STATEMENT OF INCOME (LOSS) AND EXPENSE UNCONSOLIDATED

($ in Millions) **2016**

		Item	1st QTR	Total
REVENUE				
1.	Commissions:			
	a. Commissions on transactions in listed equity securities executed on an exchange	3935	$2,687	$2,687
	b. Commissions on transactions in exchange listed equity securities executed over-the-counter	3937	876	876
	c. Commissions on listed option transactions	3938	458	458
	d. All other securities commissions	3939	1,753	1,753
	e. Total securities commissions	3940	5,774	5,774
2.	Gains or losses on firm securities trading accounts	3950	1,840	1,840
	a. Includes gains or (losses) from market making in options on a national securities exchange	3945	47	47
3.	Gains or losses on firm securities investment accounts	3952	206	206
4.	Profits or losses from underwriting and selling groups	3955	3,957	3,957
5.	Margin interest	3960	1,993	1,993
6.	Income from sale of investment company shares	3970	1,489	1,489
7.	Fees for account supervision, investment advisory and administrative services	3975	10,276	10,276
8.	Revenue from research services	3980	37	37
9.	Other revenue related to securities business	3985	9,787	9,787
10.	Commodities revenue	3990	678	678
11.	Other revenue unrelated to securities business	3995	3,428	3,428
12.	Total revenue	4030	$39,465	$39,465
EXPENSES				
13.	Registered representatives' compensation	4110	$8,683	$8,683
14.	Clerical and administrative employees' expenses	4040	9,072	9,072
15.	Salaries and other employment costs for general partners and voting stockholder officers	4120	370	370
16.	Other employee compensation and benefits	4115	52	52
17.	Commission paid to other brokers	4140	23	23
18.	Floor brokerage paid to certain brokers	4055	183	183
19.	Commissions and clearance paid to all other brokers	4145	1,288	1,288
20.	Clearance paid to non-brokers	4135	857	857
21.	Communications	4060	1,286	1,286
22.	Occupancy and equipment costs	4080	1,298	1,298
23.	Promotional costs	4150	333	333
24.	Interest expense	4075	4,674	4,674
25.	Losses in error account and bad debts	4170	47	47
26.	Data processing costs (including service bureau service charges)	4186	439	439
27.	Non-recurring charges	4190	8	8
28.	Regulatory fees and expenses	4195	487	487
29.	Other expenses	4100	6,993	6,993
30.	Total expenses	4200	$36,093	$36,093
NET INCOME				
31.	Unconsolidated net income (loss) before Federal income taxes, extraordinary gains, and changes in accounting principles	4210	$3,372	$3,372
32.	Capital and subordinated liabilities(1800,1710,1720,1730,1740,1750)		$280,035	
	Number of Firms Profitable		87	
	Number of Firms Loss		47	
	TOTAL NUMBER OF FIRMS		134	