STATEMENT OF FINANCIAL CONDITION

($ in Millions)

			2016			
			1st QTR	2nd QTR	3rd QTR	4th QTR
ASSETS		Item				
1.	Cash	750	$25,890	$27,837	$33,242	$30,899
2.	Cash segregated in compliance with federal and other regulations	760	62,953	63,253	67,236	64,246
3.	Receivable from brokers or dealers and clearing organizations:					
	A. Failed to deliver:	770	24,393	37,444	28,957	19,571
	B. Securities borrowed:	780	1,048,059	974,100	933,582	848,014
	C. Omnibus accounts:	790	19,955	24,211	19,232	22,588
	D. Clearing Organizations:	800	81,238	82,262	74,829	80,062
	E. Other	810	54,996	54,331	45,906	41,958
4.	Receivables from customers:	820	182,298	188,818	205,265	182,093
5.	Receivables from non-customers:	830	42,428	41,235	50,260	51,497
6.	Securities purchased under agreements to resell	840	922,167	1,010,091	998,772	909,832
7.	Securities and spot commodities owned, at market value:	850	711,290	732,692	744,767	704,701
8.	Securities owned not readily marketable:	860	25,019	21,310	22,151	22,817
9.	Other investments not readily marketable:	870	992	1,041	1,022	1,059
10.	Securities borrowed under subordination agreements and partners' individual and capital securities accounts, at market value:	880	0	0	0	0
11.	Secured demand notes-market value of collateral:	890	161	161	161	161
12.	Memberships in exchanges:	900	220	232	230	208
13.	Investment in and receivables from affiliates, subsidiaries and associated partnerships(910)	910	16,643	17,085	17,030	9,762
14.	Property, furniture, equipment, leasehold improvements and rights under lease agreements:	920	4,747	4,828	4,880	5,004
15.	Other Assets:	930	184,808	193,944	193,875	215,445
16.	TOTAL ASSETS	940	$3,408,257	$3,474,875	$3,441,397	$3,209,917
LIABILITIES						
17.	Bank loans payable:					
	A. Includable in "Formula for Reserve Requirements"	1460	$931	$2,596	$2,649	$3,518
	B. Other	1470	49,117	56,104	41,045	38,226
18.	Securities sold under repurchase agreements.	1480	1,147,975	1,194,120	1,199,188	1,081,830
19.	Payable to brokers or dealers and clearing organizations:					
	A. Failed to receive:					
	1. Includable in "Formula for Reserve Requirements"	1490	7,300	10,976	10,507	5,026
	2. Other	1500	16,429	27,325	20,305	15,152
	B. Securities loaned:					
	1. Includable in "Formula for Reserve Requirements"	1510	78,081	69,928	86,017	76,557
	2. Other	1520	319,329	311,985	272,233	229,814
	C. Omnibus accounts:					
	1. Includable in "Formula for Reserve Requirements"	1530	13,455	17,649	11,497	12,830
	2. Other	1540	325	641	453	180
	D. Clearing organizations:					
	1. Includable in "Formula for Reserve Requirements"	1550	649	1,846	1,004	573
	2. Other	1560	4,544	7,341	3,027	4,550
	E. Other	1570	45,775	47,715	51,014	34,850

STATEMENT OF FINANCIAL CONDITION

($ in Millions)

			2016			
			1st QTR	2nd QTR	3rd QTR	4th QTR
20.	Payable to customers:					
	A. Securities accounts	1580	649,859	651,120	641,766	618,058
	B. Commodities accounts	1590	117,447	118,555	116,251	116,597
21.	Payable to non customers:					
	A. Securities accounts	1600	$33,461	$29,735	$27,142	$28,517
	B. Commodities accounts	1610	17,079	18,567	18,371	19,515
22.	Securities sold not yet purchased at market value	1620	278,946	284,682	280,965	245,380
23.	Accounts payable and accrued liabilities and expenses:					
	A. Drafts payable	1630	2,244	2,255	3,726	2,977
	B. Accounts payable	1640	23,853	25,473	29,990	35,090
	C. Income taxes payable	1650	3,561	3,062	3,630	2,928
	D. Deferred income taxes	1660	55	51	52	50
	E. Accrued expenses and other liabilities	1670	46,269	45,758	49,560	53,027
	F. Other	1680	23,377	18,689	25,804	14,315
	G. Obligation to return securities	1686	126,576	135,030	135,327	158,331
	H. SPE Liabilities	1687	3,554	3,289	2,507	3,173
24.	Notes and mortgages payable:					
	A. Unsecured	1690	59,464	55,600	68,376	69,139
	B. Secured	1700	58,567	53,866	55,768	58,592
25.	Liabilities subordinated to claims of general creditors:					
	A. Cash borrowings:	1710	105,156	104,460	103,851	104,983
	B. Securities borrowings, at market value:	1720	0	0	0	2
	C. Pursuant to secured demand not collateral agreements:	1730	161	161	161	159
	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	0	29	0	4,000
26.	TOTAL LIABILITIES	1760	$3,233,539	$3,298,608	$3,262,186	$3,037,939
	OWNERSHIP EQUITY					
27.	Sole proprietorship	1770	$1,008	$911	$858	$972
28.	Partnership - limited partners	1780	38,480	38,509	56,590	54,983
29.	Corporation:					
	A. Preferred stock	1791	1,285	1,285	1,285	1,285
	B. Common stock	1792	393	297	295	295
	C. Additional paid- in capital	1793	113,250	112,607	113,477	110,602
	D. Retained Earnings	1794	20,311	22,666	6,714	3,849
	E. Less capital stock in treasury	1796	(9)	(8)	(8)	(8)
30.	TOTAL OWNERSHIP EQUITY	1800	$174,718	$176,267	$179,211	$171,978
31.	TOTAL LIABILITIES AND OWNERSHIP EQUITY	1810	$3,408,257	$3,474,875	$3,441,397	$3,209,917