NYSE MEMBER FIRMS DEALING WITH PUBLIC
($ in Millions)

	3rd QTR 2013	3rd QTR 2012	2nd QTR 2013	YTD 2013	YTD 2012
Revenue	$37,761	$41,372	$39,505	$120,634	$120,481
Expense	$34,316	$34,305	$36,008	$107,099	$102,899
After Tax Profit Loss	$2,239	$4,594	$2,273	$8,797	$11,429
After Tax Annualized Return on Capital	3.1%	6.7%	3.2%	4.1%	5.6%
Assets	$4,087,022	$4,207,111	$4,116,318	$4,087,022	$4,207,111
Capital and subordinated liabilities	$285,856	$278,116	$285,265	$285,856	$278,116
Commission Revenues	$5,403	$4,999	$6,203	$17,339	$16,616
Firms	160	167	163	166	173
Profitable Firms	101	108	109	112	110
Aggregate PreTax Earnings of Profitable Firms	$4,950	$7,737	$4,962	$16,706	$19,002
Unprofitable Firms	59	59	54	54	63
Aggregate PreTax Loss of Unprofitable Firms	($1,505)	($670)	($1,465)	($3,171)	($1,420)

Note: Data is from NYSE member firms that conduct business with the public. Revenues include firms that trade primarily for their own account, but excludes designated market makers (formerly known as specialists). All firms are registered broker-dealers with the SEC. Revenues are predominantly derived from investment banking, trading, commissions, and interest.

Since the NYSE member firm community is composed of corporations and partnerships, after-tax earnings are presented on a pro-forma basis that assumes a corporate tax rate of 35 percent.