

Schedule T - Fiduciary and Related Services

(Trust Companies)

as of September 30, 2017

	(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.....	5,442,047	2,555,809	1,897	441	4.
5. Employee benefit and retirement- related trust and agency accounts:					5.
a. Employee benefit - defined contribution.....	71,075	4,133,969	44	38	5.a.
b. Employee benefit - defined benefit.....	90,976	384,048	15	8	5.b.
c. Other employee benefit and retirement-related accounts.....	433,569	262,130	626	143	5.c.
6. Corporate trust and agency accounts.	46,341		1	1	6.
7. Investment management and investment advisory agency accounts.....	43,708,932	514,445	1,636	92	7.
8. Foundation and endowment trust and agency accounts	441,141	85,140	97	9	8.
9. Other fiduciary accounts		172,416		4	9.
10. Total fiduciary accounts (sum of items 4 through 9)	50,234,081	8,107,957	4,316	736	10.
11. Custody and safekeeping accounts.....		12,543,167		238	11.
12. Not applicable					
13. Individual Retirement Accounts, Health Savings Accounts, and other similar accounts (included in items 5c and 11)	220,182	157,486	361	127	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)	
	-7,118	256	79	M.1.a.
	91,587	10,076	3,769	M.1.b.
	476,722	23,588	15,052	M.1.c.
	1,991,067	23,836	16,293	M.1.d.
	558,336	38,797	28,762	M.1.e.
	1,201,064	128,612	169,291	M.1.f.
	387,346	35,595	47,640	M.1.g.
	7,349,393			M.1.h.
	137,247			M.1.i.
	11,196,005	21,864	44,614	M.1.j.
	63,100	100	13,569	M.1.k.
	21,832,688	294,992	145,524	M.1.l.
	133,046	247		M.1.m.
	792,695	2,341	2,195	M.1.n.
	2,932,870	13,867	363	M.1.o.
	49,136,048	594,171	487,151	M.1.p.
		(Column A) Managed Assets	(Column B) Number of Managed Assets	
		582,760	926	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.....		M.3.a.	
b. International/Global equity.....		M.3.b.	
c. Stock/Bond blend.....		M.3.c.	
d. Taxable bond.....	1	46,341	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	46,341	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.....	55,036	70,724,992	P.1.
P.2. Less: real estate.....			P.2.
P.3. Trust business on which security is required.....	55,036	70,724,992	P.3.
P.4. Amount of security required by Sections 1540 and 1541 of the Financial Code.....	1,900	850	P.4.
P.5. Market value of securities on deposit with the State Treasurer.....	2,188	1,430	P.5.
P.6. Excess or deficiency; denote negative amount in ().....	288	580	P.6.

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INCOME

FIDUCIARY AND RELATED SERVICES INCOME	(000s)	
14. Personal trust and agency accounts.....	26,946	14.
15. Employee benefit and retirement-related trust and agency accounts:		
a. Employee benefit-defined contribution	638	15.a.
b. Employee benefit-defined benefit.....	506	15.b.
c. Other employee benefit and retirement-related accounts.....	2,894	15.c.
16. Corporate trust and agency accounts	2	16.
17. Investment management and investment advisory agency accounts	149,273	17.
18. Foundation and endowment trust and agency accounts.....	1,984	18.
19. Other fiduciary accounts	98	19.
20. Custody and safekeeping accounts	1,212	20.
21. Other fiduciary and related services income.....	6,079	21.
22. Total gross fiduciary and related services income (sum of items 14 through 21)	189,632	22.
23. Less: Expenses.....	170,854	23.
24. Less: Net losses from fiduciary and related services.....	936	24.
25. Plus: Intracompany income credits for fiduciary and related services	1,504	25.
26. Net fiduciary and related services income	19,346	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.....	104	509		M.4.a.
b. Employee benefit and retirement-related trust and agency... accounts				M.4.b.
c. Investment management and investment advisory..... agency accounts.....	217	103		M.4.c.
d. Other fiduciary accounts and related services.....	3			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).....	324	612		M.4.e.