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**ANNUAL AUDITED REPORT  
FORM X-17A-5  
PART III**

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FEB 27 2015  
Washington DC  
402

FACING PAGE

**Information Required of Brokers and Dealers Pursuant to Section 17 of the  
Securities Exchange Act of 1934 and Rule 17a-5 Thereunder**

\*AB  
3/4

REPORT FOR THE PERIOD BEGINNING 01/01/2014 AND ENDING 12/31/2014  
MM/DD/YY MM/DD/YY

**A. REGISTRANT IDENTIFICATION**

NAME OF BROKER-DEALER: Wellington Management Advisers, Inc.

OFFICIAL USE ONLY
FIRM I.D. NO.

ADDRESS OF PRINCIPAL PLACE OF BUSINESS: (Do not use P.O. Box No.)

280 Congress Street

(No. and Street)

Boston

MA

02210

(City)

(State)

(Zip Code)

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT

Eugene Ferri

617-790-7306

(Area Code - Telephone Number)

**B. ACCOUNTANT IDENTIFICATION**

INDEPENDENT PUBLIC ACCOUNTANT whose opinion is contained in this Report\*

PricewaterhouseCoopers LLP

(Name - if individual, state last, first, middle name)

125 High Street

Boston

MA

02110

(Address)

(City)

(State)

(Zip Code)

CHECK ONE:

- Certified Public Accountant
- Public Accountant
- Accountant not resident in United States or any of its possessions.

FOR OFFICIAL USE ONLY

\*Claims for exemption from the requirement that the annual report be covered by the opinion of an independent public accountant must be supported by a statement of facts and circumstances relied on as the basis for the exemption. See Section 240.17a-5(e)(2)

SEC 1410 (06-02)

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Wellington Management  
Advisers, Inc.

Statement of Financial Condition  
December 31, 2014

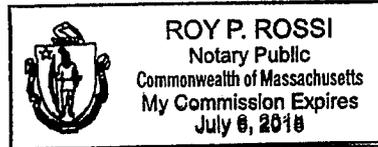
I, Eugene Ferri, swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statement and supporting schedules pertaining to the firm of Wellington Management Advisers, Inc., as of December 31, 2014, are true and correct. I further swear (or affirm) that neither the company nor any partner, proprietor, principal officer or director has any proprietary interest in any account classified solely as that of a customer, except as follows:

Eugene Ferri  
Signature

Chief Financial Officer

Title

Roy P. Rossi  
Notary Public



This report \*\* contains (check all applicable boxes):

- (a) Facing Page.
- (b) Statement of Financial Condition.
- (c) Statement of Income (Loss).
- (d) Statement of Changes in Financial Condition.
- (e) Statement of Changes in Stockholders' Equity or Partners' or Sole Proprietors' Capital.
- (f) Statement of Cash Flows
- (g) Statement of Changes in Liabilities Subordinated to Claims of Creditors.
- (h) Computation of Net Capital.
- (i) Computation for Determination of Reserve Requirements Pursuant to Rule 15c3-3.
- (j) Information Relating to the Possession or Control Requirements Under Rule 15c3-3.
- (k) A Reconciliation, including appropriate explanation of the Computation of Net Capital Under Rule 15c3-1 and the Computation for Determination of the Reserve Requirements Under Exhibit A of Rule 15c3-3.
- (l) A Reconciliation between the audited and unaudited Statements of Financial Condition with respect to methods of consolidation.
- (m) An Oath or Affirmation.
- (n) A copy of the SIPC Supplemental Report.
- (o) A report describing any material inadequacies found to exist or found to have existed since the date of the previous audit.

\*\*For conditions of confidential treatment of certain portions of this filing, see section 240.17a-5(e)(3).

Wellington Management Advisers, Inc.  
Index to Statement of Financial Condition  
December 31, 2014

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**Report of Independent Registered Public Accounting Firm**

To the Board of Directors of Wellington Management Advisers, Inc.:

In our opinion, the accompanying statement of financial condition presents fairly, in all material respects, the financial position of Wellington Management Advisers, Inc. (the "Company") at December 31, 2014, in conformity with accounting principles generally accepted in the United States of America. This financial statement is the responsibility of the Company's management. Our responsibility is to express an opinion on this financial statement based on our audit. We conducted our audit of these statements in accordance with the standards of the Public Company Accounting Oversight Board (United States). Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, and evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

*PricewaterhouseCoopers LLP*

February 23, 2015

**Wellington Management Advisers, Inc.**  
**Statement of Financial Condition**

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	<b>December 31, 2014</b>
<b>Assets</b>	
Current assets:	
Cash and cash equivalents	\$ 2,713,158
Receivable from parent	26,391
Other current assets	<u>12,172</u>
Total current assets	2,751,721
Fixed assets, net of accumulated depreciation	<u>-</u>
Total assets	<u>\$ 2,751,721</u>
 <b>Liabilities and Shareholder's Equity</b>	
Current liabilities:	
Accounts payable and accrued liabilities	7,433
Accrued income taxes payable	<u>10,475</u>
Total liabilities	<u>17,908</u>
Contingencies and guarantees	
Shareholder's equity:	
Common stock, \$1 par value: 500 shares authorized, issued and outstanding	500
Additional paid-in capital	1,999,500
Retained earnings	<u>733,813</u>
Total shareholder's equity	<u>2,733,813</u>
Total liabilities and shareholder's equity	<u>\$ 2,751,721</u>

The accompanying notes are an integral part of the statement of financial condition.

# Wellington Management Advisers, Inc.

## Notes to Statement of Financial Condition

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### 1. Organization

Wellington Management Advisers, Inc. ("WMA") was incorporated in Delaware on October 29, 2009 and is a wholly-owned subsidiary of Wellington Management Funds Holdings LLP. WMA was approved to commence operations as a broker-dealer, effective August 6, 2010, pursuant to the Securities Exchange Act of 1934 and applicable state securities statutes. WMA is a member of the Financial Industry Regulatory Authority ("FINRA") and the Securities Investor Protection Corporation. WMA has a limited scope of business acting primarily as an introducing broker-dealer to offer interests in private funds sponsored by its affiliates ("Wellington Management Private Funds").

Prior to January 1, 2015, WMA was a wholly-owned subsidiary of Wellington Management Group LLP (formerly named Wellington Management Company, LLP ("WMC")). Wellington Management Group LLP through its subsidiaries provides investment management investment advisory services primarily to institutions around the world.

Subsequent to the close of business on December 31, 2014, WMC completed a reorganization of its entities. WMC was reorganized to function as a holding company for its consolidated group and was renamed Wellington Management Group LLP ("WMG"). WMC transferred its US investment advisory operations to a newly created company named Wellington Management Company LLP (organized in Delaware), which is registered with the SEC as an investment adviser. Wellington Management Funds Holdings LLP ("WMFH"), an indirect subsidiary of WMG, was formed to serve as the holding company for entities, other than Wellington Trust Company, NA, associated with the operations of Wellington Management Private Funds.

On December 30, 2014, FINRA approved the change in WMA's equity ownership. WMA will continue as an introducing broker-dealer to offer interests in the Wellington Management Private Funds. The reorganization has no impact on WMA's net capital requirements or exemption from Rule 15c3-3 of the Securities Exchange Act of 1934 as discussed in the following notes.

### 2. Summary of Significant Accounting Policies

#### Basis of Presentation

The accompanying financial statements have been prepared in conformity with accounting principles generally accepted in the United States of America ("US GAAP").

Events or transactions occurring after the period end date through the date the financial statements were issued, February 23, 2015, have been evaluated in the preparation of the financial statements.

#### Use of Estimates

The preparation of financial statements in conformity with US GAAP requires management to make estimates and assumptions that affect the amounts reported in

# Wellington Management Advisers, Inc.

## Notes to Statement of Financial Condition

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the financial statements and notes to the financial statements. Actual results could differ from those estimates.

### Cash and Cash Equivalents

Cash and cash equivalents consist of cash held with banks and are stated at cost, which approximates fair value. Cash balances held in banks may exceed government deposit insurance limits, where available.

### Fixed Assets

Fixed assets are stated at cost less accumulated depreciation. Depreciation is calculated on a straight-line basis over the assets' estimated useful life, which is 3 years for equipment. Disbursements that materially extend the life of fixed assets are capitalized and depreciated over the remaining life of the asset.

### Income Taxes

WMA files state and federal income tax returns. WMA provides for income taxes at the applicable statutory rates. Current income tax is based on the taxable income for the current year. Deferred income tax, if any, results principally from the recognition of expenses for financial reporting purposes in years different from those in which the expenses are deductible for income tax purposes.

### Fair Value

The carrying amounts of the following financial assets and financial liabilities approximate their fair values: receivables from parent, accounts payable and accrued liabilities.

### Credit Risk

WMA maintains non-interest bearing cash and cash equivalent accounts at financial institutions, which may have credit risk. WMA has not experienced any losses in these accounts to date. WMA attempts to minimize this risk by monitoring the credit ratings of financial institutions.

## 3. Fixed Assets

Fixed Assets at December 31, 2014 consist of:

Equipment	\$ 47,064
Less - accumulated depreciation	<u>(47,064)</u>
	<u>-</u>

## 4. Related Party Transactions-Services Agreement

Under the Inter-Company Services Agreement ("Services Agreement"), WMA provided services to WMC primarily by introducing U.S. prospects and clients to WMC's investment management capabilities by offering interests in the Wellington Management Private Funds. In consideration of such services, WMC paid WMA a Services Agreement Fee in an amount equal to one hundred and five percent (105%) of WMA's operating expenses. As part of the Services Agreement, WMC agreed to make

## Wellington Management Advisers, Inc.

### Notes to Statement of Financial Condition

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available to WMA the services of certain of its officers and employees required by WMA in the conduct of its business as well as office space, equipment, administrative and support services.

WMA had a receivable from WMC under the Services Agreement of \$26,391 at December 31, 2014. Under the terms of the Services Agreement, the Right of Offset existed between WMA and WMC and effectively allowed for the offsetting of receivables and payables between WMA and WMC. Therefore, only a net receivable or payable related to the activity under this agreement is recorded on the Statement of Financial Condition. Payments are made in full on or before March 15 following the end of the taxable year.

On January 1, 2015, such agreements were novated to Wellington Management Company LLP (organized in Delaware). WMA will receive a services fee under this agreement for offering interests in the Wellington Management Private Funds.

#### 5. Shareholder's Equity

WMC made an initial capital contribution of \$500 in common stock and \$1,999,500 in Additional Paid-in-Capital in 2010. WMC transferred its ownership in WMA to WMFH on January 1, 2015.

#### 6. Net Capital Requirements

WMA is subject to the SEC's Uniform Net Capital Rule ("Rule 15c3-1") which requires the maintenance of a minimum net capital and requires that the ratio of aggregate indebtedness to net capital be no more than 15 to 1.

As of December 31, 2014, WMA had net capital for this purpose of \$2,695,250 which was \$2,690,250 in excess of its minimum net capital requirement of \$5,000. WMA's ratio of aggregate indebtedness to net capital complied with the required limit and was .007 to 1, or .7 %, at December 31, 2014.

#### 7. Exemption from Rule 15c3-3

WMA does not carry customer accounts or otherwise hold customer funds. Accordingly, WMA is exempt from Rule 15c3-3 of the Securities Exchange Act of 1934 under the provisions of subparagraph (k)(2)(i) thereof.

#### 8. Contingencies

In the ordinary course of business, WMA is subject to regulatory examinations, information gathering requests, inquiries and investigations. As a registered broker/dealer, WMA is subject to regulation by the SEC, FINRA, and state securities regulators. In connection with formal and informal inquiries by those agencies, WMA may receive requests from such regulators. To date, there are no significant financial contingencies resulting from any regulatory reviews or inquiries.