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

AS :		item	1st QTR	2nd QTR	2020 3rd QTR
1	SETS	-			
_	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 11	Securities borrowed under subordination agreements and partners' individual and capital securities accounts, at market value: Secured demand notes-market value of collateral:	880 890	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
		340	ψ5,044,001	ψ5,095,912	\$3,740,030
17	BILITIES Bank loans payable:				
l	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.	1470	1,423,569	1,333,061	1,379,079
19	Payable to brokers or dealers and clearing organizations:	1400	1,723,309	1,000,001	1,018,018
13	A. Failed to receive:				
	I. Includable in "Formula for Reserve Requirements"	1490	19,046	10,186	8,276
	Other	1500	49,540	19,149	14,654
	B. Securities loaned:	1000	45,040	10,140	14,004
	I. Includable in "Formula for Reserve Requirements"	1510	67,673	84,912	89,680
	Other	1520	216,475	261,973	275,820
	C. Omnibus accounts:	1020	210,470	201,370	270,020
	Includable in "Formula for Reserve Requirements"	1530	2,907	2,646	343
	2. Other	1540	1,741	1,887	1,183
	D. Clearing organizations:	1340	1,741	1,007	1,100
	I. 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:	1370	02,702	43,700	37,371
20	A. Securities accounts	1580	580,989	591,181	571,262
21	B. Commodities accounts	1590	212,287	186,739	173,123
	Payable to non customers:	1000	212,201	100,700	170,120
	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:	.020	200,010	021,021	
	A. Drafts payable	1630	1,814		1,215
	B. Accounts payable	.000		1 417	
		1640		1,417 16.340	
i	C. Income taxes payable	1640 1650	18,749	16,340	15,567
	C. Income taxes payable D. Deferred income taxes	1650	18,749 4,099	16,340 6,012	15,567 5,942
	D. Deferred income taxes	1650 1660	18,749 4,099 18	16,340 6,012 20	15,567 5,942 19
		1650	18,749 4,099 18 62,184	16,340 6,012 20 54,698	15,567 5,942 19 69,641
	D. Deferred income taxes E. Accrued expenses and other liabilities F. Other	1650 1660 1670	18,749 4,099 18	16,340 6,012 20	15,567 5,942 19
	D. Deferred income taxes E. Accrued expenses and other liabilities F. Other G. Obligation to return securities	1650 1660 1670 1680	18,749 4,099 18 62,184 21,209	16,340 6,012 20 54,698 15,684	15,567 5,942 19 69,641 16,171
24	D. Deferred income taxes E. Accrued expenses and other liabilities F. Other G. Obligation to return securities H. SPE Liabilities	1650 1660 1670 1680 1686	18,749 4,099 18 62,184 21,209 82,698	16,340 6,012 20 54,698 15,684 100,003	15,567 5,942 19 69,641 16,171 103,016
24	D. Deferred income taxes E. Accrued expenses and other liabilities F. Other G. Obligation to return securities	1650 1660 1670 1680 1686	18,749 4,099 18 62,184 21,209 82,698	16,340 6,012 20 54,698 15,684 100,003	15,567 5,942 19 69,641 16,171 103,016
24	D. Deferred income taxes E. Accrued expenses and other liabilities F. Other G. Obligation to return securities H. SPE Liabilities Notes and mortgages payable:	1650 1660 1670 1680 1686 1687	18,749 4,099 18 62,184 21,209 82,698 949	16,340 6,012 20 54,698 15,684 100,003 769	15,567 5,942 19 69,641 16,171 103,016 727
24	D. Deferred income taxes E. Accrued expenses and other liabilities F. Other G. Obligation to return securities H. SPE Liabilities Notes and mortgages payable: A. Unsecured	1650 1660 1670 1680 1686 1687	18,749 4,099 18 62,184 21,209 82,698 949	16,340 6,012 20 54,698 15,684 100,003 769	15,567 5,942 19 69,641 16,171 103,016 727
	D. Deferred income taxes E. Accrued expenses and other liabilities F. Other G. Obligation to return securities H. SPE Liabilities Notes and mortgages payable: A. Unsecured B. Secured	1650 1660 1670 1680 1686 1687	18,749 4,099 18 62,184 21,209 82,698 949	16,340 6,012 20 54,698 15,684 100,003 769	15,567 5,942 19 69,641 16,171 103,016 727
	D. Deferred income taxes E. Accrued expenses and other liabilities F. Other G. Obligation to return securities H. SPE Liabilities Notes and mortgages payable: A. Unsecured B. Secured Liabilities subordinated to claims of general creditors: A. Cash borrowings:	1650 1660 1670 1680 1686 1687 1690 1700	18,749 4,099 18 62,184 21,209 82,698 949 169,395 85,626	16,340 6,012 20 54,698 15,684 100,003 769 118,823 59,553	15,567 5,942 15 69,641 16,171 103,016 727 110,094 54,023
	D. Deferred income taxes E. Accrued expenses and other liabilities F. Other G. Obligation to return securities H. SPE Liabilities Notes and mortgages payable: A. Unsecured B. Secured Liabilities subordinated to claims of general creditors:	1650 1660 1670 1680 1686 1687 1690	18,749 4,099 18 62,184 21,209 82,698 949 169,395 85,626	16,340 6,012 20 54,698 15,684 100,003 769 118,823 59,553	15,567 5,942 19 69,641 16,171 103,016 727 110,094 54,023
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	D. Deferred income taxes E. Accrued expenses and other liabilities F. Other G. Obligation to return securities H. SPE Liabilities Notes and mortgages payable: A. Unsecured B. Secured Liabilities subordinated to claims of general creditors: A. Cash borrowings: B. Securities borrowings, at market value: C. Pursuant to secured demand not collateral agreements:	1650 1660 1670 1680 1686 1687 1690 1700 1710 1720 1730	18,749 4,099 18 62,184 21,209 82,698 949 169,395 85,626	16,340 6,012 20 54,698 15,684 100,003 769 118,823 59,553 128,855 0	15,567 5,942 18 69,641 16,171 103,016 727 110,094 54,023 128,210 0 521
	D. Deferred income taxes E. Accrued expenses and other liabilities F. Other G. Obligation to return securities H. SPE Liabilities Notes and mortgages payable: A. Unsecured B. Secured Liabilities subordinated to claims of general creditors: A. Cash borrowings: B. Securities borrowings, at market value: C. Pursuant to secured demand not collateral agreements: D. Exchange memberships contributed for use of company, at market value	1650 1660 1670 1680 1686 1687 1690 1700 1710 1720 1730 1740	18,749 4,099 18 62,184 21,209 82,698 949 169,395 85,626 123,842 0 522	16,340 6,012 20 54,698 15,684 100,003 769 118,823 59,553 128,855 0	15,567 5,942 18 69,641 16,171 103,016 727 110,094 54,023 128,210 0 521
25	D. Deferred income taxes E. Accrued expenses and other liabilities F. Other G. Obligation to return securities H. SPE Liabilities Notes and mortgages payable: A. Unsecured B. Secured Liabilities subordinated to claims of general creditors: A. Cash borrowings: B. Securities borrowings, at market value: C. Pursuant to secured demand not collateral agreements: D. Exchange memberships contributed for use of company, at market value E. Accounts and other borrowings not qualified for net capital purposes	1650 1660 1670 1680 1686 1687 1700 1700 1710 1720 1730 1740	18,749 4,099 18 62,184 21,209 82,698 949 169,395 85,626 123,842 0 522 0	16,340 6,012 20 54,698 15,684 100,003 769 118,823 59,553 128,855 0 521 0	15,567 5,942 15 69,641 16,171 103,016 727 110,094 54,023 128,210
25	D. Deferred income taxes E. Accrued expenses and other liabilities F. Other G. Obligation to return securities H. SPE Liabilities Notes and mortgages payable: A. Unsecured B. Secured Liabilities subordinated to claims of general creditors: A. Cash borrowings: B. Securities borrowings: C. Pursuant to secured demand not collateral agreements: D. Exchange memberships contributed for use of company, at market value E. Accounts and other borrowings not qualified for net capital purposes	1650 1660 1670 1680 1686 1687 1700 1700 1710 1720 1730 1740	18,749 4,099 18 62,184 21,209 82,698 949 169,395 85,626 123,842 0 522 0	16,340 6,012 20 54,698 15,684 100,003 769 118,823 59,553 128,855 0 521 0	15,567 5,942 15 69,641 16,171 103,016 727 110,094 54,023 128,210
25	D. Deferred income taxes E. Accrued expenses and other liabilities F. Other G. Obligation to return securities H. SPE Liabilities Notes and mortgages payable: A. Unsecured B. Secured Liabilities subordinated to claims of general creditors: A. Cash borrowings: B. Securities borrowings, at market value: C. Pursuant to secured demand not collateral agreements: D. Exchange memberships contributed for use of company, at market value E. Accounts and other borrowings not qualified for net capital purposes TOTAL LIABILITIES INERSHIP EQUITY	1650 1660 1670 1680 1686 1687 1690 1700 1710 1720 1730 1740 1750	18,749 4,099 18 62,184 21,209 82,698 949 169,395 85,626 123,842 0 522 0	16,340 6,012 20 54,698 15,684 100,003 769 118,823 59,553 128,855 0 521 0 0	15,567 5,942 15 69,641 16,171 103,016 727 110,094 54,023 128,210 ((\$3,531,281
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25 26 <u>OW</u> 27 28	D. Deferred income taxes E. Accrued expenses and other liabilities F. Other G. Obligation to return securities H. SPE Liabilities Notes and mortgages payable: A. Unsecured B. Secured Liabilities subordinated to claims of general creditors: A. Cash borrowings: B. Securities borrowings, at market value: C. Pursuant to secured demand not collateral agreements: D. Exchange memberships contributed for use of company, at market value E. Accounts and other borrowings not qualified for net capital purposes TOTAL LIABILITIES NERSHIP EQUITY	1650 1660 1670 1680 1686 1687 1690 1700 1710 1710 1720 1730 1740 1750 1770 1770 1770	18,749 4,099 18 62,184 21,209 82,698 949 169,395 85,626 123,842 0 522 0 0 \$3,632,370 \$2,643 60,463 7,142	16,340 6,012 20 54,698 15,684 100,003 769 118,823 59,553 128,855 0 521 0 0 \$3,477,946 \$3,027 63,436	15,56 5,94 1: 69,64 16,17 103,01: 72 110,09 54,02 128,21: 52 \$3,531,28 \$2,64 63,30 7,14 56 135,20
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25 26 <u>OW</u> 27 28	D. Deferred income taxes E. Accrued expenses and other liabilities F. Other G. Obligation to return securities H. SPE Liabilities Notes and mortgages payable: A. Unsecured B. Secured Liabilities subordinated to claims of general creditors: A. Cash borrowings: B. Securities borrowings, at market value: C. Pursuant to secured demand not collateral agreements: D. Exchange memberships contributed for use of company, at market value E. Accounts and other borrowings not qualified for net capital purposes TOTAL LIABILITIES NERSHIP EQUITY	1650 1660 1670 1680 1686 1687 1690 1700 1710 1720 1730 1740 1750 1760 1770 1770 1770 1791 1792 1793 1794	18,749 4,099 18 62,184 21,209 82,698 949 169,395 85,626 123,842 0 522 0 \$3,632,370 \$2,643 60,463 7,142 371 140,062 2,434 (10)	16,340 6,012 20 54,698 15,684 100,003 769 118,823 59,553 128,855 0 521 0 0 \$3,477,946 \$3,027 63,436 7,142 382 135,297 9,345 (10)	15,56 5,94: 11 69,64 16,17 103,011 72 110,09 54,02: 128,211 ((\$3,531,28 \$2,64: 63,30: 7,14: 566 135,20 8,53: (10
25 26 OW 27 28	D. Deferred income taxes E. Accrued expenses and other liabilities F. Other G. Obligation to return securities H. SPE Liabilities Notes and mortgages payable: A. Unsecured B. Secured Liabilities subordinated to claims of general creditors: A. Cash borrowings: B. Securities borrowings, at market value: C. Pursuant to secured demand not collateral agreements: D. Exchange memberships contributed for use of company, at market value E. Accounts and other borrowings not qualified for net capital purposes TOTAL LIABILITIES NERSHIP EQUITY Sole proprietorship Partnership - limited partners Corporation: A. Preferred stock B. Common stock C. Additional paid- in capital D. Retained Earnings E. Less capital stock in treasury F. Accumulated other Comprehensive Income	1650 1660 1670 1680 1686 1687 1690 1700 1710 1720 1730 1740 1760 1770 1770 1780 1791 1792 1793 1794 1796 1797	18,749 4,099 18 62,184 21,209 82,698 949 169,395 85,626 123,842 0 522 0 0 \$3,632,370 \$2,643 60,463 7,142 371 140,062 2,434 (10) (\$674)	16,340 6,012 20 54,698 15,684 100,003 769 118,823 59,553 128,855 0 521 0 \$3,477,946 \$3,477,946 7,142 382 135,297 9,345 (10) (\$653)	15,56: 5,94: 19 69,64: 10,17: 103,010: 110,094: 54,02: 128,211 (((((((((((((((((((((((((((((((((((
25 26 OW 27 28 29	D. Deferred income taxes E. Accrued expenses and other liabilities F. Other G. Obligation to return securities H. SPE Liabilities Notes and mortgages payable: A. Unsecured B. Secured Liabilities subordinated to claims of general creditors: A. Cash borrowings: B. Securities borrowings, at market value: C. Pursuant to secured demand not collateral agreements: D. Exchange memberships contributed for use of company, at market value E. Accounts and other borrowings not qualified for net capital purposes TOTAL LIABILITIES NERSHIP EQUITY	1650 1660 1670 1680 1686 1687 1690 1700 1710 1720 1730 1740 1750 1760 1770 1770 1770 1791 1792 1793 1794	18,749 4,099 18 62,184 21,209 82,698 949 169,395 85,626 123,842 0 522 0 \$3,632,370 \$2,643 60,463 7,142 371 140,062 2,434 (10)	16,340 6,012 20 54,698 15,684 100,003 769 118,823 59,553 128,855 0 521 0 0 \$3,477,946 \$3,027 63,436 7,142 382 135,297 9,345 (10)	15,56 5,94 1 69,64 16,17 103,01 72 110,09 54,02 128,21 52 \$3,531,28 \$2,64 63,30 7,14 56 135,20 8,53