



SOUTHERN FINANCIAL, LLC ACCT. [REDACTED]

For the Period 9/1/13 to 9/30/13

Trade Date	Type	Description	Quantity	Per Unit Amount	Proceeds	Cost	Realized Gain/Loss
Est. Settle Date	Selection Method						
Pending Sales, Maturities, Redemptions							
9/27 10/2	Sale	VIOLIN MEMORY INC (ID: 92763A-10-1)	(500.000)	7.50	3,729.93	(4,500.00)	(770.07) S
Total Pending Sales, Maturities, Redemptions					\$231,870.93	(\$235,675.00)	(\$3,804.07) S

Trade Date	Type	Description	Quantity	Per Unit Amount	Market Cost
Est. Settle Date					
Pending Securities Purchased					
9/24 9/27	Purchase	JPM CONT BUFF EQ SX7P 10/16/14 85% CONTIN BARRIER- 0%CPN 25% CAP INITIAL LEVEL-09/24/13 SX7P:186.77 (ID: 48126N-VE-4)	1,000,000.000	100.00	(1,000,000.00)
9/27 10/2	Purchase	ENDURO ROYALTY TRUST (ID: 29269K-10-0)	5,000.000	13.85	(69,250.00)
9/27 10/2	Purchase	VIOLIN MEMORY INC (ID: 92763A-10-1)	500.000	9.00	(4,500.00)
9/27 10/2	Purchase	UIL HOLDINGS CORP (ID: 902748-10-2)	2,500.000	37.25	(93,125.00)
9/27 10/2	Purchase	RINGCENTRAL INC-CLASS A (ID: 76680R-20-6)	500.000	13.00	(6,500.00)
Total Pending Securities Purchased					(\$1,173,375.00)

J.P.Morgan

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Confidential Treatment Requested by JPMorgan Chase
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JPM-SDNY-00023482

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