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Opportunity Owner	Opportunity Name	Type	Product Family	Product Category	Prod
uct Name	Product Description	Close Date	Fiscal Period	Age	Cust
omer Name	Total Reportable Assets	Total Estimated Revenue	Office	Customer Owner	
Judith Webster	Pilas, Stan and Pat - Loan	New Product - Existing Client	Global Lending	Banking	Bank
ing U.S. Structured Lending (Unsecured)	1/13/2014	Q1-2013 76	10/29/2013		Pila
s Jr., Stanley J.	500000 7500 San Francisco	Judith Webster			
Judith Webster	Pilas, Stan and Pat-Money Market Account	New Product - Existing Client	Global Lending	Banking	Bank
ing Products	Banking Private Wealth Premium Money Market	1/13/2014	Q1-2013 0		1/13
/2014 Pilas Jr., Stanley J.	100000 350 San Francisco	Judith Webster			
Judith Webster	Altitude Investment Partners LLC- Syndicate	New Product - New Client	Global Lending	Banking	Bank
erage Investments	Brokerage (Commissions) Syndicate Commissions Dec 2013	1/2/2014			Q1-2
013 0	1/6/2014	Altitude Investment Partners LLC	33625.44	San Francisco	
o Judith Webster					
Judith Webster	Syndicate	Additional Assets - Existing Product	Brokerage	Investments	
Brokerage (Commissions) Dec 2013 Revenue	1/2/2014	Q1-2013 0	1/6/2014		AMN
Investments LTD dba Colorado Family Partner	60401.31	San Francisco	Judith Webster		
Judith Webster	Syndicate	Additional Assets - Existing Product	Brokerage	Investments	
Brokerage (Commissions) Dec 2013 Syndicate Fees	1/2/2014	Q1-2013 0	1/6/2014		Pens
on Financial Services Echo Investments LLC DBA Wynkoop Capital LLC		60401.31	San Francisco		
o Judith Webster					
Judith Webster	BRIGADE CAPITAL MANAGEMENT- Syndicate	Additional Assets - Existing Product	Brokerage	Investments	Brok
erage Investments	Brokerage (Commissions) Dec Syndicate Commission	1/2/2014			Q1-2
013 0	1/6/2014	BRIGADE CAPITAL MANAGEMENT	47983.50	San Francisco	Judi
th Webster					
Russell Daulton	Crawford, Gary Mortgage	New Product - Existing Client	Residential Mortgage	Banking	Bank
ing Standard Mortgage - 5/1 Arm	1/7/2014	Q1-2013 131	8/29/2013	Crawford, Ga	
ry Collins	3500000 43750 San Francisco	Russell Daulton			
Andrea Nicoletti	Drawdown on Facility	Additional Assets - Existing Product	Global Lending	Banking	Bank
ng Banking U.S. Structured Lending (Secured)	1/13/2014	Q1-2013 0	1/27/2014		
Jonathan P. Zambetti Grantor Trust	260000 2600 New York	Andrea Nicoletti			
Andrea Nicoletti	Addition to IA	Additional Assets - Existing Product	Investment Advisory	Banking	Bank
Investments U.S. IA - Balanced	1/17/2014	Q1-2013 0	1/23/2014	Windels, Jam	
es H. 500000 1875 New York	Andrea Nicoletti				
Brian Convey	Addition to FI	Additional Assets - Existing Product	Investment Advisory	Banking	Bank
stments U.S. IA - RCM	1/2/2014	Q1-2013 0	1/2/2014	Kestenbaum, Alan	2068
314.52 4136.63 New York	Brian Convey				
Cindy L. Loudenslager	new custody account	New Product - Existing Client	Global Custody	Investments	Invest
stments Onshore Custody	1/2/2014	Q1-2013 43	11/20/2013	Seamans Global Clean Energy	
Fund, LLC 2000000 0 New York	Cindy L. Loudenslager				
Cindy L. Loudenslager	new IA	New Product - New Client	Investment Advisory	Investments	
U.S. IA - Balanced	1/3/2014	Q1-2013 4	12/30/2013	Merrow, John	610479 6593
.17 New York	Cindy L. Loudenslager				
Cindy L. Loudenslager	structured loan	New Product - New Client	Global Lending	Banking	U.S.
Structured Lending (Secured)	1/27/2014	Q1-2013 28	12/30/2013	RMDL LLC	2800
000 70000 New York	Cindy L. Loudenslager				
Cindy L. Loudenslager	structured loan	New Product - New Client	Global Lending	Banking	U.S.
Structured Lending (Secured)	1/27/2014	Q1-2013 28	12/30/2013	NAAB LLC	3745
000 93625 New York	Cindy L. Loudenslager				
Cindy L. Loudenslager	IA account	New Product - New Client	Investment Advisory	Investments	
stments U.S. IA - Balanced	1/3/2014	Q1-2013 0	1/3/2014	Loneragan, Joan Z.	
227435 2456.3 New York	Cindy L. Loudenslager				
Cindy L. Loudenslager	add to IA	Additional Assets - Existing Product	Investment Advisory	Banking	Bank
Investments U.S. IA - Balanced	1/3/2014	Q1-2013 0	1/3/2014	Skerritt, Su	
san E 236807 2841.68 New York	Cindy L. Loudenslager				
Cindy L. Loudenslager	bank account	New Product - New Client	Banking Products	Banking	Bank
ing Private Wealth Premium Checking	1/30/2014	Q1-2013 23	1/7/2014	NAAB LLC	
60000 300 New York	Cindy L. Loudenslager				
Cindy L. Loudenslager	new brokerage	New Product - Existing Client	Brokerage	Investments	
Brokerage (Commissions)	1/3/2014	Q1-2013 0	1/7/2014	Vaccaro, Jon A. 0	New
York Cindy L. Loudenslager					
Cindy L. Loudenslager	fx	New Product - Existing Client	GIS-Capital Markets	Investments	
Spot Trade (FX)	1/7/2014	Q1-2013 0	1/8/2014	G Donald Johnston III Revocable Trus	
t dated August 4 1993	150 New York	Cindy L. Loudenslager			
Cindy L. Loudenslager	brokerage account	New Product - Existing Client	Brokerage	Investments	
stments Brokerage (Commissions)	1/8/2014	Q1-2013 0	1/8/2014	Abdo, Bernard 0	
New York	Cindy L. Loudenslager				
Cindy L. Loudenslager	new IA	New Product - New Client	Investment Advisory	Investments	
U.S. IA - Balanced	1/3/2014	Q1-2013 0	1/9/2014	Merrow, John	1026525 1108
6.47 New York	Cindy L. Loudenslager				
Cindy L. Loudenslager	bank account	New Product - New Client	Banking Products	Banking	Bank
ing Private Wealth Premium Checking	1/24/2014	Q1-2013 14	1/10/2014	ASD Thirty T	
igers, LLC 48851 244.26 New York	Cindy L. Loudenslager				
Cindy L. Loudenslager	add to dynamic etf	Additional Assets - Existing Product	Brokerage	Investments	
Investments Brokerage (Asset-Based Fees) - Advisor Select	1/9/2014	Q1-2013 0	1/10		
/2014 THE JENNIFER M. BAHADUR REVOCABLE TRUST	758576.32	4551.46 New York		Cindy L. Lou	
denslager					
Cindy L. Loudenslager	add to dynamic etf	Additional Assets - Existing Product	Brokerage	Investments	
Investments Brokerage (Asset-Based Fees) - Advisor Select	1/9/2014	Q1-2013 0	1/10		

/2014	THE NINA N BAHADUR REVOCABLE TRUST	758377.69	4550.27	New York	Cindy L. Loudenslager			
Cindy L. Loudenslager	spot fx New Product - Existing Client				GIS-Capital Markets	Investments		
Spot Trade (FX) 1/15/2014	Q1-2013 0	1/15/2014			Bahadur, Sekhar 150	New York		
Cindy L. Loudenslager	bank account	New Product - New Client			Banking Products	Bank		
ing Private Wealth Premium Checking w/Interest		1/15/2014			Q1-2013 0	1/16/2014		
Loneragan, Joan Z.	10000 50	New York			Cindy L. Loudenslager			
Cindy L. Loudenslager	bank account	New Product - New Client			Banking Products	Bank		
ing Private Wealth Premium Checking w/Interest		1/15/2014			Q1-2013 0	1/16/2014		
Morrow, John	10000 50	New York			Cindy L. Loudenslager			
Cindy L. Loudenslager	bank account	New Product - New Client			Banking Products	Bank		
ing Private Wealth Premium Checking w/Interest		1/15/2014			Q1-2013 0	1/16/2014		
Morrow, John	10000 50	New York			Cindy L. Loudenslager			
Cindy L. Loudenslager	spot fx Additional Assets - Existing Product				GIS-Capital Markets	Inve		
stments Spot Trade (FX) 1/22/2014	Q1-2013 0	1/22/2014			Demoulas, Fotene	250		
New York	Cindy L. Loudenslager							
Cindy L. Loudenslager	bank account	New Product - New Client			Banking Products	Bank		
ing Private Wealth Premium Checking w/Interest		1/23/2014			Q1-2013 0	1/24/2014		
Morrow, John	10000 50	New York			Cindy L. Loudenslager			
Cindy L. Loudenslager	new VDF Additional Assets - Existing Product				GIS-Capital Markets	Inve		
stments Derivatives (Equity - Forward) 1/27/2014	Q1-2013 0	1/27/2014			1/27/2014	Howard Garay		
, Sara 5653.40	New York	Cindy L. Loudenslager						
Cindy L. Loudenslager	upgrade from fx to equity	Transfer to Existing Account (Upgrade)			Inve			
stment Advisory Investments U.S. IA - Equity		1/27/2014			Q1-2013 0	1/27/2014		
Demoulas, Fotene	17500	New York			Cindy L. Loudenslager			
Cindy L. Loudenslager	new DBLCI note	Transfer to New Account (Upgrade)			GIS-Capital Markets			
Investments Structured Notes & Deposits (Commodity) 1/21/2014		Q1-2013 0			1/27/2014			
Michael W. Copps Revocable Tr Dtd 7/3/96	1900	New York			Cindy L. Loudenslager			
Cindy L. Loudenslager	new DBLCI note	Transfer to New Account (Upgrade)			GIS-Capital Markets			
Investments Structured Notes & Deposits (Commodity) 1/21/2014		Q1-2013 0			1/27/2014			
Classon, Bruce	2850	New York			Cindy L. Loudenslager			
Cindy L. Loudenslager	new DBLCI note	Transfer to Existing Account (Upgrade)			GIS-Capital Markets			
Investments Structured Notes & Deposits (Commodity) 1/21/2014		Q1-2013 0			1/27/2014			
CLASSON, WILMA F	2850	New York			Cindy L. Loudenslager			
Cindy L. Loudenslager	new custody account	New Product - Existing Client			Global Custody	Inve		
stments Onshore Custody 1/28/2014	Q1-2013 0	1/29/2014			COHRS, ARLENE	7500000	3750	
New York	Cindy L. Loudenslager							
Cindy L. Loudenslager	new custody account	New Product - Existing Client			Global Custody	Inve		
stments Onshore Custody 1/28/2014	Q1-2013 0	1/29/2014			Cohrs, Michael	7500000	3750	
New York	Cindy L. Loudenslager							
Cindy L. Loudenslager	repricing-custody	Repricing			Global Custody	Investments	Onsh	
ore Custody 1/28/2014	Q1-2013 0	1/29/2014			Cohrs, Michael	1200	New York	
Cindy L. Loudenslager								
Cindy L. Loudenslager	add to IA account	New Product - New Client			Investment Advisory			
Investments U.S. IA - Balanced 1/30/2014		Q1-2013 0			1/30/2014	Yankee Kingd		
om Advisory, LLC	50000 600	New York			Cindy L. Loudenslager			
George Zahringer	John C. Goff 2010 Family Trust-Savings	New Product - New Client			Bank			
ing Products Banking Private Wealth Premium Money Market 1/6/2014		Q1-2013 328			2/12			
/2013 John C. Goff 2010 Family Trust 8000000 4000		New York			George Zahringer			
Joanne Jensen	1 Year Committed Line of Credit	New Product - New Client			Global Lending	Bank		
ing U.S. Secured Lending (Lombard) 1/24/2014		Q1-2013 161			8/16/2013	GF Investmen		
ts II LLC 10000000	200000	New York			Joanne Jensen			
Brandon Buchmayr	GF Investments II LLC	New Product - Existing Client			Brokerage	Inve		
stments Brokerage (Commissions) 1/15/2014		Q1-2013 0			1/17/2014	GF Investments II LL		
C 3.1379376765E8 0		New York			Joanne Jensen			
Malcolm Kimble	Deposits	New Product - Existing Client			Banking Products	Banking Priv		
ate Wealth Premium Checking w/Interest 1/17/2014		Q1-2013 1			1/16/2014	Leonard Tow		
Revocable Trust 30000000	171000	New York			Malcolm Kimble			
Malcolm Kimble	CROCI Div	New Product - Existing Client			GIS-Capital Markets	Investments		
Structured Notes & Deposits (Equity) 1/30/2014		Q1-2013 9			1/21/2014	Dobson Famil		
y Foundation 550000 4125		New York			Malcolm Kimble			
Malcolm Kimble	CROCI Div	New Product - Existing Client			GIS-Capital Markets	Investments		
Structured Notes & Deposits (Equity) 1/31/2014		Q1-2013 10			1/21/2014	Russell and		
Willene Dobson Foundation	150000 1125	New York			Malcolm Kimble			
Malcolm Kimble	DBCLIMR	Transfer to Existing Account (Upgrade)			GIS-Capital Markets	Investments		
Structured Notes & Deposits (Commodity) 1/21/2014		Q1-2013 0			1/21/2014	Russell and		
Willene Dobson Foundation	142.50	New York			Malcolm Kimble			
Mary Ann Coleman	HF Loan Additional Assets - Existing Product				Global Lending	Banking U.S.		
Secured Lending (Lombard) 1/24/2014		Q1-2013 0			1/24/2014	Giordano, Mark V.		
100000 2000	New York	Mary Ann Coleman						
Mary Ann Coleman	HELOC Draw	Additional Assets - Existing Product			Residential Mortgage			
Banking Home Equity Loan (HELOC) 1/27/2014		Q1-2013 0			1/27/2014	Chao 2000 Tr		
ust 1000000 20000		New York			Mary Ann Coleman			
Mary Ann Coleman	NYC Mortgage	Additional Assets - Existing Product			Residential Mortgage			
Banking Standard Mortgage - 5/1 Arm 1/27/2014		Q1-2013 0			1/27/2014	Chao 2000 Tr		
ust 2100000 21000		New York			Mary Ann Coleman			
Mary Ann Coleman	Additional Assets	Additional Assets - Existing Product			Global Custody			
dy Investments Onshore Custody 1/28/2014		Q1-2013 0			1/28/2014	YD SMA LLC		

25000000	21250	New York	Mary Ann Coleman						
Mary Ann Coleman	Global Custody	Additional Assets - Existing Product	Global Custody	Inve					
stments Onshore Custody	1/31/2014	Q1-2013 0	1/31/2014	Deccan Value Investors Fund					
LP	20000000	17000	New York	Mary Ann Coleman					
Mary Ann Coleman	Dennis Miller Living Trust UAD 6/6/11-	Notional	GIS-Capital Markets						
Investments	Derivatives (Equity - Option)	1/16/2014	Q1-2013 0	1/28/2014	Denn				
is Miller Living Trust UAD 6/6/11	22050	New York	Mary Ann Coleman						
Mary Ann Coleman	Dennis Miller Living Trust UAD 6/6/11-	Notional	GIS-Capital Markets						
Investments	Derivatives (Equity - Option)	1/31/2014	Q1-2013 0	1/31/2014	Denn				
is Miller Living Trust UAD 6/6/11	43500	New York	Mary Ann Coleman						
Paul Morris	Epstein, Jeffrey-	New Product - New Client	Banking Products	Bank					
ing Private Wealth Premium Checking w/Interest	2000000 7000	New York	Paul Morris						
Epstein, Jeffrey	1/6/2014	Q1-2013 263	4/18/2013						
Paul Morris	Jeepers, Inc-	Additional Assets - Existing Product	Brokerage	Investments					
Brokerage (Commissions)	1/6/2014	Q1-2013 124	9/4/2013	Jeepers, Inc	5000000 0				
New York	Paul Morris								
Paul Morris	Brokerage Funds Additional Assets - Existing Product	Brokerage	Investments						
Brokerage (Commissions)	1/9/2014	Q1-2013 0	1/9/2014	Jeepers, Inc	1100000 0				
New York	Paul Morris								
David Jumper	Addition to RCM Additional Assets - Existing Product	Investment Advisory	Inve						
stments U.S. IA - RCM	1/16/2014	Q1-2013 0	1/24/2014	Dr. David W. Altchek, M.D.					
979695 3428.93	New York	Rosemary Vrablic							
Rosemary Vrablic	Donald J. Trump New Product - New Client	Investment Advisory	Inve						
stments U.S. IA - RCM	1/30/2014	Q1-2013 0	1/30/2014	Trump, Donald J.	1000				
0000 15000	New York	Rosemary Vrablic							
Rosemary Vrablic	Blau, Jeff-	New Product - Existing Client	Global Lending	Banking U.S.					
Structured Lending (Unsecured)	1/17/2014	Q1-2013 2678	9/18/2006	Blau, Jeff	3500				
0000 525000	New York	Rosemary Vrablic							
Rosemary Vrablic	Lone Star Real Estate Fund III (U.S) LP-	New Product - Existing Clie							
t Global Lending	Banking U.S. Structured Lending (Secured)	1/3/2014	Q1-2013 66						
10/29/2013	Lone Star Real Estate Fund III (U.S) LP 4.697265625E7	1384225.27	New York						
Rosemary Vrablic									
Rosemary Vrablic	Lone Star Real Estate Fund III (Bermuda) LP-	New Product - Existing Clie							
t Global Lending	Banking U.S. Structured Lending (Secured)	1/3/2014	Q1-2013 66						
10/29/2013	Lone Star Real Estate Fund III (Bermuda) LP 4.552734375E7 1341633.73	New							
York	Rosemary Vrablic								
Rosemary Vrablic	Pincay RE, LLC- New Product - New Client	Global Lending	Banking U.S.						
Structured Lending (Unsecured)	1/14/2014	Q1-2013 75	10/31/2013	Pincay RE, LLC	1.01				
10659186E8	2527664.8	New York	Rosemary Vrablic						
Rosemary Vrablic	PIMCO BRAVO Fund II, L.P.-	Additional Assets - Existing Product	Glob						
al Lending	Banking U.S. Structured Lending (Secured)	1/13/2014	Q1-2013 24	12/2					
0/2013	PIMCO BRAVO Fund II, L.P. 187500000	5618750	New York	Rosemary Vrablic					
Rosemary Vrablic	The Related Companies LP- LC FEES	Additional Assets - Existing Product							
Global Lending	Banking U.S. Letter of Credit	1/9/2014	Q1-2013 0	1/13/2014	The				
Related Companies LP	5440	New York	Rosemary Vrablic						
Rosemary Vrablic	AGS Ventures II LLC-LC Fees	Additional Assets - Existing Product	Glob						
al Lending	Banking U.S. Letter of Credit	1/10/2014	Q1-2013 0	1/13/2014	AGS				
Ventures II LLC	14448.63	New York	Rosemary Vrablic						
Rosemary Vrablic	The Related Companies LP- LC FEES	Additional Assets - Existing Product							
Global Lending	Banking U.S. Letter of Credit	1/13/2014	Q1-2013 0	1/13/2014	The				
Related Companies LP	10362.84	New York	Rosemary Vrablic						
Rosemary Vrablic	Blau, Jeff	New Product - New Client	Banking Products	Bank					
ing Private Wealth Premium Money Market	Wire in 1/14/2014	Q1-2013 0	1/15/2014						
Blau, Jeff	5000000 25000	New York	Rosemary Vrablic						
Rosemary Vrablic	Arclight Energy Partners Fund V LP	Additional Assets - Existing Product							
Global Lending	Banking U.S. Letter of Credit	1/15/2014	Q1-2013 0	1/21/2014	Arcl				
ight Energy Partners Fund V LP	1106818.43	New York	Rosemary Vrablic						
Rosemary Vrablic	Arclight Energy Partners Fund II LP LC Fees	Additional Assets - Existing							
Product	Global Lending	Banking U.S. Letter of Credit	1/21/2014	Q1-2013 0	1/30				
/2014	Arclight Energy Partners Fund II LP	82014.28	New York	Rosemary Vrablic					
Rosemary Vrablic	Arclight Energy Partners Fund IV LP LC FEES	Additional Assets - Existing							
Product	Global Lending	Banking U.S. Letter of Credit	1/21/2014	Q1-2013 0	1/30				
/2014	Arclight Energy Partners Fund IV LP	252892.80	New York	Rosemary Vrablic					
Rosemary Vrablic	Arclight Energy Partners Fund II LP- UNUSED FEES	Additional Assets -							
Existing Product	Global Lending	Banking U.S. Structured Lending (Secured)	1/21/2014	1/21/2014					
Q1-2013 0	1/30/2014	Arclight Energy Partners Fund II LP	18452.67	New York					
Rosemary Vrablic									
Rosemary Vrablic	Arclight Energy Partners Fund IV LP - UNUSED FEES	Additional Assets -							
Existing Product	Global Lending	Banking U.S. Structured Lending (Secured)	1/21/2014	1/21/2014					
Q1-2013 0	1/30/2014	Arclight Energy Partners Fund IV LP	31938.44	New York					
Rosemary Vrablic									
Rosemary Vrablic	Arclight Energy Partners III, LP-UNUSED FEES	Additional Assets - Existing							
Product	Global Lending	Banking U.S. Structured Lending (Secured)	1/21/2014	Q1-2					
013 0	1/30/2014	Arclight Energy Partners Fund III, LP	29540.79	New York					
Rosemary Vrablic									
Rosemary Vrablic	Arclight Energy Partners III, LP - LC FEES	Additional Assets - Existing							
Product	Global Lending	Banking U.S. Letter of Credit	1/21/2014	Q1-2013 0	1/30				
/2014	Arclight Energy Partners Fund III, LP	206755.07	New York	Rosemary Vrablic					
David Jumper	Addition	Additional Assets - Existing Product	Investment Advisory	Inve					

statements U.S. IA - Balanced	1/7/2014	Q1-2013 0	1/24/2014	Ruth T Bedford Revoc
able Trust 20937566	52343.92	New York	Salvatore E. Moore	
David Jumper Addition	Additional Assets - Existing Product	Investment Advisory	Inve	
statements U.S. IA - Balanced	1/24/2014	Q1-2013 0	1/27/2014	Ruth T. Bedford 2007
Charitable Remainder Unitrust	17659551	56510.56	New York	Salvatore E. Moore
Terrence Tangney	NNA January	Additional Assets - Existing Product	Investment Advisory	
Investments U.S. IA - RCM	RCM	1/14/2014	Q1-2013 0	1/14/2014
es 1789400 4473.50	New York	Terrence Tangney		Kriebel, Jam
Terrence Tangney	NNA January	Additional Assets - Existing Product	Investment Advisory	
Investments U.S. IA - RCM	RCM	1/14/2014	Q1-2013 0	1/14/2014
gory 1659400 3318.80	New York	Terrence Tangney		Kriebel, Gre
Terrence Tangney	NNA January	Additional Assets - Existing Product	Investment Advisory	
Investments U.S. IA - RCM	RCM	1/14/2014	Q1-2013 0	1/14/2014
y 1005000 2010	New York	Terrence Tangney		Kriebel, Gar
Terrence Tangney	10MM Loan Drawdown	Additional Assets - Existing Product	Global Lendi	
ng Banking U.S. Structured Lending (Secured)		1/14/2014	Q1-2013 0	1/14/2014
DeGeorge, Peter R.	10000000	80000	New York	Terrence Tangney
Terrence Tangney	\$5MM NNA 450419	New Product - Existing Client	Investment Advisory	Inve
statements U.S. IA - Equity	1/15/2014	Q1-2013 0	1/16/2014	DeGeorge, Peter R.
5000000 25000	New York	Terrence Tangney		
Terrence Tangney	\$5MM NNA 450420	New Product - Existing Client	Investment Advisory	Inve
statements U.S. IA - Fixed	1/15/2014	Q1-2013 0	1/16/2014	DeGeorge, Peter R.
000 12500	New York	Terrence Tangney		5000
Terrence Tangney	\$3MM NNA 450420	New Product - Existing Client	Investment Advisory	Inve
statements U.S. IA - Fixed	1/2/2014	Q1-2013 0	1/16/2014	DeGeorge, Peter R.
000 7500	New York	Terrence Tangney		3000
Terrence Tangney	\$2.7MM NNA 450419	New Product - Existing Client	Investment Advisory	
Investments U.S. IA - Equity	1/14/2014	Q1-2013 0	1/16/2014	DeGeorge, Pe
ter R. 2770962 13854.81	New York	Terrence Tangney		
Terrence Tangney	\$1.78MM NNA 450419	New Product - Existing Client	Investment Advisory	
Investments U.S. IA - Equity	1/23/2014	Q1-2013 0	1/24/2014	DeGeorge, Pe
ter R. 1787385.40	8936.93	New York	Terrence Tangney	
Terrence Tangney	\$2.51MM NNA 450419	New Product - Existing Client	Investment Advisory	
Investments U.S. IA - Equity	1/29/2014	Q1-2013 0	1/30/2014	DeGeorge, Pe
ter R. 2511690 12558.45	New York	Terrence Tangney		
Carolyn Botzenhard	Structured Notes	Notional	GIS-Capital Markets	Investments
Structured Notes & Deposits (FX)	1/2/2014	Q1-2013 0	1/2/2014	Burger, Pete
r 1870	Los Angeles	Carolyn Botzenhard		
Carolyn Botzenhard	Structured Notes	Notional	GIS-Capital Markets	Investments
Structured Notes & Deposits (FX)	1/2/2014	Q1-2013 0	1/2/2014	Burger, Pete
r 1730	Los Angeles	Carolyn Botzenhard		
Carolyn Botzenhard	The Price Group LLC-	New Product - New Client	Referral Fee	Inve
statements PIC Desk Revenue Credits	Block Sale	1/3/2014	Q1-2013 0	1/3/2014
The Price Group LLC	46000000	450000	Los Angeles	Carolyn Botzenhard
Carolyn Botzenhard	Structured Notes	Notional	GIS-Capital Markets	Investments
Structured Notes & Deposits (FX)	1/13/2014	Q1-2013 0	1/13/2014	Burger, Pete
r 2000	Los Angeles	Carolyn Botzenhard		
Carolyn Botzenhard	Structured Notes	Notional	GIS-Capital Markets	Investments
Structured Notes & Deposits (FX)	1/13/2014	Q1-2013 0	1/13/2014	Burger, Pete
r 2070	Los Angeles	Carolyn Botzenhard		
Carolyn Botzenhard	Structured Notes	Notional	GIS-Capital Markets	Investments
Structured Notes & Deposits (FX)	1/17/2014	Q1-2013 0	1/17/2014	Burger, Pete
r 1910	Los Angeles	Carolyn Botzenhard		
Carolyn Botzenhard	Structured Notes	Notional	GIS-Capital Markets	Investments
Structured Notes & Deposits (FX)	1/21/2014	Q1-2013 0	1/21/2014	Burger, Pete
r 1750	Los Angeles	Carolyn Botzenhard		
Carolyn Botzenhard	Structured Notes	Notional	GIS-Capital Markets	Investments
Structured Notes & Deposits (FX)	1/24/2014	Q1-2013 0	1/24/2014	Burger, Pete
r 2175	Los Angeles	Carolyn Botzenhard		
Carolyn Botzenhard	Alliance Business Holdings, Lending	New Product - New Client	Global	
al Lending Banking U.S. Secured Lending (Lombard)	1/27/2014	Q1-2013 0	1/27/2014	
Alliance Business Holdings, LLC	1000000 7500	Los Angeles	Carolyn Botzenhard	
Carolyn Botzenhard	Structured Notes	Notional	GIS-Capital Markets	Investments
Structured Notes & Deposits (FX)	1/28/2014	Q1-2013 0	1/28/2014	Burger, Pete
r 1100	Los Angeles	Carolyn Botzenhard		
Cheryl Paller	CRE Referral	New Product - New Client	Referral Fee	Investments
rral Fee 1/24/2014	Q1-2013 266	5/3/2013	Comrie, William H.	28000000
280000	Los Angeles	Cheryl Paller		
Cheryl Paller	Plug and Play Swap	New Product - New Client	GIS-Capital Markets	Inve
statements Derivatives (Fixed Income/Interest Rate - Swap)	5-yr SWAP with 10 bps	1/17/2014	Q1-2	
013 322	3/1/2013	440 Wolfe Road LLC	24010000	120050 Los Angeles
Cheryl Paller				Cher
Cheryl Paller	Residential Loan	New Product - New Client	Residential Mortgage	Bank
ing Standard Mortgage - 10/1 Arm	1/6/2014	Q1-2013 272	4/9/2013	Yadegar, Jac
k 3200000 64000	Los Angeles	Cheryl Paller		
Cheryl Paller	Commercial Real Estate	New Product - New Client	Referral Fee	Investments
Referral Fee 1/17/2014	Q1-2013 193	7/8/2013	Goldrich & Kest Industries, LLC	7500
000 50000	Los Angeles	Cheryl Paller		
Cheryl Paller	Investment Advisory	New Product - Existing Client	Investment Advisory	Inve

stments U.S. IA - Equity	1/9/2014	Q1-2013 118	9/13/2013	Camino Palmero West,
LLC 3000000	32400 Los Angeles	Cheryl Paller		
Cheryl Paller	Investment Advisory - TCM	New Product - New Client		Investment Advisory
Investments	U.S. IA - Balanced	1/24/2014	Q1-2013 120	9/26/2013 Marko Jaric
Living Trust	866071 4330.36 Los Angeles	Cheryl Paller		
Cheryl Paller	Investment Advisory - TCM	New Product - New Client		Investment Advisory
Investments	U.S. IA - Balanced	1/3/2014	Q1-2013 99	9/26/2013 Gist III, Ja
mes 303000	1363.50 Los Angeles	Cheryl Paller		
Cheryl Paller	Investment advisory - TCM	New Product - New Client		Investment Advisory
Investments	U.S. IA - Balanced	1/3/2014	Q1-2013 86	10/9/2013 Davis, Paul
504379 2269.71	Los Angeles	Cheryl Paller		
Cheryl Paller	Investment Advisory - TCM	New Product - New Client		Investment Advisory
Investments	U.S. IA - Balanced	1/3/2014	Q1-2013 46	11/18/2013 Budinger, Ch
ase 505571	2275.07 Los Angeles	Cheryl Paller		
Cheryl Paller	Investment Advisory - TCM	New Product - Existing Client		Investment Advisory
Investments	U.S. IA - Balanced	IRA	1/3/2014	Q1-2013 39
11/25/2013				Nest
erovic, Radoslav	850000 4250	Los Angeles	Cheryl Paller	
Cheryl Paller	Investment Advisory - TCM	New Product - New Client		Investment Advisory
Investments	U.S. IA - Balanced	1/3/2014	Q1-2013 39	11/25/2013 Walker, Kemb
a 501822	2258.2 Los Angeles	Cheryl Paller		
Cheryl Paller	Investment advisory - TCM	Additional Assets - Existing Product		Investment A
dvisory Investments	U.S. IA - Balanced	1/3/2014	Q1-2013 28	12/6/2013 Bull
money Trust	3000000 15000	Los Angeles	Cheryl Paller	
Cheryl Paller	HPC I Loan	New Product - New Client		Global Lending Banking Commercial R
deal Estate	1/17/2014	Q1-2013 14	1/3/2014	1149 Gower Street Hollywood LLC 1904
0000 380800	Los Angeles	Cheryl Paller		
Cheryl Paller	Plug and Play loan	New Product - New Client		Global Lending Banking Comm
ercial Real Estate	1/17/2014	Q1-2013 14	1/3/2014	440 Wolfe Road LLC 2401
0000 480200	Los Angeles	Cheryl Paller		
Cheryl Paller	HPC 1 Swap	New Product - New Client		GIS-Capital Markets
Derivatives (Fixed Income/Interest Rate - Swap)	5-yr SWAP with 10 bps	1/17/2014		Q1-2013 14
1/3/2014	1149 Gower Street Hollywood LLC 19040000	95200	Los Angeles	Cheryl Palle
r				
Cheryl Paller	Business Deposit Account	New Product - Existing Client		Banking Products
Banking Private	Wealth Premium Checking	1/17/2014	Q1-2013 0	1/21/2014 1149 Gower S
treet Hollywood LLC	2345844.03	11729.22	Los Angeles	Cheryl Paller
Cheryl Paller	Business Deposit Account	New Product - Existing Client		Banking Products
Banking Private	Wealth Premium Checking	1/17/2014	Q1-2013 0	1/21/2014 440 Wolfe Ro
ad LLC 4641460.21	23207.30	Los Angeles	Cheryl Paller	
Susan Burnett	Madisyn 1, LLC - Yellowstone	New Product - Existing Client		Residential Mortgage
Banking Standard Mortgage - 10/1 Arm	1/15/2014	Q1-2013 90	10/17/2013	Madisyn 1, L
LC 5000000	60000 Los Angeles	Susan Burnett		
Susan Burnett	THE TULCHIN TRUST-	New Product - New Client		Brokerage
Investments	1/8/2014	Q1-2013 36	12/3/2013	THE TULCHIN TRUST 1000
000 0	Los Angeles	Susan Burnett		
Cari LaRose	DB STEP Deposit 1 mo - \$50MM	New Product - Existing Client		Banking Products
Banking STEP Deposit (Time Deposit-GPLUS)	\$50,000,000 STEP Deposit (maturity 2/26/2014)	1/27		
/2014 Q1-2013 0	1/27/2014	EFPRP Investments LLC 50000000	0	Chicago Davi
d Rodin				
Cari LaRose	\$45MM STEP Deposit	New Product - Existing Client		Banking Products
Banking STEP Deposit (Time Deposit-GPLUS)	One month STEP maturing	2/20/2014		1/21/2014
Q1-2013 0	1/27/2014	Charles Chase Koch Revocable Trust	45000000	0 Chic
ago David Rodin				
Cari LaRose	\$20MM STEP Deposit	New Product - Existing Client		Banking Products
Banking STEP Deposit (Time Deposit-GPLUS)	One month STEP from 1/21/2014 to 2/20/2014	1/21		
/2014 Q1-2013 0	1/27/2014	Charles G. Koch 1997 Trust	20000000	0 Chic
ago David Rodin				
Cari LaRose	DB STEP Deposit 1 mo - \$25MM	New Product - Existing Client		Banking Products
Banking STEP Deposit (Time Deposit-GPLUS)	\$25,000,000 STEP Depoist (maturity 2/20/2014)	1/21		
/2014 Q1-2013 0	1/27/2014	Elizabeth Robinson Koch Revocable Trust 25000000		0
Chicago David Rodin				
Michael King	IA Fee Increase Repricing	Investment Advisory		Investments U.S. IA - Ba
anced 1/21/2014	Q1-2013 0	1/29/2014		MacDonnell Children 1988 Trust A FBO Claire
B. MacDonnell	21878.38	Chicago Michael King		
Closed Business - for Diego				

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