

## Schedule T - Fiduciary and Related Services

(State Chartered Banks)

as of September 30, 2012

|   | (Column A)<br>Managed<br>Assets | (Column B)<br>Non-Managed<br>Assets | (Column C)<br>Number of<br>Managed<br>Accounts | (Column D)<br>Number of<br>Non-Managed<br>Accounts |      |
|---|---------------------------------|-------------------------------------|--|--|------|
|   | (000s)                          | (000s)                              |  |  |      |
| <b>FIDUCIARY AND RELATED ASSETS</b>   |                                 |                                     |  |  |      |
| 4. Personal trust and agency accounts.....  | 5,902,643                       | 214,205                             | 3,870  | 105  | 4.   |
| 5. Employee benefit and retirement-related trust and agency accounts:   |                                 |                                     |  |  | 5.   |
| a. Employee benefit - defined contribution.....   | 113,084                         | 419,408                             | 104  | 168  | 5.a. |
| b. Employee benefit - defined benefit.....  | 127,740                         | 72,750                              | 21   | 6  | 5.b. |
| c. Other employee benefit and retirement-related accounts.....  | 390,661                         | 147,788                             | 975  | 278  | 5.c. |
| 6. Corporate trust and agency accounts.   |                                 |                                     |  | 1  | 6.   |
| 7. Investment management and investment advisory agency accounts.....   | 2,934,713                       | 26,108                              | 1,820  | 14   | 7.   |
| 8. Foundation and endowment trust and agency accounts   | 241,475                         | 93,722                              | 145  | 29   | 8.   |
| 9. Other fiduciary accounts .....   | 46,721                          | 113                                 | 15   | 5  | 9.   |
| 10. Total fiduciary accounts (sum of items 4 through 9) .....   | 9,757,037                       | 974,094                             | 6,950  | 606  | 10.  |
| 11. Custody and safekeeping accounts.....   |                                 | 4,665,072                           |  | 1,305  | 11.  |
| 12. Not applicable  |                                 |                                     |  |  |      |
| 13. Individual Retirement Accounts, Health Savings Accounts, and other similar accounts (included in items 5c and 11) | 379,126                         | 347,095                             | 972  | 234  | 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.....  | 6,201   | 190   | 29                 | M.1.a. |
| b. Interest-bearing deposits.....   | 133,945   | 6,650   | 4,372              | M.1.b. |
| c. U.S. Treasury and U.S. Government agency obligations.....  | 455,416   | 26,886  | 22,668             | M.1.c. |
| d. State, county and municipal obligations.....   | 1,418,849   | 7,895   | 9,133              | M.1.d. |
| e. Money market mutual funds.....   | 485,056   | 32,386  | 32,802             | M.1.e. |
| f. Equity mutual funds.....   | 739,263   | 152,398   | 45,180             | M.1.f. |
| g. Other mutual funds.....  | 816,698   | 146,455   | 38,745             |        |
| h. Common trust funds and collective investment funds.....  |   |   |                    |        |
| i. Other short-term obligations.....  | 76,092  |   |                    |        |
| j. Other notes and bonds.....   | 535,674   | 59,841  | 30,042             | M.1.g. |
| k. Investments in unregistered funds and private equity investments.....                                      | 103,113   | 26  | 139                |        |
| l. Other common and preferred stocks.....   | 2,235,689   | 191,110   | 72,339             | M.1.h. |
| m. Real estate mortgages.....   | 27,862  | 647   |                    | M.1.i. |
| n. Real estate.....   | 930,266   | 3,003   | 915                | M.1.j. |
| o. Miscellaneous assets.....  | 876,103   | 3,998   | 29,092             | M.1.k. |
| p. Total managed assets held in fiduciary accounts (for each column, sum of Memorandum items 1.a through 1.o) | 8,840,226   | 631,485   | 285,456            |        |

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

|  | (Column A)<br>Managed Assets | (Column B) Number<br>of Managed Assets |
|--|------------------------------|--|
|  |                              |  |
|  |                              |  |

Memoranda

2. Corporate trust and agency accounts:

|   | (Column A)<br>Number of<br>Issues | (Column B)<br>Principal Amount<br>Outstanding<br>(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)<br>Number of<br>Funds | (Column B)<br>Market Value of<br>Fund Assets<br>(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)<br>Court Trusts<br>(000s) | (Column B)<br>Private Trusts<br>(000s) |      |
|---|--------------------------------------|--|------|
| P.1. Trust business for which securities are on deposit with the State Treasurer..... | 312,460                              | 13,850,470                             | P.1. |
| P.2. Less: real estate.....   | 39,078                               |  | P.2. |
| P.3. Trust business on which security is required.....                                | 273,382                              | 13,850,470                             | P.3. |
| P.4. Amount of security required by Sections 1540 and 1541 of the Financial Code..... | 4,075                                | 1,500                                  | P.4. |
| P.5. Market value of securities on deposit with the State Treasurer.....              | 8,867                                | 6,031                                  | P.5. |
| P.6. Excess or deficiency; denote negative amount in ( ).....                         | 4,792                                | 4,531                                  | P.6. |

| FIDUCIARY AND RELATED SERVICES INCOME  |  | (000s) |
|--|--|--------|
| 14. Personal trust and agency accounts.....  |  | 25,969 |
| 15. Employee benefit and retirement-related trust and agency accounts:                   |  |        |
| a. Employee benefit-defined contribution .....   |  | 1,708  |
| b. Employee benefit-defined benefit.....   |  | 440    |
| c. Other employee benefit and retirement-related accounts.....                           |  | 2,573  |
| 16. Corporate trust and agency accounts .....  |  |        |
| 17. Investment management and investment advisory agency accounts .....                  |  | 10,907 |
| 18. Foundation and endowment trust and agency accounts.....                              |  | 1,165  |
| 19. Other fiduciary accounts .....   |  | 77     |
| 20. Custody and safekeeping accounts .....   |  | 3,587  |
| 21. Other fiduciary and related services income.....                                     |  | 135    |
| 22. Total gross fiduciary and related services income (sum of items 14 through 21) ..... |  | 46,561 |
| 23. Less: Expenses.....  |  | 38,390 |
| 24. Less: Net losses from fiduciary and related services.....                            |  | -47    |
| 25. Plus: Intracompany income credits for fiduciary and related services .....           |  | 8,562  |
| 26. Net fiduciary and related services income .....                                      |  | 16,780 |

| Memoranda  | (Column A)<br>Gross Losses<br>Managed<br>Accounts<br>(000s) | (Column B)<br>Gross Losses<br>Non-Managed<br>Accounts<br>(000s) | (Column C)<br>Recoveries<br>(000s) |
|--|---|---|------------------------------------|
| 4. Fiduciary settlements, surcharges, and other losses   |   |   |                                    |
| a. Personal trust and agency accounts.....   | 37  | 1   | 91                                 |
| b. Employee benefit and retirement-related trust and agency accounts .....   |   |   |                                    |
| c. Investment management and investment advisory..... agency accounts.....   | 91,837  |   | 989                                |
| d. Other fiduciary accounts and related services.....  | 2   | 3   | 2                                  |
| 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 |   |   |                                    |