STATEMENT OF INCOME (LOSS) AND EXPENSE UNCONSOLIDATED

($ in Millions) **2014**

		Item	1st QTR	2nd QTR	3rd QTR	Total
REVENUE						
1.	Commissions:					
	a. Commissions on transactions in listed equity securities executed on an exchange	3935	$2,671	$2,504	$2,250	$7,425
	b. Commissions on transactions in exchange listed equity securities executed over-the-counter	3937	1,090	1,015	994	3,099
	c. Commissions on listed option transactions	3938	521	483	510	1,514
	d. All other securities commissions	3939	1,735	1,498	1,558	4,791
	e. Total securities commissions	3940	6,017	5,500	5,312	16,829
2.	Gains or losses on firm securities trading accounts	3950	5,730	3,667	1,338	10,735
	a. Includes gains or (losses) from market making in options on a national securities exchange	3945	37	(8)	(33)	(4)
3.	Gains or losses on firm securities investment accounts	3952	168	40	(48)	160
4.	Profits or losses from underwriting and selling groups	3955	6,052	7,426	6,003	19,481
5.	Margin interest	3960	1,587	1,669	1,768	5,024
6.	Income from sale of investment company shares	3970	1,716	1,742	1,710	5,168
7.	Fees for account supervision, investment advisory and administrative services	3975	8,984	9,470	9,731	28,185
8.	Revenue from research services	3980	26	26	27	79
9.	Other revenue related to securities business	3985	9,101	9,128	8,782	27,011
10.	Commodities revenue	3990	532	503	508	1,543
11.	Other revenue unrelated to securities business	3995	3,835	3,981	3,393	11,209
12.	Total revenue	4030	$43,748	$43,152	$38,524	$125,424
EXPENSES						
13.	Registered representatives' compensation	4110	$9,140	$8,900	$8,846	$26,886
14.	Clerical and administrative employees' expenses	4040	9,874	9,117	8,254	27,245
15.	Salaries and other employment costs for general partners and voting stockholder officers	4120	364	359	384	1,107
16.	Other employee compensation and benefits	4115	51	54	50	155
17.	Commission paid to other brokers	4140	64	53	49	166
18.	Floor brokerage paid to certain brokers	4055	237	237	245	719
19.	Commissions and clearance paid to all other brokers	4145	1,178	1,116	1,124	3,418
20.	Clearance paid to non-brokers	4135	684	681	712	2,077
21.	Communications	4060	1,398	1,412	1,377	4,187
22.	Occupancy and equipment costs	4080	1,302	1,298	1,361	3,961
23.	Promotional costs	4150	322	371	312	1,005
24.	Interest expense	4075	3,316	3,540	3,109	9,965
25.	Losses in error account and bad debts	4170	27	39	27	93
26.	Data processing costs (including service bureau service charges)	4186	480	484	469	1,433
27.	Non-recurring charges	4190	0	0	5	5
28.	Regulatory fees and expenses	4195	423	416	390	1,229
29.	Other expenses	4100	9,540	11,679	8,841	30,060
30.	Total expenses	4200	$38,400	$39,756	$35,555	$113,711
NET INCOME						
31.	Unconsolidated net income (loss) before Federal income taxes, extraordinary gains, and changes in accounting principles	4210	$5,348	$3,396	$2,969	$11,713
32.	Capital and subordinated liabilities(1800,1710,1720,1730,1740,1750)		$284,124	$286,893	$281,774	
	Number of Firms Profitable		106	106	97	
	Number of Firms Loss		48	47	55	
	TOTAL NUMBER OF FIRMS		154	153	152	