

CONFIDENTIAL

ALLIANCEBERNSTEIN INVESTMENTS, INC.
(an indirect wholly-owned subsidiary of
AllianceBernstein L.P.)

Statement of Financial Condition

December 31, 2018

(dollars in thousands)

ASSETS

Cash and cash equivalents	\$	48,618
Receivables:		
Fees from AB Mutual Funds		7,150
Due from Parent		27,124
Due from Affiliates		102
Deferred sales commissions, net		17,248
Deferred taxes		2,161
Other assets		<u>869</u>
 Total assets	\$	<u>103,272</u>

LIABILITIES AND STOCKHOLDER'S EQUITY

Liabilities:

Payables:

Brokers and dealers	\$	12,184
Accounts payable and accrued expenses		15,669
Due to affiliates		<u>3,109</u>
		<u>30,962</u>

Commitments and contingencies (*See Note 6*)

Stockholder's equity:

Common stock, par value \$.10 per share;

1,000 shares authorized, 100 shares issued and outstanding

Additional paid-in capital

Retained earnings

Total stockholder's equity

Total liabilities and stockholder's equity

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