

NUVEEN SECURITIES, LLC
Statement of Financial Condition
December 31, 2015
(in thousands, except units data)

ASSETS

Cash	\$ 22,354
Cash segregated in compliance with federal and other regulations	1,000
Receivables due from brokers and dealers	5
Deposits with and receivables due from clearing organizations	12,084
Securities owned	331
Receivables due from affiliates	26,188
Other assets:	
Distribution fees and underwriting revenue receivable	8,757
Advanced commissions	4,887
Deposits with other organizations	1,500
Other	21
	<u>15,165</u>
Total assets	<u>\$ 77,127</u>

LIABILITIES AND MEMBER'S EQUITY

Liabilities:

Sales commissions, distribution fees, and other accounts payable	\$ 13,843
Due to customers	7
Securities sold not yet purchased, at market value	65
Deferred tax liability, net	1,894
Accrued expenses and other liabilities:	
Due to affiliates	2,270
Accrued expenses and other liabilities	176
	<u>2,446</u>
Total liabilities	<u>18,255</u>

Member's equity:

Units: \$5 par value per unit, 20,000 units authorized, 2,200 units issued and outstanding	11
Additional paid-in capital	10,608
Retained earnings	48,253
Total member's equity	<u>58,872</u>
Total liabilities and member's equity	<u>\$ 77,127</u>

See accompanying notes to financial statements.