

Schedule T - Fiduciary and Related Services

(Trust Companies)

as of September 30, 2013

	(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.....	4,871,425	1,242,509	1,598	411	4.
5. Employee benefit and retirement-related trust and agency accounts:					5.
a. Employee benefit - defined contribution.....	383,575	2,924,373	40	27	5.a.
b. Employee benefit - defined benefit.....	128,254	327,244	10	7	5.b.
c. Other employee benefit and retirement-related accounts.....	617,429	157,162	669	164	5.c.
6. Corporate trust and agency accounts.					6.
7. Investment management and investment advisory agency accounts.....	72,207,557	432,760	4,613	65	7.
8. Foundation and endowment trust and agency accounts	404,220	169,208	97	27	8.
9. Other fiduciary accounts	766,527	140,582	9	12	9.
10. Total fiduciary accounts (sum of items 4 through 9)	79,378,987	5,393,838	7,036	713	10.
11. Custody and safekeeping accounts.....		7,993,514		209	11.
12. Not applicable					
13. Individual Retirement Accounts, Health Savings Accounts, and other similar accounts (included in items 5c and 11)	515,219	158,073	516	150	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)	
8,130	2,026	-5	M.1.a.
48,515	5,797	2,775	M.1.b.
835,272	26,999	62,367	M.1.c.
4,045,589	27,977	20,660	M.1.d.
1,553,255	62,889	59,672	M.1.e.
5,146,104	314,710	99,411	M.1.f.
2,185,855	157,677	62,199	M.1.g.
10,893,660			M.1.h.
54,274			M.1.i.
10,273,353	207,239	1,201,454	M.1.j.
124,657	12,438	38,826	M.1.k.
37,297,639	300,147	425,535	M.1.l.
82,692	12		M.1.m.
529,027	4,015	3,071	M.1.n.
3,060,847	7,328	134,896	M.1.o.
76,138,869	1,129,254	2,110,861	M.1.p.
	(Column A) Managed Assets	(Column B) Number of Managed Assets	
	7,097,099	81,785	M.1.q.

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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.....	5	373,147 M.3.a.
b. International/Global equity.....	21	7,250,272 M.3.b.
c. Stock/Bond blend.....	5	1,346,190 M.3.c.
d. Taxable bond.....	16	2,911,482 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).....	47	11,881,091 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.....	27,955	92,610,965	P.1.
P.2. Less: real estate.....			P.2.
P.3. Trust business on which security is required.....	27,955	92,610,965	P.3.
P.4. Amount of security required by Sections 1540 and 1541 of the Financial Code.....	1,750	900	P.4.
P.5. Market value of securities on deposit with the State Treasurer.....	2,106	1,423	P.5.
P.6. Excess or deficiency; denote negative amount in ().....	356	523	P.6.

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INCOME

FIDUCIARY AND RELATED SERVICES INCOME	(000s)	
14. Personal trust and agency accounts.....	20,672	14.
15. Employee benefit and retirement-related trust and agency accounts:		
a. Employee benefit-defined contribution	1,042	15.a.
b. Employee benefit-defined benefit.....	578	15.b.
c. Other employee benefit and retirement-related accounts.....	2,526	15.c.
16. Corporate trust and agency accounts		16.
17. Investment management and investment advisory agency accounts	212,096	17.
18. Foundation and endowment trust and agency accounts.....	1,962	18.
19. Other fiduciary accounts	1,990	19.
20. Custody and safekeeping accounts	1,277	20.
21. Other fiduciary and related services income.....	14,799	21.
22. Total gross fiduciary and related services income (sum of items 14 through 21)	256,942	22.
23. Less: Expenses.....	328,323	23.
24. Less: Net losses from fiduciary and related services.....	32	24.
25. Plus: Intracompany income credits for fiduciary and related services	26,120	25.
26. Net fiduciary and related services income	(45,293)	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.....	18			M.4.a.
b. Employee benefit and retirement-related trust and agency... accounts	15			M.4.b.
c. Investment management and investment advisory..... agency accounts.....	1	10	12	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).....	35	10	12	M.4.e.