

Schedule T - Fiduciary and Related Services

(Trust Companies)

as of September 30, 2014

	(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.....	4,471,205	1,718,911	1,667	476	4.
5. Employee benefit and retirement- related trust and agency accounts:					5.
a. Employee benefit - defined contribution.....	198,191	3,202,349	63	30	5.a.
b. Employee benefit - defined benefit.....	90,820	303,467	8	7	5.b.
c. Other employee benefit and retirement-related accounts.....	597,127	246,338	718	165	5.c.
6. Corporate trust and agency accounts.	385,011		2		6.
7. Investment management and investment advisory agency accounts.....	70,890,700	460,775	4,868	64	7.
8. Foundation and endowment trust and agency accounts	452,604	158,229	92	25	8.
9. Other fiduciary accounts		140,212		15	9.
10. Total fiduciary accounts (sum of items 4 through 9)	77,085,658	6,230,281	7,418	782	10.
11. Custody and safekeeping accounts.....		7,819,587		194	11.
12. Not applicable					
13. Individual Retirement Accounts, Health Savings Accounts, and other similar accounts (included in items 5c and 11)	471,658	180,272	554	151	13.

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as of September 30, 2014

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.	2,840	134	47
b.	84,508	6,173	3,879
c.			
d.	901,733	32,689	96,633
e.	3,582,159	25,281	15,024
f.	1,672,348	71,611	53,254
g.	5,766,379	326,630	132,124
h.	2,361,675	167,947	75,523
i.			
j.	10,266,341		
k.	95,949		
l.	9,860,177	665,208	452,064
m.			
n.	90,074	4,487	20,940
o.	35,708,486	272,116	429,413
p.	73,522		
q.	557,092	2,007	11,057
r.	3,179,279	11,028	7,827
s.			
t.	74,202,562	1,585,311	1,297,785
		(Column A) Managed Assets	(Column B) Number of Managed Assets
		7,845,453	14,562

M.1.a.
M.1.b.
M.1.c.
M.1.d.
M.1.e.
M.1.f.
M.1.g.
M.1.h.
M.1.i.
M.1.j.
M.1.k.
M.1.l.
M.1.m.
M.1.n.
M.1.o.
M.1.p.
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.....	1	160,575	M.3.a.
b. International/Global equity.....			M.3.b.
c. Stock/Bond blend.....			M.3.c.
d. Taxable bond.....	1	224,436	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).....	2	385,011	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.....	57,534	91,076,757	P.1.
P.2. Less: real estate.....			P.2.
P.3. Trust business on which security is required.....	57,534	91,076,757	P.3.
P.4. Amount of security required by Sections 1540 and 1541 of the Financial Code.....	1,750	850	P.4.
P.5. Market value of securities on deposit with the State Treasurer.....	2,069	1,423	P.5.
P.6. Excess or deficiency; denote negative amount in ().....	319	573	P.6.

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INCOME

FIDUCIARY AND RELATED SERVICES INCOME	(000s)	
14. Personal trust and agency accounts.....	21,974	14.
15. Employee benefit and retirement-related trust and agency accounts:		
a. Employee benefit-defined contribution	833	15.a.
b. Employee benefit-defined benefit.....	518	15.b.
c. Other employee benefit and retirement-related accounts.....	2,856	15.c.
16. Corporate trust and agency accounts		16.
17. Investment management and investment advisory agency accounts	251,778	17.
18. Foundation and endowment trust and agency accounts.....	2,157	18.
19. Other fiduciary accounts	1,583	19.
20. Custody and safekeeping accounts	1,259	20.
21. Other fiduciary and related services income.....	11,028	21.
22. Total gross fiduciary and related services income (sum of items 14 through 21)	293,986	22.
23. Less: Expenses.....	340,725	23.
24. Less: Net losses from fiduciary and related services.....	187	24.
25. Plus: Intracompany income credits for fiduciary and related services	17,526	25.
26. Net fiduciary and related services income	(29,400)	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.....	105			M.4.a.
b. Employee benefit and retirement-related trust and agency... accounts				M.4.b.
c. Investment management and investment advisory..... agency accounts.....	1	81		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).....	106	81		M.4.e.