

Schedule T - Fiduciary and Related Services

(Trust Companies)

as of September 30, 2015

	(Column A) Managed Assets	(Column B) Non-Managed Assets	(Column C) Number of Managed Accounts	(Column D) Number of Non-Managed Accounts	
	(000s)	(000s)			
FIDUCIARY AND RELATED ASSETS					
4. Personal trust and agency accounts.....	4,605,399	1,799,436	1,701	536	4.
5. Employee benefit and retirement-related trust and agency accounts:					5.
a. Employee benefit - defined contribution.....	195,877	3,128,951	63	26	5.a.
b. Employee benefit - defined benefit.....	89,603	305,792	8	6	5.b.
c. Other employee benefit and retirement-related accounts.....	625,642	234,509	814	158	5.c.
6. Corporate trust and agency accounts.	231,297		2		6.
7. Investment management and investment advisory agency accounts.....	62,603,589	447,162	5,135	73	7.
8. Foundation and endowment trust and agency accounts	419,137	86,761	89	6	8.
9. Other fiduciary accounts		131,304		14	9.
10. Total fiduciary accounts (sum of items 4 through 9)	68,770,544	6,133,915	7,812	819	10.
11. Custody and safekeeping accounts.....		12,151,805		219	11.
12. Not applicable					
13. Individual Retirement Accounts, Health Savings Accounts, and other similar accounts (included in items 5c and 11)	483,030	174,897	600	142	13.

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Memoranda

1. Managed assets held in fiduciary accounts:

- a. Noninterest-bearing deposits.....
- b. Interest-bearing deposits.....
- c. U.S. Treasury and U.S. Government agency obligations.....
- d. State, county and municipal obligations.....
- e. Money market mutual funds.....
- f. Equity mutual funds.....
- g. Other mutual funds.....
- h. Common trust funds and collective investment funds.....
- i. Other short-term obligations.....
- j. Other notes and bonds.....
- k. Investments in unregistered funds and private equity investments.....
- l. Other common and preferred stocks.....
- m. Real estate mortgages.....
- n. Real estate.....
- o. Miscellaneous assets.....
- p. Total managed assets held in fiduciary accounts (for each column, sum of Memorandum items 1.a through 1.o)

- q. Investments of managed fiduciary accounts in advised or sponsored mutual funds.....

	(Column A)	(Column B)	(Column C)	
	Personal Trust and Agency and Investment Management Agency Accounts	Employee Benefit and Retirement-Related Trust and Agency Accounts	All Other Accounts	
	(000s)	(000s)	(000s)	
a.	-7,002	257	8	M.1.a.
b.	68,788	6,817	1,847	M.1.b.
c.	873,312	82,890	93,887	M.1.c.
d.	3,765,415	29,030	17,600	M.1.d.
e.	1,809,142	88,559	46,787	M.1.e.
f.	5,343,402	339,348	124,123	M.1.f.
g.	2,398,511	175,156	71,605	M.1.g.
h.	8,688,992			M.1.h.
i.	115,748			M.1.i.
j.	9,227,492	580,094	368,136	M.1.j.
k.	128,678	238	22,285	M.1.k.
l.	29,324,925	263,405	372,960	M.1.l.
m.	75,297	148		M.1.m.
n.	752,524	1,633	15,435	M.1.n.
o.	3,484,001	12,850	6,224	M.1.o.
p.	66,049,225	1,580,425	1,140,897	M.1.p.
		(Column A) Managed Assets	(Column B) Number of Managed Assets	
q.		7,386,818	14,344	M.1.q.

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2. Corporate trust and agency accounts:

(Column A) Number of Issues	(Column B) Principal Amount Outstanding (000s)	
		M.2.a.
(1) Issues reported in Memoranda 2a. that are in default.....		M.2.a.1
b. Transfer agent, registrar, paying agent, and other corporate agency.....		M.2.b.

3. Collective investment funds and common trust funds:

(Column A) Number of Funds	(Column B) Market Value of Fund Assets (000s)		
a. Domestic equity.....	1	126,125	M.3.a.
b. International/Global equity.....			M.3.b.
c. Stock/Bond blend.....			M.3.c.
d. Taxable bond.....	1	105,172	M.3.d.
e. Municipal bond.....			M.3.e.
f. Short term investments/Money market.....			M.3.f.
g. Specialty/Other.....			M.3.g.
h. Total collective investment funds (sum of Memorandum items 3.a through 3.g).....	2	231,297	M.3.h.

P. Trust Business for Which Securities Are on Deposit with the State Treasurer

	(Column A) Court Trusts (000s)	(Column B) Private Trusts (000s)	
P.1. Trust business for which securities are on deposit with the State Treasurer.....	69,003	86,858,097	P.1.
P.2. Less: real estate.....			P.2.
P.3. Trust business on which security is required.....	69,003	86,858,097	P.3.
P.4. Amount of security required by Sections 1540 and 1541 of the Financial Code.....	1,750	850	P.4.
P.5. Market value of securities on deposit with the State Treasurer.....	2,045	1,448	P.5.
P.6. Excess or deficiency; denote negative amount in ().....	295	598	P.6.

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INCOME

FIDUCIARY AND RELATED SERVICES INCOME	(000s)	
14. Personal trust and agency accounts.....	24,739	14.
15. Employee benefit and retirement-related trust and agency accounts:		
a. Employee benefit-defined contribution	886	15.a.
b. Employee benefit-defined benefit.....	472	15.b.
c. Other employee benefit and retirement-related accounts.....	3,224	15.c.
16. Corporate trust and agency accounts		16.
17. Investment management and investment advisory agency accounts	323,930	17.
18. Foundation and endowment trust and agency accounts.....	2,123	18.
19. Other fiduciary accounts	966	19.
20. Custody and safekeeping accounts	1,171	20.
21. Other fiduciary and related services income.....	6,296	21.
22. Total gross fiduciary and related services income (sum of items 14 through 21)	363,807	22.
23. Less: Expenses.....	346,296	23.
24. Less: Net losses from fiduciary and related services.....	528	24.
25. Plus: Intracompany income credits for fiduciary and related services	1,001	25.
26. Net fiduciary and related services income	17,984	26.

Memoranda

Memoranda	(Column A) Gross Losses Managed Accounts (000s)	(Column B) Gross Losses Non-Managed Accounts (000s)	(Column C) Recoveries (000s)	
4. Fiduciary settlements, surcharges, and other losses				
a. Personal trust and agency accounts.....	40	16		M.4.a.
b. Employee benefit and retirement-related trust and agency... accounts				M.4.b.
c. Investment management and investment advisory..... agency accounts.....	1	471		M.4.c.
d. Other fiduciary accounts and related services.....				M.4.d.
e. Total fiduciary settlements, surcharges, and other losses (sum of Memorandum items 4.a through 4.d) (sum of columns A and B minus column C must equal Schedule T, item 21).....	41	487		M.4.e.