STATEMENT OF FINANCIAL CONDITION

($ in Millions)

			2014		
			1st QTR	2nd QTR	3rd QTR
ASSETS		Item			
1.	Cash	750	$25,471	$27,238	$27,983
2.	Cash segregated in compliance with federal and other regulations	760	67,900	67,776	69,568
3.	Receivable from brokers or dealers and clearing organizations:				
	A. Failed to deliver:	770	30,316	52,151	43,301
	B. Securities borrowed:	780	1,237,677	1,238,818	1,191,648
	C. Omnibus accounts:	790	18,341	20,072	17,310
	D. Clearing Organizations:	800	69,460	66,848	78,719
	E. Other	810	69,292	36,509	38,496
4.	Receivables from customers:	820	197,475	226,479	228,060
5.	Receivables from non-customers:	830	81,058	107,212	115,320
6.	Securities purchased under agreements to resell	840	1,070,922	1,030,960	997,225
7.	Securities and spot commodities owned, at market value:	850	907,360	904,328	822,158
8.	Securities owned not readily marketable:	860	32,347	33,406	33,670
9.	Other investments not readily marketable:	870	1,021	1,060	991
10.	Securities borrowed under subordination agreements and partners' individual and capital securities accounts, at market value:	880	0	0	0
11.	Secured demand notes-market value of collateral:	890	179	179	179
12.	Memberships in exchanges:	900	189	189	193
13.	Investment in and receivables from affiliates, subsidiaries and associated partnerships(910)	910	21,233	21,151	23,100
14.	Property, furniture, equipment, leasehold improvements and rights under lease agreements:	920	6,040	6,102	6,122
15.	Other Assets:	930	233,225	227,408	221,332
16.	TOTAL ASSETS	940	$4,069,506	$4,067,886	$3,915,375
LIABILITIES					
17.	Bank loans payable:				
	A. Includable in "Formula for Reserve Requirements"	1460	$4,210	$3,999	$2,337
	B. Other	1470	53,198	60,349	62,040
18.	Securities sold under repurchase agreements.	1480	1,498,417	1,467,688	1,364,910
19.	Payable to brokers or dealers and clearing organizations:				
	A. Failed to receive:				
	1. Includable in "Formula for Reserve Requirements"	1490	12,190	14,698	11,333
	2. Other	1500	19,172	37,984	27,346
	B. Securities loaned:				
	1. Includable in "Formula for Reserve Requirements"	1510	58,333	57,357	59,867
	2. Other	1520	476,012	493,992	471,151
	C. Omnibus accounts:				
	1. Includable in "Formula for Reserve Requirements"	1530	8,638	9,767	6,755
	2. Other	1540	5,810	5,116	6,263
	D. Clearing organizations:				
	1. Includable in "Formula for Reserve Requirements"	1550	915	658	829
	2. Other	1560	6,437	5,225	6,863
	E. Other	1570	66,739	62,548	78,382

STATEMENT OF FINANCIAL CONDITION

($ in Millions)

			2014		
			1st QTR	2nd QTR	3rd QTR
20.	Payable to customers:				
	A. Securities accounts	1580	629,227	627,889	652,658
	B. Commodities accounts	1590	136,440	125,339	127,540
21.	Payable to non customers:				
	A. Securities accounts	1600	$30,956	$35,999	$30,609
	B. Commodities accounts	1610	16,202	16,757	17,975
22.	Securities sold not yet purchased at market value	1620	363,304	362,147	326,327
23.	Accounts payable and accrued liabilities and expenses:				
	A. Drafts payable	1630	3,062	3,386	2,009
	B. Accounts payable	1640	13,356	16,224	18,352
	C. Income taxes payable	1650	3,694	4,448	4,655
	D. Deferred income taxes	1660	91	89	88
	E. Accrued expenses and other liabilities	1670	48,750	52,372	48,895
	F. Other	1680	29,166	34,631	19,916
	G. Obligation to return securities	1686	174,008	163,472	157,129
	H. SPE Liabilities	1687	5,434	6,561	6,557
24.	Notes and mortgages payable:				
	A. Unsecured	1690	61,195	71,289	68,367
	B. Secured	1700	60,426	41,008	54,448
25.	Liabilities subordinated to claims of general creditors:				
	A. Cash borrowings:	1710	104,279	109,098	108,298
	B. Securities borrowings, at market value:	1720	0	0	0
	C. Pursuant to secured demand not collateral agreements:	1730	171	171	171
	D. Exchange memberships contributed for use of company, at market value	1740	0	0	0
	E. Accounts and other borrowings not qualified for net capital purposes	1750	0	284	67
26.	TOTAL LIABILITIES	1760	$3,889,832	$3,890,545	$3,742,137
	OWNERSHIP EQUITY				
27.	Sole proprietorship	1770	$937	$950	$950
28.	Partnership - limited partners	1780	34,763	35,798	36,779
29.	Corporation:				
	A. Preferred stock	1791	1,285	1,286	1,285
	B. Common stock	1792	299	303	299
	C. Additional paid- in capital	1793	108,982	111,411	110,206
	D. Retained Earnings	1794	33,416	27,600	23,727
	E. Less capital stock in treasury	1796	(8)	(8)	(8)
30.	TOTAL OWNERSHIP EQUITY	1800	$179,674	$177,340	$173,238
31.	TOTAL LIABILITIES AND OWNERSHIP EQUITY	1810	$4,069,506	$4,067,885	$3,915,375