



Securities Brokers Report of Condition

(\$000)	December																	
	2020	2019	2018	2017	2016	2015	2014	2013	2012	2011	2010	2009	2008	2007	2006	2005	2004	2003
Assets																		
Cash	\$ 22,753	\$ 16,670	\$ 17,253	\$ 34,155	\$ 23,223	\$ 26,869	\$ 37,393	\$ 96,138	\$ 16,595	\$ 159,191	\$ 116,441	\$ 282,577	\$ 15,054	\$ 14,299	\$ 28,007	\$ 19,053	\$ 30,781	\$ 20,427
Securities Purchased Under Resell Agreements	306,899	405,291	572,058	466,403	658,765	741,033	524,767	657,348	1,269,990	1,447,075	3,036,461	2,574,819	2,127,731	923,356	1,240,582	1,258,735	1,684,782	1,744,253
Receivables from Brokers and Non Customers	390,159	132,342	232,586	221,734	156,147	51,484	63,077	63,317	24,096	52,182	111,286	98,687	7,318	16,492	7,925	23,991	43,217	19,845
Receivables from Customers	42,520	57,458	74,599	114,143	149,048	172,725	303,858	0	5,301	78,605	5,228	5,397	18,446	7,680	2,909	5,383	23,003	20,723
Securities Owned	113,126	214,175	36,469	30,854	50,682	55,693	55,845	86,275	146,917	246,554	207,614	179,190	288,176	235,637	361,694	529,509	561,140	697,326
Investments in Affiliates	5,115	12,987	5,532	101	241	344	370	118	30,962	19,001	4,875	9,437	395	239	2,831	3,132	0	110
Other Assets	8,247	20,488	19,066	93,508	110,284	35,789	40,217	587,546	76,820	226,096	221,397	121,314	132,663	109,806	115,007	85,591	80,342	68,074
Total Assets	\$ 888,819	\$ 859,411	\$ 957,563	\$ 960,898	\$ 1,148,390	\$ 1,083,937	\$ 1,025,527	\$ 1,490,742	\$ 1,570,681	\$ 2,228,704	\$ 3,703,302	\$ 3,271,421	\$ 2,589,783	\$ 1,307,509	\$ 1,758,955	\$ 1,925,394	\$ 2,423,265	\$ 2,570,758
Liabilities																		
Bank Loans	0	0	0	0	0	0	0	0	0	0	0	152	0	0	83,386	58,687	26,224	14,450
Securities Sold Under Repurchase Agreements	0	0	0	0	10,375	15,233	159,619	189,836	251,513	386,963	211,214	212,582	353,318	317,072	688,130	1,247,054	1,421,744	1,630,209
Payables to Brokers, Customers and Others	450,389	321,351	273,097	137,328	99,928	93,836	29,040	335,260	945,336	1,089,888	2,754,059	2,307,528	1,784,014	560,943	569,366	210,662	398,593	431,705
Accounts Payable	201,515	300,953	361,937	420,310	505,237	440,393	187,773	40,430	31,662	140,076	133,969	108,639	55,862	72,320	45,919	33,805	41,464	30,700
Notes and Mortgage Payable	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	564
Subordinated Liabilities	150,000	150,000	150,000	150,000	280,000	380,000	382,000	490,000	102,000	122,000	102,000	97,000	147,900	107,900	97,930	82,911	95,915	90,526
Total Liabilities	\$ 801,904	\$ 772,304	\$ 785,034	\$ 707,638	\$ 895,540	\$ 929,462	\$ 758,432	\$ 1,055,526	\$ 1,330,511	\$ 1,738,927	\$ 3,201,242	\$ 2,725,901	\$ 2,341,094	\$ 1,058,235	\$ 1,484,731	\$ 1,633,119	\$ 1,983,940	\$ 2,198,154
Capital																		
Contributed Capital	\$ 1,555,422	\$ 1,546,329	\$ 1,385,947	\$ 1,193,092	\$ 1,020,953	\$ 793,333	\$ 445,901	\$ 400,591	\$ 129,566	\$ 540,484	\$ 534,822	\$ 401,309	\$ 100,921	\$ 97,787	\$ 122,295	\$ 122,122	\$ 120,314	\$ 119,641
Retained Earnings	(1,468,507)	(1,459,222)	(1,213,418)	(939,832)	(768,103)	(638,858)	(178,806)	34,625	110,604	(50,707)	(32,762)	144,211	147,768	151,487	151,929	170,153	319,011	252,963
Total Capital	\$ 86,915	\$ 87,107	\$ 172,529	\$ 253,260	\$ 252,850	\$ 154,475	\$ 267,095	\$ 435,216	\$ 240,170	\$ 489,777	\$ 502,060	\$ 545,520	\$ 248,689	\$ 249,274	\$ 274,224	\$ 292,275	\$ 439,325	\$ 372,604
Total Liabilities and Capital	\$ 888,819	\$ 859,411	\$ 957,563	\$ 960,898	\$ 1,148,390	\$ 1,083,937	\$ 1,025,527	\$ 1,490,742	\$ 1,570,681	\$ 2,228,704	\$ 3,703,302	\$ 3,271,421	\$ 2,589,783	\$ 1,307,509	\$ 1,758,955	\$ 1,925,394	\$ 2,423,265	\$ 2,570,758
Net Regulatory Capital	\$ 1,825,335	\$ 2,634,411	\$ 2,605,118	\$ 1,594,702	\$ 1,725,656	\$ 314,447	\$ 284,092	\$ 285,270	\$ 221,795	\$ 341,705	\$ 311,162	\$ 413,317	\$ 134,745	\$ 123,185	\$ 166,760	\$ 201,222	\$ 188,129	\$ 171,646
Net Regulatory Capital Requirement	354,509	235,583	259,327	190,436	199,178	5,548	5,229	6,178	2,269	8,067	34,171	120,677	10,152	5,933	9,137	6,460	4,081	4,584
Excess Net Capital	\$ 1,470,826	\$ 2,398,828	\$ 2,345,791	\$ 1,404,266	\$ 1,526,478	\$ 308,899	\$ 278,863	\$ 279,092	\$ 219,526	\$ 333,638	\$ 276,991	\$ 292,640	\$ 124,593	\$ 117,252	\$ 157,623	\$ 194,762	\$ 184,048	\$ 167,062

Broker Dealers

Total Asset / Total Capital

Preliminary
Data to Q3-2020

