

NUVEEN SECURITIES, LLC
Statement of Financial Condition
December 31, 2017
(in thousands, except units data)
(Confidential Treatment Requested)

ASSETS

Cash	\$ 25,434
Cash segregated in compliance with federal and other regulations	1,003
Deposits with and receivables due from clearing organizations	20,476
Securities owned	473
Intangible assets, at cost less accumulated amortization of \$13,085	2,290
Receivables due from affiliates	49,902
Other assets:	
Distribution fees and underwriting revenue receivable	9,596
Advanced commissions	4,486
Deposits with other organizations	1,500
Deferred income taxes	1,174
Unit investment trust revenue receivable	17
	<u>16,773</u>
Total assets	<u>\$ 116,351</u>

LIABILITIES AND MEMBER'S EQUITY

Liabilities:

Sales commissions, distribution fees, and other accounts payable	\$ 14,201
Accrued expenses and other liabilities:	
Due to affiliates	15,136
Accrued expenses and other liabilities	290
	<u>15,426</u>
Total liabilities	<u>29,627</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	63,105
Total member's equity	<u>86,724</u>
Total liabilities and member's equity	<u>\$ 116,351</u>

See accompanying notes to financial statements.