STATEMENT OF FINANCIAL CONDITION

($ in Millions)

			2017			
			1st QTR	2nd QTR	3rd QTR	4th QTR
ASSETS		Item				
1.	Cash	750	$39,222	$36,985	$30,481	$33,982
2.	Cash segregated in compliance with federal and other regulations	760	64,280	60,875	65,277	64,343
3.	Receivable from brokers or dealers and clearing organizations:					
	A. Failed to deliver:	770	22,765	25,525	24,402	18,819
	B. Securities borrowed:	780	905,849	926,525	936,605	890,848
	C. Omnibus accounts:	790	22,319	26,076	24,763	22,345
	D. Clearing Organizations:	800	80,173	75,286	74,328	79,574
	E. Other	810	51,617	51,851	44,575	54,753
4.	Receivables from customers:	820	198,268	208,775	209,629	238,247
5.	Receivables from non-customers:	830	37,865	38,016	30,371	42,450
6.	Securities purchased under agreements to resell	840	883,311	941,584	853,314	832,385
7.	Securities and spot commodities owned, at market value:	850	745,505	785,982	777,929	738,567
8.	Securities owned not readily marketable:	860	24,272	20,167	20,062	22,828
9.	Other investments not readily marketable:	870	1,081	1,092	1,046	1,158
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	167	167	467	467
12.	Memberships in exchanges:	900	204	201	202	203
13.	Investment in and receivables from affiliates, subsidiaries and associated partnerships(910)	910	10,073	8,781	8,375	10,266
14.	Property, furniture, equipment, leasehold improvements and rights under lease agreements:	920	5,009	4,786	4,762	5,207
15.	Other Assets:	930	213,122	219,736	207,208	175,887
16.	TOTAL ASSETS	940	$3,305,102	$3,432,410	$3,313,796	$3,232,329
LIABILITIES						
17.	Bank loans payable:					
	A. Includable in "Formula for Reserve Requirements"	1460	$13,496	$5,470	$1,715	$2,696
	B. Other	1470	43,927	50,842	57,224	57,665
18.	Securities sold under repurchase agreements.	1480	1,110,044	1,175,735	1,057,420	1,080,787
19.	Payable to brokers or dealers and clearing organizations:					
	A. Failed to receive:					
	1. Includable in "Formula for Reserve Requirements"	1490	8,317	8,651	8,512	6,676
	2. Other	1500	15,177	16,844	17,198	13,908
	B. Securities loaned:					
	1. Includable in "Formula for Reserve Requirements"	1510	84,461	80,754	84,916	83,001
	2. Other	1520	255,343	265,978	273,177	231,699
	C. Omnibus accounts:					
	1. Includable in "Formula for Reserve Requirements"	1530	14,136	17,993	14,831	10,996
	2. Other	1540	145	838	33	455
	D. Clearing organizations:					
	1. Includable in "Formula for Reserve Requirements"	1550	517	781	935	640
	2. Other	1560	3,061	2,987	2,989	6,036
	E. Other	1570	24,346	26,878	26,278	27,212

STATEMENT OF FINANCIAL CONDITION

($ in Millions)

			2017			
			1st QTR	2nd QTR	3rd QTR	4th QTR
20.	Payable to customers:					
	A. Securities accounts	1580	627,281	629,315	623,948	582,272
	B. Commodities accounts	1590	115,764	112,038	113,128	109,830
21.	Payable to non customers:					
	A. Securities accounts	1600	$24,880	$36,468	$23,240	$23,725
	B. Commodities accounts	1610	21,122	18,107	15,577	16,537
22.	Securities sold not yet purchased at market value	1620	273,485	267,785	277,280	261,410
23.	Accounts payable and accrued liabilities and expenses:					
	A. Drafts payable	1630	2,755	1,928	2,061	3,090
	B. Accounts payable	1640	33,689	30,650	33,004	43,023
	C. Income taxes payable	1650	3,352	3,565	4,165	1,983
	D. Deferred income taxes	1660	35	31	31	26
	E. Accrued expenses and other liabilities	1670	45,313	50,100	50,708	56,107
	F. Other	1680	12,229	11,027	5,856	10,292
	G. Obligation to return securities	1686	156,078	164,868	154,120	125,656
	H. SPE Liabilities	1687	2,551	1,673	2,433	617
24.	Notes and mortgages payable:					
	A. Unsecured	1690	80,728	102,979	113,685	114,425
	B. Secured	1700	47,305	60,793	60,075	69,226
25.	Liabilities subordinated to claims of general creditors:					
	A. Cash borrowings:	1710	105,265	109,798	109,115	111,130
	B. Securities borrowings, at market value:	1720	0	3	0	0
	C. Pursuant to secured demand not collateral agreements:	1730	167	167	467	467
	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	4,000	0	0	0
26.	TOTAL LIABILITIES	1760	$3,128,969	$3,255,046	$3,134,121	$3,051,587
	OWNERSHIP EQUITY					
27.	Sole proprietorship	1770	$1,026	$1,079	$1,213	$975
28.	Partnership - limited partners	1780	56,316	55,028	55,130	53,580
29.	Corporation:					
	A. Preferred stock	1791	1,285	1,284	1,284	1,284
	B. Common stock	1792	295	295	293	292
	C. Additional paid- in capital	1793	111,268	111,937	112,016	117,870
	D. Retained Earnings	1794	5,951	7,749	9,747	6,749
	E. Less capital stock in treasury	1796	(8)	(8)	(8)	(8)
30.	TOTAL OWNERSHIP EQUITY	1800	$176,133	$177,364	$179,675	$180,742
31.	TOTAL LIABILITIES AND OWNERSHIP EQUITY	1810	$3,305,102	$3,432,410	$3,313,796	$3,232,329