	UNITED STATES SECURITIES AND EXCHANGE COMMISSION	2023-04-25 01:30PM EDT Status: Accepted
FORM X-17A-5	FOCUS REPORT (FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE R PART IIA 12	(EPORT)
	(Please read instructions before preparing Form)	
	is being filed pursuant to (Check Applicable Block(s)): Ile 17a-5(a) X 16 2) Rule 17a-5(b) 17 3) Ru	ule 17a-11
	4) Special request by designated examining authority [19] 5) Other	26
NAME OF BROK	KER-DEALER SEC. FIL	E NO.
CARTY & COMPAN ADDRESS OF P	PRINCIPAL PLACE OF BUSINESS (Do not use P.O. Box No.)	15
6263 POPLAR AVE	ENUE, SUITE 800 [20] (No. and Street) 01/01/23	RIOD BEGINNING (MM/DD/YY) 24 DING (MM/DD/YY)
MEMPHIS	21 TN 22 38119 23 03/31/23 (City) (State) (Zip Code) 03/31/23	[25]
Clark Tucker NAME(S) OF SU	CHECK HERE IF RESPONDENT IS FILING AN AUDITED REPORT EXECUTION: The registrant/broker or dealer submitting this Form and its attachments it is executed represent hereby that all information contained therein is tr It is understood that all required items, statements, and schedules are co this Form and that the submisson of any amendment represents that all and schedules remain true, correct and complete as previously submittee	OFFICIAL USE 33 35 37 39 7ES 40 NO X 41 42 and the person(s) by whom rue, correct and complete. considered integral parts of unamended items, statements
		e Federal
	Criminal Violations. (See 18 U.S.C. 1001 and 15 U.S.C. 78:f (a))	FINRA

2. Receivables from brokers or dealers: 12,524,619 (205) 12,965,637 (810) 3. Receivables from non-customers 3555 600) (830) 3. Receivables from non-customers 3555 600) (830) 4. Securities and spot commodities would, at market value: 3,09,232 (418) (830) B. Debt securities. 151,419 (419) (800) (830) C. Options (420) (340) (340) D. Other securities and/or other investments not readily marketable: (440) (610) (860) Securities and/or other investments not readily marketable: (440) (610) (860) Securities and/or other investments not readily marketable: (440) (610) (860) A. to set market fair value (440) (610) (860) Securities and/or other investments and partners' individual and capital (460) (830) Securities accounts, at market value: (460) (630) (880) A. Exempted (500) (640) (890) B. Other (160) (640) (890) S. Market value of collaterait: (470) (640) (890) A. Exempt	FIN	ANCIAL AND OPEF	RATIONA	L COMBINED U PART IIA	NIFC	ORM	I SINC	GLE R	EPC	RT	2023-04-25 (Status: Acce	01:30PM EDT pted
CARTY & COMPANY, INC. N 3 Image: company com												
STATEMENT OF FINANCIAL CONDITION FOR NONCARRYING, NONCLEARING AND CERTAIN OTHER BROKERS OR DEALERS as of (MM0D/YY) 0931/23 09 SEC FILE NO. consolitated 198 Consolitated TSR Allowable Non-Allowable Total 1. Cash \$ 164.534 200 \$ 154.534 750 2. Receivables from brokers or dealers: 164.534 200 \$ 154.534 750 2. Receivables from brokers or dealers: 164.534 200 \$ 154.534 750 3. Receivables from brokers or dealers: 164.534 750 4. Bobratics and color one couloners 1525 10000 12.924.619 200 \$ 4. Bobratics or dealers: 164.534 750 3. Receivables from constancers 1525 10000 12.924.619 200 \$ 4. Bobratics or dealers: 164.534 750 \$ <t< td=""><td></td><td></td><td></td><td></td><td></td><td>2</td><td></td><td></td><td>I</td><td></td><td></td><td></td></t<>						2			I			
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as of (MMDDVY) 033123 69 SEC FILE NO. 8:10022 98 Consolidated 198 Unconsolidated 198 Lasserts Allowable Non-Allowable Total 1. Cash \$ 154,534 (200) \$ 154,534 (200) 2. Receivables from brokers or dealers: 12,252,419 (265) 12,265,637 (200) \$ 3. Receivables from non-customers 3305 600 12,265,637 (200) \$ 4. Scounties and spot commodities covered, it market value: A cover to the securities. 151,419,1419 \$ \$ 4. Securities and opt commodities covered, it market value: 430 \$ \$ \$ 5. Securities and/or other investments not readily marketable: 4430 \$ \$ \$ 6. At estimated fair value 460 500 \$ \$ \$ 6. Securities accounts, at market value: 460 500 \$ \$ \$ 6. Securities accounts, at market value: 460 500 \$ \$ \$ 6. Securities acounties s	STATEN						NONC	LEAR	ING	A	ND	
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Allowable Non-Allowable Total 1. Cash \$ 154.534 [200 \$ 154.534 [260] 2. Receivables from brokers or dealers: 12.524.619 [285] \$ 154.534 [260] \$ 154.534 [260] 3. Receivables from non-customers 12.524.619 [285] \$ 6000 \$ 830 4. Securities and spot commodities owned, at market value: 3.509 [241] \$ 800 \$ 830 4. Securities and spot commodities owned, at market value: 3.099.223 [418] \$ 800 \$ 830 B. Debt securities 151.419 [419] \$ 600 \$ 830 C. Options 144 [422] \$ 440 \$ 610 \$ 880 Securities and or ther investments not readily marketable: \$ 440 \$ 610 \$ 880 A. At cost \$ [30] \$ 440 \$ 610 \$ 880 Securities accounts, at market value: \$ 460 \$ 630 \$ 880 A. A sempted securities \$ [30] \$ 800 \$ 800 \$ 800 B. Other \$ [100] \$ 800 \$ 800 \$ 800 B. Other \$ [100] \$ 800 \$ 800 \$ 800								Uncon	solida	ted	X 199	
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B. Other	•	\$	150									
7. Secured demand notes: 470 640 890 Market value of collateral:	B. Other	·	_[]									
Market value of collateral:		•	160	_						_		
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11. Other assets 1,631,314 535 235,836 735 1,867,150 930				4	190			<u>3</u> 40,2	62 68	0	34	40,262 920
12. Total Assets \$ 17,771,355 540 \$ 1,017,116 740 \$ 18,788,471 940	11. Other assets			1,631,314	535						1,86	67,150 930
	12. Total Assets		\$	17,771,355	540 \$						18,78	38,471 940

2023-04-25 01:30PM EDT Status: Accepted

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BROKER OR DEALER			
CARTY & COMPANY, INC.		as of03/3	1/23
STATEMENT OF	FINANCIAL CONDITION F	OR NONCARRYING.	
	AND CERTAIN OTHER BR		
	ITIES AND OWNERSHI		
	A.I.	Non-A.I.	Total
Liabilities	Liabilities	Liabilities	
13. Bank loans payable \$	1045 \$	1255 \$	1470
14. Payable to brokers or dealers:			
A. Clearance account	1114	1315	1560
B. Other	1115	1305	1540
15. Payable to non-customers	1155	1355	1610
16. Securities sold not yet purchased,			
at market value		1360	1620
17. Accounts payable, accrued liabilities,			
expenses and other	2,250,871 1205	1,590,872 1385	3,841,743 1685
18. Notes and mortgages payable:			
A. Unsecured	1210	_	1690
B. Secured	1211	1390	1700
19. Liabilities subordinated to claims			
of general creditors:			
A. Cash borrowings:		1400	1710
1. from outsiders \$970			
2. Includes equity subordination (15c3-1(d))			
of \$ 980			
B. Securities borrowings, at market value		1410	1720
from outsiders \$990			
C. Pursuant to secured demand note			
collateral agreements		1420	1730
1. from outsiders \$1000			
2. includes equity subordination (15c3-1(d))			
of \$ 1010			
D. Exchange memberships contributed for			
use of company, at market value		1430	1740
E. Accounts and other borrowings not			
qualified for net capital purposes	1220	1440	1750
20. TOTAL LIABILITIES\$	2,250,871 1230 \$	1,590,872 1450 \$	3,841,743 1760
Ownership Equity			
		•	
21. Sole proprietorship		·····\$_	1770
22. Partnership (limited partners)\$	1020	-	1780
23. Corporation:			
A. Preferred stock			1791
B. Common stock			2,208,790 1792
C. Additional paid-in capital			1793
D. Retained earnings			12,818,956
E. Accumulated other comprehensive income			1797
F. Total		······	15,027,746 1795
G. Less capital stock in treasury		((81,018) 1796
24. TOTAL OWNERSHIP EQUITY	• • • • • • • • • • • • • • • • • • • •	·····\$	14,946,728 1800
25. TOTAL LIABILITIES AND OWNERSHIP EQUITY		\$	18,788,471 1810

PARTIIA			
BROKER OR DEALER			
CARTY & COMPANY, INC.	as of	03/31/23	
COMPUTATION OF N	NET CAPITAL		
1. Total ownership equity from Statement of Financial Condition		\$ 14 0	946,728 3480
)3490
3. Total ownership equity qualified for Net Capital		14.9	46,728 3500
4. Add:			
A. Liabilities subordinated to claims of general creditors allowable in computation of n	et capital		3520
	· · · · · · · · · · · · · · · · · · ·		3525
5. Total capital and allowable subordinated liabilities		\$ 14,9	946,728 3530
6. Deductions and/or charges:		·	
A. Total non-allowable assets from			
Statement of Financial Condition (Notes B and C)	\$ <u>1,017,116</u> 3	540	
B. Secured demand note deficiency	3	590	
C. Commodity futures contracts and spot commodities-			
proprietary capital charges		<u>600</u>	
D. Other deductions and/or charges			<u>)17,116</u>) <u>3620</u>
7. Other additions and/or allowable credits (List)			3630
8. Net Capital before haircuts on securities positions	•••••	··· ^{\$} 13,9	29,612 3640
 Haircuts on securities (computed, where appliicable, pursuant to 15c3-1(f)): 			
A. Contractual securities commitments	\$ 3,225 3	660	
B. Subordinated securities borrowings		670	
C. Trading and investment securities:	E	<u></u>	
1. Exempted securities	199,665 3	735	
2. Debt securities	7,632 3		
3. Options		730	
4. Other securities	22 3	734	
D. Undue concentration		650	
E. Other (List)	3.	736 (2	10,544)3740
10. Net Capital		\$13,7	19,068 3750

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT	
PART IIA	

2023-04-25 01:30PM EDT Status: Accepted

BROKER OR DEALER	as of	03/31/23	
CARTY & COMPANY, INC.		03/31/23	-
COMPUTATION OF BASIC NET CA	APITAL REQUIREMENT		
11. Minimum net capital required (6-2/3% of line 19) 12. Minimum dollar net capital requirement of reporting broker or dealer and m	inimum net capital requirement	\$	150,058 3756
of subsidiaries computed in accordance with Note (A)		\$	250,000 3758
13. Net capital requirement (greater of line 11 or 12)		\$	250,000 3760
14. Excess net capital (line 10 less 13)		\$	13,469,068 3770
15. Net capital less greater of 10% of line 19 or 120% of line 12		\$	13,419,068 3780
COMPUTATION OF AGGREGA	ATE INDEBTEDNESS	\$	2,250,871 3790
17. Add:			
A. Drafts for immediate creditB. Market value of securities borrowed for which no	·····\$	3800	
equivalent value is paid or credited	\$	3810	
C. Other unrecorded amounts (List)	\$	3820 \$	3830
19. Total aggregate indebtedness		\$	2,250,871 3840
20. Percentage of aggregate indebtedness to net capital (line 19 divided by line	e 10)	%	16.41 3850
20.1 creentage of aggregate indebtedness to het capital (international of and by inte		70	16.41 5050

COMPUTATION OF ALTERNATE NET CAPITAL REQUIREMENT

Part B		
22.2% of combined aggregate debit items as shown in Formula for Reserve Requirements pursuant		
to Rule 15c3-3 prepared as of the date of net capital computation including both brokers or dealers and consolidated subsidiaries' debits	. \$	3870
23. Minimum dollar net capital requirement of reporting broker or dealer and minimum net capital		
requirement of subsidiaries computed in accordance with Note (A)	\$	3880
24. Net capital requirement (greater of line 22 or 23)	\$	3760
25. Excess net capital (line 10 less 24)	\$	3910
26. Net capital in excess of the greater of:		
5% of combined aggregate debit items or 120% of minimum net capital requirement	\$	3920

NOTES:

- (A) The minimum net capital requirement should be computed by of the reporting broker dealer and, for each subsidiary to be consolidated, the greater of:
 - 1. Minimum dollar net capital requirement, or
 - 2. 6-2/3% of aggregate indebtedness or 4% of aggregate debits if alternative method is used.
- (B) Do not deduct the value of securities borrowed under subordination agreements or secured demand notes covered by subordination agreements not in satisfactory form and the market values of the memberships in exchanges contributed for use of company (contra to item 1740) and partners' securities which were included in non-allowable assets.
- (C) For reports filed pursuant to paragraph (d) of Rule 17a-5, respondent should provide a list of material non-allowable assets.

BROKER OR DEALER CARTY & COMPANY, INC. For the period (MMDDYY) from 01/01/23 3932 to 03/31/23 3933 Number of months included in this statement 3 3 3933 STATEMENT OF INCOME (LOSS) or STATEMENT OF COMPREHENSIVE INCOME (as defined in §210.1-02 of Regulation S-X), as applicable REVENUE 1. Commissions: a. Commissions on transactions in exchange listed equity securities executed on an exchange \$ 9335 1.910 3938 2.967 3939 4.701 securities commissions 2.967 3939 4.701 securities commissions 3.826.691 3939 5. From all other securities investment accounts 4.877 3940 2. Gains or losses on firm securities investment accounts 4. Profits (losses) from underwriting and seling groups 5. Revenue from sale of investment accounts 4. Profits (losse) from underwriting and seling groups 5. Revenue from sale of investment accounts 4. Profits (losse) from underwriting and seling groups 5. Revenue from sale of investment actions administrative services 8. Other revenue 9. Teal rev		PARTIIA		
For the period (MMDDYV) from 01/01/23 3932 to 03/31/23 3933 Number of months included in this statement 3 3933 STATEMENT OF INCOME (LOSS) or STATEMENT OF COMPREHENSIVE INCOME (as defined in §210.1-02 of Regulation S-X), as applicable 8 REVENUE 1. Commissions on transactions in exchange listed equity securities executed on an exchange \$ 9935 a. Commissions on transactions in exchange listed equity securities executed on an exchange \$ 9935 b. Commissions on transactions 2.967 8339 c. All other securities commissions 2.967 8339 d. Total securities commissions 3.826.691 8449 c. Total gain (loss) 3.826.691 8345 3. Gains or losses on firm securities investment accounts 8.992 8345 4. Profits (losses) from underwriting and selling groups 6.892 8357 6. Commodities revenue 8345 8357 9. Total revenue 824,603 8376 9. Total revenue \$ 4.723.694 9. Total revenue 829,166 8375 9. Total revenue \$ 215,967 8375 9. Total revenue \$ 215,967		BROKER OR DEALER		
Number of months included in this statement 3 3831 STATEMENT OF INCOME (LOSS) or STATEMENT OF COMPREHENSIVE INCOME (as defined in §210.1-02 of Regulation S-X), as applicable REVENUE 1. Commissions on transactions in exchange listed equity securities executed on an exchange \$ 3935 b. Commissions on listed option transactions 1.910 3033 c. All other securities commissions 2.967 3939 d. Total securities commissions 2.967 3939 d. Total securities commissions 2.967 3939 d. Total securities commissions 3.826.691 3949 b. From all other trading 3.826.691 3945 c. Total gain (loss) 3.826.691 3962 3. Gains or losses on firm securities investment accounts 3.826.691 3962 c. Commodities revenue 62.966 3990 7. Fees for account supervision, investment advisory and administrative services 3.977 3975 8. Other revenue \$ 2.740,780 3976 9. Total revenue \$ 2.740,780 3.976 9. Total revenue \$ 2.740,780 3.976 9. Total revenue \$		CARTY & COMPANY, INC.		
(as defined in §210.1-02 of Regulation S-X), as applicable REVENUE 1. Commissions on transactions in exchange listed equity securities executed on an exchange \$				
1. Commissions: a. Commissions on transactions in exchange listed equity securities executed on an exchange \$ 3935 b. Commissions on listed option transactions 1.910 3938 c. All other securities commissions 2.967 3939 d. Total securities commissions 4.877 3940 2. Gains or losses on firm securities trading accounts 3.826.691 3945 b. From all other trading 3.826.691 3952 c. Total gain (loss) 3.826.691 3952 3. Gains or losses on firm securities investment accounts 3.952 4. Profits (losses) from underwriting and selling groups 3.826.691 3952 5. Revenue from sale of investment company shares 62.960 3970 6. Commodities revenue 3.9975 3.975 7. Fees for account supervision, investment advisory and administrative services 3.975 8. Other revenue \$ 4.723.694 4030 EXPENSES 215.967 4120 4140 13. Interest expense 86.614 4075 85.011 4140 13. Interest expense 43.321 4195 43.321 4195 43.321 4195			ME	
a. Commissions on transactions in exchange listed equity securities executed on an exchange \$ 3935 b. Commissions on listed option transactions 1,910 3938 c. All other securities commissions 2,967 3939 d. Total securities commissions 2,967 3930 d. Total securities commissions 3,826,691 3940 2. Gains or losses on firm securities investment accounts 3,826,691 3949 a. From all other trading 3,826,691 3949 c. Total gain (loss) 3,826,691 3949 3. Gains or losses on firm securities investment accounts 3,826,691 3945 4. Profits (losses) from underwriting and selling groups 3,826,691 3955 5. Revenue from sale of investment company shares 62,960 3970 6. Commodities revenue 3990 3925 7. Fees for account supervision, investment advisory and administrative services 3975 39216 9. Total revenue \$ 4,723,694 4030 EXPENSES 215,967 4120 10. Salaries and other employment costs for general partners and voting stockholder officers 2,740,780 41140 13. Includes interest on accounts sub	REVE	ENUE		
b. Commissions on listed option transactions 1,910 3938 c. All other securities commissions 2,967 3939 d. Total securities commissions 4,877 3940 2. Gains or losses on firm securities trading accounts 3,826,691 3949 a. From market making in options on a national securities exchange 3,826,691 3949 b. From all other trading 3,826,691 3949 c. Total gain (loss) 3,826,691 3950 3. Gains or losses on firm securities investment accounts 3952 4. Profits (losses) from underwriting and selling groups 3955 5. Revenue from sale of investment advisory and administrative services 62,960 6. Commodities revenue 3995 9. Total revenue \$2,960 9. Total revenue \$2,9166 9. Total revenue \$2,946 9. Total revenue \$2,967 9. Total revenue \$2,740,780 10. Salaries and other employment costs for general partners and voting stockholder officers 21	1. Com	imissions:		
c. All other securities commissions 2,967 3939 d. Total securities commissions 4,877 3940 2. Gains or losses on firm securities trading accounts 3,826,691 3949 a. From anket making in options on a national securities exchange 3,826,691 3949 b. From all other trading 3,826,691 3949 c. Total gain (loss) 3,826,691 3949 3. Gains or losses on firm securities investment accounts 3,826,691 3949 4. Profits (losses) from underwriting and selling groups 3,826,691 3950 5. Revenue from sale of investment company shares 62,960 3970 6. Commodities revenue 3990 7. Fees for account supervision, investment advisory and administrative services 3975 8. Other revenue 829,166 3995 9. Total revenue \$4,723,694 4030 EXPENSES 215,967 4120 10. Salaries and other employment costs for general partners and voting stockholder officers 2,740,780 4115 12. Commissions paid to other brokers-dealers 85,011 4140 13. Interest expense 86,614 4075 14. Regulatory fees and expenses 43,321 4195 15. Other expenses 756,399 4100	a. Con	nmissions on transactions in exchange listed equity securities executed on an exchange	\$	3935
d. Total securities commissions 4,877 3940 2. Gains or losses on firm securities trading accounts 3945 a. From market making in options on a national securities exchange 3945 b. From all other trading 3,826,691 3940 c. Total gain (loss) 3,826,691 3950 3. Gains or losses on firm securities investment accounts 3952 4. Profits (losses) from underwriting and selling groups 3955 5. Revenue from sale of investment company shares 62,960 3970 6. Commodities revenue 3990 7. Fees for account supervision, investment advisory and administrative services 3375 8. Other revenue 32991 9. Total revenue \$4,723,694 4030 EXPENSES 215,967 4120 10. Salaries and other employment costs for general partners and voting stockholder officers 215,967 4120 11. Other employee compensation and benefits 2,740,780 4115 12. Commissions paid to other brokers-dealers 86,011 4140 13. Interest expense 86,011 44075 14. Regulatory fees and expenses 4070 14. Regulatory fees and expenses 756,399 4100	b. Con	nmissions on listed option transactions	1,910	3938
2. Gains or losses on firm securities trading accounts 3945 a. From market making in options on a national securities exchange 3945 b. From all other trading 3,826,691 c. Total gain (loss) 3,826,691 3. Gains or losses on firm securities investment accounts 3952 4. Profits (losses) from underwriting and selling groups 3955 5. Revenue from sale of investment company shares 62,960 6. Commodities revenue 3990 7. Fees for account supervision, investment advisory and administrative services 3975 8. Other revenue 829,166 9. Total revenue \$4,723,694 10. Salaries and other employment costs for general partners and voting stockholder officers 215,967 12. Commissions paid to other brokers-dealers 85,011 13. Interest expense 86,614 a. Includes interest on accounts subject to subordination agreements 4070 14. Regulatory fees and expenses 41070 15. Other expenses 756,399	c. All c	other securities commissions	2,967	3939
a. From market making in options on a national securities exchange 3945 b. From all other trading 3,826,691 c. Total gain (loss) 3,826,691 3. Gains or losses on firm securities investment accounts 3952 4. Profits (losses) from underwriting and selling groups 3955 5. Revenue from sale of investment company shares 62,960 6. Commodities revenue 39975 7. Fees for account supervision, investment advisory and administrative services 3975 8. Other revenue 829,166 9. Total revenue \$4,723,694 9. Total revenue \$4,723,694 10. Salaries and other employment costs for general partners and voting stockholder officers 215,967 12. Commissions paid to other brokers-dealers 85,011 13. Interest expense 86,614 14. Regulatory fees and expenses 4070 14. Regulatory fees and expenses 756,399			4,877	3940
b. From all other trading c. Total gain (loss) 3. Gains or losses on firm securities investment accounts 4. Profits (losses) from underwriting and selling groups 5. Revenue from sale of investment company shares 6. Commodities revenue 7. Fees for account supervision, investment advisory and administrative services 8. Other revenue 9. Total revenue 9. Total revenue 10. Salaries and other employment costs for general partners and voting stockholder officers 11. Other employee compensation and benefits 12. Commissions paid to other brokers-dealers a. Includes interest on accounts subject to subordination agreements a. Includes interest on accounts subject to subordination agreements 15. Other expenses 15. Other expenses 15. Other expenses 15. Other expenses 15. Other expenses 16. Commissions paid to other brokers 17. Fees for account subject to subordination agreements 16. Other expenses 17. Fees for account subject to subordination agreements 16. Other expenses 15. Oth	2. Gain	is or losses on firm securities trading accounts		
c. Total gain (loss) 3,826,691 3950 3. Gains or losses on firm securities investment accounts 3952 4. Profits (losses) from underwriting and selling groups 3955 5. Revenue from sale of investment company shares 62,960 6. Commodities revenue 3990 7. Fees for account supervision, investment advisory and administrative services 3375 8. Other revenue 3990 9. Total revenue 829,166 9. Total revenue 829,166 10. Salaries and other employment costs for general partners and voting stockholder officers 215,967 11. Other employee compensation and benefits 2,740,780 12. Commissions paid to other brokers-dealers 85,011 13. Interest expense 86,614 a. Includes interest on accounts subject to subordination agreements 4070 14. Regulatory fees and expenses 43,321 15. Other expenses 756,399				
3. Gains or losses on firm securities investment accounts 3952 4. Profits (losses) from underwriting and selling groups 3955 5. Revenue from sale of investment company shares 62,960 6. Commodities revenue 3990 7. Fees for account supervision, investment advisory and administrative services 3975 8. Other revenue 829,166 9. Total revenue \$4,723,694 9. Total revenue \$4,723,694 10. Salaries and other employment costs for general partners and voting stockholder officers 215,967 11. Other employee compensation and benefits 2,740,780 12. Commissions paid to other brokers-dealers 85,011 13. Interest expense 86,614 a. Includes interest on accounts subject to subordination agreements 4070 14. Regulatory fees and expenses 43,321 15. Other expenses 756,399	b. Fror	m all other trading	3,826,691	3949
4. Profits (losses) from underwriting and selling groups 3955 5. Revenue from sale of investment company shares 62,960 6. Commodities revenue 3990 7. Fees for account supervision, investment advisory and administrative services 3975 8. Other revenue 829,166 9. Total revenue \$4,723,694 10. Salaries and other employment costs for general partners and voting stockholder officers 215,967 11. Other employee compensation and benefits 2,740,780 12. Commissions paid to other brokers-dealers 85,011 13. Interest expense 86,614 a. Includes interest on accounts subject to subordination agreements 4070 14. Regulatory fees and expenses 43,321 15. Other expenses 756,399	c. Tota	al gain (loss)	3,826,691	3950
5. Revenue from sale of investment company shares 62,960 3970 6. Commodities revenue 3990 7. Fees for account supervision, investment advisory and administrative services 3975 8. Other revenue 829,166 9. Total revenue \$4,723,694 10. Salaries and other employment costs for general partners and voting stockholder officers 215,967 11. Other employee compensation and benefits 2,740,780 12. Commissions paid to other brokers-dealers 85,011 13. Interest expense 86,614 a. Includes interest on accounts subject to subordination agreements 43,321 14. Regulatory fees and expenses 43,321 15. Other expenses 756,399	3. Gain	s or losses on firm securities investment accounts		3952
6. Commodities revenue 3990 7. Fees for account supervision, investment advisory and administrative services 3975 8. Other revenue 829,166 9. Total revenue 2.15,967 10. Salaries and other employment costs for general partners and voting stockholder officers 2.15,967 11. Other employee compensation and benefits 2.740,780 12. Commissions paid to other brokers-dealers 85,011 13. Interest expense 4070 14. Regulatory fees and expenses 43,321 15. Other expenses	4. Profi	ts (losses) from underwriting and selling groups		3955
7. Fees for account supervision, investment advisory and administrative services 3975 8. Other revenue 829,166 9. Total revenue 4,723,694 10. Salaries and other employment costs for general partners and voting stockholder officers 215,967 11. Other employee compensation and benefits 2,740,780 12. Commissions paid to other brokers-dealers 85,011 13. Interest expense 86,614 a. Includes interest on accounts subject to subordination agreements 4070 14. Regulatory fees and expenses 43,321 15. Other expenses 756,399	5. Reve	enue from sale of investment company shares	62,960	3970
8. Other revenue 829,166 3995 9. Total revenue \$4,723,694 4030 EXPENSES 215,967 4120 10. Salaries and other employment costs for general partners and voting stockholder officers 215,967 4120 11. Other employee compensation and benefits 2,740,780 4115 12. Commissions paid to other brokers-dealers 85,011 4140 13. Interest expense 86,614 4075 a. Includes interest on accounts subject to subordination agreements 4070 43,321 4195 15. Other expenses 756,399 4100 4100	6. Com	modities revenue		3990
9. Total revenue \$ 4,723,694 4030 EXPENSES 10. Salaries and other employment costs for general partners and voting stockholder officers 215,967 4120 11. Other employee compensation and benefits 2,740,780 4115 12. Commissions paid to other brokers-dealers 85,011 4140 13. Interest expense 86,614 4075 a. Includes interest on accounts subject to subordination agreements 4070 14. Regulatory fees and expenses 43,321 4195 15. Other expenses 756,399 4100	7. Fees	s for account supervision, investment advisory and administrative services		3975
EXPENSES 10. Salaries and other employment costs for general partners and voting stockholder officers 215,967 4120 11. Other employee compensation and benefits 2,740,780 4115 12. Commissions paid to other brokers-dealers 85,011 4140 13. Interest expense 86,614 4075 a. Includes interest on accounts subject to subordination agreements 4070 14. Regulatory fees and expenses 413,321 4195 15. Other expenses 756,399 4100	8. Othe	er revenue	829,166	3995
10. Salaries and other employment costs for general partners and voting stockholder officers 215,967 4120 11. Other employee compensation and benefits 2,740,780 4115 12. Commissions paid to other brokers-dealers 85,011 4140 13. Interest expense 86,614 4075 a. Includes interest on accounts subject to subordination agreements 4070 43,321 14. Regulatory fees and expenses 756,399 4100	9. Total	revenue	\$ 4,723,694	4030
10. Salaries and other employment costs for general partners and voting stockholder officers 215,967 4120 11. Other employee compensation and benefits 2,740,780 4115 12. Commissions paid to other brokers-dealers 85,011 4140 13. Interest expense 86,614 4075 a. Includes interest on accounts subject to subordination agreements 4070 43,321 14. Regulatory fees and expenses 756,399 4100	EXPE	INSES		
11. Other employee compensation and benefits 2,740,780 4115 12. Commissions paid to other brokers-dealers 85,011 4140 13. Interest expense 86,614 4070 a. Includes interest on accounts subject to subordination agreements 4070 43,321 14. Regulatory fees and expenses 43,321 4195 15. Other expenses 756,399 4100			215 967	4120
12. Commissions paid to other brokers-dealers 85,011 13. Interest expense 86,614 a. Includes interest on accounts subject to subordination agreements 4070 14. Regulatory fees and expenses 43,321 15. Other expenses 756,399				
13. Interest expense 86,614 4075 a. Includes interest on accounts subject to subordination agreements 4070 14. Regulatory fees and expenses 43,321 4195 15. Other expenses 756,399 4100				
a. Includes interest on accounts subject to subordination agreements 4070 14. Regulatory fees and expenses 43,321 4195 15. Other expenses 756,399 4100				
14. Regulatory fees and expenses 43,321 4195 15. Other expenses 756,399 4100			00,014	
15. Other expenses			43 321	4195
	-			
	16. Tota	al expenses		

NET INCOME/COMPREHENSIVE INCOME

17. Net Income (loss) before Federal income taxes and items below (Item 9 less Item 16)	\$ 795,602 4210 162,520 4220
19. Equity in earnings (losses) of unconsolidated subsidiaries not included above	 4222
a. After Federal income taxes of 4238	
a. [RESERVED] 21. [RESERVED]	
22. Net income (loss) after Federal income taxes	\$ 633,082 4230
23. Other Comprehensive income (loss)	4226
a. After Federal income taxes of 4227	
24. Comprehensive income (loss)	\$ 633,082 4228

MONTHLY INCOME

25. Income (current month only) before provision for Federal income taxes	 \$ <u>13</u>	37,507 4211
25. Income (current month only) before provision for Federal income taxes	 \$	13

2023-04-25 01:30PM EDT Status: Accepted

FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE REPORT PART IIA

BROKER OR DEALER

CARTY & COMPANY, INC.

For the period (MMDDYY) from

to 03/31/23

01/01/23

STATEMENT OF CHANGES IN OWNERSHIP EQUITY (SOLE PROPRIETORSHIP, PARTNERSHIP OR CORPORATION)

1. Balance, beginning of period			\$14,313,646 4240
A. Net income (loss)			633,082 4250
B. Additions (includes non-conforming capital of	f\$	4262)	4260
C. Deductions (includes non-conforming capital	of\$	4272)	4270
2. Balance, end of period (from item 1800)			\$14,946,728 4290

STATEMENT OF CHANGES IN LIABILITIES SUBORDINATED TO CLAIMS OF GENERAL CREDITORS

A. Increases4310	3. Balance, beginning of period	\$_	4300
	A. Increases	······	4310
B. Decreases	B. Decreases	······	4320
4. Balance, end of period (from item 3520) \$	4. Balance, end of period (from item 3	20)\$	4330

2023-04-25 01:30PM I	EDT
Status: Accepted	

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4550
4560
4570
4580

Ownership Equity and Subordinated Liabilities maturing or proposed to be withdrawn within the next six months and accruals, (as defined below), which have not been deducted in the computation of Net Capital.

Type of Proposed Withdrawal or Accrual (See below for code to enter)	Name of Lender or Contributor		Insider or Outsider ? (In or Out)	Amount to be with- drawn (cash amount and/or Net Capital Value of Securities)	(MMDDYY) Withdrawal or Maturity Date	Expect to Renew (Yes or No)
4600		4601	4602	4603	4604	4605
4610		4611	4612	4613	4614	4615
4620		4621	4622	4623	4624	4625
4630		4631	4632	4633	4634	4635
4640		4641	4642	4643	4644	4645
4650		4651	4652	4653	4654	4655
4660		4661	4662	4663	4664	4665
4670		4671	4672	4673	4674	4675
4680		4681	4682	4683	4684	4685
4690		4691	4692	4693	4694	4695

TOTAL

\$

OMIT PENNIES

4699

Instructions: Detail listing must include the total of items maturing during the six month period following the report date, regardless of whether or not the capital contribution is expected to be renewed. The schedule must also include proposed capital withdrawals scheduled within the six month period following the report date including the proposed redemption of stock and payments of liabilities secured by fixed assets (which are considered allowable assets in the capital computation pursuant to Rule 15c3-1(c) (2) (iv)), which could be required by the lender on demand or in less than six months.

WITHDRAWAL CODE: DESCRIPTION

Equity Capital

2. Subordinated Liabilities

3. Accruals

4. 15c3-1(c) (2) (iv) Liabilities