STATEMENT OF FINANCIAL CONDITION
NYSE MEMBER FIRMS DEALING WITH PUBLIC
($ in Millions)

			2019			
		item	1st QTR	2nd QTR	3rd QTR	4th QTR
ASSETS						
1	Cash	750	$28,274	$35,361	$33,543	$34,097
2	Cash segregated in compliance with federal and other regulations	760	61,165	63,204	63,959	67,567
3	Receivable from brokers or dealers and clearing organizations:					
	A. Failed to deliver:	770	25,336	26,908	32,440	16,316
	B. Securities borrowed:	780	890,156	903,056	882,625	892,764
	C. Omnibus accounts:	790	32,062	16,204	16,185	17,807
	D. Clearing Organizations:	800	56,879	57,901	66,554	61,302
	E. Other	810	40,573	48,834	57,686	44,774
4	Receivables from customers:	820	210,493	220,167	222,999	229,491
5	Receivables from non-customers:	830	23,554	32,376	27,877	38,970
6	Securities purchased under agreements to resell	840	946,367	945,574	1,032,178	1,004,919
7	Securities and spot commodities owned, at market value:	850	877,706	903,021	899,887	854,804
8	Securities owned not readily marketable:	860	20,005	20,113	19,563	18,013
9	Other investments not readily marketable:	870	1,254	1,331	1,261	1,337
10	Securities borrowed under subordination agreements and partners' individual and capital securities accounts, at market value:	880	0	0	0	0
11	Secured demand notes-market value of collateral:	890	426	443	543	535
12	Memberships in exchanges:	900	182	178	177	173
13	Investment in and receivables from affiliates, subsidiaries and associated partnerships(910)	910	9,600	9,721	11,153	11,413
14	Property, furniture, equipment, leasehold improvements and rights under lease agreements:	920	10,972	11,180	11,348	13,087
15	Other Assets:	930	170,686	175,398	170,532	175,736
16	TOTAL ASSETS	940	$3,405,690	$3,470,970	$3,550,510	$3,483,105

			2019			
		item	1st QTR	2nd QTR	3rd QTR	4th QTR
LIABILITIES						
17	Bank loans payable:					
	A. Includable in "Formula for Reserve Requirements"	1460	$1,164	$1,478	$1,237	$1,481
	B. Other	1470	42,044	47,589	35,307	39,930
18	Securities sold under repurchase agreements.	1480	1,258,656	1,294,799	1,379,721	1,303,384
19	Payable to brokers or dealers and clearing organizations:					
	A. Failed to receive:					
	1. Includable in "Formula for Reserve Requirements"	1490	9,058	10,430	10,377	4,961
	2. Other	1500	15,097	17,456	21,766	10,346
	B. Securities loaned:					
	1. Includable in "Formula for Reserve Requirements"	1510	61,698	78,379	72,017	89,014
	2. Other	1520	246,506	241,808	234,023	243,462
	C. Omnibus accounts:					
	1. Includable in "Formula for Reserve Requirements"	1530	18,769	1,667	1,841	2,738
	2. Other	1540	221	497	74	729
	D. Clearing organizations:					
	1. Includable in "Formula for Reserve Requirements"	1550	413	597	878	655
	2. Other	1560	4,351	2,554	3,776	2,754
	E. Other	1570	45,508	36,051	35,298	47,648
20	Payable to customers:					
	A. Securities accounts	1580	564,422	567,764	579,514	562,536
	B. Commodities accounts	1590	117,126	117,838	133,611	133,399
21	Payable to non customers:					
	A. Securities accounts	1600	$46,430	$39,074	$40,003	$43,297
	B. Commodities accounts	1610	17,372	17,986	22,000	20,817
22	Securities sold not yet purchased at market value	1620	260,055	263,287	265,504	267,004
23	Accounts payable and accrued liabilities and expenses:					
	A. Drafts payable	1630	2,190	2,055	1,576	1,719
	B. Accounts payable	1640	13,448	13,523	14,069	14,534
	C. Income taxes payable	1650	3,883	4,549	4,480	2,952
	D. Deferred income taxes	1660	23	23	23	19
	E. Accrued expenses and other liabilities	1670	56,313	60,561	63,675	68,345
	F. Other	1680	15,405	13,539	13,965	16,333
	G. Obligation to return securities	1686	117,971	119,917	115,864	115,223
	H. SPE Liabilities	1687	289	275	487	490
24	Notes and mortgages payable:					
	A. Unsecured	1690	133,288	158,022	149,865	134,399
	B. Secured	1700	46,538	45,979	31,835	37,966
25	Liabilities subordinated to claims of general creditors:					
	A. Cash borrowings:	1710	122,364	117,629	116,735	112,230
	B. Securities borrowings, at market value:	1720	0	0	0	0
	C. Pursuant to secured demand not collateral agreements:	1730	426	443	543	535
	D. Exchange memberships contributed for use of company, at market value	1740	0	0	0	0
	E. Accounts and other borrowings not qualified for net capital purposes	1750	0	0	0	0

			2019			
		item	1st QTR	2nd QTR	3rd QTR	4th QTR
26	TOTAL LIABILITIES	1760	$3,221,028	$3,275,769	$3,350,064	$3,278,900

			2019			
		item	1st QTR	2nd QTR	3rd QTR	4th QTR
OWNERSHIP EQUITY						
27	Sole proprietorship	1770	$1,699	$1,752	$1,545	$1,656
28	Partnership - limited partners	1780	58,342	59,688	61,420	63,054
29	Corporation:					
	A. Preferred stock	1791	1,284	7,142	7,142	7,142
	B. Common stock	1792	291	321	362	364
	C. Additional paid- in capital	1793	120,662	131,465	131,981	133,386
	D. Retained Earnings	1794	3,023	(4,561)	(1,378)	(730)
	E. Less capital stock in treasury	1796	(8)	(8)	(8)	(9)
	F. Accumulated other Comprehensive Income	1797	($631)	($599)	($618)	($658)
30	TOTAL OWNERSHIP EQUITY	1800	$184,662	$195,200	$200,446	$204,205
31	TOTAL LIABILITIES AND OWNERSHIP EQUITY	1810	3,405,690	3,470,970	3,550,510	3,483,105