

Schedule T - Fiduciary and Related Services

(State Chartered Banks)

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)			
FIDUCIARY AND RELATED ASSETS					
4. Personal trust and agency accounts.....	7,050,052	236,599	3,951	120	4.
5. Employee benefit and retirement-related trust and agency accounts:					5.
a. Employee benefit - defined contribution.....	106,087	484,359	82	127	5.a.
b. Employee benefit - defined benefit.....	170,296	90,456	21	4	5.b.
c. Other employee benefit and retirement-related accounts.....	561,424	262,151	1,034	190	5.c.
6. Corporate trust and agency accounts.....				1	6.
7. Investment management and investment advisory agency accounts.....	3,391,125	10,453	1,701	5	7.
8. Foundation and endowment trust and agency accounts.....	399,040	101,188	229	41	8.
9. Other fiduciary accounts.....	50,724	126	17	5	9.
10. Total fiduciary accounts (sum of items 4 through 9).....	11,728,748	1,185,332	7,035	493	10.
11. Custody and safekeeping accounts.....		14,934,093		1,111	11.
12. Not applicable					
13. Individual Retirement Accounts, Health Savings Accounts, and other similar accounts (included in items 5c and 11)	480,541	48,318	1,016	121	13.

Schedule T - Fiduciary and Related Services - Continued

Memoranda	(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)	
1. Managed assets held in fiduciary accounts:				
a. Noninterest-bearing deposits.....	-142	-64	20	M.1.a.
b. Interest-bearing deposits.....	210,644	13,547	12,928	M.1.b.
c. U.S. Treasury and U.S. Government agency obligations.....	322,431	33,757	17,514	M.1.c.
d. State, county and municipal obligations.....	1,575,638	18,198	12,044	M.1.d.
e. Money market mutual funds.....	432,393	30,094	29,858	M.1.e.
f. Equity mutual funds.....	1,253,539	246,357	113,658	M.1.f.
g. Other mutual funds.....	1,117,978	184,101	77,798	
h. Common trust funds and collective investment funds.....				
i. Other short-term obligations.....	133,098			
j. Other notes and bonds.....	472,931	59,899	42,005	M.1.g.
k. Investments in unregistered funds and private equity investments.....	879,038	680	371	
l. Other common and preferred stocks.....	2,628,330	246,962	113,508	M.1.h.
m. Real estate mortgages.....	60,541	288	3,543	M.1.i.
n. Real estate.....	580,046	1,221	24,335	M.1.j.
o. Miscellaneous assets.....	774,712	2,768	2,420	M.1.k.
p. Total managed assets held in fiduciary accounts (for each column, sum of Memorandum items 1.a through 1.o)	10,441,177	837,807	450,001	

q. Investments of managed fiduciary accounts in advised or sponsored mutual funds.....

	(Column A) Managed Assets	(Column B) Number of Managed Assets

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.....	1		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.....	375,495	26,452,220	P.1.
P.2. Less: real estate.....	59,698		P.2.
P.3. Trust business on which security is required.....	315,797	26,452,220	P.3.
P.4. Amount of security required by Sections 1540 and 1541 of the Financial Code.....	3,925	1,300	P.4.
P.5. Market value of securities on deposit with the State Treasurer.....	975,522	793,619	P.5.
P.6. Excess or deficiency; denote negative amount in ().....	971,597	792,319	P.6.

Schedule T - Fiduciary and Related Services
(State Chartered Banks)
as of September 30, 2016

SCHEDULE T -Fiduciary and Related Services

INCOME

FIDUCIARY AND RELATED SERVICES INCOME		(000s)
14. Personal trust and agency accounts.....		29,919 14.
15. Employee benefit and retirement-related trust and agency accounts:		
a. Employee benefit-defined contribution	1,782	15.a.
b. Employee benefit-defined benefit.....	511	15.b.
c. Other employee benefit and retirement-related accounts.....	3,161	15.c.
16. Corporate trust and agency accounts		16.
17. Investment management and investment advisory agency accounts	13,377	17.
18. Foundation and endowment trust and agency accounts	1,430	18.
19. Other fiduciary accounts	239	19.
20. Custody and safekeeping accounts	3,890	20.
21. Other fiduciary and related services income.....	162	21.
22. Total gross fiduciary and related services income (sum of items 14 through 21)	54,471	22.
23. Less: Expenses.....	49,885	23.
24. Less: Net losses from fiduciary and related services.....	18	24.
25. Plus: Intracompany income credits for fiduciary and related services	6,645	25.
26. Net fiduciary and related services income	11,213	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.....	31		30 M.4.a.
b. Employee benefit and retirement-related trust and agency accounts		2	M.4.b.
c. Investment management and investment advisory..... agency accounts.....	23		13 M.4.c.
d. Other fiduciary accounts and related services.....	3	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).....	57	3	43 M.4.e.