

Nuveen Short Duration Credit Opportunities Fund  
Form N-Q  
December 30, 2013

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

**Washington, DC 20549**

**FORM N-Q**

**QUARTERLY SCHEDULE OF PORTFOLIO HOLDINGS OF REGISTERED MANAGEMENT  
INVESTMENT COMPANY**

Investment Company Act file number 811-22518

**Nuveen Short Duration Credit Opportunities Fund**

(Exact name of registrant as specified in charter)

**333 West Wacker Drive, Chicago, Illinois 60606**

(Address of principal executive offices) (Zip code)

**Kevin J. McCarthy Vice President and Secretary**

**333 West Wacker Drive, Chicago, Illinois 60606**

(Name and address of agent for service)

Registrant's telephone number, including area code:

312-917-7700

Date of fiscal year

end: 7/31

Date of reporting period: 10/31/13

Form N-Q is to be used by management investment companies, other than small business investment companies registered on Form N-5 (§§ 239.24 and 274.5 of this chapter), to file reports with the Commission, not later than 60 days after the close of the first and third fiscal quarters, pursuant to rule 30b1-5 under the Investment Company Act of 1940 (17 CFR 270.30b1-5). The Commission may use the information provided on Form N-Q in its regulatory, disclosure review, inspection, and policymaking roles.

A registrant is required to disclose the information specified by Form N-Q, and the Commission will make this information public. A registrant is not required to respond to the collection of information contained in Form N-Q unless the Form displays a currently valid Office of Management and Budget (OMB) control number. Please direct comments concerning the accuracy of the information collection burden estimate and any suggestions for reducing the burden to the Secretary, Securities and Exchange Commission, 450 Fifth Street, NW, Washington, DC 20549-0609. The OMB has reviewed this collection of information under the clearance requirements of 44 U.S.C. § 3507.

**Item 1. Schedule of Investments**

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**Portfolio of Investments (Unaudited)**  
**Nuveen Short Duration Credit Opportunities Fund (JSD)**  
 October 31, 2013

| Principal Amount (000) | Description (1)  | Coupon  | Maturity (2) | Ratings (3) | Value      |
|------------------------|--|---------|--------------|-------------|------------|
|                        | <b>Long-Term Investments 140.7% (99.5% of Total Investments)</b>                   |         |              |             |            |
|                        | <b>Variable Rate Senior Loan Interests 120.4% (85.2% of Total Investments) (4)</b> |         |              |             |            |
|                        | <b>Aerospace &amp; Defense 0.7% (0.5% of Total Investments)</b>                    |         |              |             |            |
| \$ 143                 | Beechcraft Holdings LLC, Exit Term Loan B  | 5.750%  | 2/15/20      | BB-         | \$ 144,405 |
| 1,241                  | Sequa Corporation, Term Loan B   | 5.250%  | 6/19/17      | B1          | 1,252,838  |
| 1,384                  | Total Aerospace & Defense  |         |              |             | 1,397,243  |
|                        | <b>Airlines 4.1% (2.9% of Total Investments)</b>                                   |         |              |             |            |
| 998                    | American Airlines, Inc., Exit Term Loan  | 4.750%  | 6/27/19      | Baa2        | 1,005,605  |
| 3,176                  | Delta Air Lines, Inc., Term Loan B1  | 4.000%  | 10/18/18     | Ba1         | 3,194,738  |
| 993                    | Delta Air Lines, Inc., Term Loan B2  | 3.250%  | 4/18/16      | Ba1         | 997,994    |
| 1,955                  | Delta Air Lines, Inc., Term Loan B   | 4.250%  | 4/20/17      | Ba1         | 1,967,569  |
| 1,000                  | US Airways, Inc., Term Loan B1   | 4.250%  | 5/23/19      | BB-         | 1,003,036  |
| 8,122                  | Total Airlines   |         |              |             | 8,168,942  |
|                        | <b>Auto Components 0.1% (0.1% of Total Investments)</b>                            |         |              |             |            |
| 170                    | Schaeffler AG, Term Loan C   | 4.250%  | 1/27/17      | Ba2         | 171,295    |
|                        | <b>Building Products 0.4% (0.3% of Total Investments)</b>                          |         |              |             |            |
| 750                    | Quikrete Holdings, Inc., Term Loan, First Lien                                     | 4.000%  | 9/28/20      | B+          | 754,149    |
|                        | <b>Capital Markets 2.3% (1.6% of Total Investments)</b>                            |         |              |             |            |
| 661                    | American Capital, LTD., Term Loan, First Lien                                      | 4.000%  | 8/22/16      | BB-         | 664,003    |
| 3,866                  | Walter Investment Management Corporation, Tranche B, Term Loan                     | 5.750%  | 11/28/17     | B+          | 3,911,401  |
| 4,527                  | Total Capital Markets  |         |              |             | 4,575,404  |
|                        | <b>Chemicals 0.6% (0.4% of Total Investments)</b>                                  |         |              |             |            |
| 1,184                  | Ineos US Finance LLC, Term Loan, First Lien  | 4.000%  | 5/04/18      | BB-         | 1,188,895  |
|                        | <b>Commercial Services &amp; Supplies 4.5% (3.2% of Total Investments)</b>         |         |              |             |            |
| 2,500                  | Aramark Corporation, Term Loan, Tranche D  | 4.000%  | 9/09/19      | BB-         | 2,510,925  |
| 192                    | Brand Energy & Infrastructure Services, Inc., Canadian Tranche 1, Term Loan        | 6.250%  | 10/23/18     | B2          | 192,475    |
| 500                    | Brand Energy & Infrastructure Services, Inc., Term Loan, Second Lien               | 11.000% | 10/23/19     | CCC+        | 510,834    |
| 798                    | Brand Energy & Infrastructure Services, Inc., Term Loan                            | 6.250%  | 10/23/18     | B           | 801,980    |
| 840                    | Brickman Group Holdings, Inc., Tranche B2, Term Loan                               | 3.259%  | 10/14/16     | B+          | 844,277    |
| 1,059                  | Brickman Group Holdings, Inc., Tranche B3, Term Loan                               | 4.000%  | 9/28/18      | B+          | 1,066,501  |
| 2,638                  | Harland Clarke Holdings Corporation, Term Loan B3                                  | 7.000%  | 5/22/18      | B+          | 2,644,699  |
| 493                    | Houghton Mifflin, Term Loan  | 5.250%  | 5/22/18      | B2          | 496,502    |
| 9,020                  | Total Commercial Services & Supplies   |         |              |             | 9,068,193  |
|                        | <b>Communications Equipment 2.0% (1.4% of Total Investments)</b>                   |         |              |             |            |
| 1,489                  | Alcatel-Lucent, Inc., Term Loan C  | 5.750%  | 1/30/19      | B+          | 1,512,826  |
| 1,500                  | Avaya, Inc., Term Loan B3  | 4.762%  | 10/26/17     | B1          | 1,391,042  |
| 1,160                  | Telesat Canada Inc., Term Loan B   | 3.500%  | 3/28/19      | Ba2         | 1,164,536  |
| 4,149                  | Total Communications Equipment   |         |              |             | 4,068,404  |
|                        | <b>Computers &amp; Peripherals 2.9% (2.0% of Total Investments)</b>                |         |              |             |            |
| 5,000                  | Dell, Inc., Term Loan B, DD1   | 4.500%  | 3/24/20      | BB+         | 4,977,190  |

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|        |  |         |          |      |            |
|--------|--|---------|----------|------|------------|
| 794    | SunGard Data Systems, Inc., Term Loan D  | 4.500%  | 1/31/20  | BB   | 800,775    |
| 5,794  | Total Computers & Peripherals<br><b>Consumer Finance 0.5% (0.3% of Total Investments)</b>                                    |         |          |      | 5,777,965  |
| 961    | Royalty Pharma Finance Trust, Incremental Term Loan  | 4.000%  | 11/09/18 | Baa2 | 967,045    |
| 1,135  | Reynolds Group Holdings, Inc., Term Loan<br><b>Containers &amp; Packaging 0.6% (0.4% of Total Investments)</b>               | 4.750%  | 9/28/18  | B+   | 1,145,181  |
| 2,963  | HD Supply, Inc., Term Loan B<br><b>Distributors 1.5% (1.1% of Total Investments)</b>   | 4.500%  | 10/12/17 | B+   | 2,981,427  |
| 2,060  | Cengage Learning Acquisitions, Inc., Term Loan, (5)<br><b>Diversified Consumer Services 5.4% (3.8% of Total Investments)</b> | 4.750%  | 7/03/14  | D    | 1,507,414  |
| 998    | Ceridian Corporation, New Replacement Term Loan  | 4.420%  | 8/14/15  | B1   | 1,003,320  |
| 4,000  | Hilton Hotels Corporation, Term Loan B2  | 4.000%  | 10/26/20 | BB   | 4,027,752  |
| 2,186  | Laureate Education, Inc., Term Loan B  | 5.000%  | 6/16/18  | B1   | 2,203,781  |
| 1,500  | Spotless Holdings, SAS, Term Loan, First Lien  | 5.000%  | 10/02/18 | B1   | 1,509,375  |
| 500    | Spotless Holdings, SAS, Term Loan, Second Lien   | 8.750%  | 4/02/19  | B3   | 507,812    |
| 11,244 | Total Diversified Consumer Services<br><b>Diversified Financial Services 2.6% (1.9% of Total Investments)</b>                |         |          |      | 10,759,454 |
| 1,493  | Ocwen Financial Corporation, Term Loan B   | 5.000%  | 2/15/18  | B1   | 1,510,970  |
| 3,722  | WideOpenWest Finance LLC, Term Loan B  | 4.750%  | 4/01/19  | B1   | 3,755,766  |
| 5,215  | Total Diversified Financial Services<br><b>Electronic Equipment &amp; Instruments 0.6% (0.4% of Total Investments)</b>       |         |          |      | 5,266,736  |
| 1,440  | SMART Modular Technologies, Inc., Term Loan B  | 8.250%  | 8/26/17  | B    | 1,217,664  |
| 1,000  | Albertson's LLC, Delayed Draw, Term Loan B, (WI/DD)<br><b>Food &amp; Staples Retailing 2.9% (2.1% of Total Investments)</b>  | TBD     | TBD      | BB-  | 1,001,563  |
| 903    | Albertson's LLC, Term Loan B1  | 4.250%  | 3/21/16  | BB-  | 906,348    |
| 589    | Albertson's LLC, Term Loan B2  | 4.750%  | 3/21/19  | BB-  | 591,382    |
| 1,000  | Rite Aid Corporation, Tranche 2, Term Loan, Second Lien  | 4.875%  | 6/21/21  | B    | 1,011,250  |
| 993    | Supervalu, Inc., New Term Loan B   | 5.000%  | 3/21/19  | B+   | 1,000,753  |
| 1,425  | Wilton Products, Inc., Tranche B, Term Loan  | 7.500%  | 8/30/18  | B    | 1,325,250  |
| 5,910  | Total Food & Staples Retailing<br><b>Food Products 4.2% (2.9% of Total Investments)</b>                                      |         |          |      | 5,836,546  |
| 1,489  | AdvancePierre Foods, Inc., Term Loan, First Lien   | 5.750%  | 7/10/17  | B1   | 1,500,536  |
| 118    | Ferrara Candy Company, Term Loan B   | 7.500%  | 6/18/18  | B    | 113,674    |
| 2,294  | H.J Heinz Company, Term Loan B2  | 3.500%  | 6/05/20  | BB   | 2,314,185  |
| 995    | Pinnacle Foods Finance LLC, Term Loan G  | 3.250%  | 4/29/20  | BB-  | 995,089    |
| 3,431  | US Foods, Inc., Incremental Term Loan  | 4.500%  | 3/31/19  | B2   | 3,440,407  |
| 8,327  | Total Food Products<br><b>Health Care Equipment &amp; Supplies 3.5% (2.5% of Total Investments)</b>                          |         |          |      | 8,363,891  |
| 500    | Ardent Medical Services, Inc., Term Loan, Second Lien  | 11.000% | 1/02/19  | CCC+ | 511,875    |
| 1,053  | Hologic, Inc., Refinancing Term Loan, Tranche B  | 3.750%  | 8/01/19  | BBB- | 1,060,550  |
| 1,044  | Kinetic Concepts, Inc., Term Loan D1   | 4.500%  | 5/04/18  | BB-  | 1,053,341  |
| 3,456  | Onex Carestream Finance LP, Term Loan, First Lien  | 5.000%  | 6/07/19  | B+   | 3,495,133  |
| 1,000  | Onex Carestream Finance LP, Term Loan, Second Lien   | 9.500%  | 12/07/19 | B-   | 1,006,250  |
| 7,053  | Total Health Care Equipment & Supplies<br><b>Health Care Providers &amp; Services 11.6% (8.2% of Total Investments)</b>      |         |          |      | 7,127,149  |
| 2,993  |  | 6.750%  | 4/06/20  | BB-  | 3,029,257  |

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|        |   |         |          |      |            |
|--------|---|---------|----------|------|------------|
|        | Apria Healthcare Group, Inc., Term Loan, First Lien                       |         |          |      |            |
| 949    | Ardent Medical Services, Inc., Term Loan, First Lien                      | 6.750%  | 7/02/18  | B+   | 955,782    |
| 938    | BioScrip, Inc., Delayed Draw, Term Loan                                   | 6.500%  | 7/31/20  | B    | 928,125    |
| 184    | Community Health Systems, Inc., Extended Term Loan                        | 3.760%  | 1/25/17  | BB   | 185,361    |
| 971    | CRC Health Corporation, Term Loan B3                                      | 8.500%  | 11/16/15 | B+   | 981,599    |
| 2,978  | DaVita, Inc., New Term Loan B2  | 4.000%  | 11/01/19 | Ba2  | 2,997,705  |
| 850    | Genesis Healthcare LLC, Term Loan   | 10.002% | 12/04/17 | B+   | 870,607    |
| 3,130  | Golden Living, Term Loan  | 5.000%  | 5/04/18  | B    | 3,027,828  |
| 1,161  | Health Management Associates, Inc., Replacement Term Loan B               | 3.500%  | 11/16/18 | BB-  | 1,162,784  |
| 993    | Heartland Dental Care, Inc., Term Loan, First Lien                        | 6.250%  | 12/21/18 | Ba3  | 1,002,425  |
| 500    | Heartland Dental Care, Inc., Term Loan, Second Lien                       | 9.750%  | 6/20/19  | CCC+ | 509,688    |
| 1,222  | IASIS Healthcare LLC, Term Loan B2, First Lien                            | 4.500%  | 5/03/18  | Ba3  | 1,231,586  |
| 358    | Kindred Healthcare, Inc., Term Loan B1                                    | 4.250%  | 6/01/18  | Ba3  | 358,337    |
| 922    | LHP Operations Co. LLC, Term Loan B                                       | 9.000%  | 7/03/18  | B    | 884,800    |
| 990    | National Mentor Holdings, Inc., Term Loan B                               | 6.500%  | 2/09/17  | B+   | 999,135    |
| 2,469  | Sheridan Holdings, Inc., Term Loan, First Lien                            | 4.500%  | 6/29/18  | B+   | 2,479,645  |
| 1,000  | Sheridan Holdings, Inc., Term Loan, Second Lien                           | 9.000%  | 7/01/19  | B-   | 1,009,583  |
| 758    | Skilled Healthcare Group, Inc., Term Loan                                 | 6.750%  | 4/09/16  | B    | 758,923    |
| 23,366 | Total Health Care Providers & Services                                    |         |          |      | 23,373,170 |
|        | <b>Hotels, Restaurants &amp; Leisure 6.3% (4.4% of Total Investments)</b> |         |          |      |            |
| 2,336  | 24 Hour Fitness Worldwide, Inc., Term Loan B                              | 5.250%  | 4/22/16  | Ba3  | 2,361,151  |
| 1,419  | BLB Management Services, Inc., Term Loan                                  | 5.250%  | 11/10/18 | BB-  | 1,435,645  |
| 2,295  | CCM Merger, Inc., Term Loan   | 5.000%  | 3/01/17  | B+   | 2,318,274  |
| 1,500  | CityCenter Holdings LLC, Term Loan B                                      | 5.000%  | 10/26/20 | BB-  | 1,514,844  |
| 1,955  | Landry's Restaurants, Inc., Term Loan B                                   | 4.750%  | 4/24/18  | BB-  | 1,972,921  |
| 993    | MGM Resorts International, Term Loan B                                    | 3.500%  | 12/20/19 | BB   | 993,844    |
| 1,990  | Station Casino LLC, Term Loan B   | 5.000%  | 3/02/20  | B1   | 2,010,306  |
| 12,488 | Total Hotels, Restaurants & Leisure                                       |         |          |      | 12,606,985 |
|        | <b>Household Durables 1.1% (0.8% of Total Investments)</b>                |         |          |      |            |
| 646    | Spectrum Brands, Inc., Term Loan  | 4.504%  | 12/17/19 | BB   | 649,864    |
| 1,667  | Sun Products Corporation, Term Loan                                       | 5.500%  | 3/23/20  | B1   | 1,609,981  |
| 2,313  | Total Household Durables  |         |          |      | 2,259,845  |
|        | <b>Insurance 2.6% (1.8% of Total Investments)</b>                         |         |          |      |            |
| 993    | Alliant Holdings I LLC, Initial Term Loan B, First Lien                   | 5.000%  | 12/20/19 | B1   | 999,163    |
| 1,250  | Hub International Holdings, Inc., Term Loan B                             | 4.750%  | 10/02/20 | B1   | 1,257,422  |
| 1,985  | USI Holdings Corporation, Term Loan B                                     | 5.000%  | 12/27/19 | B1   | 1,996,910  |
| 950    | Vantage Drilling Company, Term Loan B                                     | 6.250%  | 10/25/17 | B-   | 955,541    |
| 5,178  | Total Insurance   |         |          |      | 5,209,036  |
|        | <b>Internet &amp; Catalog Retail 1.4% (1.0% of Total Investments)</b>     |         |          |      |            |
| 2,729  | EIG Investors Corp., Term Loan, First Lien                                | 6.250%  | 11/09/19 | B1   | 2,745,295  |
|        | <b>Internet Software &amp; Services 4.9% (3.5% of Total Investments)</b>  |         |          |      |            |
| 727    | Ancestry.com, Inc., Term Loan B1  | 5.250%  | 12/28/18 | Ba2  | 732,019    |
| 1,000  | ION Trading Technologies S.A.R.L., Term Loan, Second Lien                 | 8.250%  | 5/22/21  | CCC+ | 1,007,917  |
| 888    | Sabre Inc., Term Loan C   | 4.000%  | 2/19/18  | B1   | 890,987    |
| 2,480  | Sabre, Inc., Term Loan B  | 5.250%  | 2/19/19  | B1   | 2,508,278  |
| 2,000  | San Juan Cable LLC, Term Loan, Second Lien                                | 10.000% | 6/09/18  | CCC  | 2,012,500  |
| 2,723  | SSI Investments II, Ltd., New Term Loan                                   | 5.000%  | 5/26/17  | Ba3  | 2,741,151  |
| 9,818  | Total Internet Software & Services  |         |          |      | 9,892,852  |
|        | <b>IT Services 4.9% (3.5% of Total Investments)</b>                       |         |          |      |            |

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|        |  |         |          |      |            |
|--------|--|---------|----------|------|------------|
| 662    | CompuCom Systems, Inc., Term Loan B                                      | 4.250%  | 5/09/20  | B1   | 663,660    |
| 1,500  | EIG Investors Corp., Term Loan, Second Lien                              | 10.250% | 5/09/20  | CCC+ | 1,524,375  |
| 933    | SRA International, Term Loan   | 6.500%  | 7/20/18  | B1   | 919,146    |
| 995    | SunGard Data Systems, Inc., Term Loan E                                  | 4.000%  | 3/08/20  | BB   | 1,004,795  |
| 2,317  | VFH Parent LLC, Term Loan B  | 5.775%  | 7/08/16  | N/R  | 2,337,072  |
| 3,456  | Zayo Group LLC, Term Loan B  | 4.500%  | 7/02/19  | B1   | 3,478,933  |
| 9,863  | Total IT Services  |         |          |      | 9,927,981  |
|        | <b>Leisure Equipment &amp; Products 1.9% (1.3% of Total Investments)</b> |         |          |      |            |
| 2,263  | Bombardier Recreational Products, Inc., Term Loan                        | 4.000%  | 1/30/19  | B+   | 2,275,586  |
| 1,493  | Equinox Holdings, Inc., New Initial Term Loan B                          | 4.501%  | 1/31/20  | B1   | 1,505,559  |
| 3,756  | Total Leisure Equipment & Products                                       |         |          |      | 3,781,145  |
|        | <b>Media 5.7% (4.0% of Total Investments)</b>                            |         |          |      |            |
| 579    | Cengage Learning Acquisitions, Inc., Tranche B, Extended Term Loan, (5)  | 7.750%  | 7/04/17  | D    | 423,165    |
| 837    | Charter Communications Operating Holdings LLC, Term Loan F               | 3.000%  | 12/31/20 | Baa3 | 830,781    |
| 968    | Cumulus Media, Inc., Term Loan, Second Lien                              | 7.500%  | 9/16/19  | B3   | 994,138    |
| 998    | Emerald Expositions Holdings, Inc., Term Loan, First Lien                | 5.500%  | 6/17/20  | BB-  | 1,005,397  |
| 995    | Internet Brands, Inc., Term Loan B                                       | 6.250%  | 3/18/19  | B+   | 1,001,219  |
| 1,493  | McGraw-Hill Education Holdings LLC, Term Loan                            | 9.000%  | 3/22/19  | B2   | 1,520,019  |
| 1,000  | Media General, Inc., Delayed Draw, Term Loan, (6)                        | 3.250%  | 7/31/20  | BB-  | 1,006,250  |
| 977    | Radio One, Inc., Term Loan B, First Lien                                 | 7.500%  | 2/14/17  | B+   | 1,003,489  |
| 1,000  | Springer Science & Business Media, Inc., Term Loan                       | 5.000%  | 8/14/20  | B    | 1,001,250  |
| 2,571  | UPC Broadband Holding BV, Term Loan AF                                   | 4.000%  | 1/31/21  | BB-  | 2,592,322  |
| 11,418 | Total Media  |         |          |      | 11,378,030 |
|        | <b>Multiline Retail 1.0% (0.7% of Total Investments)</b>                 |         |          |      |            |
| 2,000  | Hudson's Bay Company, Term Loan B, First Lien, (WI/DD)                   | TBD     | TBD      | BB   | 2,029,000  |
|        | <b>Oil, Gas &amp; Consumable Fuels 8.1% (5.7% of Total Investments)</b>  |         |          |      |            |
| 1,224  | Buffalo Gulf Coast Terminals, Term Loan B                                | 5.250%  | 10/31/17 | BB+  | 1,238,142  |
| 1,623  | Crestwood Holdings LLC, Term Loan B                                      | 7.000%  | 6/19/19  | B    | 1,662,879  |
| 2,992  | Drill Rigs Holdings, Inc., Tranche B1, Term Loan                         | 6.000%  | 3/31/21  | B+   | 3,045,805  |
| 667    | EP Energy LLC, Term Loan B3, Second Lien                                 | 3.500%  | 5/24/18  | Ba3  | 668,393    |
| 2,000  | Fieldwood Energy LLC, Term Loan, Second Lien                             | 8.375%  | 9/30/20  | B2   | 2,038,958  |
| 728    | Frac Tech International LLC, Term Loan                                   | 8.500%  | 5/06/16  | B3   | 723,185    |
| 2,300  | Harvey Gulf International Marine, Inc., Term Loan B                      | 5.500%  | 6/18/20  | B1   | 2,317,250  |
| 1,000  | Peabody Energy Corporation, Term Loan B                                  | 4.250%  | 9/24/20  | BB+  | 996,875    |
| 995    | Rice Drilling LLC., Term Loan, Second Lien                               | 8.500%  | 10/25/18 | N/R  | 1,011,169  |
| 833    | Samson Investment Company, Initial Term Loan, Second Lien                | 6.000%  | 9/25/18  | B1   | 841,927    |
| 995    | Saxon Energy Services, Inc., Term Loan                                   | 5.500%  | 2/13/19  | Ba3  | 1,000,721  |
| 750    | Shelf Drilling Holdings LTD., Term Loan                                  | 10.000% | 10/07/18 | B+   | 760,312    |
| 16,107 | Total Oil, Gas & Consumable Fuels  |         |          |      | 16,305,616 |
|        | <b>Pharmaceuticals 9.5% (6.7% of Total Investments)</b>                  |         |          |      |            |
| 1,950  | Auxilium Pharmaceuticals, Inc., Term Loan                                | 6.250%  | 4/26/17  | Ba2  | 1,980,786  |
| 563    | BioScrip, Inc., Term Loan B  | 6.500%  | 7/31/20  | B    | 556,875    |
| 1,882  | ConvaTec, Inc., Dollar Term Loan   | 4.000%  | 12/22/16 | Ba3  | 1,897,140  |
| 798    | Generic Drug Holdings, Inc., Term Loan B                                 | 5.000%  | 8/16/20  | B1   | 804,318    |

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|        |  |        |          |      |            |
|--------|--|--------|----------|------|------------|
| 2,946  | Pharmaceutical Product Development, Inc., Term Loan B, First Lien                | 4.250% | 12/01/18 | Ba3  | 2,970,651  |
| 1,000  | Pharmaceutical Research Associates, Inc., Term Loan B                            | 5.000% | 9/23/20  | B1   | 1,003,229  |
| 1,939  | Quintiles Transnational Corp., Term Loan B2                                      | 4.000% | 6/08/18  | BB-  | 1,948,624  |
| 993    | Therakos, Inc., Term Loan, First Lien  | 7.500% | 12/27/17 | B    | 994,361    |
| 4,630  | Valeant Pharmaceuticals International, Inc., Term Loan E                         | 4.500% | 8/05/20  | Ba1  | 4,697,139  |
| 2,216  | Valeant Pharmaceuticals International, Inc., Tranche B, Term Loan D2             | 3.750% | 2/13/19  | BBB- | 2,237,792  |
| 18,917 | Total Pharmaceuticals  |        |          |      | 19,090,915 |
|        | <b>Real Estate Investment Trust 1.6% (1.2% of Total Investments)</b>             |        |          |      |            |
| 1,500  | Capital Automotive LP, Term Loan, Second Lien                                    | 6.000% | 4/30/20  | B1   | 1,548,750  |
| 1,602  | iStar Financial, Inc., Term Loan   | 4.500% | 10/15/17 | BB-  | 1,612,069  |
| 119    | Realogy Corporation, Synthetic Letter of Credit                                  | 4.455% | 10/10/16 | BB-  | 118,742    |
| 3,221  | Total Real Estate Investment Trust   |        |          |      | 3,279,561  |
|        | <b>Real Estate Management &amp; Development 1.8% (1.3% of Total Investments)</b> |        |          |      |            |
| 1,633  | Capital Automotive LP, Term Loan, Tranche B1                                     | 4.000% | 4/10/19  | Ba2  | 1,643,877  |
| 1,990  | Realogy Corporation, Term Loan B   | 4.500% | 3/05/20  | BB-  | 2,012,801  |
| 3,623  | Total Real Estate Management & Development                                       |        |          |      | 3,656,678  |
|        | <b>Road &amp; Rail 0.5% (0.4% of Total Investments)</b>                          |        |          |      |            |
| 1,038  | Swift Transportation Company, Inc., Term Loan B2                                 | 4.000% | 12/21/17 | BB   | 1,046,949  |
|        | <b>Semiconductors &amp; Equipment 2.4% (1.7% of Total Investments)</b>           |        |          |      |            |
| 1,990  | Freescale Semiconductor, Inc., Term Loan, Tranche B4                             | 5.000% | 2/28/20  | B1   | 2,010,886  |
| 1,000  | Freescale Semiconductor, Inc., Term Loan, Tranche B5                             | 5.000% | 1/15/21  | B1   | 1,011,250  |
| 832    | Microsemi Corporation, Term Loan, First Lien                                     | 3.750% | 2/19/20  | BB+  | 837,164    |
| 993    | NXP Semiconductor LLC, Incremental Term Loan C                                   | 4.750% | 1/10/20  | Ba3  | 1,005,993  |
| 4,815  | Total Semiconductors & Equipment   |        |          |      | 4,865,293  |
|        | <b>Software 11.2% (7.9% of Total Investments)</b>                                |        |          |      |            |
| 1,500  | Activision Blizzard, Inc., Term Loan B   | 3.250% | 10/12/20 | BBB  | 1,506,296  |
| 1,766  | Attachmate Corporation, Term Loan, First Lien                                    | 7.250% | 11/22/17 | BB-  | 1,784,894  |
| 901    | Blackboard, Inc., Term Loan B2   | 6.250% | 10/04/18 | B+   | 908,178    |
| 1,000  | BMC Software, Inc., Initial Term Loan  | 5.000% | 9/10/20  | B+   | 1,011,458  |
| 840    | Datatel Parent Corp, Term Loan B   | 4.500% | 7/19/18  | B+   | 847,727    |
| 983    | Emdeon Business Services LLC, Term Loan B2                                       | 3.750% | 11/02/18 | BB-  | 987,570    |
| 978    | Epicor Software Corporation, Term Loan, B1                                       | 4.500% | 5/16/18  | Ba3  | 985,311    |
| 990    | Explorer Holdings, Inc., Term Loan   | 6.000% | 5/02/18  | B+   | 994,969    |
| 874    | Greeneden U.S. Holdings II LLC, Term Loan B                                      | 4.000% | 2/08/20  | B    | 871,237    |
| 3,144  | Infor Enterprise Applications, Term Loan B                                       | 5.250% | 4/05/18  | Ba3  | 3,173,271  |
| 908    | IPC Systems, Inc., Extended Term Loan, Tranche B1, First Lien                    | 7.750% | 7/31/17  | B1   | 890,379    |
| 3,800  | IPC Systems, Inc., Term Loan, Second Lien  | 5.418% | 6/01/15  | CCC  | 3,258,500  |
| 2,721  | Misys PLC, Term Loan B, First Lien   | 5.000% | 12/12/18 | Ba3  | 2,746,746  |
| 794    | RedPrairie Corporation, Term Loan, First Lien                                    | 6.750% | 12/21/18 | B+   | 802,294    |
| 728    | Vertafore, Inc., Term Loan, First Lien   | 4.250% | 10/03/19 | B+   | 731,966    |
| 1,000  | Vertafore, Inc., Term Loan, Second Lien  | 9.750% | 10/29/17 | CCC+ | 1,021,000  |
| 22,927 | Total Software   |        |          |      | 22,521,796 |
|        | <b>Specialty Retail 1.3% (1.0% of Total Investments)</b>                         |        |          |      |            |

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|                   |   |        |          |      |                    |
|-------------------|---|--------|----------|------|--------------------|
| 599               | Charlotte Russe, Inc., Initial Term Loan                                    | 6.750% | 5/22/19  | B2   | 587,278            |
| 1,067             | Collective Brands, Inc., Term Loan B  | 7.250% | 10/09/19 | B    | 1,070,475          |
| 1,049             | Jo-Ann Stores, Inc., Term Loan, First Lien                                  | 4.000% | 3/16/18  | B+   | 1,050,213          |
| 2,715             | Total Specialty Retail  |        |          |      | 2,707,966          |
|                   | <b>Wireless Telecommunication Services 3.2% (2.3% of Total Investments)</b> |        |          |      |                    |
| 2,295             | Clear Channel Communications, Inc., Tranche B, Term Loan                    | 3.818% | 1/29/16  | CCC+ | 2,231,272          |
| 2,488             | Fairpoint Communications, Inc., Term Loan B                                 | 7.500% | 2/11/19  | B    | 2,539,194          |
| 1,734             | Presidio, Inc., New Term Loan   | 5.750% | 3/31/17  | Ba3  | 1,739,773          |
| 6,517             | Total Wireless Telecommunication Services                                   |        |          |      | 6,510,239          |
| <b>\$ 242,157</b> | <b>Total Variable Rate Senior Loan Interests (cost \$238,821,490)</b>       |        |          |      | <b>242,023,935</b> |

| Principal Amount (000) | Description (1)  | Coupon  | Maturity | Ratings (3) | Value      |
|------------------------|--|---------|----------|-------------|------------|
|                        | <b>Corporate Bonds 20.3% (14.3% of Total Investments)</b>                      |         |          |             |            |
|                        | <b>Commercial Services &amp; Supplies 0.7% (0.5% of Total Investments)</b>     |         |          |             |            |
| \$ 500                 | Ceridian Corporation   | 11.250% | 11/15/15 | CCC         | \$ 503,124 |
| 816                    | Harland Clarke Holdings  | 9.500%  | 5/15/15  | B-          | 818,039    |
| 1,316                  | Total Commercial Services & Supplies   |         |          |             | 1,321,163  |
|                        | <b>Distributors 0.6% (0.4% of Total Investments)</b>                           |         |          |             |            |
| 1,000                  | HD Supply Inc.   | 11.500% | 7/15/20  | CCC+        | 1,206,250  |
|                        | <b>Diversified Consumer Services 0.9% (0.6% of Total Investments)</b>          |         |          |             |            |
| 1,650                  | NES Rental Holdings Inc., 144A   | 7.875%  | 5/01/18  | CCC+        | 1,732,500  |
|                        | <b>Diversified Telecommunication Services 0.8% (0.6% of Total Investments)</b> |         |          |             |            |
| 750                    | IntelSat Limited, 144A   | 7.750%  | 6/01/21  | CCC+        | 791,250    |
| 300                    | IntelSat Limited   | 8.125%  | 6/01/23  | CCC+        | 317,250    |
| 500                    | Level 3 Communications Inc.  | 11.875% | 2/01/19  | B-          | 580,000    |
| 1,550                  | Total Diversified Telecommunication Services                                   |         |          |             | 1,688,500  |
|                        | <b>Health Care Equipment &amp; Supplies 1.5% (1.1% of Total Investments)</b>   |         |          |             |            |
| 2,700                  | Kinetic Concepts   | 10.500% | 11/01/18 | B-          | 3,044,250  |
|                        | <b>Health Care Providers &amp; Services 2.3% (1.7% of Total Investments)</b>   |         |          |             |            |
| 2,000                  | HCA Inc.   | 8.500%  | 4/15/19  | BB+         | 2,147,500  |
| 1,350                  | iasi's Healthcare Capital Corporation  | 8.375%  | 5/15/19  | CCC+        | 1,431,000  |
| 1,000                  | Truven Health Analytics Inc.   | 10.625% | 6/01/20  | CCC+        | 1,133,750  |
| 4,350                  | Total Health Care Providers & Services   |         |          |             | 4,712,250  |
|                        | <b>Hotels, Restaurants &amp; Leisure 0.5% (0.3% of Total Investments)</b>      |         |          |             |            |
| 1,000                  | Harrah's Operating Company, Inc.   | 11.250% | 6/01/17  | B-          | 997,500    |
|                        | <b>Household Products 0.4% (0.3% of Total Investments)</b>                     |         |          |             |            |
| 700                    | Reynolds Group   | 9.875%  | 8/15/19  | CCC+        | 774,375    |
|                        | <b>Media 4.1% (2.9% of Total Investments)</b>                                  |         |          |             |            |
| 500                    | AMC Networks Inc.  | 7.750%  | 7/15/21  | BB          | 562,500    |
| 1,862                  | Clear Channel Communications, Inc.   | 11.000% | 8/01/16  | CCC-        | 1,801,195  |
| 3,585                  | Clear Channel Communications, Inc.   | 9.000%  | 12/15/19 | CCC+        | 3,638,775  |
| 1,000                  | Clear Channel Communications, Inc.   | 9.000%  | 3/01/21  | CCC+        | 1,007,500  |
| 600                    | Expo Event Transco Inc., 144A  | 9.000%  | 6/15/21  | B-          | 603,000    |
| 500                    | McGraw-Hill Global Education Holdings, 144A                                    | 9.750%  | 4/01/21  | BB          | 540,000    |
| 8,047                  | Total Media  |         |          |             | 8,152,970  |
|                        | <b>Oil, Gas &amp; Consumable Fuels 1.1% (0.8% of Total Investments)</b>        |         |          |             |            |
| 2,000                  | Chaparral Energy Inc.  | 9.875%  | 10/01/20 | B-          | 2,280,000  |
|                        | <b>Pharmaceuticals 2.4% (1.7% of Total Investments)</b>                        |         |          |             |            |
| 1,000                  | Jaguar Holding Company I, 144A   | 9.375%  | 10/15/17 | CCC+        | 1,060,000  |
| 2,000                  | Valeant Pharmaceuticals International, 144A                                    | 7.000%  | 10/01/20 | B1          | 2,155,000  |
| 500                    | Valeant Pharmaceuticals International, 144A                                    | 7.250%  | 7/15/22  | B1          | 543,750    |
| 1,000                  | VPII Escrow Corporation, 144A  | 7.500%  | 7/15/21  | B1          | 1,110,000  |

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|                  |  |   |          |      |  |                    |
|------------------|--|---|----------|------|--|--------------------|
| 4,500            | Total Pharmaceuticals                              |   |          |      |  | 4,868,750          |
|                  | <b>Semiconductors &amp; Equipment</b>              | <b>0.2% (0.1% of Total Investments)</b> |          |      |  |                    |
| 250              | Advanced Micro Devices, Inc.                       | 7.750%                                  | 8/01/20  | B    |  | 250,000            |
| 166              | Advanced Micro Devices, Inc.                       | 7.500%                                  | 8/15/22  | B    |  | 161,020            |
| 416              | Total Semiconductors & Equipment                   |   |          |      |  | 411,020            |
|                  | <b>Software</b>                                    | <b>1.9% (1.3% of Total Investments)</b> |          |      |  |                    |
| 2,550            | Infor Us Inc.                                      | 11.500%                                 | 7/15/18  | B-   |  | 2,958,000          |
| 750              | Infor Us Inc.                                      | 9.375%                                  | 4/01/19  | B-   |  | 847,500            |
| 3,300            | Total Software                                     |   |          |      |  | 3,805,500          |
|                  | <b>Specialty Retail</b>                            | <b>0.3% (0.2% of Total Investments)</b> |          |      |  |                    |
| 500              | 99 Cents Only Stores                               | 11.000%                                 | 12/15/19 | CCC+ |  | 562,500            |
|                  | <b>Wireless Telecommunication Services</b>         | <b>2.6% (1.8% of Total Investments)</b> |          |      |  |                    |
| 500              | FairPoint Communications Inc., 144A                | 8.750%                                  | 8/15/19  | B    |  | 512,500            |
| 1,250            | MetroPCS Wireless Inc., 144A                       | 6.250%                                  | 4/01/21  | BB   |  | 1,307,813          |
| 3,000            | Sprint Corporation, 144A                           | 7.875%                                  | 9/15/23  | BB-  |  | 3,255,000          |
| 75               | T-Mobile USA Inc.                                  | 6.731%                                  | 4/28/22  | BB   |  | 79,219             |
| 75               | T-Mobile USA Inc.                                  | 6.836%                                  | 4/28/23  | BB   |  | 79,313             |
| 4,900            | Total Wireless Telecommunication Services          |   |          |      |  | 5,233,845          |
| <b>\$ 37,929</b> | <b>Total Corporate Bonds (cost \$37,620,860)</b>   |   |          |      |  | <b>40,791,373</b>  |
|                  | <b>Total Long-Term Investments (\$276,442,350)</b> |   |          |      |  | <b>282,815,308</b> |

**Principal Amount (000)**

|          | Description (1)  | Coupon                                  | Maturity | Value                 |
|----------|--|---|----------|-----------------------|
|          | <b>Short-Term Investments</b>  | <b>0.7% (0.5% of Total Investments)</b> |          |                       |
| \$ 1,313 | Repurchase Agreement with State Street Bank, dated 10/31/13, repurchase price \$1,312,554, collateralized by \$1,295,000 U.S. Treasury Notes, 2.500%, due 3/31/15, value \$1,339,288 | 0.000%                                  | 11/01/13 | \$ 1,312,554          |
|          | <b>Total Short-Term Investments (cost \$1,312,554)</b>   |   |          | <b>1,312,554</b>      |
|          | <b>Total Investments (cost \$277,754,904)</b>  |   |          | <b>284,127,862</b>    |
|          | <b>141.4%</b>  |   |          |                       |
|          | <b>Borrowings - (42.3%) (7), (8)</b>   |   |          | <b>(85,000,000)</b>   |
|          | <b>Other Assets Less Liabilities</b>   | <b>0.9% (9)</b>                         |          | <b>1,825,335</b>      |
|          | <b>Net Assets Applicable to Common Shares</b>  | <b>100%</b>                             |          | <b>\$ 200,953,197</b> |

**Investments in Derivatives as of October 31, 2013**

**Interest Rate Swaps outstanding:**

| Counterparty   | Notional Amount      | Fund Pay/Receive Floating Rate | Floating Rate Index | Fixed Rate (Annualized) | Fixed Rate Payment Frequency | Termination Date | Unrealized Appreciation (Depreciation) (9) |
|----------------|----------------------|--------------------------------|---------------------|-------------------------|------------------------------|------------------|--|
| Barclays PLC   | \$ 17,500,000        | Receive                        | 1-Month USD-LIBOR   | 1.143%                  | Monthly                      | 9/15/16          | \$ (295,091)                               |
| Morgan Stanley | 17,500,000           | Receive                        | 1-Month USD-LIBOR   | 0.588                   | Monthly                      | 9/15/14          | (61,081)                                   |
| Morgan Stanley | 17,500,000           | Receive                        | 1-Month USD-LIBOR   | 1.659                   | Monthly                      | 9/15/18          | (296,775)                                  |
|                | <b>\$ 52,500,000</b> |                                |                     |                         |                              |                  | <b>\$ (652,947)</b>                        |

**Credit Default Swaps outstanding:**

**Unrealized**

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| Counterparty  | Referenced Entity  | Buy/Sell<br>Protection (10) | Current<br>Credit Spread (11) | Notional<br>Amount  | Fixed Rate<br>(Annualized) | Termination<br>Date | Value     | Appreciation<br>(Depreciation) (9) |
|---------------|--------------------|-----------------------------|-------------------------------|---------------------|----------------------------|---------------------|-----------|------------------------------------|
| Deutsche Bank | Kohl s Corporation | Buy                         | 1.30%                         | \$ 3,000,000        | 1.000%                     | 12/20/18            | \$ 38,085 | \$ (23,576)                        |
| Deutsche Bank | The Kroger Co.     | Buy                         | 0.60                          | 2,000,000           | 1.000                      | 12/20/18            | (40,435)  | (11,672)                           |
|               |                    |                             |                               | <b>\$ 5,000,000</b> |                            |                     | <b>\$</b> | <b>(35,248)</b>                    |

**Fair Value Measurements**

Fair value is defined as the price that the Fund would receive upon selling an investment or transferring a liability in an orderly transaction to an independent buyer in the principal or most advantageous market for the investment. A three-tier hierarchy is used to maximize the use of observable market data and minimize the use of unobservable inputs and to establish classification of fair value measurements for disclosure purposes. Observable inputs reflect the assumptions market participants would use in pricing the asset or liability. Observable inputs are based on market data obtained from sources independent of the reporting entity. Unobservable inputs reflect the reporting entity's own assumptions about the assumptions market participants would use in pricing the asset or liability. Unobservable inputs are based on the best information available in the circumstances. The following is a summary of the three-tiered hierarchy of valuation input levels.

Level 1 Inputs are unadjusted and prices are determined using quoted prices in active markets for identical securities.

Level 2 Prices are determined using other significant observable inputs (including quoted prices for similar securities, interest rates, prepayment speeds, credit risk, etc.).

Level 3 Prices are determined using significant unobservable inputs (including management's assumptions in determining the fair value of investments).

The inputs or methodologies used for valuing securities are not an indication of the risks associated with investing in those securities.

The following is a summary of the Fund's fair value measurements as of the end of the reporting period:

|                                     | Level 1 | Level 2        | Level 3 | Total          |
|-------------------------------------|---------|----------------|---------|----------------|
| Long-Term Investments:              |         |                |         |                |
| Variable Rate Senior Loan Interests | \$      | \$ 242,023,935 | \$      | \$ 242,023,935 |
| Corporate Bonds                     |         | 40,791,373     |         | 40,791,373     |
| Short-Term Investments:             |         |                |         |                |
| Repurchase Agreements               |         | 1,312,554      |         | 1,312,554      |
| Derivatives:                        |         |                |         |                |
| Interest Rate Swaps*                |         | (652,947)      |         | (652,947)      |
| Credit Default Swaps*               |         | (35,248)       |         | (35,248)       |
| Total                               | \$      | \$ 283,439,667 | \$      | \$ 283,439,667 |

\* Represents net unrealized appreciation (depreciation).

**Income Tax Information**

The following information is presented on an income tax basis. Differences between amounts for financial statement and federal income tax purposes are primarily due to the treatment of paydown gains and losses, timing differences in recognizing certain gains and losses on investment transactions and recognition of premium amortization. To the extent that differences arise that are permanent in nature, such amounts are reclassified within the capital accounts on the Statement of Assets and Liabilities presented in the annual report, based on their federal tax basis treatment; temporary differences do not require reclassification. Temporary and permanent differences do not impact the net asset value of the Fund.

As of October 31, 2013, the cost of investments (excluding investments in derivatives) was \$277,957,044.

Gross unrealized appreciation and gross unrealized depreciation of investments (excluding investments in derivatives) as of October 31, 2013, were as follows:

|   |              |
|---|--------------|
| Gross unrealized:   |              |
| Appreciation  | \$ 7,574,340 |
| Depreciation  | (1,403,522)  |
| Net unrealized appreciation (depreciation) of investments | \$ 6,170,818 |

For Fund portfolio compliance purposes, the Fund's industry classifications refer to any one or more of the industry sub-classifications used by one or more widely recognized market indexes or ratings group indexes, and/or as defined by Fund management. This definition may not apply for purposes of this report, which may combine industry sub-classifications into sectors for reporting ease.

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- (1) All percentages shown in the Portfolio of Investments are based on net assets applicable to common shares unless otherwise noted.
  - (2) Senior loans generally are subject to mandatory and/or optional prepayment. Because of these mandatory prepayment conditions and because there may be significant economic incentives for a borrower to prepay, prepayments of senior loans may occur. As a result, the actual remaining maturity of senior loans held may be substantially less than the stated maturities shown.
  - (3) Ratings: Using the highest of Standard & Poor's Group (Standard & Poor's), Moody's Investors Service, Inc. (Moody's) or Fitch, Inc. (Fitch) rating. Ratings below BBB by Standard & Poor's, Baa by Moody's or BBB by Fitch are considered to be below investment grade. Holdings designated N/R are not rated by any of these national rating agencies.
  - (4) Senior loans generally pay interest at rates which are periodically adjusted by reference to a base short-term, floating lending rate plus an assigned fixed rate. These floating lending rates are generally (i) the lending rate referenced by the London Inter-Bank Offered Rate (LIBOR), or (ii) the prime rate offered by one or more major United States banks. Senior loans may be considered restricted in that the Fund ordinarily is contractually obligated to receive approval from the agent bank and/or borrower prior to the disposition of a senior loan.
  - (5) At or subsequent to the end of the reporting period, this security is non-income producing. Non-income producing, in the case of a fixed-income security, generally denotes that the issuer has (1) defaulted on the payment of principal or interest, (2) is under the protection of the Federal Bankruptcy Court or (3) the Fund's Adviser has concluded that the issue is not likely to meet its future interest payment obligations and has directed the Fund's custodian to cease accruing additional income on the Fund's records.
  - (6) Investment, or portion of investment, represents an unfunded senior loan commitment outstanding. As of October 31, 2013, the Fund had unfunded senior loan commitments outstanding of \$1,000,000.
  - (7) Borrowings as a percentage of Total Investments is 29.9%.
  - (8) The Fund segregates 100% of its eligible investments in the Portfolio of Investments as collateral for Borrowings.
  - (9) Other Assets Less Liabilities includes the Unrealized Appreciation (Depreciation) of derivative instruments as listed within Investments in Derivatives as of the end of the reporting period.
  - (10) The Fund entered into the credit default swap to gain investment exposure to the referenced entity. Selling protection has a similar credit risk position to owning that referenced entity. Buying protection has a similar credit risk position to selling the referenced entity short.
  - (11) The credit spread generally serves as an indication of the current status of the payment/performance risk and therefore the likelihood of default of the credit derivative. The credit spread also reflects the cost of buying/selling protection and may include upfront payments required to be made to enter into a credit default swap contract. Higher credit spreads are indicative of a higher likelihood of performance by the seller of protection.
- DD1 Portion of investment purchased on a delayed delivery basis.
- WI/DD Purchased on a when-issued or delayed delivery basis.
- 144A Investment is exempt from registration under Rule 144A of the Securities Act of 1933, as amended. These investments may only be resold in transactions exempt from registration, which are normally those transactions with qualified institutional buyers.
- TBD Senior loan purchased on a when-issued or delayed-delivery basis. Certain details associated with this purchase are not known prior to the settlement date of the transaction. In addition, senior loans typically trade without accrued interest and therefore a coupon rate is not available prior to settlement. At settlement, if still unknown, the borrower or counterparty will provide the Fund with the final coupon rate and maturity date.
- USD-LIBOR United States Dollar London Inter-Bank Offered Rate.
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**Item 2. Controls and Procedures.**

a. The registrant's principal executive and principal financial officers, or persons performing similar functions, have concluded that the registrant's disclosure controls and procedures (as defined in Rule 30a-3(c) under the Investment Company Act of 1940, as amended (the "1940 Act") (17 CFR 270.30a-3(c))) are effective, as of a date within 90 days of the filing date of this report that includes the disclosure required by this paragraph, based on their evaluation of the controls and procedures required by Rule 30a-3(b) under the 1940 Act (17 CFR 270.30a-3(b)) and Rule 13a-15(b) or 15d-15(b) under the Securities Exchange Act of 1934 (17 CFR 240.13a-15(b) or 240.15d-15(b)).

b. There were no changes in the registrant's internal control over financial reporting (as defined in Rule 30a-3(d) under the 1940 Act (17 CFR 270.30a-3(d))) that occurred during the registrant's last fiscal quarter that have materially affected, or are reasonably likely to materially affect, the registrant's internal control over financial reporting.

**Item 3. Exhibits.**

File as exhibits as part of this Form a separate certification for each principal executive officer and principal financial officer of the registrant as required by Rule 30a-2(a) under the 1940 Act (17 CFR 270.30a-2(a)), exactly as set forth below: EX-99 CERT Attached hereto.

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