STATEMENT OF INCOME (LOSS) AND EXPENSE UNCONSOLIDATED

($ in Millions) **2013**

		Item	1st QTR	2nd QTR	3rd QTR	Total
REVENUE						
1.	Commissions:					
	a. Commissions on transactions in listed equity securities executed on an exchange	3935	$2,395	$2,691	$2,226	$7,312
	b. Commissions on transactions in exchange listed equity securities executed over-the-counter	3937	1,126	1,144	1,034	3,304
	c. Commissions on listed option transactions	3938	492	497	385	1,374
	d. All other securities commissions	3939	1,720	1,871	1,758	5,349
	e. Total securities commissions	3940	5,733	6,203	5,403	17,339
2.	Gains or losses on firm securities trading accounts	3950	5,728	551	1,916	8,195
	a. Includes gains or (losses) from market making in options on a national securities exchange	3945	220	203	(133)	290
3.	Gains or losses on firm securities investment accounts	3952	271	144	204	619
4.	Profits or losses from underwriting and selling groups	3955	6,240	6,397	5,663	18,300
5.	Margin interest	3960	1,435	1,458	1,412	4,305
6.	Income from sale of investment company shares	3970	1,618	1,661	1,556	4,835
7.	Fees for account supervision, investment advisory and administrative services	3975	7,818	8,201	8,245	24,264
8.	Revenue from research services	3980	17	19	214	250
9.	Other revenue related to securities business	3985	10,263	10,433	9,217	29,913
10.	Commodities revenue	3990	541	641	308	1,490
11.	Other revenue unrelated to securities business	3995	3,704	3,797	3,623	11,124
12.	Total revenue	4030	$43,368	$39,505	$37,761	$120,634
EXPENSES						
13.	Registered representatives' compensation	4110	$8,756	$8,353	$8,117	$25,226
14.	Clerical and administrative employees' expenses	4040	10,420	8,679	8,050	27,149
15.	Salaries and other employment costs for general partners and voting stockholder officers	4120	360	360	373	1,093
16.	Other employee compensation and benefits	4115	61	63	56	180
17.	Commission paid to other brokers	4140	39	60	63	162
18.	Floor brokerage paid to certain brokers	4055	225	244	247	716
19.	Commissions and clearance paid to all other brokers	4145	1,120	1,204	1,095	3,419
20.	Clearance paid to non-brokers	4135	685	714	637	2,036
21.	Communications	4060	1,235	1,389	1,434	4,058
22.	Occupancy and equipment costs	4080	1,272	1,313	1,290	3,875
23.	Promotional costs	4150	275	307	271	853
24.	Interest expense	4075	3,894	3,948	2,742	10,584
25.	Losses in error account and bad debts	4170	45	40	42	127
26.	Data processing costs (including service bureau service charges)	4186	517	498	500	1,515
27.	Non-recurring charges	4190	0	0	5	5
28.	Regulatory fees and expenses	4195	413	404	369	1,186
29.	Other expenses	4100	7,458	8,432	9,025	24,915
30.	Total expenses	4200	$36,775	$36,008	$34,316	$107,099
NET INCOME						
31.	Unconsolidated net income (loss) before Federal income taxes, extraordinary gains, and changes in accounting principles	4210	$6,593	$3,497	$3,445	$13,535
32.	Capital and subordinated liabilities(1800,1710,1720,1730,1740,1750)		$284,107	$285,265	$285,856	
	Number of Firms Profitable		113	109	101	
	Number of Firms Loss		51	54	59	
	TOTAL NUMBER OF FIRMS		164	163	160	