STATEMENT OF INCOME (LOSS) AND EXPENSE UNCONSOLIDATED
NYSE MEMBER FIRMS DEALING WITH PUBLIC
($ in Millions)

			2018			
		Item	1st QTR	2nd QTR	3rd QTR	Total
REVENUE						
1.	Commissions:					
	a. Commissions on transactions in listed equity securities executed on an exchange	3935	$2,476	$2,140	$2,052	$6,668
	b. Commissions on transactions in exchange listed equity securities executed over-the-counter	3937	788	696	663	2,147
	c. Commissions on listed option transactions	3938	483	422	370	1,275
	d. All other securities commissions	3939	1,773	1,763	1,513	5,049
	e. Total securities commissions	3940	5,520	5,021	4,598	15,139
2.	Gains or losses on firm securities trading accounts	3950	4,749	4,037	3,129	11,915
	a. Includes gains or (losses) from market making in options on a national securities exchange	3945	63	(116)	(66)	(119)
3.	Gains or losses on firm securities investment accounts	3952	133	72	208	413
4.	Profits or losses from underwriting and selling groups	3955	6,174	6,276	5,276	17,726
5.	Margin interest	3960	3,238	3,640	3,909	10,787
6.	Income from sale of investment company shares	3970	1,399	1,360	1,356	4,115
7.	Fees for account supervision, investment advisory and administrative services	3975	14,004	14,265	14,553	42,822
8.	Revenue from research services	3980	55	58	55	168
9.	Other revenue related to securities business	3985	15,152	17,487	18,899	51,538
10.	Commodities revenue	3990	1,017	810	768	2,595
11.	Other revenue unrelated to securities business	3995	3,801	4,031	4,108	11,940
12.	Total revenue	4030	$55,242	$57,057	$56,859	$169,158
EXPENSES						
13.	Registered representatives' compensation	4110	$9,959	$9,659	$9,567	$29,185
14.	Clerical and administrative employees' expenses	4040	9,689	8,835	8,325	26,849
15.	Salaries and other employment costs for general partners and voting stockholder officers	4120	427	453	466	1,346
16.	Other employee compensation and benefits	4115	108	208	244	560
17.	Commission paid to other brokers	4140	30	12	12	54
18.	Floor brokerage paid to certain brokers	4055	203	91	201	495
19.	Commissions and clearance paid to all other brokers	4145	1,011	1,138	937	3,086
20.	Clearance paid to non-brokers	4135	1,040	959	829	2,828
21.	Communications	4060	1,079	1,048	1,023	3,150
22.	Occupancy and equipment costs	4080	1,185	1,149	1,189	3,523
23.	Promotional costs	4150	357	368	323	1,048
24.	Interest expense	4075	12,858	15,260	16,851	44,969
25.	Losses in error account and bad debts	4170	43	23	33	99
26.	Data processing costs (including service bureau service charges)	4186	581	621	1,135	2,337
27.	Non-recurring charges	4190	0	0	0	0
28.	Regulatory fees and expenses	4195	521	453	373	1,347
29.	Other expenses	4100	9,433	9,809	8,452	27,694
30.	Total expenses	4200	$48,524	$50,086	$49,960	$148,570
NET INCOME						
31.	Unconsolidated net income (loss) before Federal income taxes, extraordinary gains, and changes in accounting principles	4210	$6,718	$6,971	$6,899	$20,588
32.	Capital and subordinated liabilities(1800,1710,1720,1730,1740,1750)		$301,535	$303,152	$307,807	
	Number of Firms Profitable		94	95	90	
	Number of Firms Loss		30	27	30	
	TOTAL NUMBER OF FIRMS		124	122	120	