPLYING AGREED-UPON PROCEDURES

Board of Directors of TransAm Securities, Inc.

We have performed the procedures included in Rule 17a-5(e)(4) under the Securities Exchange Act of 1934 and in the Securities Investor Protection Corporation (SIPC) Series 600 Rules, which are enumerated below on the accompanying General Assessment Reconciliation (Form SIPC-7) for the year ended December 31, 2021. Management of TransAm Securities, Inc. (Company) is responsible for its Form SIPC-7 and for its compliance with the applicable instructions on Form SIPC-7.

Management of the Company has agreed to and acknowledged that the procedures performed are appropriate to meet the intended purpose of assisting you and SIPC in evaluating the Company's compliance with the applicable instructions on Form SIPC-7 for the year ended December 31, 2021. Additionally, SIPC has agreed to and acknowledged that the procedures performed are appropriate for their intended purpose. This report may not be suitable for any other purpose. The procedures performed may not address all the items of interest to a user of this report and may not meet the needs of all users of this report and, as such, users are responsible for determining whether the procedures performed are appropriate for their purposes. 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, noting no differences;
- 2) Compared the Total Revenue amounts reported on the Annual Audited Report Form X-17A-5 Part III for the year ended December 31, 2021 with the Total Revenue amount reported in Form SIPC-7 for the year ended December 31, 2021, noting no differences;
- 3) Compared any adjustments reported in Form SIPC-7 with supporting schedules and working papers, noting no differences;
- 4) Recalculated the arithmetical accuracy of the calculations reflected in Form SIPC-7 and in the related schedules and working papers supporting the 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 engaged by the Company to perform this agreed-upon procedures engagement and conducted our engagement in accordance with attestation standards established by the AICPA and in accordance with the standards of the Public Company Accounting Oversight Board (United States). We were not engaged to and did not conduct an examination or a review engagement, the objective of which would be the expression of an opinion or conclusion, respectively, on the Company's Form SIPC-7 and for its compliance with the applicable instructions on Form SIPC-7 for the year ended December 31, 2021. Accordingly, we do not express such an opinion or conclusion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

We are required to be independent of the Company and to meet our other ethical responsibilities in accordance with the relevant ethical requirements related to our agreed-upon procedures engagement.

This report is intended solely for the information and use of the Company and SIPC and is not intended to be and should not be used by anyone other than these specified parties.

*Haynie & Company*

Haynie & Company  
Salt Lake City, Utah  
March 30, 2021

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**SIPC-7**

(36-REV 12/18)

SECURITIES INVESTOR PROTECTION CORPORATION  
Mail Code: 8967 P.O. Box 7247 Philadelphia, PA 19170-0001  
General Assessment Reconciliation

**SIPC-7**

(36-REV 12/18)

For the fiscal year ended \_\_\_\_\_  
(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:

TransAm Securities, Inc.  
1111 Douglas Avenue  
Altamonte Springs, FL 32714  
37065 FINRA 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.

Valerie Liddon 407-869-9800

WORKING COPY

- 2. A. General Assessment (item 2e from page 2) \$4.19
- B. Less payment made with SIPC-6 filed (exclude interest) (2.05)  
Date Paid 07/30/21
- C. Less prior overpayment applied ( )
- D. Assessment balance due or (overpayment) \_\_\_\_\_
- 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) \$2.14
- G. PAYMENT:  the box  
Check mailed to P.O. Box  Funds Wired  ACH   
Total (must be same as F above) 1/28/22  
#14858
- 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.

TransAm Securities, Inc.

(Name of Corporation, Partnership or other organization)

Aaron J. Bert, FINOPS

(Title)

Dated the 28 day of Jan, 2022.

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:

**DETERMINATION OF "SIPC NET OPERATING REVENUES"  
AND GENERAL ASSESSMENT**

Amounts for the fiscal period  
beginning 01/01/22  
and ending 12/31/21

Eliminate cents

Item No.

2a. Total revenue (FOCUS Line 12/Part IIA Line 9, Code 4030)

\$ 592,918

2b. Additions:

- (1) Total revenues from the securities business of subsidiaries (except foreign subsidiaries) and predecessors not included above.
- (2) Net loss from principal transactions in securities in trading accounts.
- (3) Net loss from principal transactions in commodities in trading accounts.
- (4) Interest and dividend expense deducted in determining item 2a.
- (5) Net loss from management of or participation in the underwriting or distribution of securities.
- (6) Expenses other than advertising, printing, registration fees and legal fees deducted in determining net profit from management of or participation in underwriting or distribution of securities.
- (7) Net loss from securities in investment accounts.

Total additions

2c. Deductions:

- (1) Revenues from the distribution of shares of a registered open end investment company or unit investment trust, from the sale of variable annuities, from the business of insurance, from investment advisory services rendered to registered investment companies or insurance company separate accounts, and from transactions in security futures products.
- (2) Revenues from commodity transactions.
- (3) Commissions, floor brokerage and clearance paid to other SIPC members in connection with securities transactions.
- (4) Reimbursements for postage in connection with proxy solicitation.
- (5) Net gain from securities in investment accounts.
- (6) 100% of commissions and markups earned from transactions in (i) certificates of deposit and (ii) Treasury bills, bankers acceptances or commercial paper that mature nine months or less from issuance date.
- (7) Direct expenses of printing advertising and legal fees incurred in connection with other revenue related to the securities business (revenue defined by Section 16(9)(L) of the Act).
- (8) Other revenue not related either directly or indirectly to the securities business.  
(See Instruction C):

\$ 590,127

(Deductions in excess of \$100,000 require documentation)

(9) (i) Total interest and dividend expense (FOCUS Line 22/PART IIA Line 13, Code 4075 plus line 2b(4) above) but not in excess of total interest and dividend income.

\$ \_\_\_\_\_

(ii) 40% of margin interest earned on customers securities accounts (40% of FOCUS line 5, Code 3960).

\$ \_\_\_\_\_

Enter the greater of line (i) or (ii)

Total deductions

\$ 590,127

2d. SIPC Net Operating Revenues

\$ 2791.00

2e. General Assessment @ .0015

\$ 4.19

(to page 1, line 2.A.)