

**NUVEEN SECURITIES, LLC**  
**Statement of Financial Condition**  
**December 31, 2018**  
**(in thousands, except units data)**  
**(Confidential Treatment Requested)**

**ASSETS**

Cash	\$ 17,144
Cash segregated in compliance with federal and other regulations	1,009
Deposits with and receivables due from clearing organizations	26,696
Securities owned	660
Receivables due from affiliates	54,238
Other assets:	
Distribution fees and underwriting revenue receivable	8,860
Advanced commissions	3,209
Deposits with other organizations	1,525
Deferred income taxes	1,819
Unit investment trust revenue receivable	2
	<hr/> 15,415 <hr/>
Total assets	\$ <hr/> 115,162 <hr/>

**LIABILITIES AND MEMBER'S EQUITY**

***Liabilities:***

Sales commissions, distribution fees, and other accounts payable	\$ 15,278
Due to brokers	58
Accrued expenses and other liabilities:	
Due to affiliates	2,230
Accrued expenses and other liabilities	351
	<hr/> 2,581 <hr/>
Total liabilities	<hr/> 17,917 <hr/>

***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	73,626
Total member's equity	<hr/> 97,245 <hr/>
Total liabilities and member's equity	\$ <hr/> 115,162 <hr/>

*See accompanying notes to financial statements.*