

SCOTTRADE, INC.

BALANCE SHEET

AS OF SEPTEMBER 30, 2016

(Dollars in thousands)

ASSETS:

Cash and cash equivalents	\$ 167,860
Cash and securities segregated under federal and other regulations	3,642,943
Deposits with clearing organizations	67,448
Receivables from brokers and dealers and clearing organizations	125,042
Receivables from customers — net of allowance for doubtful accounts of \$1,845	2,456,430
Accrued interest receivable	987
Property and capitalized software, at cost, net of accumulated depreciation and amortization of \$191,661	138,739
Other assets	<u>39,896</u>

TOTAL	<u><u>\$6,639,345</u></u>
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LIABILITIES:

Payables to brokers and dealers and clearing organizations	\$ 287,610
Payables to customers	5,694,873
Note payable	10,202
Dividends and interest payable to customers	4,027
Other liabilities	<u>116,835</u>

Total liabilities	<u><u>6,113,547</u></u>
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STOCKHOLDER'S EQUITY:

Common stock — no par value:	
Class A, voting — authorized, 750 shares; issued, 166 shares; outstanding, 10 shares	373
Class B, non-voting — authorized, 7,500,000 shares; issued, 1,563,505 shares; outstanding, 0 shares	-
Retained earnings	584,928
Treasury stock — at cost:	
Class A — 156 shares	(6)
Class B — 1,563,505 shares	<u>(59,497)</u>

Total stockholder's equity	<u><u>525,798</u></u>
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TOTAL	<u><u>\$6,639,345</u></u>
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See notes to balance sheet.