STATEMENT OF INCOME (LOSS) AND EXPENSE UNCONSOLIDATED
($ in Millions)

		item	3rd QTR 2023
REVENUE			
1	Commissions:		
	a. Commissions on transactions in listed equity securities executed on an exchange	3935	$1,716
	b. Commissions on transactions in exchange listed equity securities executed over-the-counter	3937	629
	c. Commissions on listed option transactions	3938	637
	d. All other securities commissions	3939	1,703
2	Gains or losses on firm securities trading accounts	3950	6,481
	a. Includes gains or (losses) from market making in options on a national securities exchange	3945	($214)
3	Gains or losses on derivatives trading	3926	3,305
3	Gains or losses on firm securities investment accounts	3952	($25)
4	Profits or losses from underwriting and selling groups	3955	4,367
5	Margin interest	3960	11,748
6	Income from sale of investment company shares	3970	1,145
7	Fees for account supervision, investment advisory and administrative services	3975	19,772
8	Revenue from research services	3980	76
10	Gain or Loss on commodity	3990	1,255
9	Other revenue related to securities business	3985	38,045
11	Other revenue unrelated to securities business	3995	17,962
EXPENSES			
13	Registered representatives' compensation	4110	12,168
14	Clerical and administrative employees' expenses	4040	9,977
15	Salaries and other employment costs for general partners and voting stockholder officers	4120	586
16	Other employee compensation and benefits	4115	285
17	Commission paid to other brokers	4140	30
18	Floor brokerage paid to certain brokers	4055	286
19	Commissions and clearance paid to all other brokers	4145	1,336
20	Clearance paid to non-brokers	4135	1,030
21	Communications	4060	1,425
22	Occupancy and equipment costs	4080	1,395
23	Promotional costs	4150	382
24	Interest expense	4075	58,101
25	Losses in error account and bad debts	4170	157
26	Data processing costs (including service bureau service charges)	4186	1,155
27	Non-recurring charges	4190	0
28	Regulatory fees and expenses	4195	436
29	Other expenses	4100	12,988
NET INCOME			
32	Capital and subordinated liabilities(1800,1710,1720,1730,1740,1750)		$366,324
	Number of Firms Profitable		89
	Number of Firms Loss		44
	TOTAL NUMBER OF FIRMS		133
	e. Total securities commissions	3940	4,687
	Total expenses	4200	101,744
	Total revenue	4030	108,823
	Unconsolidated net income (loss) before Federal income taxes, extraordinary gains, and changes in accounting principles	4210	7,078