



SOUTHERN FINANCIAL, LLC ACCT. [REDACTED]
For the Period 10/1/13 to 10/31/13

Trade Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Cost	Realized Gain/Loss
Settle Date	Selection Method						
Settled Sales/Maturities/Redemptions							
9/27	Sale	ENDURO ROYALTY TRUST @ 13.00 65,000.00	(5,000.000)	12.96	64,798.86	(69,250.00)	(4,451.14) S*
10/3	High Cost	BROKERAGE 200.00 TAX &/OR SEC 1.14 J.P. MORGAN SECURITIES LLC (ID: 29269K-10-0)					
9/27	Sale	RINGCENTRAL INC-CLASS A @ 17.50 8,750.00	(500.000)	17.46	8,729.84	(6,500.00)	2,229.84 S*
10/3	High Cost	BROKERAGE 20.00 TAX &/OR SEC .16 J.P. MORGAN SECURITIES LLC (ID: 76680R-20-6)					
9/27	Sale	UIL HOLDINGS CORP @ 36.99 92,475.00	(2,500.000)	36.949	92,373.39	(93,125.00)	(751.61) S*
10/3	High Cost	BROKERAGE 100.00 TAX &/OR SEC 1.61 J.P. MORGAN SECURITIES LLC (ID: 902748-10-2)					
9/27	Sale	VIOLIN MEMORY INC @ 7.50 3,750.00	(500.000)	7.46	3,729.93	(4,500.00)	(770.07) S*
10/3	High Cost	BROKERAGE 20.00 TAX &/OR SEC .07 J.P. MORGAN SECURITIES LLC (ID: 92763A-10-1)					
10/4	Principal Payment	CHASE MORTGAGE FINANCE CORPORATION REMIC 2007-A1 CL 2A4 2.99199% 02/25/2037 DTD 02/01/2007 PAYMENT A/C PRINCIPAL AS OF 09/25/13 (ID: 161630-AK-4)	(33,380.430)	100.00	33,380.44	(29,541.68)	3,838.76 S
10/4	Pro Rata						
10/21	Principal Payment	SEQUOIA MORTGAGE TRUST 11 CL B1 VAR RT 12/20/2032 DTD 10/30/2002 PAYMENT A/C PRINCIPAL (ID: 81744A-AB-4)	(4,262.130)	100.00	4,262.13	(3,143.32)	1,118.81 S
10/21	Pro Rata						
10/16	Sale	SEQUOIA MORTGAGE TRUST 2004-7 CL B1 VAR RT 08/20/2034 DTD 07/29/2004 @ 70.00 JP MORGAN SECURITIES LLC (BIDL) FACE VALUE 8,900,000.00 (ID: 81744F-DB-0)	(2,931,416.407)	70.00	2,051,991.49	(1,964,049.00)	87,942.49 S
10/16	High Cost						
10/17	Sale	KINDRED HEALTHCARE INC 8 1/4% JUN 01 2019 DTD 06/01/2011 @ 107.40 JP MORGAN SECURITIES LLC (BIDL) (ID: 494580-AB-9)	(2,000,000.000)	107.40	2,148,000.00	(1,966,250.00)	77,750.00 L 99,697.92 S 4,302.08 O
10/17	High Cost						
10/25	Principal Payment	COUNTRYWIDE HOME LOANS 2003-1 CL B1 5.750% 03/25/2033 DTD 01/01/2003 PAYMENT A/C PRINCIPAL (ID: 12669D-YS-1)	(8,321.510)	100.00	8,321.51	(7,947.04)	374.47 S
10/25	Pro Rata						

J.P.Morgan