

NUVEEN SECURITIES, LLC
Statement of Financial Condition
December 31, 2016
(in thousands, except units data)

ASSETS

Cash	\$ 22,651
Cash segregated in compliance with federal and other regulations	1,000
Deposits with and receivables due from clearing organizations	20,475
Securities owned	390
Intangible assets, at cost less accumulated amortization of \$2,050	13,325
Receivables due from affiliates	19,423
Other assets:	
Distribution fees and underwriting revenue receivable	14,014
Advanced commissions	6,137
Deposits with other organizations	1,500
Unit investment trust revenue receivable	449
Other	4
	<u>22,104</u>
Total assets	<u>\$ 99,368</u>

LIABILITIES AND MEMBER'S EQUITY

Liabilities:

Sales commissions, distribution fees, and other accounts payable	\$ 14,790
Due to brokers	104
Deferred tax liability, net	2,216
Contingent consideration	1,268
Accrued expenses and other liabilities:	
Due to affiliates	2,224
Accrued expenses and other liabilities	584
	<u>2,808</u>
Total liabilities	<u>21,186</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	23,608
Retained earnings	54,563
Total member's equity	<u>78,182</u>
Total liabilities and member's equity	<u>\$ 99,368</u>

See accompanying notes to financial statements.