STATEMENT OF FINANCIAL CONDITION

($ in Millions)

		item	Q3 2023
ASSETS			
1	Cash	750	$38,556
2	Cash segregated in compliance with federal and other regulations	760	65,663
3	Receivable from brokers or dealers and clearing organizations:		
	A. Failed to deliver:	770	32,261
	B. Securities borrowed:	780	1,027,481
	C. Omnibus accounts:	790	14,055
	D. Clearing Organizations:	800	116,999
	E. Other	810	21,363
4	Receivables from customers:	820	319,495
5	Receivables from non-customers:	830	35,549
6	Excess cash collateral pledged on derivative transactions	12017	2,525
7	Securities purchased under agreements to resell	840	1,136,635
8	Trade Date Receivable	802	20,557
8	Securities and spot commodities owned, at market value:	850	18,846
9	Total Net Securities, commodities and swaps positions	12024	1,223,528
8	Securities owned not readily marketable:	860	35
9	Other investments not readily marketable:	870	0
10	Securities borrowed under subordination agreements and partners' individual and capital securities acco	880	0
11	Secured demand notes-market value of collateral:	890	552
12	Memberships in exchanges:	900	180
13	Investment in and receivables from affiliates, subsidiaries and associated partnerships(910)	910	7,834
14	Property, furniture, equipment, leasehold improvements and rights under lease agreements:	920	13,791
15	Other Assets:	930	172,855
LIABILITIES			
17	Bank loans payable:		
	A. Includable in "Formula for Reserve Requirements"	1460	$3,066
	B. Other	1470	23,715
18	Securities sold under repurchase agreements.	1480	1,567,085
19	Payable to brokers or dealers and clearing organizations:		
	A. Failed to receive:		
	1. Includable in "Formula for Reserve Requirements"	1490	11,146
	2. Other	1500	19,491
	B. Securities loaned:		
	1. Includable in "Formula for Reserve Requirements"	1510	82,045
	2. Other	1520	337,392
	C. Omnibus accounts:		
	1. Includable in "Formula for Reserve Requirements"	1530	95
	2. Other	1540	45
	D. Clearing organizations:		
	1. Includable in "Formula for Reserve Requirements"	1550	899
	2. Other	1560	10,430
	E. Other	1570	15,121
20	Payable to customers:		
	A. Securities accounts	1580	614,719
	B. Commodities accounts	1590	199,086
21	Payable to non customers:		
	A. Securities accounts	1600	$50,302

	B. Commodities accounts	1610	27,569
22	Excess cash collateral recieved on derivative transactions	12027	10,818
22	Securities sold not yet purchased at market value	1620	15,814
23	Trade Date Payable	1562	19,099
24	Total Net securities, commodities, and swaps positions	12044	455,311
23	Accounts payable and accrued liabilities and expenses:	1685	845
	A. Drafts payable	1630	1,270
	B. Accounts payable	1640	19,740
	C. Income taxes payable	1650	4,762
	D. Deferred income taxes	1660	69
	E. Accrued expenses and other liabilities	1670	82,752
	F. Other	1680	22,845
	G. Obligation to return securities	1686	92,693
	H. SPE Liabilities	1687	368
24	Notes and mortgages payable:		
	A. Unsecured	1690	176,643
	B. Secured	1700	37,186
25	Liabilities subordinated to claims of general creditors:		
	A. Cash borrowings:	1710	133,395
	B. Securities borrowings, at market value:	1720	0
	C. Pursuant to secured demand not collateral agreements:	1730	552
	D. Exchange memberships contributed for use of company, at market value	1740	0
	E. Accounts and other borrowings not qualified for net capital purposes	1750	49

OWNERSHIP EQUITY

27	Sole proprietorship	1770	$0
28	Partnership - limited partners	1780	85,136
29	Corporation:		
	A. Preferred stock	1791	7,190
	B. Common stock	1792	877
	C. Additional paid- in capital	1793	124,512
	D. Retained Earnings	1794	14,872
	E. Less capital stock in treasury	1796	(5)
	F. Accumulated other Comprehensive Income	1797	($258)

	TOTAL ASSETS	940	4,268,796
	TOTAL LIABILITIES	1760	4,036,443
	TOTAL LIABILITIES AND OWNERSHIP EQUITY	1810	4,268,769
	TOTAL OWNERSHIP EQUITY	1800	232,326