STATEMENT OF FINANCIAL CONDITION

($ in Millions)

			2013			
			1st QTR	2nd QTR	3rd QTR	4th QTR
ASSETS		Item				
1.	Cash	750	$22,875	$31,597	$27,117	$21,550
2.	Cash segregated in compliance with federal and other regulations	760	71,413	71,360	73,200	69,761
3.	Receivable from brokers or dealers and clearing organizations:					
	A. Failed to deliver:	770	26,761	35,924	26,893	16,506
	B. Securities borrowed:	780	1,112,724	1,121,911	1,124,198	1,116,233
	C. Omnibus accounts:	790	17,274	13,035	18,532	19,067
	D. Clearing Organizations:	800	43,496	59,098	57,650	61,567
	E. Other	810	66,773	93,586	90,753	74,877
4.	Receivables from customers:	820	204,130	207,904	193,088	205,411
5.	Receivables from non-customers:	830	76,325	65,687	87,337	96,796
6.	Securities purchased under agreements to resell	840	1,248,600	1,220,351	1,173,889	1,108,463
7.	Securities and spot commodities owned, at market value:	850	987,343	939,186	945,910	904,123
8.	Securities owned not readily marketable:	860	21,063	20,812	22,012	25,933
9.	Other investments not readily marketable:	870	1,440	1,306	1,401	985
10.	Securities borrowed under subordination agreements and partners' individual and capital securities accounts, at market value:	880	71	72	0	0
11.	Secured demand notes-market value of collateral:	890	94	93	83	179
12.	Memberships in exchanges:	900	213	211	209	200
13.	Investment in and receivables from affiliates, subsidiaries and associated partnerships(910)	910	24,062	28,535	26,517	21,219
14.	Property, furniture, equipment, leasehold improvements and rights under lease agreements:	920	6,083	6,036	6,094	6,079
15.	Other Assets:	930	223,595	199,614	212,139	218,506
16.	TOTAL ASSETS	940	$4,154,335	$4,116,318	$4,087,022	$3,967,455
LIABILITIES						
17.	Bank loans payable:					
	A. Includable in "Formula for Reserve Requirements"	1460	$3,166	$2,864	$2,862	$3,780
	B. Other	1470	23,743	36,292	32,067	49,204
18.	Securities sold under repurchase agreements.	1480	1,791,009	1,718,885	1,658,067	1,543,782
19.	Payable to brokers or dealers and clearing organizations:					
	A. Failed to receive:					
	1. Includable in "Formula for Reserve Requirements"	1490	10,721	11,213	8,754	6,628
	2. Other	1500	17,405	24,246	16,491	11,498
	B. Securities loaned:					
	1. Includable in "Formula for Reserve Requirements"	1510	50,221	54,023	53,087	55,832
	2. Other	1520	481,109	451,553	451,862	454,253
	C. Omnibus accounts:					
	1. Includable in "Formula for Reserve Requirements"	1530	6,664	3,550	7,977	7,949
	2. Other	1540	11,857	13,097	13,085	13,188
	D. Clearing organizations:					
	1. Includable in "Formula for Reserve Requirements"	1550	595	1,124	689	658
	2. Other	1560	1,618	6,670	4,137	9,544
	E. Other	1570	65,845	69,647	74,098	71,022

STATEMENT OF FINANCIAL CONDITION

($ in Millions)

			2013			
			1st QTR	2nd QTR	3rd QTR	4th QTR
20.	Payable to customers:					
	A. Securities accounts	1580	564,527	588,803	592,558	593,849
	B. Commodities accounts	1590	107,471	112,909	117,376	126,887
21.	Payable to non customers:					
	A. Securities accounts	1600	$27,148	$32,357	$32,216	$23,533
	B. Commodities accounts	1610	16,175	18,074	18,549	16,295
22.	Securities sold not yet purchased at market value	1620	335,606	342,827	365,999	315,261
23.	Accounts payable and accrued liabilities and expenses:					
	A. Drafts payable	1630	3,166	2,759	2,724	3,171
	B. Accounts payable	1640	14,161	14,381	12,066	13,141
	C. Income taxes payable	1650	3,610	3,683	3,894	3,030
	D. Deferred income taxes	1660	61	59	92	86
	E. Accrued expenses and other liabilities	1670	48,932	50,800	57,017	61,530
	F. Other	1680	33,331	26,200	24,949	28,864
	G. Obligation to return securities	1686	154,599	136,271	147,036	155,868
	H. SPE Liabilities	1687	8,576	5,917	7,567	5,043
24.	Notes and mortgages payable:					
	A. Unsecured	1690	60,735	49,231	56,766	78,350
	B. Secured	1700	28,177	53,618	39,180	33,684
25.	Liabilities subordinated to claims of general creditors:					
	A. Cash borrowings:	1710	108,994	108,602	108,040	105,536
	B. Securities borrowings, at market value:	1720	0	0	0	6
	C. Pursuant to secured demand not collateral agreements:	1730	87	86	76	171
	D. Exchange memberships contributed for use of company, at market value	1740	0	0	0	0
	E. Accounts and other borrowings not qualified for net capital purposes	1750	82	84	0	0
26.	TOTAL LIABILITIES	1760	$3,979,391	$3,939,825	$3,909,281	$3,791,643
	OWNERSHIP EQUITY					
27.	Sole proprietorship	1770	$945	$930	$932	$947
28.	Partnership - limited partners	1780	31,447	31,675	32,630	33,159
29.	Corporation:					
	A. Preferred stock	1791	1,285	1,285	1,285	1,287
	B. Common stock	1792	326	328	311	304
	C. Additional paid- in capital	1793	105,943	106,527	106,658	108,837
	D. Retained Earnings	1794	35,006	38,554	35,932	31,286
	E. Less capital stock in treasury	1796	(8)	(2,806)	(8)	(8)
30.	TOTAL OWNERSHIP EQUITY	1800	$174,944	$176,493	$177,740	$175,812
31.	TOTAL LIABILITIES AND OWNERSHIP EQUITY	1810	$4,154,335	$4,116,318	$4,087,021	$3,967,455