

**NYSE MEMBER FIRMS DEALING WITH PUBLIC**  
**(\$ in Millions)**

	3rd QTR 2009	3rd QTR 2008	2nd QTR 2009	YTD 2009	YTD 2008
Revenue	\$48,054	\$44,125	\$62,615	\$149,763	\$154,553
Expense	\$34,602	\$54,814	\$34,611	\$100,078	\$185,982
After Tax Profit Loss	\$8,744	(\$6,948)	\$18,202 *	\$32,295 *	(\$20,429)
After Tax Annualized Return on Capital	13.4%	-10.9%	28.9%	17%	-10.8%
Assets	\$3,856,021	\$5,453,573	\$3,609,386	\$3,856,021	\$5,453,573
Capital and subordinated liabilities	\$265,555 *	\$254,767	\$258,391	\$265,555 *	\$254,767
Commission Revenues	\$6,330	\$7,600	\$6,992	\$19,873	\$22,475
Firms	205	195	194	214	205
Profitable Firms	135	117	139	149	120
Aggregate PreTax Earnings of Profitable Firms	\$13,729	\$2,759	\$28,470 *	\$51,900 *	\$11,000
Unprofitable Firms	70	78	55	65	85
Aggregate PreTax Loss of Unprofitable Firms	(\$277)	(\$13,448)	(\$466)	(\$2,215)	(\$42,429)

**\* Record level**

Note: Data is from NYSE member firms that conduct business with the public. Revenues include firms that trade primarily for their own account, but excludes designated market makers (formerly known as specialists). All firms are registered broker-dealers with the SEC. Revenues are predominantly derived from investment banking, trading, commissions, and interest.

Since the NYSE member firm community is composed of corporations and partnerships, after-tax earnings are presented on a pro-forma basis that assumes a corporate tax rate of 35 percent.