

**CONFIDENTIAL**

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

Statement of Financial Condition  
December 31, 2020  
(dollars in thousands)

<u>ASSETS</u>	
Cash and cash equivalents	\$ 61,067
Receivables:	
Fees from AB Mutual Funds	8,686
Due from affiliates	180
Deferred sales commissions, net	64,066
Deferred taxes	2,393
Other assets	1,209
Total assets	<u>\$ 137,601</u>
<u>LIABILITIES AND STOCKHOLDER'S EQUITY</u>	
Liabilities:	
Payables:	
Brokers and dealers	\$ 12,135
Accounts payable and accrued expenses	15,840
Due to Parent	4,938
Due to affiliates	3,645
Total liabilities	<u>36,558</u>
Commitments and contingencies ( <i>See Note 6</i> )	—
Stockholder's equity:	
Common stock, par value \$.10 per share; 1,000 shares authorized, 100 shares issued and outstanding	—
Additional paid-in capital	87,578
Retained earnings	13,465
Total stockholder's equity	<u>101,043</u>
Total liabilities and stockholder's equity	<u>\$ 137,601</u>

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