

## Schedule T - Fiduciary and Related Services

(State Chartered Banks)

as of March 31, 2018

|   | (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.....  | 7,886,361                       | 300,929                             | 3,890  | 122  | 4.   |
| 5. Employee benefit and retirement-related trust and agency accounts:   |                                 |                                     |  |  | 5.   |
| a. Employee benefit - defined contribution.....   | 225,204                         | 532,553                             | 109  | 131  | 5.a. |
| b. Employee benefit - defined benefit.....  | 175,746                         | 98,729                              | 18   | 5  | 5.b. |
| c. Other employee benefit and retirement-related accounts.....  | 589,046                         | 195,970                             | 1,056  | 157  | 5.c. |
| 6. Corporate trust and agency accounts.   |                                 |                                     |  |  | 6.   |
| 7. Investment management and investment advisory agency accounts.....   | 3,123,688                       | 5,098                               | 1,745  | 5  | 7.   |
| 8. Foundation and endowment trust and agency accounts   | 487,495                         | 135,052                             | 264  | 34   | 8.   |
| 9. Other fiduciary accounts .....   | 3,022                           | 108                                 | 2  | 5  | 9.   |
| 10. Total fiduciary accounts (sum of items 4 through 9) .....   | 12,490,562                      | 1,268,439                           | 7,084  | 459  | 10.  |
| 11. Custody and safekeeping accounts.....   |                                 | 14,872,591                          |  | 1,121  | 11.  |
| 12. Not applicable  |                                 |                                     |  |  |      |
| 13. Individual Retirement Accounts, Health Savings Accounts, and other similar accounts (included in items 5c and 11) | 526,932                         | 88,825                              | 1,046  | 151  | 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.....  | 222   | 75  | 1,036              | M.1.a. |
| b. Interest-bearing deposits.....   | 224,312   | 12,694  | 13,486             | M.1.b. |
| c. U.S. Treasury and U.S. Government agency obligations.....  | 328,067   | 30,944  | 16,600             | M.1.c. |
| d. State, county and municipal obligations.....   | 1,366,395   | 17,918  | 13,262             | M.1.d. |
| e. Money market mutual funds.....   | 454,252   | 42,245  | 51,784             | M.1.e. |
| f. Equity mutual funds.....   | 1,500,195   | 328,164   | 120,476            | M.1.f. |
| g. Other mutual funds.....  | 1,142,990   | 193,304   | 79,899             |        |
| h. Common trust funds and collective investment funds.....  |   |   |                    |        |
| i. Other short-term obligations.....  | 42,675  |   |                    |        |
| j. Other notes and bonds.....   | 436,432   | 77,658  | 34,823             | M.1.g. |
| k. Investments in unregistered funds and private equity investments.....                                      | 291,158   | 1,571   | 1                  |        |
| l. Other common and preferred stocks.....   | 3,179,202   | 283,328   | 173,786            | M.1.h. |
| m. Real estate mortgages.....   | 55,385  | 2,800   |                    | M.1.i. |
| n. Real estate.....   | 571,797   |   | 7,605              | M.1.j. |
| o. Miscellaneous assets.....  | 1,402,522   | 2,218   |                    | M.1.k. |
| p. Total managed assets held in fiduciary accounts (for each column, sum of Memorandum items 1.a through 1.o) | 10,995,604  | 992,919   | 512,758            |        |

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..... |                                   |   | 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..... | 432,998                              | 27,018,897                             | P.1. |
| P.2. Less: real estate.....   | 56,394                               |  | P.2. |
| P.3. Trust business on which security is required.....                                | 376,604                              | 27,018,897                             | P.3. |
| P.4. Amount of security required by Sections 1540 and 1541 of the Financial Code..... | 4,025                                | 1,300                                  | P.4. |
| P.5. Market value of securities on deposit with the State Treasurer.....              | 9,314                                | 4,444                                  | P.5. |
| P.6. Excess or deficiency; denote negative amount in ( ).....                         | 5,289                                | 3,144                                  | P.6. |

**Schedule T - Fiduciary and Related Services**  
**(State Chartered Banks)**  
**as of March 31, 2018**

**SCHEDULE T -Fiduciary and Related Services**

**INCOME**

| FIDUCIARY AND RELATED SERVICES INCOME  | (000s) |       |
|--|--------|-------|
| 14. Personal trust and agency accounts.....  | 10,945 | 14.   |
| 15. Employee benefit and retirement-related trust and agency accounts:                   |        |       |
| a. Employee benefit-defined contribution .....   | 821    | 15.a. |
| b. Employee benefit-defined benefit.....   | 197    | 15.b. |
| c. Other employee benefit and retirement-related accounts.....                           | 1,174  | 15.c. |
| 16. Corporate trust and agency accounts .....  |        | 16.   |
| 17. Investment management and investment advisory agency accounts .....                  | 4,889  | 17.   |
| 18. Foundation and endowment trust and agency accounts .....                             | 749    | 18.   |
| 19. Other fiduciary accounts .....   | 5      | 19.   |
| 20. Custody and safekeeping accounts .....   | 1,389  | 20.   |
| 21. Other fiduciary and related services income.....                                     | 60     | 21.   |
| 22. Total gross fiduciary and related services income (sum of items 14 through 21) ..... | 20,229 | 22.   |
| 23. Less: Expenses.....  | 16,103 | 23.   |
| 24. Less: Net losses from fiduciary and related services.....                            | 460    | 24.   |
| 25. Plus: Intracompany income credits for fiduciary and related services .....           | 2,288  | 25.   |
| 26. Net fiduciary and related services income .....                                      | 5,954  | 26.   |

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.....  | 432   |   | 1                                  | M.4.a. |
| b. Employee benefit and retirement-related trust and agency<br>accounts .....   |   |   |                                    | M.4.b. |
| c. Investment management and investment advisory.....<br>agency accounts.....   | 3   |   |                                    | M.4.c. |
| d. Other fiduciary accounts and related services.....   | 23  | 1   |                                    | M.4.d. |
| e. Total fiduciary settlements, surcharges, and other losses<br>(sum of Memorandum items 4.a through 4.d) (sum of<br>columns A and B minus column C must equal<br>Schedule T, item 21)..... | 458   | 1   | 1                                  | M.4.e. |