STATEMENT OF INCOME (LOSS) AND EXPENSE UNCONSOLIDATED

($ in Millions) **2017**

		Item	1st QTR	2nd QTR	3rd QTR	Total
REVENUE						
1.	Commissions:					
	a. Commissions on transactions in listed equity securities executed on an exchange	3935	$2,277	$2,148	$2,012	$6,437
	b. Commissions on transactions in exchange listed equity securities executed over-the-counter	3937	864	818	695	2,377
	c. Commissions on listed option transactions	3938	357	345	350	1,052
	d. All other securities commissions	3939	1,747	1,751	1,562	5,060
	e. Total securities commissions	3940	5,245	5,062	4,619	14,926
2.	Gains or losses on firm securities trading accounts	3950	4,317	2,750	2,508	9,575
	a. Includes gains or (losses) from market making in options on a national securities exchange	3945	(328)	147	43	(138)
3.	Gains or losses on firm securities investment accounts	3952	242	86	194	522
4.	Profits or losses from underwriting and selling groups	3955	5,803	5,486	4,975	16,264
5.	Margin interest	3960	1,923	2,365	2,747	7,035
6.	Income from sale of investment company shares	3970	1,555	1,521	1,389	4,465
7.	Fees for account supervision, investment advisory and administrative services	3975	11,951	12,781	13,036	37,768
8.	Revenue from research services	3980	42	48	47	137
9.	Other revenue related to securities business	3985	10,489	11,985	13,038	35,512
10.	Commodities revenue	3990	654	612	616	1,882
11.	Other revenue unrelated to securities business	3995	3,979	4,005	3,753	11,737
12.	Total revenue	4030	$46,200	$46,701	$46,922	$139,823
EXPENSES						
13.	Registered representatives' compensation	4110	$9,471	$9,324	$9,260	$28,055
14.	Clerical and administrative employees' expenses	4040	9,717	8,365	8,018	26,100
15.	Salaries and other employment costs for general partners and voting stockholder officers	4120	360	375	409	1,144
16.	Other employee compensation and benefits	4115	50	52	93	195
17.	Commission paid to other brokers	4140	21	23	23	67
18.	Floor brokerage paid to certain brokers	4055	157	165	156	478
19.	Commissions and clearance paid to all other brokers	4145	1,057	937	867	2,861
20.	Clearance paid to non-brokers	4135	801	1,013	954	2,768
21.	Communications	4060	1,179	1,187	1,149	3,515
22.	Occupancy and equipment costs	4080	1,224	1,190	1,155	3,569
23.	Promotional costs	4150	299	346	285	930
24.	Interest expense	4075	6,699	8,690	9,978	25,367
25.	Losses in error account and bad debts	4170	129	32	20	181
26.	Data processing costs (including service bureau service charges)	4186	429	430	417	1,276
27.	Non-recurring charges	4190	20	(6)	(2)	12
28.	Regulatory fees and expenses	4195	473	433	414	1,320
29.	Other expenses	4100	7,976	7,989	8,219	24,184
30.	Total expenses	4200	$40,062	$40,545	$41,415	$122,022
NET INCOME						
31.	Unconsolidated net income (loss) before Federal income taxes, extraordinary gains, and changes in accounting principles	4210	$6,138	$6,156	$5,507	$17,801
32.	Capital and subordinated liabilities(1800,1710,1720,1730,1740,1750)		$285,565	$287,332	$289,257	
	Number of Firms Profitable		88	97	98	
	Number of Firms Loss		41	35	31	
	TOTAL NUMBER OF FIRMS		129	132	129	