

## Schedule T - Fiduciary and Related Services

(Trust Companies)

as of December 31, 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.....	4,749,896	2,165,352	1,781	405	4.
5. Employee benefit and retirement-related trust and agency accounts:					5.
a. Employee benefit - defined contribution.....	63,880	3,540,594	43	37	5.a.
b. Employee benefit - defined benefit.....	86,336	330,112	9	8	5.b.
c. Other employee benefit and retirement-related accounts.....	430,490	232,416	582	133	5.c.
6. Corporate trust and agency accounts.	51,938		1	1	6.
7. Investment management and investment advisory agency accounts.....	39,391,156	492,454	1,584	94	7.
8. Foundation and endowment trust and agency accounts	403,584	108,461	93	9	8.
9. Other fiduciary accounts .....		147,642		4	9.
10. Total fiduciary accounts (sum of items 4 through 9) .....	45,177,280	7,017,031	4,093	691	10.
11. Custody and safekeeping accounts.....		11,216,139		223	11.
12. Not applicable					
13. Individual Retirement Accounts, Health Savings Accounts, and other similar accounts (included in items 5c and 11)	186,692	139,823	329	118	13.

# Schedule T - Fiduciary and Related Services

(Trust Companies)

as of December 31, 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.	-9,430	3,288	288	M.1.a.
b.	94,450	8,257	2,942	M.1.b.
c.	515,675	15,683	13,825	M.1.c.
d.	1,711,261	25,554	16,641	M.1.d.
e.	938,190	43,422	14,887	M.1.e.
f.	531,961	64,906	121,982	M.1.f.
g.	546,965	69,112	70,995	M.1.g.
h.	6,750,047			M.1.h.
i.	16,880			M.1.i.
j.	9,837,404	21,194	56,336	M.1.j.
k.	31,847	4,949	17,730	M.1.k.
l.	19,307,277	307,075	137,779	M.1.l.
m.	124,408	133		M.1.m.
n.	713,040	2,495	1,926	M.1.n.
o.	3,015,290	13,250	3,494	M.1.o.
p.	44,125,265	579,318	458,825	M.1.p.
		(Column A) Managed Assets	(Column B) Number of Managed Assets	
		433,982	768	M.1.q.

**Schedule T - Fiduciary and Related Services**  
**(Trust Companies)**  
**as of December 31, 2016**

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	51,938 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).....	1	51,938 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.....	57,595	63,216,465	P.1.
P.2. Less: real estate.....			P.2.
P.3. Trust business on which security is required.....	57,595	63,216,465	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.....	2,190	1,432	P.5.
P.6. Excess or deficiency; denote negative amount in ( ).....	290	581	P.6.

**Schedule T - Fiduciary and Related Services**  
**(Trust Companies)**  
**as of December 31, 2016**

**INCOME**

FIDUCIARY AND RELATED SERVICES INCOME	(000s)	
14. Personal trust and agency accounts.....	32,249	14.
15. Employee benefit and retirement-related trust and agency accounts:		
a. Employee benefit-defined contribution .....	1,098	15.a.
b. Employee benefit-defined benefit.....	630	15.b.
c. Other employee benefit and retirement-related accounts.....	3,116	15.c.
16. Corporate trust and agency accounts .....		16.
17. Investment management and investment advisory agency accounts .....	209,259	17.
18. Foundation and endowment trust and agency accounts.....	2,487	18.
19. Other fiduciary accounts .....	262	19.
20. Custody and safekeeping accounts .....	1,518	20.
21. Other fiduciary and related services income.....	7,005	21.
22. Total gross fiduciary and related services income (sum of items 14 through 21) .....	257,624	22.
23. Less: Expenses.....	239,188	23.
24. Less: Net losses from fiduciary and related services.....	187	24.
25. Plus: Intracompany income credits for fiduciary and related services .....	1,233	25.
26. Net fiduciary and related services income .....	19,482	26.

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.....	2	31		M.4.c.
d. Other fiduciary accounts and related services.....	8			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).....	115	73		M.4.e.