

STATEMENT OF INCOME (LOSS) AND EXPENSE UNCONSOLIDATED

(\$ in Millions)

2009

	Item	1st QTR	2nd QTR	3rd QTR	Total	
REVENUE						
1.	Commissions:					
	a. Commissions on transactions in listed equity securities executed on an exchange	3935	\$2,805	\$2,825	\$2,531	\$8,161
	b. Commissions on transactions in exchange listed equity securities executed over-the-counter	3937	784	954	634	2,372
	c. Commissions on listed option transactions	3938	428	443	488	1,359
	d. All other securities commissions	3939	2,534	2,770	2,677	7,981
	e. Total securities commissions	3940	6,551	6,992	6,330	19,873
2.	Gains or losses on firm securities trading accounts	3950	3,093	12,063	11,813	26,969
	a. Includes gains or (losses) from market making in options on a national securities exchange	3945	(74)	259	272	457
3.	Gains or losses on firm securities investment accounts	3952	(55)	265	398	608
4.	Profits or losses from underwriting and selling groups	3955	2,824	6,282	4,682	13,788
5.	Margin interest	3960	996	898	838	2,732
6.	Income from sale of investment company shares	3970	1,166	1,252	1,228	3,646
7.	Fees for account supervision, investment advisory and administrative services	3975	4,240	3,996	4,720	12,956
8.	Revenue from research services	3980	16	15	15	46
9.	Other revenue related to securities business	3985	13,727	12,775	13,666	40,168
10.	Commodities revenue	3990	1,096	552	212	1,860
11.	Other revenue unrelated to securities business	3995	5,440	17,525	4,152	27,117
12.	Total revenue	4030	\$39,094	\$62,615	\$48,054	\$149,763
EXPENSES						
13.	Registered representatives' compensation	4110	\$6,227	\$6,083	\$6,145	\$18,455
14.	Clerical and administrative employees' expenses	4040	8,646	10,992	11,039	30,677
15.	Salaries and other employment costs for general partners and voting stockholder officers	4120	201	211	229	641
16.	Other employee compensation and benefits	4115	179	200	171	550
17.	Commission paid to other brokers	4140	24	13	13	50
18.	Floor brokerage paid to certain brokers	4055	210	231	246	687
19.	Commissions and clearance paid to all other brokers	4145	1,251	1,294	1,283	3,828
20.	Clearance paid to non-brokers	4135	387	380	409	1,176
21.	Communications	4060	1,218	1,249	1,232	3,699
22.	Occupancy and equipment costs	4080	1,316	1,347	1,398	4,061
23.	Promotional costs	4150	232	179	204	615
24.	Interest expense	4075	5,345	4,961	4,737	15,043
25.	Losses in error account and bad debts	4170	123	68	48	239
26.	Data processing costs (including service bureau service charges)	4186	644	566	529	1,739
27.	Non-recurring charges	4190	0	2	0	2
28.	Regulatory fees and expenses	4195	279	313	349	941
29.	Other expenses	4100	4,583	6,522	6,570	17,675
30.	Total expenses	4200	\$30,865	\$34,611	\$34,602	\$100,078
NET INCOME						
31.	Unconsolidated net income (loss) before Federal income taxes, extraordinary gains, and changes in accounting principles	4210	\$8,229	\$28,004	\$13,452	\$49,685
32.	Capital and subordinated liabilities(1800,1710,1720,1730,1740,1750)		\$246,064	\$258,391	\$265,555	
	Number of Firms Profitable		134	139	135	
	Number of Firms Loss		67	55	70	
	TOTAL NUMBER OF FIRMS		201	194	205	