

SII INVESTMENTS, INC.
(An Indirect, Wholly Owned Subsidiary of Prudential plc)

Statement of Financial Condition

December 31, 2015

Assets

Cash and cash equivalents	\$ 26,978,525
Restricted cash	8,492
Marketable securities	17,451
Commissions receivable	7,185,198
Clearing receivable	404,402
Investment advisory receivable	1,868,141
Forgivable notes receivable, net of accumulated amortization of \$6,484,841	4,990,118
Other receivables	786,688
Receivables from registered representatives, net of allowance of \$597,656	787,580
Due from affiliates	316,130
Income taxes receivable	816,996
Deferred tax assets	15,686,998
Fixed assets, net of accumulated depreciation of \$2,200,868	167,588
Prepaid expenses and other assets	672,283
Goodwill	7,658,095
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Total assets	\$ 68,344,685

Liabilities and Stockholder's Equity

Liabilities:	
Commissions payable	\$ 7,066,511
Investment advisory payable	1,762,144
Accounts payable and other accrued expenses	2,495,376
Due to affiliates	879,719
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Total liabilities	12,203,750
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Stockholder's equity	56,140,935
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Total liabilities and stockholder's equity	\$ 68,344,685

See accompanying notes to statement of financial condition.