

Schedule T - Fiduciary and Related Services

(Trust Companies)

as of March 31, 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.....	4,908,545	2,228,475	1,780	417	4.
5. Employee benefit and retirement- related trust and agency accounts:					5.
a. Employee benefit - defined contribution.....	66,091	3,738,036	43	37	5.a.
b. Employee benefit - defined benefit.....	87,532	343,040	10	8	5.b.
c. Other employee benefit and retirement-related accounts.....	452,149	230,975	598	133	5.c.
6. Corporate trust and agency accounts.	51,938		1	1	6.
7. Investment management and investment advisory agency accounts.....	41,618,469	530,253	1,632	93	7.
8. Foundation and endowment trust and agency accounts	419,476	107,781	94	10	8.
9. Other fiduciary accounts		156,741		4	9.
10. Total fiduciary accounts (sum of items 4 through 9)	47,604,200	7,335,301	4,158	703	10.
11. Custody and safekeeping accounts.....		11,956,654		230	11.
12. Not applicable					
13. Individual Retirement Accounts, Health Savings Accounts, and other similar accounts (included in items 5c and 11)	194,815	142,653	335	118	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.	-3,617	289	100	M.1.a.
b.	85,674	9,971	2,976	M.1.b.
c.	459,451	22,016	14,434	M.1.c.
d.	1,875,967	24,668	16,649	M.1.d.
e.	688,135	46,947	16,885	M.1.e.
f.	945,949	108,433	157,929	M.1.f.
g.	386,697	34,110	45,998	M.1.g.
h.	7,025,295			M.1.h.
i.	92,092			M.1.i.
j.	10,676,072	21,099	57,451	M.1.j.
k.	63,885		12,835	M.1.k.
l.	20,511,337	320,757	146,130	M.1.l.
m.	128,117	131		M.1.m.
n.	699,556	2,924	2,222	M.1.n.
o.	2,873,929	13,260	1,378	M.1.o.
p.	46,508,539	604,605	474,987	M.1.p.
		(Column A) Managed Assets	(Column B) Number of Managed Assets	
		467,236	777	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.....	1	51,938	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	51,938	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.....	55,749	66,702,901	P.1.
P.2. Less: real estate.....			P.2.
P.3. Trust business on which security is required.....	55,749	66,702,901	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.....	2,191	1,433	P.5.
P.6. Excess or deficiency; denote negative amount in ().....	291	583	P.6.

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INCOME

FIDUCIARY AND RELATED SERVICES INCOME	(000s)	
14. Personal trust and agency accounts.....	8,709	14.
15. Employee benefit and retirement-related trust and agency accounts:		
a. Employee benefit-defined contribution	276	15.a.
b. Employee benefit-defined benefit.....	162	15.b.
c. Other employee benefit and retirement-related accounts.....	930	15.c.
16. Corporate trust and agency accounts		16.
17. Investment management and investment advisory agency accounts	48,027	17.
18. Foundation and endowment trust and agency accounts.....	657	18.
19. Other fiduciary accounts	47	19.
20. Custody and safekeeping accounts	380	20.
21. Other fiduciary and related services income.....	2,090	21.
22. Total gross fiduciary and related services income (sum of items 14 through 21)	61,278	22.
23. Less: Expenses.....	55,972	23.
24. Less: Net losses from fiduciary and related services.....	2	24.
25. Plus: Intracompany income credits for fiduciary and related services	431	25.
26. Net fiduciary and related services income	5,735	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.....				M.4.a.
b. Employee benefit and retirement-related trust and agency... accounts				M.4.b.
c. Investment management and investment advisory..... agency accounts.....				M.4.c.
d. Other fiduciary accounts and related services.....	2			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).....	2			M.4.e.