

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

Statement of Financial Condition
December 31, 2019
(dollars in thousands)

ASSETS

Cash and cash equivalents	\$ 48,243
Receivables:	
Fees from AB Mutual Funds	7,747
Due from Parent	14,658
Due from Affiliates	174
Deferred sales commissions, net	36,296
Deferred taxes	2,166
Other assets	573
Total assets	<u>\$ 109,857</u>

LIABILITIES AND STOCKHOLDER'S EQUITY

Liabilities:	
Payables:	
Brokers and dealers	\$ 12,566
Accounts payable and accrued expenses	16,027
Due to affiliates	4,313
Total liabilities	<u>32,906</u>
Commitments and contingencies (<i>See Note 5</i>)	—
Stockholder's equity:	
Common stock, par value \$.10 per share; 1,000 shares authorized, 100 shares issued and outstanding	—
Additional paid-in capital	67,578
Retained earnings	9,373
Total stockholder's equity	<u>76,951</u>
Total liabilities and stockholder's equity	<u>\$ 109,857</u>

The accompanying notes are an integral part of this financial statement.