

Subject: RE: Boods to sell [C]
From: Liam Osullivan [REDACTED]
Date: Mon, 11 Feb 2019 14:39:25 -0500
To: Richard Kahn <[REDACTED]>,
"Darren Indyke ([REDACTED])" <[REDACTED]>
Cc: Jeanne Brennan <[REDACTED]>,
Stewart Oldfield <[REDACTED]>,
Martin Zeman [REDACTED]
Davide-A Sferrazza [REDACTED]

Classification: Confidential

Darren and Rich,

The remaining 2 positions have been sold. I have also included the 2 small FX trades.

TRADE DATE

STLMNT DATE

BUY/SELL

QUANTITY

SEC. DESCRIPTION

CUSIP

PRICE

PRINCIPAL

INTEREST

FEES

TRANS. CCY

NET AMT.
(TRANS. CCY)

2/11/2019

2/13/2019

BUY

49.0000

JAPANESE YEN CURRENCY

JPY999993

110.34950000

-0.44

0.00

0.00

USD

-0.44

2/11/2019

2/13/2019

BUY

42.5700

EURO CURRENCY

EUR999995

1.12830000

-48.03

0.00

0.00

USD

-48.03

2/11/2019

2/13/2019

SELL

-2,469,000.0000

GENERAL ELEC CO GTD FXD-T0-FLTG RT NON-CUMULATIVE PERPETUAL PREFERRED
4.000% 12/03/65 REG DTD 12/03/15 CLB

369604BM4

68.50000000

1,691,265.00

-15,911.33

6.00

USD

1,707,170.33

2/11/2019

2/13/2019

SELL

-3,000,000.0000

SOUTHERN CALIF EDISON CO PREF SER E 6.250% 01/17/62 B/E DTD 01/17/12 CLB

842400FU2

93.50000000

2,805,000.00

-6,250.00

6.00

USD

2,811,244.00

Prepared on 02/11/2019 Source: Pershing NetX 360

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trade information

Thank you,

Liam

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Liam O'Sullivan
Investments & Trading | Institutional Wealth Partners

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From: Liam Osullivan
Sent: Monday, February 11, 2019 2:11 PM
To: 'Richard Kahn' <[REDACTED]>; Darren Indyke ([REDACTED])
<[REDACTED]>
Cc: 'Jeanne Brennan' <[REDACTED]>; Stewart Oldfield
<[REDACTED]>; Martin Zeman [REDACTED] Davide-A
Sferrazza [REDACTED]
Subject: RE: Boods to sell [C]

Classification: Confidential

Darren and Rich,

So far we have sold 3 of the bonds. We are still working on the remaining 2 positions.

TRADE DATE

STLMNT DATE

BUY/SELL

QUANTITY

SEC. DESCRIPTION

CUSIP

PRICE

PRINCIPAL

INTEREST

FEES

TRANS. CCY

NET AMT.
(TRANS. CCY)

2/11/2019

2/13/2019

SELL

-1,000,000.0000

DEUTSCHE BANK AG NTS ISIN#US251525AM33 4.296% 05/24/28 B/E DTD 05/24/13 CLB

251525AM3

87.84800000

878,480.00

-9,427.33

6.00

USD

887,901.33

2/11/2019

2/13/2019

SELL

-1,000,000.0000

DEUTSCHE BK AG N Y BRH VAR ISIN#US251526BN89 4.875% 12/01/32 B/E DTD
12/01/17 CLB

251526BN8

81.35000000

813,500.00

-9,750.00

6.00

USD

823,244.00

TRADE DATE

STLMNT DATE

BUY/SELL

QUANTITY

SEC. DESCRIPTION

CUSIP

PRICE

PRINCIPAL

INTEREST

FEES

TRANS. CCY

NET AMT.
(TRANS. CCY)

2/11/2019

2/13/2019

SELL

-1,000,000.0000

BUCKEYE PARTNERS L P FIXED TO FLTG RATE NT 6.375% 01/22/78 B/E DTD 01/22/18
CLB

118230AS0

85.75000000

857,500.00

-3,718.75

6.00

USD

861,212.75

Prepared on 02/11/2019 Source: Pershing NetX 360

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Also, the following positions were transferred from the SFLLC account to TD Ameritrade today:

5,000 BABA

3,000 GOOG

1,000 AMZN

2,095 BIIB

25,000 CVNA

25,000 KPTI

15,000 UTX

Thank you,

Liam

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Liam O'Sullivan
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From: Liam Osullivan
Sent: Monday, February 11, 2019 11:02 AM
To: 'Richard Kahn' <[REDACTED]>
Cc: Jeanne Brennan <[REDACTED]>; Stewart Oldfield
<[REDACTED]>; Martin Zeman [REDACTED] Davide-A
Sferrazza [REDACTED]
Subject: RE: Boods to sell [C]

Classification: Confidential

Rich,

The indicative bids are:

BPL 6 $\frac{3}{8}$ 01/22/78	118230AS0	1mm	85.75
DB 4 $\frac{7}{8}$ 12/01/32	251526BN8	1mm	81.35
DB 4.296 05/24/28	251525AM3	1mm	86.70
GE 4 PERP	369604BM4	2,469m	68.50
EIX 6 $\frac{1}{4}$ PERP	842400FU2	3mm	93.50

Thank you,

Liam

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From: Richard Kahn [mailto: [REDACTED]]
Sent: Monday, February 11, 2019 9:43 AM
To: Liam Osullivan [REDACTED]
Cc: Jeanne Brennan < [REDACTED] >; Stewart Oldfield
< [REDACTED] >
Subject: Boods to sell

can you please obtain pricing to sell these positions..
thank you

Southern Trust Co. - Fixed Income (DB)

Buckeye Partners Fixed to Float 6.375% Callable 1/22/23

1,000,000

Southern Financial LLC - Fixed Income (DB)

Deutsche Bank AG 4.875% exp 12/1/2032

1,000,000

Deutsche Bank AG 4.296% exp 5/24/2028

1,000,000

General Electric Co GTD Fixed to Float 4.0% Dec 15 2065

2,469,000

Southern Cal Edison 6.25% Dec 31 2049

3,000,000

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cell [REDACTED]

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