STATEMENT OF INCOME (LOSS) AND EXPENSE UNCONSOLIDATED
NYSE MEMBER FIRMS DEALING WITH PUBLIC
($ in Millions)

			2019			
		item	1st QTR	2nd QTR	3rd QTR	Total
REVENUE						
1	Commissions:					
	a. Commissions on transactions in listed equity securities executed on an exchange	3935	$2,081	$2,059	$2,050	$6,190
	b. Commissions on transactions in exchange listed equity securities executed over-the-counter	3937	641	726	656	2,023
	c. Commissions on listed option transactions	3938	353	425	402	1,180
	d. All other securities commissions	3939	1,706	1,920	1,690	5,316
	e. Total securities commissions	3940	4,781	5,130	4,798	14,709
2	Gains or losses on firm securities trading accounts	3950	6,159	7,177	5,003	18,339
	a. Includes gains or (losses) from market making in options on a national securities exchange	3945	246	(431)	(105)	(290)
3	Gains or losses on firm securities investment accounts	3952	279	99	8	386
4	Profits or losses from underwriting and selling groups	3955	5,166	7,687	6,047	18,900
5	Margin interest	3960	3,836	3,693	3,670	11,199
6	Income from sale of investment company shares	3970	1,306	1,379	1,412	4,097
7	Fees for account supervision, investment advisory and administrative services	3975	14,105	14,571	15,067	43,743
8	Revenue from research services	3980	49	68	62	179
9	Other revenue related to securities business	3985	22,067	24,195	21,959	68,221
10	Commodities revenue	3990	616	516	475	1,607
11	Other revenue unrelated to securities business	3995	3,652	4,269	3,730	11,651
12	Total revenue	4030	$62,016	$68,784	$62,231	$193,031
EXPENSES						
13	Registered representatives' compensation	4110	$9,626	$9,549	$9,832	$29,007
14	Clerical and administrative employees' expenses	4040	8,994	9,586	8,025	26,605
15	Salaries and other employment costs for general partners and voting stockholder officers	4120	413	441	444	1,298
16	Other employee compensation and benefits	4115	219	216	252	687
17	Commission paid to other brokers	4140	11	17	19	47
18	Floor brokerage paid to certain brokers	4055	242	230	234	706
19	Commissions and clearance paid to all other brokers	4145	1,049	1,152	1,080	3,281
20	Clearance paid to non-brokers	4135	853	916	964	2,733
21	Communications	4060	1,073	1,172	1,063	3,308
22	Occupancy and equipment costs	4080	1,206	1,245	1,233	3,684
23	Promotional costs	4150	329	436	359	1,124
24	Interest expense	4075	21,042	23,558	20,549	65,149
25	Losses in error account and bad debts	4170	56	30	30	116
26	Data processing costs (including service bureau service charges)	4186	846	893	854	2,593
27	Non-recurring charges	4190	0	0	0	0

28	Regulatory fees and expenses	4195	371	513	442	1,326
29	Other expenses	4100	8,762	10,614	9,411	28,787
30	Total expenses	4200	$55,092	$60,568	$54,791	$170,451

NET INCOME

31	Unconsolidated net income (loss) before Federal income taxes, extraordinary gains, and changes in accounting principles	4210	$6,924	$8,216	$7,440	$22,580
32	Capital and subordinated liabilities(1800,1710,1720,1730,1740,1750)		$307,452	$313,272	$317,724	
	Number of Firms Profitable		95	97	95	
	Number of Firms Loss		23	26	29	
	TOTAL NUMBER OF FIRMS		118	123	124	