

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

2020

	item	1st QTR	2nd QTR	3rd QTR	
ASSETS					
1	Cash	750	\$38,178	\$35,445	\$33,104
2	Cash segregated in compliance with federal and other regulations	760	87,044	71,233	70,126
3	Receivable from brokers or dealers and clearing organizations:				
	A. Failed to deliver:	770	76,926	27,983	24,050
	B. Securities borrowed:	780	760,172	919,691	899,806
	C. Omnibus accounts:	790	18,204	19,334	15,138
	D. Clearing Organizations:	800	164,705	113,841	113,073
	E. Other	810	88,207	53,873	65,571
4	Receivables from customers:	820	251,296	223,535	261,737
5	Receivables from non-customers:	830	36,604	37,248	50,505
6	Securities purchased under agreements to resell	840	1,124,153	969,386	983,339
7	Securities and spot commodities owned, at market value:	850	985,874	1,016,051	1,026,014
8	Securities owned not readily marketable:	860	17,959	16,493	14,925
9	Other investments not readily marketable:	870	1,215	1,337	1,349
10	Securities borrowed under subordination agreements and partners' individual and capital securities accounts, at market value:	880	0	0	0
11	Secured demand notes-market value of collateral:	890	522	521	521
12	Memberships in exchanges:	900	172	169	168
13	Investment in and receivables from affiliates, subsidiaries and associated partnerships(910)	910	14,428	12,733	12,300
14	Property, furniture, equipment, leasehold improvements and rights under lease agreements:	920	12,977	13,155	13,241
15	Other Assets:	930	166,165	163,884	163,063
16	TOTAL ASSETS	940	\$3,844,801	\$3,695,912	\$3,748,030
LIABILITIES					
17	Bank loans payable:				
	A. Includable in "Formula for Reserve Requirements"	1460	\$1,541	\$1,288	\$1,583
	B. Other	1470	47,093	45,089	44,357
18	Securities sold under repurchase agreements.	1480	1,423,569	1,333,061	1,379,079
19	Payable to brokers or dealers and clearing organizations:				
	A. Failed to receive:				
	1. Includable in "Formula for Reserve Requirements"	1490	19,046	10,186	8,276
	2. Other	1500	49,540	19,149	14,654
	B. Securities loaned:				
	1. Includable in "Formula for Reserve Requirements"	1510	67,673	84,912	89,680
	2. Other	1520	216,475	261,973	275,820
	C. Omnibus accounts:				
	1. Includable in "Formula for Reserve Requirements"	1530	2,907	2,646	343
	2. Other	1540	1,741	1,887	1,183
	D. Clearing organizations:				
	1. Includable in "Formula for Reserve Requirements"	1550	1,854	852	601
	2. Other	1560	7,481	3,826	4,197
	E. Other	1570	62,702	43,786	57,571
20	Payable to customers:				
	A. Securities accounts	1580	580,989	591,181	571,262
	B. Commodities accounts	1590	212,287	186,739	173,123
21	Payable to non customers:				
	A. Securities accounts	1600	\$51,639	\$41,028	\$40,383
	B. Commodities accounts	1610	29,179	25,821	26,988
22	Securities sold not yet purchased at market value	1620	285,549	321,827	337,035
23	Accounts payable and accrued liabilities and expenses:				
	A. Drafts payable	1630	1,814	1,417	1,215
	B. Accounts payable	1640	18,749	16,340	15,567
	C. Income taxes payable	1650	4,099	6,012	5,942
	D. Deferred income taxes	1660	18	20	19
	E. Accrued expenses and other liabilities	1670	62,184	54,698	69,641
	F. Other	1680	21,209	15,684	16,171
	G. Obligation to return securities	1686	82,698	100,003	103,016
	H. SPE Liabilities	1687	949	769	727
24	Notes and mortgages payable:				
	A. Unsecured	1690	169,395	118,823	110,094
	B. Secured	1700	85,626	59,553	54,023
25	Liabilities subordinated to claims of general creditors:				
	A. Cash borrowings:	1710	123,842	128,855	128,210
	B. Securities borrowings, at market value:	1720	0	0	0
	C. Pursuant to secured demand not collateral agreements:	1730	522	521	521
	D. Exchange memberships contributed for use of company, at market value	1740	0	0	0
	E. Accounts and other borrowings not qualified for net capital purposes	1750	0	0	0
26	TOTAL LIABILITIES	1760	\$3,632,370	\$3,477,946	\$3,531,281
OWNERSHIP EQUITY					
27	Sole proprietorship	1770	\$2,643	\$3,027	\$2,642
28	Partnership - limited partners	1780	60,463	63,436	63,305
29	Corporation:				
	A. Preferred stock	1791	7,142	7,142	7,142
	B. Common stock	1792	371	382	566
	C. Additional paid-in capital	1793	140,062	135,297	135,207
	D. Retained Earnings	1794	2,434	9,345	8,532
	E. Less capital stock in treasury	1796	(10)	(10)	(10)
	F. Accumulated other Comprehensive Income	1797	(\$674)	(\$653)	(\$635)
30	TOTAL OWNERSHIP EQUITY	1800	\$212,431	\$217,966	\$216,749
31	TOTAL LIABILITIES AND OWNERSHIP EQUITY	1810	3,844,801	3,695,912	3,748,030