

Private-Client Group -- Domestic Security Instructions

General Recipient Information:

Account Information	Account #	W91850003
	Account Title	SOUTHERN FINANCIAL LLC
	Product	Asset

Requester Information	Name	Gross, Jason
	Phone #	0 0
	Time	10:02 AM
	Date	08/29/2013
	Departure	DE

Priority	Justification
Request Reason	Internal request
Remarks	

Case Number: 3264036

Deliver Free Receive Free

New Instruction

OK *JS*

CMS DATA

<input type="checkbox"/> Credit Approval Required	At or Near Margin Call	31,222,866.31
<input type="checkbox"/> Excess LV	Cash Available	9,269,308.06
<input type="checkbox"/> Available Borrow	Negative LV	6,217,207.44
		(7,282,597.29)

Statement Description: Transfer Date

ASSET TRANSFER TO A/C W92099-0 SOUTHERN FINANCIAL LLC

ASSET TRANSFER FROM A/C W91850-0 SOUTHERN FINANCIAL LLC

Callback Stamp Information

Callback Name: N

Callback Made: N

Callback Date/Time:

Person Contacted: N

Signature Verified: N

Asset Transfer Reason

- DTC
- FRB
- Other

Authorized Via CMS Password/ID

Credit Risk Group CMS Approver

Trade Date: 08/28/2013

Settlement Date: 08/30/2013

Tax Lot Selection: High Cost

Debit Tax Code:

Credit Tax Code:

Special Instructions:

Route Code:

Beneficiary Account Number: W92099006

Beneficiary Account Title: SOUTHERN FINANCIAL, LLC

Trading Broker:

Clearing Broker:

Deliver To:	16526 000000	Registration:	66	Comp Number:	04020A100	Liened:	NA	Mean Value:
Quantity:								
Transaction through STR:	PFND APFH							
Security Description:	ARND PHARMACEUTICALS INC							

September 25, 2013 10:25:41 AM (EST)