SFLLC x804
Account # : [redacted]
Account Short Name: EPSTEIN
Symbol CUSIP Sec. Description Quantity Position Val.
Sec. Type Position Held USDE Val. Acct. Type Trans.
Type Last Price³ Price Date Chg.
WAMU3515294 939336S20 WASHINGTON MUT MTG SECS CORP 2004-RA2 MTG PASSTHRU CTF CL C-B-1 VAR RATE 6.972% 07/25/33 B/E DTD 06/01/04 N/C
1290000 648511.90 CORPORATE BOND USD 648511.90 CASH
Long 87.011
TWTR 90184L102 TWITTER INC COM 1500 79200 COMMON STOCK
USD 79200 CASH Long 52.80 09/11/2014 10:57:01 ET -0.11
SVM3861776 81760NAN9 SERVICEMASTER CO SR NT - CUSIP FULLY EXCHANGED FROM OLD CUSIP 81760NAL3 8.000% 02/15/20 B/E DTD 02/13/12 CLB CLB 02/15/15 @106.000 1440000 1522800 CORPORATE BOND USD 1522800
CASH Long 105.75
SGMO 800677106 SANGAMO BIOSCIENCES INC COM 50000 630000
COMMON STOCK USD 630000 CASH Long 12.60 09/11/2014
10:56:04 ET -0.30
SC 80283M101 SANTANDER CONSUMER USA HLDGS INC COM 1000
19230 COMMON STOCK USD 19230 CASH Long 19.23 09/11/2014
10:56:04 ET -0.02
RBS PRT 780097713 ROYAL BK SCOTLAND GP PLC SPON ADR REPSTG SER T PFD CPN-7.25% FREQ QRTLY PERP MTY CALL@25 ANY W/30 D NOTICE AFTR 12/31/12
120000 3016800 PREFERRED STOCK USD 3016800 CASH Long 25.14
09/11/2014 10:54:04 ET 0.19
PDVA3854937 P7807HAF2 PETROLEOS DE VENEZUELA NOTES SENIOR ISIN#XS0460546525 5.000% 10/28/15 REG DTD 10/28/09 N/C 2500000 2131250
CORPORATE BOND USD 2131250 CASH Long 85.25
MBLY N51488117 MOBILEYE NV AMSTELVEEN ORD SHS ISIN#NL0010831061
800 44040 COMMON STOCK USD 44040 CASH Long 55.05
09/11/2014 10:57:00 ET -0.43
LYG4115459 539439AG4 LLOYDS BANKING GROUP PLC FXD RATE RESET ADDL TIER 1 SECS ISIN#US539439AG42 7.500% 09/27/88 B/E DTD 04/07/14 CLB CLB 06/27/24 @100.000 1903000 1969605 CORPORATE BOND USD 1969605
CASH Long 103.50
LYG3818427 G4S15PP48 LLOYDS TSB BK PLC EURO ISSUE MEDIUM TERM NOTES ISIN#XS0717735822 9.875% 12/16/21 REG DTD 12/16/11 CLB CLB 12/16/16 @100.000 1500000 1751250 CORPORATE BOND USD 1751250 CASH
Long 116.75
LYG.HT G5433BBG8 LBG CAPITAL NO 1 PLC 144A ISIN#XS0473106283 8.000% 09/15/88 REG DTD 12/15/09 CLB CLB 06/15/20 @100.000 1200000 1302000
CORPORATE BOND USD 1302000 CASH Long 108.50
JPM4135538 46625HHA1 JPMORGAN CHASE & CO DEP SHS REPSTG 1/10TH PFD SER 1 FIXED TO FLTG RT BD 7.900% 04/29/49 B/E DTD 04/23/08 CLB CLB 04/30/18 @100.000 5000000 5452000 CORPORATE BOND USD 5452000
CASH Long 109.04
JPM4054719 48126NVE4 JPMORGAN CHASE & CO MEDIUM TERM NTS CAPPED CONTINGENT BUFFERED EQUITY NTS 0.000% 10/16/14 B/E DTD 09/27/13 N/C
1000000 1067700 CORPORATE BOND USD 1067700 CASH Long 106.77
JPM 46625H100 JP MORGAN CHASE & CO COM ISIN#US46625H1005

2903   172438.20   COMMON STOCK   USD   172438.20   CASH
Long   59.40   09/11/2014 10:57:00 ET 0.18
HW3692321   42210PAQ5   HEADWATERS INC GTD SR NT 7.625% 04/01/19 B/-
E DTD 03/11/11 CLB CLB 04/01/15 @103.813 1000000 1050000 CORPORATE BOND
USD   1050000 CASH   Long   105
HNT   42222G108   HEALTH NET INC COM   25000   1152500 COMMON
STOCK   USD   1152500 CASH   Long   46.10   09/11/2014 10:56:05
ET   -0.45
GM   37045V100   GENERAL MTRS CO COM   97525   3254409.25
COMMON STOCK   USD   3254409.25   CASH   Long   33.37   09/11/2014
10:56:05 ET   0.08
GILD   375558103   GILEAD SCIENCES INC   8100   864756 COMMON
STOCK   USD   864756 CASH   Long   106.76 09/11/2014 10:57:01
ET   -1.46
GE3864337   369622SN6   GENERAL ELEC CAP CORP NON CUM PFD SER A
7.125% 06/12/62 B/E DTD 06/12/12 CLB CLB 06/15/22 @100.000   2000000
2345000 CORPORATE BOND USD   2345000 CASH   Long   117.25
GE   369604103   GENERAL ELECTRIC CO COM 23000   597080 COMMON
STOCK   USD   597080 CASH   Long   25.96   09/11/2014 10:57:01 ET
0.01
FMI   350465100   FOUNDATION MEDICINE INC COM   49830
1098253.20   COMMON STOCK   USD   1098253.20   CASH   Long
22.04   09/11/2014 10:55:02 ET -0.61
FB   30303M102   FACEBOOK INC CL A   17500   1358525 COMMON
STOCK   USD   1358525 CASH   Long   77.63   09/11/2014 10:57:01 ET
0.20
ELNK.AA 270321AC6   EARTHLINK INC GTD SR NT FULLY EXCHANGED CUSIP FROM
270321AB8 8.875% 05/15/19 B/E DTD 05/17/11 CLB CLB 05/15/15 @104.438
1000000 1010000 CORPORATE BOND USD   1010000 CASH   Long   101
EIX.AA 842400FU2   SOUTHERN CALIF EDISON CO PREF SER E 6.250% 02/01/22
B/E DTD 01/17/12 CLB CLB 02/01/22 @100.000   3000000 3305640 CORPORATE
BOND   USD   3305640 CASH   Long   110.188
DXJ   97717W851   WISDOMTREE TR JAPAN HEDGED EQUITY FD   60000
3070800 COMMON STOCK   USD   3070800 MARGIN Long   51.18   09/11/2014
10:57:00 ET   -0.41
DWGI   MMFDWGI DWS GOVERNMENT CASH INSTL   1.923950006E7
1.923950006E7   MONEY FUND   1.923950006E7   CASH   Long   1
BK   064058100   BANK OF NEW YORK MELLON CORP COM   250000
9775000 COMMON STOCK   USD   9775000 CASH   Long   39.10   09/11/2014
10:57:00 ET   -0.03
BIIB   09062X103   BIOGEN IDEC INC COM   2095   684457.45
COMMON STOCK   USD   684457.45   CASH   Long   326.71 09/11/2014
10:57:00 ET   -5.37
BCS3990764   06739FHK0   BARCLAYS BK PLC CONTINGENT CAP NT
ISIN#US06739FHK03 7.750% 04/10/23 B/E DTD 04/10/13 CLB CLB 04/10/18
@100.000   300000 331125 CORPORATE BOND USD   331125 CASH
Long   110.375
BAC3311881   12669DYS1   COUNTRYWIDE HOME LOANS SER 03-1 CL B1
4.090% 03/25/33 B/E DTD 01/30/03 N/C   4500000 896716.22   CORPORATE
BOND   USD   896716.22   CASH   Long   85.96
BAC.HDX 060505DT8   BANK AMER CORP PERP NON COMULATIVE DEP SHS FIXED TO

FLOAT 8.125% 04/30/58 B/E DTD 04/30/08 CLB CLB 05/15/18 @100.000 2000000
2180000 CORPORATE BOND USD 2180000 CASH Long 109
ASNA 04351G101 ASCENA RETAIL GROUP INC COM 70500 1205550
COMMON STOCK USD 1205550 CASH Long 17.10 09/11/2014
10:56:04 ET 0.09
ARIA 04033A100 ARIAD PHARMACEUTICALS INC 16535
97391.15 COMMON STOCK USD 97391.15 CASH Long
5.89 09/11/2014 10:56:00 ET -0.01
APO 037612306 APOLLO GLOBAL MGMT LLC CL A SHS 263157
6165768.51 COMMON STOCK USD 6165768.51 CASH Long
23.43 09/11/2014 10:56:01 ET -0.23
ALLY PRB 02005N308 ALLY FINL INC FIX TO FLT DIV-8.50% FREQ-
QTRLY CALLABLE @ 25.00 ON A QTRLY BASIS AFTER 05/15/2016 126600 3420732
PREFERRED STOCK USD 3420732 CASH Long 27.02 09/11/2014
10:53:04 ET 0
ALLY PRA 361860208 GMAC CAP TR I GTD TR PFD SECS SER 2 CPN-
8.125% FREQ QRTLY MATY-02/15/2040 CALL ANYTIME @25 W/30 DAYS BEGINS
02/15/16 80000 2130400 PREFERRED STOCK USD 2130400 CASH
Long 26.63 09/11/2014 10:53:04 ET 0
AAPL 037833100 APPLE INC COM 164000 16360640 COMMON
STOCK USD 16360640 CASH Long 99.76 09/11/2014
10:57:01 ET -1.24
AAL 01172015 P 20 99QADTZQ0 PUT 100 AMERICAN AIRLS GROUP INC
COM EXP 01-17-15@20.000 OPTION ROOT= AAL -1000 -7000 OPTION
USD -7000 SHORT Short 0.07 09/10/2014 0
AAL 01172015 C 20 99QADTZJJ CALL 100 AMERICAN AIRLS GROUP INC
COM EXP 01-17-15@20.000 OPTION ROOT= AAL 1000 1790000 OPTION USD
1790000 MARGIN Long 17.90 09/10/2014 0
Totals SUM(E4:E42)=1.0318406894000001E8
Confidential

Jeepers x935
Account # : [redacted]
Account Short Name: EPSTEIN
Symbol CUSIP Sec. Description Quantity Position Val.
Sec. Type Position Held USDE Val. Acct. Type Trans.
Type Last Price[3] Price Date Chg.
JPHSX 48121L510 JP MORGAN FLOATING RATE INCOME FUND SELECT
SHARES 159181.57 1594999.3314 MUTUAL FUND USD
1594999.3314 CASH Long 10.02 09/10/2014 20:00:03 ET -0.01
DWGI MMFDWGI DWS GOVERNMENT CASH INSTL 2.26802257E7
2.26802257E7 MONEY FUND 2.26802257E7 CASH Long 1
Totals SUM(E4:E5)=2.42752250314E7
Confidential

Haze x943
Account # : [redacted]
Account Short Name: EPSTEIN
Symbol CUSIP Sec. Description Quantity Position Val.
Sec. Type Position Held USDE Val. Acct. Type Trans.
Type Last Price³ Price Date Chg.
JPM4135538 46625HHA1 JPMORGAN CHASE & CO DEP SHS REPSTG 1/10TH
PFD SER 1 FIXED TO FLTG RT BD 7.900% 04/29/49 B/E DTD 04/23/08 CLB CLB
04/30/18 @100.000 3000000 3271200 CORPORATE BOND USD 3271200
CASH Long 109.04
JPHSX 48121L510 JP MORGAN FLOATING RATE INCOME FUND SELECT
SHARES 212495.183 2129201.73366 MUTUAL FUND USD
2129201.73366 CASH Long 10.02 09/10/2014 20:00:03 ET -0.01
IPMT.AA 46262EAE5 IPAYMENT INC GTD SR NT 10.250% 05/15/18 B/E DTD
11/15/11 CLB CLB 05/15/15 @105.125 500000 432500 CORPORATE BOND
USD 432500 CASH Long 86.50
GS3471173 36242D7X5 GS MTG SECS CORP 2005-5F MTG PASSTHRU CTF
CL B1 VAR 5.751% 06/25/35 B/E DTD 05/01/05 N/C 1500000 1168494.63
CORPORATE BOND USD 1168494.63 CASH Long 96.982
DWGI MMFDWGI DWS GOVERNMENT CASH INSTL 9907033.76
9907033.76 MONEY FUND 9907033.76 CASH Long 1
C PRK 172967341 CITIGROUP INC DEP SHS REPSTG 1/1000TH PFD SER K DIV
6.875% PERPETUAL MATY PERPETUAL CALL 11/15/23@25.00 79000 2077700
PREFERRED STOCK USD 2077700 CASH Long 26.30 09/11/2014
10:59:02 ET -0.06
BTU.GF 704549AE4 PEABODY ENERGY CORP SR NT 7.375% 11/01/16 B/E DTD
10/12/06 N/C 1200000 1293000 CORPORATE BOND USD 1293000 CASH
Long 107.75
BAC.HDX 060505DT8 BANK AMER CORP PERP NON COMULATIVE DEP SHS FIXED TO
FLOAT 8.125% 04/30/58 B/E DTD 04/30/08 CLB CLB 05/15/18 @100.000 3000000
3270000 CORPORATE BOND USD 3270000 CASH Long 109
Totals SUM(E4:E11)=2.354913012366E7
Confidential

STC x812
Account # : [redacted]
Account Short Name: EPSTEIN
Symbol CUSIP Sec. Description Quantity Position Val.
Sec. Type Position Held USDE Val. Acct. Type Trans.
Type Last Price³ Price Date Chg.
PDVA3854937 P7807HAF2 PETROLEOS DE VENEZUELA NOTES SENIOR
ISIN#XS0460546525 5.000% 10/28/15 REG DTD 10/28/09 N/C 2000000 1705000
CORPORATE BOND USD 1705000 CASH Long 85.25
DWGI MMFDWGI DWS GOVERNMENT CASH INSTL 1115628.05
1115628.05 MONEY FUND 1115628.05 CASH Long 1
ALLY PRB 02005N308 ALLY FINL INC FIX TO FLT DIV-8.50% FREQ-
QTRLY CALLABLE @ 25.00 ON A QTRLY BASIS AFTER 05/15/2016 57000 1539570
PREFERRED STOCK USD 1539570 CASH Long 27.01 09/11/2014
10:59:00 ET -0.01
G63980UK3 NATIONWIDE BUILDING SOCIETY EURO ISSUE CONV GBP
ISIN#XS1043181269 6.875% 09/20/88 REG DTD 03/11/14 CLB CLB 06/20/19
@100.000 2000000 1978800 CORPORATE BOND In Currency
3194772.60 CASH Long 98.94
Totals SUM(E4:E7)=6338998.05
Cash 1115628.05
Balance Total B10+E8=7454626.1
Confidential

JE VI Foundation
Account # : [redacted] Account
: [redacted]
Account Short Name: EPSTEIN Account Short Name: EPSTEIN
Symbol CUSIP Sec. Description Quantity Position Val.
Sec. Type Position Held USDE Val. Acct. Type Trans.
Type Last Price[3] Price Date Chg.
DWGI MMFDWGI DWS GOVERNMENT CASH INSTL 2041130.94
2041130.94 MONEY FUND 2041130.94 CASH Long 1
Totals SUM(E4)=2041130.94
Confidential

JE Personal
Account # [redacted] Account
:
Account Short Name: EPSTEIN Account Short Name: EPSTEIN
Symbol CUSIP Sec. Description Quantity Position Val.
Sec. Type Position Held USDE Val. Acct. Type Trans.
Type Last Price³ Price Date Chg.
DBDA MMFDBDA INSURED DEPOSITS PROGRAM 667098.79
667098.79 MONEY FUND 667098.79 CASH Long 1
Totals SUM(E4)=667098.79
Confidential

SFLLC Collateral x161
Account # : [redacted]
Account Short Name: EPSTEIN
Symbol CUSIP Sec. Description Quantity Position Val.
Sec. Type Position Held USDE Val. Acct. Type Trans.
Type Last Price³ Price Date Chg.
DBDA MMFDBDA INSURED DEPOSITS PROGRAM 233017.58
233017.58 MONEY FUND 233017.58 CASH Long 1
Totals SUM(E4)=233017.58
Confidential