



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

Notes: * Transaction Market Value is representative of the prior trading day's market value. This is for informational purposes only and is not to be used for any financial or tax purposes. The Transaction Market Value shown is in USD.

Settle Date	Type Selection Method	Description	Quantity Cost	Transaction Market Value *
Securities Transferred Out				
10/11	Free Delivery	DEUTSCHE BK AG LDN BRH DBL LONG ETN38 PERSHING & COMPANY TRADE DATE 10/11/13 CLIENT REF 105664157 (ID: 25154H-55-8)	(50,000.000) 352,529.00	(431,500.00)
10/11	Free Delivery	EARTHLINK INC 8 7/8% MAY 15 2019 DTD 05/17/2011 PERSHING & COMPANY TRADE DATE 10/11/13 CLIENT REF 105664157 (ID: 270321-AC-6)	(1,000,000.000) 1,033,500.00	(974,600.00)
10/11	Free Delivery	FACEBOOK INC-A PERSHING & COMPANY TRADE DATE 10/11/13 CLIENT REF 105664157 (ID: 30303M-10-2)	(17,500.000) 665,000.00	(858,375.00)
10/11	Free Delivery	GMAC CAPITAL TRUST I PFD STK 8 1/8% PERSHING & COMPANY TRADE DATE 10/11/13 CLIENT REF 105664157 (ID: 361860-20-8)	(80,000.000) 1,882,773.60	(2,144,000.00)
10/11	Free Delivery	GENERAL ELECTRIC CO PERSHING & COMPANY TRADE DATE 10/11/13 CLIENT REF 105664157 (ID: 369604-10-3)	(23,000.000) 496,109.08	(557,750.00)
10/11	Free Delivery	GENERAL ELEC CAP CORP 7.125% DEC 15 2049 DTD 06/12/2012 PERSHING & COMPANY TRADE DATE 10/11/13 CLIENT REF 105664157 (ID: 369622-SN-6)	(2,000,000.000) 2,122,916.67	(2,182,620.00)
10/11	Free Delivery	GENERAL ELEC CAP CORP 5.250% 12/31/2049 DTD 05/29/2013 PERSHING & COMPANY TRADE DATE 10/11/13 CLIENT REF 105664157 (ID: 369622-ST-3)	(1,400,000.000) 1,400,000.00	(1,298,024.00)
10/11	Free Delivery	GENERAL MOTORS CO CV PFD B PERSHING & COMPANY TRADE DATE 10/11/13 CLIENT REF 105664157 (ID: 37045V-20-9)	(71,000.000) 3,585,969.22	(3,546,876.00)
10/11	Free Delivery	HEADWATERS INC 7.625 04/01/2019 DTD 03/11/2011 PERSHING & COMPANY TRADE DATE 10/11/13 CLIENT REF 105664157 (ID: 42210P-AQ-5)	(1,000,000.000) 1,035,000.00	(1,055,000.00)

J.P.Morgan

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Confidential Treatment Requested by JPMorgan
Chase
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