

Schedule T - Fiduciary and Related Services

(Trust Companies)

as of September 30, 2018

	(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.....	5,794,475	2,861,148	1,923	518	4.
5. Employee benefit and retirement- related trust and agency accounts:					5.
a. Employee benefit - defined contribution.....	57,467	4,511,386	38	37	5.a.
b. Employee benefit - defined benefit.....	12,265	410,275	9	8	5.b.
c. Other employee benefit and retirement-related accounts.....	468,847	743,693	683	152	5.c.
6. Corporate trust and agency accounts.		2		1	6.
7. Investment management and investment advisory agency accounts.....	43,060,453	571,952	1,672	95	7.
8. Foundation and endowment trust and agency accounts	435,817	163,389	96	11	8.
9. Other fiduciary accounts		186,042		4	9.
10. Total fiduciary accounts (sum of items 4 through 9)	49,829,324	9,447,887	4,421	826	10.
11. Custody and safekeeping accounts.....		15,500,771		290	11.
12. Not applicable					
13. Individual Retirement Accounts, Health Savings Accounts, and other similar accounts (included in items 5c and 11)	231,441	615,810	381	143	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.	-11,713	325	316
b.	98,087	8,331	4,072
c.			
d.	587,974	9,153	16,504
e.	2,053,148	19,071	15,656
f.	657,385	29,859	22,820
g.	1,360,541	100,819	164,642
h.	405,359	39,110	50,076
i.			
j.	6,360,883		
k.	126,360		
l.	10,310,754	14,346	18,791
m.			
n.	46,987		
o.	22,652,661	299,070	139,081
p.	126,016	238	
q.	823,423	2,558	3,133
	3,244,658	13,321	
	48,842,523	536,201	435,091
		(Column A) Managed Assets	(Column B) Number of Managed Assets
		595,105	929

M.1.a.
M.1.b.
M.1.c.
M.1.d.
M.1.e.
M.1.f.
M.1.g.
M.1.h.
M.1.i.
M.1.j.
M.1.k.
M.1.l.
M.1.m.
M.1.n.
M.1.o.
M.1.p.
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)	
a. Corporate and municipal trusteeships.....			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.....			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).....			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.....	54,267	74,543,745	P.1.
P.2. Less: real estate.....	11,984		P.2.
P.3. Trust business on which security is required.....	42,283	74,543,745	P.3.
P.4. Amount of security required by Sections 1540 and 1541 of the Financial Code.....	1,300	650	P.4.
P.5. Market value of securities on deposit with the State Treasurer.....	1,490	1,861	P.5.
P.6. Excess or deficiency; denote negative amount in ().....	190	1,211	P.6.

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INCOME

FIDUCIARY AND RELATED SERVICES INCOME	(000s)	
14. Personal trust and agency accounts.....	30,523	14.
15. Employee benefit and retirement-related trust and agency accounts:		
a. Employee benefit-defined contribution	666	15.a.
b. Employee benefit-defined benefit.....	449	15.b.
c. Other employee benefit and retirement-related accounts.....	3,148	15.c.
16. Corporate trust and agency accounts		16.
17. Investment management and investment advisory agency accounts	151,013	17.
18. Foundation and endowment trust and agency accounts.....	2,152	18.
19. Other fiduciary accounts	64	19.
20. Custody and safekeeping accounts	1,689	20.
21. Other fiduciary and related services income.....	5,659	21.
22. Total gross fiduciary and related services income (sum of items 14 through 21)	195,363	22.
23. Less: Expenses.....	176,957	23.
24. Less: Net losses from fiduciary and related services.....	244	24.
25. Plus: Intracompany income credits for fiduciary and related services	1,513	25.
26. Net fiduciary and related services income	19,676	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.....	126	5		M.4.a.
b. Employee benefit and retirement-related trust and agency... accounts	3			M.4.b.
c. Investment management and investment advisory..... agency accounts.....	45	64		M.4.c.
d. Other fiduciary accounts and related services.....		1		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).....	174	70		M.4.e.