STATEMENT OF INCOME (LOSS) AND EXPENSE UNCONSOLIDATED

($ in Millions)

2016

		Item	1st QTR	2nd QTR	3rd QTR	Total
REVENUE						
1.	Commissions:					
	a. Commissions on transactions in listed equity securities executed on an exchange	3935	$2,687	$2,310	$2,123	$7,120
	b. Commissions on transactions in exchange listed equity securities executed over-the-counter	3937	876	865	860	2,601
	c. Commissions on listed option transactions	3938	458	380	338	1,176
	d. All other securities commissions	3939	1,753	1,858	1,708	5,319
	e. Total securities commissions	3940	5,774	5,413	5,029	16,216
2.	Gains or losses on firm securities trading accounts	3950	1,840	3,096	3,926	8,862
	a. Includes gains or (losses) from market making in options on a national securities exchange	3945	47	(27)	(204)	(184)
3.	Gains or losses on firm securities investment accounts	3952	206	146	139	491
4.	Profits or losses from underwriting and selling groups	3955	3,957	5,232	5,258	14,447
5.	Margin interest	3960	1,993	1,816	1,805	5,614
6.	Income from sale of investment company shares	3970	1,489	1,547	1,524	4,560
7.	Fees for account supervision, investment advisory and administrative services	3975	10,276	10,403	10,960	31,639
8.	Revenue from research services	3980	37	38	40	115
9.	Other revenue related to securities business	3985	9,787	9,871	10,055	29,713
10.	Commodities revenue	3990	678	612	620	1,910
11.	Other revenue unrelated to securities business	3995	3,428	4,215	3,999	11,642
12.	Total revenue	4030	$39,465	$42,389	$43,355	$125,209
EXPENSES						
13.	Registered representatives' compensation	4110	$8,683	$8,780	$8,978	$26,441
14.	Clerical and administrative employees' expenses	4040	9,072	8,918	8,882	26,872
15.	Salaries and other employment costs for general partners and voting stockholder officers	4120	370	402	385	1,157
16.	Other employee compensation and benefits	4115	52	45	46	143
17.	Commission paid to other brokers	4140	23	24	22	69
18.	Floor brokerage paid to certain brokers	4055	183	166	172	521
19.	Commissions and clearance paid to all other brokers	4145	1,288	1,251	1,123	3,662
20.	Clearance paid to non-brokers	4135	857	840	812	2,509
21.	Communications	4060	1,286	1,179	1,198	3,663
22.	Occupancy and equipment costs	4080	1,298	1,269	1,384	3,951
23.	Promotional costs	4150	333	353	322	1,008
24.	Interest expense	4075	4,674	4,922	5,309	14,905
25.	Losses in error account and bad debts	4170	47	45	44	136
26.	Data processing costs (including service bureau service charges)	4186	439	445	438	1,322
27.	Non-recurring charges	4190	8	4	0	12
28.	Regulatory fees and expenses	4195	487	455	430	1,372
29.	Other expenses	4100	6,993	7,407	8,093	22,493
30.	Total expenses	4200	$36,093	$36,505	$37,638	$110,236
NET INCOME						
31.	Unconsolidated net income (loss) before Federal income taxes, extraordinary gains, and changes in accounting principles	4210	$3,372	$5,884	$5,717	$14,973
32.	Capital and subordinated liabilities(1800,1710,1720,1730,1740,1750)		$280,035	$280,917	$283,223	
	Number of Firms Profitable		87	94	89	
	Number of Firms Loss		47	37	42	
	TOTAL NUMBER OF FIRMS		134	131	131	