

## Schedule T - Fiduciary and Related Services

(Trust Companies)

as of September 30, 2016

	(Column A) Managed Assets	(Column B) Non-Managed Assets	(Column C) Number of Managed Accounts	(Column D) Number of Non-Managed Accounts	
	(000s)	(000s)			
<b>FIDUCIARY AND RELATED ASSETS</b>					
4. Personal trust and agency accounts.....	4,918,120	2,176,259	1,796	393	4.
5. Employee benefit and retirement- related trust and agency accounts:					5.
a. Employee benefit - defined contribution.....	71,905	3,558,748	43	37	5.a.
b. Employee benefit - defined benefit.....	86,742	327,800	9	8	5.b.
c. Other employee benefit and retirement-related accounts.....	429,962	232,531	578	137	5.c.
6. Corporate trust and agency accounts.	52,849		1	1	6.
7. Investment management and investment advisory agency accounts.....	41,020,044	436,058	1,540	82	7.
8. Foundation and endowment trust and agency accounts	406,555	86,612	94	8	8.
9. Other fiduciary accounts .....		145,320		3	9.
10. Total fiduciary accounts (sum of items 4 through 9) .....	46,986,177	6,963,328	4,061	669	10.
11. Custody and safekeeping accounts.....		11,196,360		221	11.
12. Not applicable					
13. Individual Retirement Accounts, Health Savings Accounts, and other similar accounts (included in items 5c and 11)	193,995	132,612	336	122	13.

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as of September 30, 2016

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.	-1,077	303	104	M.1.a.
b.	80,514	8,469	5,901	M.1.b.
c.	367,995	16,588	21,267	M.1.c.
d.	1,642,662	25,838	17,140	M.1.d.
e.	659,017	50,352	23,369	M.1.e.
f.	524,420	66,473	124,086	M.1.f.
g.	568,275	69,571	72,116	M.1.g.
h.	7,068,383			M.1.h.
i.	77,082			M.1.i.
j.	11,293,898	22,133	59,225	M.1.j.
k.	32,398	5,073	17,043	M.1.k.
l.	20,019,977	246,367	141,821	M.1.l.
m.	66,880	135		M.1.m.
n.	714,984	1,987	2,409	M.1.n.
o.	2,842,499	13,153	4,669	M.1.o.
p.	45,957,907	526,442	489,150	M.1.p.
		(Column A) Managed Assets	(Column B) Number of Managed Assets	
		454,644	758	M.1.q.

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Memoranda

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.....		M.3.a.
b. International/Global equity.....		M.3.b.
c. Stock/Bond blend.....		M.3.c.
d. Taxable bond.....	1	52,849
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).....	1	52,849

**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.....	59,998	64,951,140	P.1.
P.2. Less: real estate.....			P.2.
P.3. Trust business on which security is required.....	59,998	64,951,140	P.3.
P.4. Amount of security required by Sections 1540 and 1541 of the Financial Code.....	1,900	851	P.4.
P.5. Market value of securities on deposit with the State Treasurer.....	2,231	1,444	P.5.
P.6. Excess or deficiency; denote negative amount in ( ).....	331	593	P.6.

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**as of September 30, 2016**

**INCOME**

FIDUCIARY AND RELATED SERVICES INCOME	(000s)	
14. Personal trust and agency accounts.....	24,073	14.
15. Employee benefit and retirement-related trust and agency accounts:		
a. Employee benefit-defined contribution .....	824	15.a.
b. Employee benefit-defined benefit.....	471	15.b.
c. Other employee benefit and retirement-related accounts.....	2,325	15.c.
16. Corporate trust and agency accounts .....		16.
17. Investment management and investment advisory agency accounts .....	158,769	17.
18. Foundation and endowment trust and agency accounts.....	1,883	18.
19. Other fiduciary accounts .....	209	19.
20. Custody and safekeeping accounts .....	1,096	20.
21. Other fiduciary and related services income.....	5,221	21.
22. Total gross fiduciary and related services income (sum of items 14 through 21) .....	194,871	22.
23. Less: Expenses.....	180,626	23.
24. Less: Net losses from fiduciary and related services.....	186	24.
25. Plus: Intracompany income credits for fiduciary and related services .....	835	25.
26. Net fiduciary and related services income .....	14,894	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.....	2	42		M.4.a.
b. Employee benefit and retirement-related trust and agency... accounts	103			M.4.b.
c. Investment management and investment advisory..... agency accounts.....	8	31		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).....	113	73		M.4.e.