UNITED STATES HOUSE OF REPRESENTATIVES	FORM B	MAY 27 20 180 1 of E
Name: Philip J. Rusenthal Daytime Telephone		2016 JUH - 3 FH 1:00
New Member of or Candidate for State: New York U.S. House of Representatives District: 10 FILER Candidates - Date of Election: No Use State: New York New Member of Candidate for State: New York New Member of Candidate for State: New York New Member of Candidate for State: New York New Member of or Candidate for State: New York U.S. House of Representatives District: 10	Check if Amendment	(Office Use Only)
STATUS New Officer or Employee Employing Office:	Period Covered: January 1, 20/5 to 5/25/16	A \$200 penalty shall be assessed against any individual who files more than 30 days late.
PRELIMINARY INFORMATION – ANSWER EACH OF THESE QUESTIONS	NS	
A. Did you, your spouse, or your dependent child: a. Own any reportable asset that was worth more than \$1,000 at the end of the reporting period? or in unearmed income from any reportable asset during the reporting period? E. C. D.	E. Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing?	ing the reporting period Yes No No
C. Did you or your spouse have "earned" income (e.g., salaries, honoraria, or pension/IRA distributions) of \$200 or more during the reporting period?	F. Did you have any reportable agreements or arrangements with an outside entity during the reporting period or in the current calendar year up through the date of filing?	or arrangements with Yes No
D. Did you, your spouse, or your dependent child have any reportable Yes No No Sou	J. Did you receive compensation of more than source in the current year and two prior years?	mpensation of more than \$5,000 from a single Yes No No
ATTACH THE CORRESPONDING SCHEDULE IF YOU THIS FORM INCLUDES ONLY THE SCHEDULES THAT YOU AR	OULE IF YOU ANSWER "YES" AT YOU ARE REQUIRED TO COMPLETE	S" O COMPLETE
EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION - ANSWER B	ANSWER BOTH OF THES	OTH OF THESE QUESTIONS
TRUSTS - Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust that benefits you, your spouse, or your dependent child?	cepted trusts" need not be disclosed. H	lave you excluded from Yes No X
EXEMPTION – Have you excluded from this report any other assets, "uneamed" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	ies of a spouse or dependent child beca	use they meet all three Yes No X

SCHEDULE A - ASSETS & "UNEARNED INCOME" Name: Philip J. Rusentha

	\$	Back of America Rich Act	Chase Rechescent		Examples	SP, EFF DC, Mega Corp Stock EFF	For bank and other cash accounts, total the amount in all interest-bearing accounts. If the total is over \$5,000, list every financial institution where there is more than \$1,000 in interest-bearing accounts. For rental and other real property held for investment, provide a complete address or description, e.g., "rental property," and a city and state. For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A. Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan. If you have a privately-traded fund that is an Excepted investment Fund, please check the "EIF" box. If you so choose, you may inclicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or jointy held with anyone (JT), in the optional column on the far left. For a detailed discussion of Schedule A Ferral and others.	For all IRAs and other retirement plans (such as 401(t) plans) provide the value for each asset held in the account that exceeds the reporting thresholds.	Identity (a) each asset held for investment or production of income and with a fair market value exceeding \$1,000 at the end of the reporting bendot, and (b) any other reportable asset or source of income which generated more than \$200 in "uneamed" income during the year. Provide complete names of stocks and mutual funds (do not use only ticker symbols).	Assets and/or income Sources	BLOCK A
		× >	X	×	Indefinite	×	None > \$1-\$1,000 ∞ \$1,001-\$15,000 ○ \$15,001-\$50-000 □ \$50,001-\$100,000 m \$100,001-\$250,000 ¬ \$250,001-\$1,000,000 □ \$5,000,001-\$25,000,000 □ \$5,000,001-\$25,000,000 □ \$25,000,001-\$5,000,000 □ ○ver \$50,000,000 □ □ □		Indicate value of asset at close of the reporting per you use a valuation method other than fair market please specify the method used. If an asset was sold during the reporting period included only because it generated income, the should be "None." "Column M is for assets held by your spouse or depertial in which you have no interest.	Value of Asset	вгоск в
*	>		<	Partnership Income	Royalties	×	Spouse/DC Asset over \$1,000,000° NONE DIVIDENDS RENT INTEREST CAPITAL GAINS EXCEPTED/BLIND TRUST TAX-DEFERRED Other Type of Income (Specify: e.g., Partnership Income or Farm Income)		rod. If Check all columns that apply. For accounts value, that generate tax-deferred income (such as 401(k), IRA, 529 accounts), you may check the "Tax-Deferred" column. Dividends, and is interest, and capital galins, even if value reinvested, must be disclosed as income for assets held in taxable accounts. and check "None" if the asset generated no income during the reporting period.	Type of Income	BLOCK C
*			*	× ×	×	×	None		For assets for which you checked "Tax-Deferred" in Block C, you may check the "None" column. For all soften assets indicate the category of income by checking the appropriate box below. Dividends, interest, k and capital galis, even if reinvested, must be disclosed as income for assets held in taxable accounts. Check "None" if no income was earned or generated. "Column XII is for assets held by your spouse or dependent child in which you have no interest.	Amount of Income	BLOCK D

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1	.]				•	-, 1		L_]		}	}]				Spouse/DC Income over \$1,000,000*	

SCHEDULE C - EARNED INCOME

J. Rosen the Page

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. government) totaling \$200 or more during the reporting period. For both the filer and filer's spouse, list the source and amount of any honoraria. List only the source for other spouse earned income exceeding \$1,000. See examples below. **EXCLUDE**: Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

Members and emplo	INCOME LIMITS and PROHIBITED INCOME: Be advised that the income limit and prohibited income may apply to you after you are on House payroll. The 2014 limit on outside earned income for Members and employees compensated at or above the "senior staff" rate was \$26,955. The 2015 limit is \$27,225. In addition, certain types of income (notably honoraria, director's fees, and payments for professional services involving a fiduciary relationship) are totally prohibited for Members and senior staff.	ncome may apply to you after yo imit is \$27,225. In addition, cert staff.	มน are on House payroll. The 2014 ain types of income (notably honorar	4 limit on outside earned income for ia, director's fees, and payments for
,			Am	Amount
Ų	Source (include date of receipt for nonoraria)	Туре	Current Year to Filing	Preceding Year
	ABC Trade Association, Baltimore, MD (July 15)	Honorarium	\$0	\$500
Examples:	Subre of Marghania Civil War Roundbahe (Oct. 2) Ontario County Board of Education	Spouse Speech Spouse Salary	\$0 \$0	\$1,000 N/A
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Fastco	tastcase com, Inc.	Salary + Conve	-9205805# 45.65.8L1#	#308507.67
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SCHEDULE D - LIABILITIES

Name: Philip J, Runthal Page 5 of 5

Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or your dependent child. Mark the highest amount owed during the reporting period. New Members: Members are required to report all liabilities secured by real property including mortgages on their personal residence. Exclude: Any mortgage on your personal residence (unless you rent it out or are a Member); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to you by a spouse or the child, parent, or sibling of you or your spouse. Report a revolving charge account (i.e., credit card) only if the balance at the close of the reporting period *Column K is for liabilities held solely by your spouse or dependent child.

					SP. DC, JT		
			7	Ехатрів			_
			NONE	First Bank of Wilmington, DE	Creditor		
				5/98	Liability Incurred MO/YR		
				Mortgage on Rental Property, Dover, DE	Type of Liability		
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		<u>'</u>			Over \$50,000,000		
					Over \$1,000,000* (Spouse/DC Liability)	~	

SCHEDULE E - POSITIONS

Report all positions, compensated or uncompensated, as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, nonprofit organization, labor organization, or educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature. New Members and second-year candidates report positions held in the reporting period and the current calendar year. First-year candidates and new employees report positions held in the current calendar year and two previous years.

The Due 11, 1 Place Inc (Uncompagated)	Monder Board Marketon
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months arount to lite, which I am now receiving, the amount is indicated.	My motion had a persion with the Board of Roucetion Retirement System 11the City of Now With It permitted her upon passing to direct that I would receive a	tracts all charges of stock in the same way It the extra right, of the preteried	As suggested in the instructions, year-end bookuring is used to value the company. Because we are still closing our year books, this number is estimated. The est, made	Fast case, com, Inc. priviles an opplino lesal resourch system featuring a comprehensive database of privary law and advanced tools to make lesclose search smorten. It is based in Washington DC,	ensure complete disclosure.	This account was closed in 2015 and has no correct essets. although the associated 1099	NOTES

POSITIONS: Product Type View As of 12:40 PM EDT, 05/25/2016

Htachment
MSSBCIF
PHILIP ROSENTHAL

\$7,002.51 (Previous Close) / Standard

Traditional IRA

MSSB C/F PHILIP ROSENTHAI

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Morgan Stanley

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% Of Account (LMV)	APY	YTD Tax Withheld	YTD Int. Paid	Accrued Interest	Market Value (\$)	4	Security Description		Symbol/CUSIP
							13.56	POSITIONS 1 -8	CASH, MMF AND BDP POSITIONS 1 -\$13.56
31.75	3,385.98	7,016.07	0.00		-13.56	-13,56	0.00	0.00	7,002.51
GAIN LOSS(\$)	COST(\$)	PRICED SECURITES(\$)	FOREIGN CURRENCY DEPOSITS(\$)	FOREIGN CUR	CASH,MMF & BOP(\$)	WEALTH MGMT. NET CASH	CHANGE(%)	CHANGE(\$)	ACCT-VALUE(\$)
									POSITIONS: 3

-13.00

	CAMWX CAMBIAR OPPORTUNITY INST
Incr/Decr (\$)	ajiinnacovar agantiy maariparii

Wealth Mgmt. Net Cash -\$13.56

Totals Cash, MWF and BDP

Cash, MMF and Deposits- Bank deposits are held at (1) Morgan Stanley Bank, N.A. and/or Morgan Stanley Private Bank, National Association, affiliates of Morgan Stanley Smith Barney, LLC, or (2) or Citibank, N.A., each FDIC members Deposits are eligible for FDIC insurance up to applicable limits and in accordance with FDIC rules.

material due to, among other things, the use of different reporting methods, date of the report, rounding, delays, market conditions and interruptions. For floating rate securities, the accrued interest is an estimate based on the current floating Fixed Income- Bond prices are typically updated on a daily basis through an overnight batch feed, therefore prices do not reflect current intra-day values. Prices displayed in the official account statement may differ from the prices utilized in this coupon rate and may not reflect historic rates within the accrual period.

may be limited. CDs sold prior to maturity are subject to market risk and therefore investors may receive more or less than the amount invested or the face value. Callable CDs are callable at the sole discretion of the issuer. For more information individual account, joint account, IRA etc.) per CD depository. Investors are responsible for monitoring the total amount held with each CD depository. All deposits at a single depository held in the same insurable capacity will be aggregated for purposes of the \$250,000 federal deposit insurance limit, including deposits (such as bank accounts) maintained directly with the depository and CDs of the depository held through Morgan Stanley Smith Barney LLC. A secondary market in CDs Certificates of Deposit- CDs are insured by the FDIC, an independent agency of the U.S. Government, up to a maximum amount of \$250,000 (including principal and accrued interest) for all deposits held in the same insurable capacity (e.g.

to identify the mutual fund position as Margin "M" if the position balance is made up of shares that are new (less than 30 days old). Unit Investment Trusts— Unit Investment Securities are typically priced daily. The price provided is the previous day's closing price. Investments) with the Market Value of all shares you hold of the fund. This calculation is of informational purposes only, does not reflect your total unrealized gain or loss and should not be used for tax purposes. Please note that we are not abletones only, does not reflect your total unrealized gain or loss and should not be used for tax purposes. Please note that we are not abletones in the fund. about FDIC insurance, please visit the FDIC website at www.fdic.gov.

Mutual Funds—Mutual Funds are typically priced daily. The price provided is the previous business day's closing price. The amount of Net Value Increase/ (Decrease) compares your Total Purchases (all purchases less Dividend Re-

be relied upon for tax reporting purposes. Alternative Investments are illiquid and may not be valued daily, therefore the estimated valuation provided will be as of the most recent date available. No representation is made that the valuation is a market value or that the interest could be liquidated at this value. Morgan Stanley Smith Barney LLC is not required to take any action with respect to your investment unless valid instructions are received from you in a timely manner. Some positions reflected above may not represent interests in the fund, but rather redemption proceeds withheld by the issuer pending final valuations which are not subject to the investment performance of the fund and may or may not accrue interest Alternative Investments. Your interests in Alternative Investments may not be held at Morgan Stanley Smith Barney LLC, but may have been purchased through Morgan Stanley Smith Barney LLC, and are not covered by SIPC. The information provided to you: 1) is included solely as a service to you and certain transactions may not be reported; 2) is derived from you or another external source for which Morgan Stanley Smith Barney LLC is not responsible, and may have been for the length of the withholding. modified to take into consideration capital calls or distributions to the extent applicable; 3) may not reflect actual shares, share prices or values; 4) may include invested or distributed amounts in addition to a fair value estimate; and 5) should not

made as per your instructions and does not imply that the funds were re-deposited into a Morgan Stanley Smith Barney LLC account and is provided for informational purposes only. Surrendered or annutitized policies will not appear as assets on rights, benefits and payments are controlled by the contract between the insurance company and the contract owner as shown on your policy copy. Annuitized information as provided by the insurance carrier reflects the value of the last payment withdrawals or principal withdrawals. Display of insurance or annuity products on the Morgan Stanley Smith Barney LLC account statement does not confer or imply ownership or beneficial interest on the part of the account holder. All ownership insurance agency affiliates as of date shown as reported by the Insurance carrier. Amounts shown may be subject to surrender and other contract charges, Invested premium is defined as either the original purchase price plus additions, minus Annuities/Insurance Products- Insurance and Annuity products and values are displayed for informational purposes only. Values reflect in force Insurance purchased through Morgan Stanley Smith Barney LLC in conjunction with its licensed

Exchange Traded Funds/Stock/Option Pricing- Current prices are available for Exchange Traded Funds, Stocks and Options only. All other current pricing reflects the most recently available price for that security. For example, Mutual Fund current prices are the most recent business day's Net Asset Value.

and (3) = Sell. You should not infer the investment risks or profile of any security from these ratings but refer to the research reports for a complete description of the research provider's rating system, rating and views on the Risk/Ratings- Research Ratings may be displayed for certain securities. Neither Morgan Startley nor Standard & Poor's uses the rating system displayed. For ease of comparison, we have normalized their ratings so that (1) = Buy. (2) = Hold

benchmark or peer group over a longer period, typically greater than three years. There can be no guarantee, however, that any Focus List investment product will outperform its benchmark or peer group. Investment products on the Approved List dentifies investment products on CG IAR's Focus List. The Not Approved List identifies investment that any Focus than investment products on CG IAR's Focus List. The Not Approved List identifies investment. Consulting Group Investment Advisor Research (CG IAR). Investment products on the Focus List have CG IAR's highest level of confidence. CG IAR believes these investment products have the potential to outperform an appropriate

M = Position purchased on Margin, S = Short Position, E = External Account, C = Reinvest None, R = Reinvest Principal (UIT's), I = Reinvest Income (UIT's), RTH = Recommend to Hold, O = Open Order

POSITIONS: Product Type View As of 12:40 PM EDT, 05/25/2016

PHILIP ROSENTHAL

Morgan Stanley

products that in CG IAR's opinion no longer warrant research coverage due to a specific concern(s) or material event.

any financial institution that holds securities is responsible for year-end reporting (Internal Revenue Service (IRS) Form 1099) and separate periodic statements, which may vary from Morgan Stanley's information due to different tax reporting Stanley is not responsible for the accuracy of any information provided by external sources, including but not limited to, you, your client or another financial institution. You are responsible for ensuring the accuracy of such information. Generally External Assets- Certain assets listed in this view are based upon information provided by you, your client or other external sources and are not part of accounts that you manage at Morgan Stanley. Assets not held with Morgan Stanley may not be covered by SIPC protection or by additional protection under Morgan Stanley's excess insurance coverage plans. Morgan Stanley may include information about these external assets in this view solely as a service to you, and Morgan periods

herein. To the extent there are any discrepancies between your official account statement and this information, you should rely on the official account statement. This information should not be considered as the sole basis for any investment we believe to be reliable. However, we do not warrant or guarantee the accuracy or completeness of any such information. The values that you actually receive in the market for any investment may be higher or lower than the values reflected and general reference purposes only. We are not responsible for any clerical, computational or other maccuracies, errors or omissions. We obtain market values and other data from various standard quotation services and other sources, which Unless otherwise indicated, this information is not intended to be a substitute for the official account statements that you receive from us. This information is approximate and subject to adjustment, updating and correction and is for illustrative

("Morgan Stanley") is a registered broker-dealer, not a bank. Morgan Stanley and the Morgan Stanley Banks are affiliates. Unless specifically disclosed to you in writing, other investments and services offered to you through Morgan Stanley are Banks"): (1) Morgan Stanley Bank, N.A. and/or Morgan Stanley Private Bank, National Association (together, the "Morgan Stanley Banks"), or (2) Citibank, N.A. The Program Banks are FDIC members, Morgan Stanley Smith Barney LLC not insured by the FDIC, are not deposits of or other obligations of, or guaranteed by, the Program Banks and involve investment risks, including possible loss of principal amount invested The Bank Deposit Program (BDP) is a cash sweep feature whereby clients can chose to have their available free credit balances automatically deposited into interest bearing, FDIC-insured deposit accounts at up to three banks ("Program

reporting purposes. The information in this section is provided for informational purposes only and should not be used in the preparation of your income tax returns make basis adjustments due to wash sales, certain corporate actions and transfers by gift or inheritance, which will be reflected on your Form 1099-B. This section may not reflect all of the basis adjustments we are required to make for taxxis New Treasury regulations require that we report your adjusted cost basis and classify the gain or loss as either long-term or short-term on the sale of covered securities acquired on or after January 1, 2011. These regulations also require that we

GUIDE TO MORGAN STANLEY & CO. LLC (MORGAN STANLEY) AND STANDARD & POOR'S RESEARCH RATINGS

Equal-weight and Not-Rated to Hold and Underweight to Sell recommendations, respectively. For ease of comparison, we have normalized these ratings so that (1) corresponds to Buy recommendations, (2) corresponds to Hold Morgan Stanley's rating system and Morgan Stanley's actual proprietary rating on any covered company. recommendations, and (3) corresponds to Sell recommendations. Please refer to a Morgan Stanley research report for a complete description of Sell, but represent recommended relative weightings. To satisfy regulatory requirements, Morgan Stanley corresponds Overweight, their most positive stock rating, with a Buy recommendation, they correspond Morgan Stanley does not assign ratings of Buy, Hold or Sell to the stocks they cover. Morgan Stanley's ratings, Overweight, Equal-weight, Not-Rated and Underweight, are not the equivalent of Buy, Hold, and

Morgan Stanley's ratings are described below:

- 1 / Overweight (O): The stock's total return is expected to exceed the average total return of the analyst's industry (or industry team's) coverage universe, on a risk-adjusted basis, over the next 12-18 months Morgan Stanley Wealth Management Normalized Code / Morgan Stanley Rating: Definition
- 2 / Equal-weight (E): The stock's total return is expected to be in line with the average total return of the analyst's industry (or industry team's) coverage universe, on a risk-adjusted basis, over the next 12-18 months
- 2 / Not-Rated (NR): Currently the analyst does not have adequate conviction about the stock's total return relative to the average total return of the analyst's industry (or industry team's) coverage universe, on a risk-adjusted basis, over the next
- 3 / Underweight (U): The stock's total return is expected to be below the average total return of the analyst's industry (or industry team's) coverage universe, on a risk-adjusted basis, over the next 12-18 months

Standard & Poor's Equity Research Ratings

Please refer to a Standard & Poor's research report for a complete description of Standard & Poor's rating system and Standard & Poor's actual proprietary rating on any covered company. Standard & Poor's ratings are described below For ease of comparison, we have normalized Standard & Poor's proprietary research ratings to a 1 (Buy), 2 (Hold), and 3 (Sell), which differs from Standard & Poor's rating system

1 / 5-Stars (Strong Buy): Total return is expected to outperform the total return of a relevant benchmark, by a wide margin over the coming 12 months, with shares rising in price on an absolute basis

Morgan Stanley Wealth Management Normalized Code / Standard & Poor's Rating: Definition

- 1 / 4-Stars (Buy): Total return is expected to outperform the total return of a relevant benchmark over the coming 12 months, with shares rising in price on an absolute basis 2 / 3- Stars (Hold): Total return is expected to closely approximate the total return of a relevant benchmark over the coming 12 months, with shares generally rising in price on an absolute basis
- 3 / 2- Stars (Sell): Total return is expected to underperform the total return of a relevant benchmark over the coming 12 months, and the share price not anticipated to show a gain
- 3 / 1- Stars (Strong Sell): Total return is expected to underperform the total return of a relevant benchmark by a wide margin over the coming 12 months, with shares falling in price on an absolute basis
- Asia, the relevant benchmarks are generally the S&P Europe 350 Index and the S&P Asia 50 Index Relevant benchmarks: In North America the relevant benchmark is the S&P 500 Index, in Europe and in

Moody's investors Service and Standard & Poor's Credit Ratings

CG IAR Statuses in Investment Advisory Programs The credit rating from Moody's Investors Service and Standard & Poor's may be shown for certain fixed income securities. All credit ratings represent the "opinions" of the provider and are not representations or guarantees of performance

Investment products on the Focus List have CG IAR's highest level of confidence. CG IAR believes these investment products have the potential to outperform an appropriate benchmark or peer group over a longer period, typically greater than Group and Fiduciary Asset Management programs. CG IAR statuses for these products are: Consulting Group Investment Advisor Research (CG IAR) reviews covers a range of investment managers and products in the Consulting and Evaluation Services, Fiduciary Services, Select UMA, TRAK Fund Solution, Institutional Consulting

Important Information About Auction Rate Securities For certain Auction Rate Securities there is no or limited liquidity. Therefore, the price(s) for these Auction Rate Securities are indicated as not being available by a dash ".". There can be no indicated as not being available by a dash ".". There can be no indicated as not being available by a dash ".". due to a specific concern(s) or material event They have usually been subject to a less comprehensive evaluation process than investment products on CG IAR's Focus List. three years. There can be no guarantee, however, that any Focus List investment product will outperform its benchmark or peer group. Investment products on the Approved List have been evaluated by CG IAR and meet acceptable standards. The Not Approved List identifies investment products that in CG IAR's opinion no longer warrant research coverage

assurance that a successful auction will occur or that a secondary market exists or will develop for a particular security

Prices of securities not actively traded may not be available, and are indicated by a dash "-"

IRA allastatatalas

Horainos IRM Page 1 of 2
A Hachment 2

CHASE WEALTH MANAGEMENT Account Executive: EDWARD CASPER / 0C71 Account Nickname: ROSENTHAL, PHILIP

Report Generation Key: Holdings

Request Period: Intra Day

Security ID	Description	Acq. Date	Quantity		Price	Price Day Change	Mkt Val	Change	% Change	Uni	it Cost	Cost	Intraday Cost	Unreal. G/L	% Unreal. G/L	Accoun Type
DBEU	DEUTSCHE X TRACKERS MSCI EUROPE HEDGED EQUITY ETF	05-Aug- 2015	38		25.6100	+0.20	973.1	8 +7.60	+0.79%		28.3334	1,076.67	N/A	(103.49)	(9.61%)	Cash
DBEF	DEUTSCHE X TRACKERS MSCI EAFE HEDGED EQUITY ETF	01-Apr- 2015	63		26.3700	+0.19	1,661.3	1 +11.97	+0.73%	19G	30.0841	1,895.30	N/A	(233.99)	(12.35%)	Cash
	ISHARES MSCI EAFE ETF	31-Mar- 2015	46	•	58,5100	+0.56	2,691.4	8 +25.76	+0.97%	TĀĢ	64.1700	2,951.82	N/A	(260.36)	(8.82%)	Cash
	SPDR S&P 500 ETF TRUST	MULTIPLE	73	2	09.1400	+1.27	15,267.2	2 +92.71	+0.61%		201.6068	14,717.30	N/A	549,92	3.74%	Çash
UKJ	WISDOMTREE JAPAN HEDGED EQUITY FUND	05-Aug- 2015	19		43.5050	+0.42	826.6	0 +7.88	+0.96%	190	57.6979	1,096.26	N/A	(269.66)	(24.60%)	Cash
BIMKA	**BLACKROCK INDEX FDS INC INTL INDEX FD CL K	MULTIPLE	366.945	•	11.6300	0.00	4,267.5	7 0.00	0.00%	XVO	11.8035	4,331.25	N/A	(63.68)	(1.47%)	Cash
BAFHX	"BROWN ADVISORY FDS WMC STATEGIC EUROPN EQI INSTL	MULTIPLE	101.666	•	10.2400	0.00	a 1,041.0	8 0.00	0.00%	XVO	10.6193	1,079.62	N/A	(38.56)	(3.57%)	Cash
BRMICA	"BLACKROCK FDS MIDCAP INDEX FD CL K	MULTIPLE	318.14	•	9.6500	0.00	• 3,070.0	5 0.00	0.00%	X90	9.4127	2,994.57	N/A	75,48	2.52%	Cash
CIVIX	"CAUSEWAY CAP MGMT TR INTL VALUE FD INSTL CL	MULTIPLE	147.361	•	13.7800	0.00	• 2,030.6	3 0.00	0.00%	190	15.4085	2,270.61	N/A	(239.98)	(10.57%)	Cash
DODFX	**DODGE & COX FUNDS INTERNATIONAL STOCK FUND	MULTIPLE	35.951	• ;	35.3500	0.00	• 1,270.8	7 0.90	9.00%	190	43.7031	1,571.17	N/A	(300.30)	(19.11%)	Cash
OAKMX	**OAKMARK FUND	MULTIPLE	60.518	•	64.0400	0.00	a 3,875.5	7 0.00	0.00%	TY6	65.9556	3,991.50	N/A	(115.93)	(2.90%)	Cash
HAINX	**HARBOR INTERNATIONAL FUND INSTITUTIONAL	MULTIPLE	16.556	•	60.0700	0.00	• 994.5	2 0.00	0.00%	X95	68.0805	1,127.14	N/A	(132.62)	(11.77%)	Cash
JMUEX	"JPMORGAN TR I U S EQUITY FD INSTL CL	MULTIPLE	303.093	•	13.9300	0.00	• 4,222.0	0.00	0.00%	You	14.7142	4,459.78	N/A	(237.69)	(5.33%)	Cash
HLLVX	"JPMORGAN SHORT DURATION BOND FD SELECT CL	MULTIPLE	139.256	•	10.8700	0.00	a 1,513.7°	1 0.00	0.00%	e e	10.8900	1,516.50	N/A	(2.79)	(0.18%)	Cash
MILIX	"MASSACHUSETTS INVESTORS TRUST-CL I	MULTIPLE	137.105	• :	27.0600	0.00	a 3,710.0	8 0.00	0.00%	190	28.4249	3,897.20	N/A	(187.14)	(4.80%)	Cash
MKSIA	"MFS RESEARCH INTERNATIONAL FD CL I	MULTIPLE	126,925	•	15.8800	0.00	• 2,015.5	7 0.00	0.00%	¥95	18.6821	2,371.22	N/A	(355,65)	(15.00%)	Cash
QWERQ	JPMORGAN TR II LIQUID ASSETS MMKT INSTL SECURITY SYMBOL IS IJLXX	24-May- 2016	1,078.11	•	1.0006	0.00	1,078.1	1 0.00	0.00%		1.0000	1,078.11	N/A	9.00	0.00%	Cash
	Grand Total						\$50,509.5	+\$145.92	+0.29%			\$52,426.02	N/A	(\$1,916.44)	(3.66%)	

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Run Date/Time: 25-May-2016 10:15 AM ET

Holdings Page 2 of 2

Disclaimer(s)

All values are displayed in USD.

Price indicator orange diamond symbol denotes prior business days' closing price. Prices without indicators reflect intraday pricing or today's closing price.

Tax lots that display "N/A" are not included in unrealized gain/loss calculations. However, the market values of these tax lots are included in market value calculations and totals.

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AVG:Cost basis for this security is calculated at Average Cost.

Securities priced at zero dollars indicate either a worthless security or an unpriced security including alternative investments. Your account statement provides additional information on these securities. The account statement can be found under the Client Documents tab of Accounts.

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Morgan Stanley

PHILIP ROSENTHAL
60 / REGClosed
Single
\$0.00 (Previous Close) / Standard

PHILIP ROSENTHAL

\$ 0.02				Balance as of 01/01/2015			:
				CONFIRMATION # 31275379 Ref: 00075379			
4,000.02 Cash	4,000.00			Ref. 02149M15 SEC ID: MF439 FUNDS RECEIVED BANK OF AMERICA XX-2420	DEPOSIT	01/20/2015	01/20/2015
2,000.02 Cash	-2,000.00	6.830	TEFTX	Ref. 02187/198 SEC ID: MLF23 292.826 TEMPLETON FOREIGN FUND C CONFIRM NBR	Bought	01/26/2015	01/21/2015
0.02 Cash	-2,000.00	18.750	CSUCX	106.667 COHEN & STEERS GLB INFRASTRC C CONFIRM NBR	Bought	01/26/2015	01/21/2015
4,000.02 Cash	4,000.00			FUNDS RECEIVED BANK OF AMERICA XX-2420 CONFIRMATION # 32382995 Ref. 00082995	DEPOSIT	02/20/2015	02/20/2015
2,000.02 Cash	-2,000.00	7.080	TEFTX	Ref. 05466C01 SEC ID: MLF23 282.486 TEMPLETON FOREIGN FUND C CONFIRM NBR Ref. 05466R82 SEC ID: MF436	Bought	02/26/2015	02/23/2015
0.02 Cash	-2,000.00	19.200	CSUCX	Ref. 0 <u>5889378</u> SEC ID: 0 <u>0361</u> 104.167 COHEN & STEERS GLB INFRASTRC C CONFIRM NBR	Bought	02/26/2015	02/23/2015
0.03 Cash	0.01		MSBNK	MORGAN STANLEY BANK N.A. (Period 02/01-02/28)	Interest	02/27/2015	02/27/2015
-23.72 Cash	-23.75			ACCT MAINTENANCE FEE Ref. 07880100	Account Fee	03/19/2015	03/19/2015
-118.72 Cash	-95.00		>	ACCOUNT TRANSFER FEE	Service Fee	03/19/2015	03/19/2015
-118.72;Cash	-4 9,104.58		VAPCX	3,836.296 VIRTUS PREM ALPHASECTOR (SM) C TO J.P. MORGAN SECURITIES I Ref: 08342999 SEC ID: A9RJ2	Transfer(Long)	03/24/2015	03/24/2015
-118.72 ¹ Cash	-8,199.08		TEFTX	1,134,037 TEMPLETON FOREIGN FUND C TO J.P. MORGAN SECURITIES I Ref. 08343003 SEC ID: MF439	Transfer(Long)	03/24/2015	03/24/2015
-118,72≩Cash	-48,561.10	± .//	NBHCX	3,832.763 NEUBERGER BERMAN EQ INC C TO J.P. MORGAN SECURITIES I Ref 08342995 SEC ID: MK122	Transfer(Long)	03/24/2015	03/24/2015
-118.72 Cash	-8,151.58		CSUCX	424.783 COHEN & STEERS GLB INFRASTRC C TO J.P. MORGAN SECURITIES I Ref: 08343007 SEC ID: MLF23	Transfer(Long)	03/24/2015	03/24/2015
-118.72 Cash	-56,281.27		FDSTX	3,258.904 SUNAMERICA NEW FOC DIV STRA C TO J.P. MORGAN SECURITIES I Ref: 08343019 SEC ID: MQR71	Transfer(Long)	03/24/2015	03/24/2015
-118.72:Cash	-66,453.18		FESGX	1,250.060 FIRST EAGLE GLOBAL C TO J.P. MORGAN SECURITIES I Ref: 08343015 SEC ID: MWS27	Transfer(Long)	03/24/2015	03/24/2015
-118.72 Cash :	-47,342.70		MOLX	3,727.772 TA ASSET ALLOC-MOD PTF C TO J.P. MORGAN SECURITIES I Ref: 08343011 SEC ID: MYK29	Transfer(Long)	03/24/2015	03/24/2015
0.00 Cash	118.72			BROKER TO BROKER FROM J.P. MORGAN SECURITIES I Ref: 08464758	Deliver \$ Short	03/25/2015	03/25/2015
CASH BALANCE (\$)* TYPE	AMOUNT (\$)	PRICE (\$)	SYMBOL/CUSIP	QUANTITY DESCRIPTION	ACTIVITY	SETTLEMENT DATE	ACTIVITY DATE▼
CASH BALANCE (\$)* TYPE	AMOUNT (\$)	PRICE (5)	RANSACTIONS SYMBOL/CUSIP	ACTIVITY BATE ACTIVITY TYPES ALL ASSET TYPES DATE RANGE FROM DATE : 01/01/2015 TO DATE : 05/25/2016 17 TRANSACTIONS ACTIVITY DATE ▼ SETTLEMENT DATE ACTIVITY OUANTITY DESCRIPTION SYMBOL/CUSIP	ASSET TYPES DATE RANG	ATE	ACTIVITY TYPES

Unless otherwise indicated, this information is not intended to be a substitute for the official account statements that you receive from us. This information is approximate and subject to adjustment, updating and correction and is for illustrative

Cash Balance Includes Cash, Bank Deposits, MMF Balance, and Unsettled Cash.

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ACTIVITY: DETAIL VIEW Last Refreshed - 12:56 PM EST, 05/25/2016

PHILIP ROSENTHAL REGClosed

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PHILIP ROSENTHAL - TAP DYS - Interim Data as of 25-May-2016

Prior Day Cash Value:

\$20,841.81 (7.52%)

Prior Day Portfolio Value:

\$277,044.18

Prior Day Accrued Income:

\$2.26 (0%)

Account Unrealized G/L: Estimated Annual Income: -\$1,530.84(S), -\$7,974.43(L)

Account YTD G/L:

-\$1,389.08(S), -\$365.47(L)

\$9,552.53 (3.45%)

Total Liability:

\$0.00

▼ Equity

Description (<u>Long</u> /Short)	Security Id	Price	Quantity	Cost	Market Value	MV %	Unrealized G/L		Accrued Income	Est. Annual Income
US Large Cap Equity										
Core										
JOHN HANCOCK L/C EQUITY-I	JLVIX	42.73	253.65	11,196.00	10,838.38	3.91	-357.60	-3.19	0.00	55.80
SIT DIVIDEND GROWTH FD-I	SDVGX	15.64	1,145.11	19,508.00	17,909.55	6.46	-1,598.43	-8.19	0.00	367.58
Total Core				30,704.00	28,747.93	10.38	-1,956.03	-6.37	0.00	423.38
Total US Large Cap Equity				30,704.00	28,747.93	10.38	-1,956.03	-6.37	0.00	423.38
EAFE Equity										
Core										
BMO PYRFORD INTL STOCK-I	MISNX	11.96	648.89	8,425.00	7,760.77	2.80	-664.20	-7.88	0.00	177.79
Total Core				8,425.00	7,760.77	2.80	-664.20	-7.88	0.00	177.79
Total EAFE Equity				8,425.00	7,76 0.77	2.80	-664.20	-7.88	0.00	177.79
Asia ex-Japan Equity										
Core										
MATTHEWS ASIA DIVIDEND-INST	MIPIX	15.67	624.96	10,565.00	9,793.06	3.53	-771.92	-7.31	0.00	176.86
Total Core				10,565.00	9,793.06	3.53	-771.92	-7.31	0.00	176.86
Total Asia ex-Japan Equity				10,565.00	9,793.06	3.53	-771.92	-7.31	0.00	176.86
Global Equity										
Opportunistic										
COHEN & STEERS PR SEC&INC-I	CPXIX	13.67	1.361.57	18,886.07	18,612.61	6.72	-273.45	-1.45	0.00	1,094.69
NUVEEN INVT TR V	NPSRX	16.83	<u>487.23</u>	8,140.00	8,200.08	2.96	60.08	0.74	0.00	476.51
Total Opportunistic				27,026.07	26,812.69	9.68	-213.37	-0.79	0.00	1,571.20
Total Global Equity				27,026.07	26,812.69	9.68	-213.37	-0.79	0.00	1,571.20
Total Equity				76,720.07	73,114.45	26.39	-3,605.52	-4.70	0.00	2,349.23

▼ Alternative Assets

Description (<u>Long</u> /Short)	Security Id	Units/Commitment Net of Origination Fee	Cost/Capital Called Since Inception	Cash/Security Distribution Since Inception	Estimated Value	MV %	Unrealized G/L	Unrealized G/L%	
Hedge Funds									
Relative Value/Credit									
PIMCO UNCONSTRAINED BOND-P Priced on 25-May-2016	PUCPX	<u>758.66</u>	8,368.00	0.00	7,859.70	2.84	-508.29	-6.07	
Total Relative Value/Credit			8,368.00		7,859.70	2.84	-508.29	-6.07	
Total Hedge Funds			8,368.00		7,859.70	2.84	-508.29	-6.07	
Total Alternative Assets			8,368.00		7,859.70	2.84	-508.29	-6.07	

▼ Fixed Income & Cash

Description (<u>Long</u> /Short)	Security Id	Price	Quantity	Cost	Market Value	MV %	Unrealized G/L	Unrealized G/L%		Est. Annual Income
Cash & Short Term										
Cash										
JPM TAX FREE MMKT INST SWEEP FD #840	870994969	1.00	20.841.81	20,841.81	20,841.81	7.52	0.00	0.00	2.26	37.72
Total Cash				20.841.81	20.841.81	7.52	0.00	0.00	2.26	37.72

Total Cash & Short Term				20,841.81	20,841.81	7.52	0.00	0.00	2.26	37.72
US Fixed Income										
Taxable Core										
DOUBLELINE TOTL RET BND-I	DBLTX	10.86	4.055.01	44,863.00	44,037.39	15.90	-825.59	-1.84	0.00	1,739.59
METROPOLITAN WEST FDS	MWTIX	10.82	1,851,95	20,427.00	20,038.09	7.23	-388.90	-1.90	0.00	374.09
Total Taxable Core				65,290.00	64,075.48	23.13	-1,214.49	-1.86	0.00	2,113.68
Extended Credit/High Yield										
BLACKROCK HIGH YIELD PT-BLAC	BRHYX	7.35	1.874.91	14,943.00	13,780.56	4.97	-1,162.43	-7.78	0.00	778.08
CREDIT SUISSE FL RT HI IN-I	CSHIX	6.64	2,434.40	16,527.89	16,164.40	5.83	-363.46	-2.20	0.00	749.79
FEDERATED INST HI YLD BD-IS	FIHBX	9.51	<u>588.22</u>	5,494.00	5,594.00	2.02	100.00	1.82	0.00	341.16
HARBOR CONVERTIBLE SEC-INST	HACSX	10.21	728.23	7,945.00	7,435.24	2.68	-509.75	-6.42	0.00	168.94
HARBOR HIGH YIELD BOND-INST	HYFAX	9.76	<u>678.95</u>	7,129.00	6,626.57	2.39	-502.42	-7.05	0.00	359.84
1PM UNCONSTRAINED DEBT FD - SELECT	JStsx	9.84	1,521.28	15,441.00	14,969.41	5.40	-471.58	-3.05	0.00	387.92
LORD ABBETT INVT TR	LLDYX	4.33	4.504.73	19,961.00	19,505.46	7.04	-455.46	-2.28	0.00	806.34
RIDGEWORTH SEIX FLOATING-IS	SFRZX	8.53	1,676.52	14,854.00	14,300.75	5.16	-553.24	-3.72	0.00	687.37
I ROWE PR INST FLOAT RT-F	PFFRX	9.93	1,286.64	13,035.00	12,776.35	4.61	-258.63	-1.98	0.00	536.52
Total Extended Credit/High Yield				115,329.89	111,152.74	40.12	-4,176.97	-3.62	0.00	4,815.96
Total US Fixed Income				180,619.89	175,228.22	63.25	-5,391.46	-2.98	0.00	6,929.64
Total Fixed Income & Cash				201,461.70	196,070.03	70.77	-5,391.46	-2.68	2.26	6,967.36

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4Hachment 5

Account Number.

Account Title: PHILIP ROSENTHAL - TAP DYS

			PFD SECS CL R	NUVEEN INVT TR V					
0.00	-981.00	670700400	58.67 USD		Purchase	04/25/2016	04/22/2016	04/22/2016	04/25/2016
			VFD:	HSBC TOTAL RETURN FD-					
0.00	957.00	40428X156	-98.05 USD		Sale	04/25/2016	04/22/2016	04/26/2016	04/25/2016
			VFD-I	HSBC TOTAL RETURN FD-					
0.00	906.00	40428X156	-92.83 USD		Sale	04/26/2016	04/25/2016	04/27/2016	04/26/2016
			PFD SECS CL R	NUVEEN INVT TR V					
0.00	-899.00	670700400	53.86 USD		Purchase	04/26/2016	04/25/2016	04/25/2016	04/26/2016
		γ	R LT DU USGVSP	LORD ABBETT INVT TR					
0.00	-809.00	543916688	186.84 USD		Purchase	04/27/2016	04/26/2016	04/26/2016	04/27/2016
			N FD-I	HSBC TOTAL RETURN FD-					
0.00	858.00	40428X156	-87.82 USD		Sale	04/27/2016	04/26/2016	04/28/2016	04/27/2016
			N FD-I	HSBC TOTAL RETURN FD-			;		
0.00	442.00	40428X156	-45.01 USD		Sale	04/29/2016	04/28/2016	05/02/2016	04/29/2016
		Υ .	R LT DU USGVSP	LORD ABBETT INVT TR					
0.00	-442.00	543916688	101.84 USD		Purchase	04/29/2016	04/28/2016	04/28/2016	04/29/2016
			N FD-I	HSBC TOTAL RETURN FD-					
0.00	454.00	40428X156	-46.37 USD		Sale	05/02/2016	04/29/2016	05/03/2016	05/02/2016
		Ϋ́	R LT DU USGVSP	LORD ABBETT INVT TR					
0.00	-448.00	543916688	103.23 USD		Purchase	05/02/2016	04/29/2016	05/02/2016	05/02/2016
			R LT DU USGVSP	LORD ABBETT INVT TR					
0.00	-522.00	543916688	120.28 USD		Purchase	05/03/2016	05/02/2016	05/03/2016	05/03/2016
			N FD-I	HSBC TOTAL RETURN FD-					
0.00	526.00	40428X156	-53.73 USD		Sale	05/03/2016	05/02/2016	05/04/2016	05/03/2016
			NFD-	HSBC TOTAL RETURN FD-					
0.00	463.00	40428X156	-47.58 USD		Sale	05/04/2016	05/03/2016	05/05/2016	05/04/2016
		Y	R LT DU USGVSP	LORD ABBETT INVT TR					
0.00	-469.00	543916688	108.06 USD		Purchase	05/04/2016	05/03/2016	05/03/2016	05/04/2016
		Ϋ́	R LT DU USGVSP	LORD ABBETT INVT TR					
0.00	-442.00	543916688	101.84 USD		Purchase	05/05/2016	05/04/2016	05/04/2016	05/05/2016
	E-1		V FD-1	HSBC TOTAL RETURN FD-I					
0.00	380.17	40428X156	-39.19 USD		Sale	05/05/2016	05/04/2016	05/06/2016	05/05/2016

04/22/2016 Sale HSBC TOTAL RETURN PD-1 A4.68 USD 40428X156 40428X156 04/22/2016 Purchase NUVEEN INVT TR V PPD SECS CL R 670700400 -2 01/20/2016 Purchase NUVEEN INVT TR V PPD SECS CL R -2 01/20/2016 Purchase NUVEEN INVT TR V PPD SECS CL R -2 01/20/2016 Purchase NUVEEN INVT TR V PPD SECS CL R -2 01/20/2016 Purchase NUVEEN INVT TR V PPD SECS CL R -2 01/20/2016 Purchase NUVEEN INVT TR V PPD SECS CL R -2 01/20/2016 Purchase NUVEEN INVT TR V PPD SECS CL R -2 01/20/2016 Purchase SIT DIVIDEND GROWTH FD-1 -2 -2 11/24/2015 Purchase FEDERATED INST HI YLD BD-IS -118.38 USD 56166Y404 1 11/24/2015 Sale TOTAL RETURN I -137.72 USD 56166Y404 1 11/16/2015 Sale HSBC FDS TOTAL RETURN I -1 11/109/2015			<u> </u>	TOTAL RETURN I	HSBC FDS					
04/21/2016 04/22/2016 Sale	0.00	842.00	40428X156	-81.91 USD		Sale	11/06/2015	11/05/2015	11/09/2015	11/06/2015
0421/2016 0422/2016 0422/2016 0422/2016 0422/2016 0422/2016 0422/2016 0422/2016 0422/2016 0422/2016 0121/2016 0121/2016 0121/2016 0121/2016 0120				TOTAL RETURN	HSBC FDS					
0421/2016 04/22/2016 Sale HSBC TOTAL RETURN FD-	0.00	836.00	40428X156	-81.80 USD		Sale	11/09/2015	11/06/2015	11/10/2015	11/09/2015
0421/2016 04/22/2016 04/22/2016 Purchase HSBC TOTAL RETURN PD				TOTAL RETURN I	HSBC FDS					
04/21/2016 04/22/2016 Sale HSBC TOTAL RETURN FD-I	0.00	816.00	40428X156	-80.00 USD		Sale	11/10/2015	11/09/2015	11/11/2015	11/10/2015
04/21/2016 04/22/2016 Sale HSBC TOTAL RETURN FD				TOTAL RETURN I	HSBC FDS					
0421/2016 04/22/2016 Sale HSBC TOTAL RETURN FD-1 S6.02 USD 40428X156 925.00	0.00	831.00	40428X156	-81.31 USD		Sale	11/12/2015	11/10/2015	11/12/2015	11/12/2015
04/21/2016 04/22/2016 Sale HSBC TOTAL RETURN FD				TOTAL RETURN I	HSBC FDS					
04/21/2016 04/22/2016 O4/22/2016 Purchase HSBC TOTAL RETURN PD-1	0.00	807.00	40428X156	-78.89 USD		Sale	11/13/2015	11/12/2015	11/16/2015	11/13/2015
04/21/2016 04/22/2016 Purchase HSBC TOTAL RETURN FD-			-	TOTAL RETURN	HSBC FDS			j		
04/27/2016 04/22/2016 Purchase HSBC TOTAL RETURN FD-	0.00	560.00	40428X156	-54.96 USD		Sale	11/16/2015	11/13/2015	11/17/2015	11/16/2015
O4/21/2016 O4/22/2016 O4/22/2016 O4/22/2016 O4/22/2016 O4/22/2016 O4/22/2016 O4/22/2016 O1/21/2016 O1/21/2016 O1/21/2016 O1/21/2016 O1/21/2016 O1/21/2016 O1/20/2016 O1/				PELINE-INST	TORTOISE MLP & P					
04/21/2016 04/22/2016 O4/22/2016 O4/22/2016 Purchase HSBC TOTAL RETURN FD-I	0.00	1,592.00	56166Y404	-137.72 USD		Sale	11/24/2015	11/23/2015	11/24/2015	11/24/2015
04/21/2016 O4/22/2016 Sale +SBC TOTAL RETURN FD-I -94.68 USD 40428X156 925.00 925.00 04/21/2016 04/22/2016 Purchase NUVEEN INVT TR V PFD SECS CL R F707700400 -935.00 -935.00 01/20/2016 01/21/2016 Purchase NUVEEN INVT TR V PFD SECS CL R F70700400 -2,652.00 -935.00 01/19/2016 01/20/2016 Purchase NUVEEN INVT TR V PFD SECS CL R F70700400 -2,652.00 -2,652.00 01/19/2016 01/20/2016 Sale COLUMBIA CONV SECURITIES-Z 19765H727 4,749.97 4,749.97 01/15/2015 12/01/2015 Purchase SIT DIVIDEND GROWTH FD-1 194.34 USD 82980D707 -2,748.00 -2,061.00 11/24/2015 11/25/2015 Sale FEDERATED INST H YLD BD-IS 31420B300 -2,061.00 -3,433.00 11/23/2015 11/264/2015 Purchase FEDERATED INST H YLD BD-IS 31420B300 -3,433.00 -3,433.00				II YLD BD-IS	FEDERATED INST I					
04/21/2016 04/22/2016 O4/22/2016 O4/	0.00	-3,433.00	31420B300	367.56 USD		Purchase	11/24/2015	11/23/2015	11/24/2015	11/24/2015
04/21/2016 04/22/2016 Sale HSBC TOTAL RETURN FD- 04/21/2016 04/22/2016 Purchase NUVEEN INVT TR V PFD SECS CL R 01/20/2016 01/20/2016 Purchase NUVEEN INVT TR V PFD SECS CL R 01/19/2016 01/20/2016 Purchase NUVEEN INVT TR V PFD SECS CL R 01/19/2016 01/20/2016 Purchase NUVEEN INVT TR V PFD SECS CL R 01/19/2016 01/20/2016 Sale COLUMBIA CONV SECURITIES-Z 01/19/2015 12/01/2015 Purchase SIT DIVIDEND GROWTH FD-I 11/24/2015 11/25/2015 Sale FEDERATED INST HI YLD BD-IS 11/24/2015 11/25/2015 Sale FEDERATED INST HI YLD BD-IS 11/24/2015 11/25/2015 Sale FEDERATED INST HI YLD BD-IS 11/24/2015 11/25/2015 Sale PEDERATED INST HI YLD BD-IS 11/24/2015 11/25/2015 PURCHASE PEDERATED INST HI YLD BD-IS 11/24/2015 PURCHASE PURCHASE PEDERATED INST HI YLD BD-IS 11/24/2015 PURCHASE PURCHASE PEDERATED INST HI YLD BD-IS 11/24/2015 PURCHASE PURCHASE PURCHASE PURCHASE PURCHASE PURCHASE PUR				PELINE-INST	TORTOISE MLP & P					
04/21/2016 04/22/2016 Sale HSBC TOTAL RETURN FD-I	0.00	1,394.46	56166Y404	-118.38 USD		Sale	11/25/2015	11/24/2015	11/25/2015	11/25/2015
04/21/2016 04/22/2016 Sale Sa				II YLD BD-IS	FEDERATED INST H					
04/21/2016 04/22/2016 Sale Sa	0.00	-2,061.00	31420B300	220.66 USD		Purchase	12/01/2015	11/30/2015	12/01/2015	12/01/2015
04/21/2016 04/22/2016 Sale HSBC TOTAL RETURN FD-I				WTH FD-I	SIT DIVIDEND GRO					
04/21/2016 O4/22/2016 Sale -94.68 USD 40428X156 925.00 04/21/2016 04/22/2016 Purchase HSBC TOTAL RETURN FD-I 56.02 USD 670700400 -935.00 935.00 04/21/2016 04/22/2016 Purchase NUVEEN INVT TR V PFD SECS CL R 670700400 -2,652.00 935.00 01/20/2016 01/20/2016 Purchase NUVEEN INVT TR V PFD SECS CL R 670700400 -2,652.00 935.00 01/19/2016 01/20/2016 Purchase NUVEEN INVT TR V PFD SECS CL R 670700400 -2,652.00 935.00 01/19/2016 01/20/2016 Purchase NUVEEN INVT TR V PFD SECS CL R 670700400 -2,673.00 935.00 01/19/2016 01/20/2016 Sale COLUMBIA CONV SECURITIES-Z 19765H727 4,749.97 4,749.97	0.00	-2,748.00	82980D707	194.34 USD		Purchase	01/19/2016	01/15/2016	01/15/2016	01/19/2016
04/21/2016 04/22/2016 Sale -94.68 USD 40428X156 925.00 04/21/2016 04/22/2016 Purchase HSBC TOTAL RETURN FD-I 56.02 USD 670700400 -935.00 935.00 01/20/2016 04/22/2016 Purchase NUVEEN INVT TR V PFD SECS CL R 670700400 -2,652.00 935.0				ECURITIES-Z	COLUMBIA CONV S					j
04/21/2016 04/22/2016 Sale HSBC TOTAL RETURN FD-	0.00	4,749.97	19765H727	-314.98 USD		Sale	01/20/2016	01/19/2016	01/20/2016	01/20/2016
04/21/2016 O4/22/2016 Sale -94.68 USD 40428X156 925.00 04/21/2016 04/22/2016 Purchase HSBC TOTAL RETURN FD-I 670700400 -935.00 -935.00 01/20/2016 04/22/2016 Purchase NUVEEN INVT TR V PFD SECS CL R 670700400 -2,652.00 01/20/2016 01/21/2016 Purchase NUVEEN INVT TR V PFD SECS CL R -2,652.00 01/19/2016 01/20/2016 Purchase NUVEEN INVT TR V PFD SECS CL R -2,652.00 01/19/2016 01/20/2016 Purchase NUVEEN INVT TR V PFD SECS CL R -2,652.00					NUVEEN INVT TR V		:			
04/21/2016 Sale -94.68 USD 40428X156 925.00 04/21/2016 04/22/2016 Purchase HSBC TOTAL RETURN FD-I 56.02 USD 670700400 -935.00 -935.00 01/20/2016 01/21/2016 Purchase NUVEEN INVT TR V PFD SECS CL R 670700400 -2,652.00 -2,652.00 01/20/2016 01/21/2016 PUVEEN INVT TR V PFD SECS CL R -2,652.00 -2,652.00 -2,652.00	0.00	-2,673.00	670700400	159.49 USD	:	Purchase	01/20/2016	01/19/2016	01/19/2016	01/20/2016
04/21/2016 O4/22/2016 Sale -94.68 USD 40428X156 925.00 04/21/2016 04/22/2016 Purchase HSBC TOTAL RETURN FD-I 56.02 USD 670700400 -935.00 01/20/2016 01/21/2016 Purchase NUVEEN INVT TR V PFD SECS CL R 01/20/2016 01/21/2016 Purchase 159.18 USD 670700400 -2,652.00			!		NUVEEN INVT TR V					
04/21/2016 04/22/2016 Sale	0.00	-2,652.00	670700400	159.18 USD	1	Purchase	01/21/2016	01/20/2016	01/20/2016	01/21/2016
04/21/2016 04/22/2016 Sale -94.68 USD 40428X156 925.00 04/21/2016 04/22/2016 HSBC TOTAL RETURN FD-I 56.02 USD 670700400 -935.00					NUVEEN INVT TR V					
04/21/2016 04/22/2016 Sale -94.68 USD 40428X156 925.00 HSBC TOTAL RETURN FD-1	0.00	-935.00	670700400	56.02 USD		Purchase	04/22/2016	04/21/2016	04/21/2016	04/22/2016
04/21/2016 04/22/2016 Sale -94.68 USD 40428X156 925.00				RN FD-I	HSBC TOTAL RETU					
	0.00	925.00	40428X156	-94.68 USD		Sale	04/22/2016	04/21/2016	04/25/2016	04/22/2016
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Account Title: PHILIP ROSENTHAL - TAP DYS

		ADVANTAGE I	EATON VANCE FLOATING-RATE AI	EATON VANCE					
0.00	4,181.00	277923637	-388.21 USD		Sale	08/11/2015	08/10/2015	08/11/2015	08/11/2015
		INC FD	CREDIT SUISSE FLOATING RATE HIGH	CREDIT SUISSE					
0.00	-4,181.00	22540S836	613.95 USD		Purchase	08/11/2015	08/10/2015	08/12/2015	08/11/2015
			ROWTH FUND-I	SIT DIVIDEND GROWTH FUND-					
0.00	-3,394.00	82980D707	193.06 USD		Purchase	08/13/2015	08/12/2015	08/12/2015	08/13/2015
			CLEARBRIDGE DIV STRATEGY FD - I	CLEARBRIDGE I	j				
0.00	7,899.93	52469H594	-395.19 USD		Sale	08/13/2015	08/12/2015	08/14/2015	08/13/2015
	į		(L/CEQUITY-I	JOHN HANCOCK L/C EQUITY-I					
0.00	-2,776.00	41013P608	62.89 USD		Purchase	08/13/2015	08/12/2015	08/12/2015	08/13/2015
		ADVANTAGE	EATON VANCE FLOATING-RATE AI	EATON VANCE	!				
0.00	13,112.00	277923637	-1,221.99 USD		Sale	08/17/2015	08/14/2015	08/14/2015	08/17/2015
		CRED STRA INST		AVENUE MUT FDS TR					
0.00	3,385.53	05358F301	-323.05 USD		Sale	08/17/2015	08/14/2015	08/18/2015	08/17/2015
			TING RATE-F	TRP INST FLOATING RATE-F					
0.00	-2,782.00	77958B105	276.54 USD		Purchase	08/17/2015	08/14/2015	08/17/2015	08/17/2015
		INC FD	CREDIT SUISSE FLOATING RATE HIGH	CREDIT SUISSE	:	:			
0.00	-9,740.00	22540S836	1,432.35 USD		Purchase	08/17/2015	08/14/2015	08/17/2015	08/17/2015
		T DU USGVSP Y		LORD ABBETT INVT TR					
0.00	-3,048.00	543916688	692.73 USD		Purchase	08/19/2015	08/18/2015	08/18/2015	08/19/2015
		ADVANTAGE I	EATON VANCE FLOATING-RATE AI	EATON VANCE					
0.00	3,516.00	277923637	-327.98 USD		Sale	08/20/2015	08/19/2015	08/19/2015	08/20/2015
-)TAL RET BD-I	DOUBLELINE TOTAL RET BD-					
0.00	-4,076.00	258620103	370.54 USD		Purchase	08/25/2015	08/24/2015	08/24/2015	08/25/2015
		INC FD	CHEDIT SUISSE FLOATING RATE HIGH	CREDIT SUISSE					
0.00	-2,608.00	22540S836	388.10 USD		Purchase	10/27/2015	10/26/2015	10/27/2015	10/27/2015
			TING RATE-F	TRP INST FLOATING RATE-F					
0.00	415.00	77958B105	41.79 USD		Purchase	10/30/2015	10/29/2015	10/30/2015	10/30/2015
	IBLE SECURITIES FD - Z	CONVERTIBLE SECU	COLUMBIA FD SER TRT - COLUMBIA (COLUMBIA FD S					
0.00	3,427.00	19765H727	-190.92 USD		Sale	10/30/2015	10/29/2015	10/29/2015	10/30/2015
			TOTAL RETURN	HSBC FDS					
0.00	1,483.00	40428X156	-144.26 USD		Sale	11/05/2015	11/04/2015	11/06/2015	11/05/2015
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			The state of the s			Appendix and the second	See Section Co. Section 1	A Commence of the Commence of	10 mm

			PELINE-INS	TORTOISE MLP & PIPELINE-INS					
	1,716.00	56166Y404	-104.44 USD		Sale	04/09/2015	04/08/2015	04/09/2015	04/09/2015
	IES FD - Z	CONVERTIBLE SECURITIES FD - Z		COLUMBIA FD SER TRT - COLUMBIA					
	2,953.00	19765H727	_		Sale	04/09/2015	04/08/2015	04/08/2015	04/09/2015
Ž	FUND 1300 JP MORGAN CHASE BANK TRADE DATE 05/05/15	300 TRADE DATE 05/0		JPM INTREPID EUROPEAN FD - INSTL SERVICING AGENT @ 25.45					
L	2,802.00	4812A0680	-110.10 USD		Sale	05/06/2015	05/05/2015	05/06/2015	05/06/2015
			BMO PYRFORD INTERNATIONAL STOCK FD	BMO PYRFORD INTI	-	j			
	-2,830.00	09658L513	215.21 USD		Purchase	05/06/2015	05/05/2015	05/06/2015	05/06/2015
4		ST	R CRED STRA INS	AVENUE MUT FDS TR					
	1,415.00	05358F301	-131.26 USD		Sale	05/07/2015	05/06/2015	05/08/2015	05/07/2015
^	300 JP MORGAN CHASE BANK THADE DATE 05/07/15	300 THADE DATE 05/0	OPEAN FD - INSTL FUND 13	JPM INTREPID EUROPEAN FD - INSTL SERVICING AGENT @ 25.74					
\vdash	2,905.84	4812A0680	-112.89 USD		Sale	05/08/2015	05/07/2015	05/08/2015	05/08/2015
┨	ŧ		BMO PYRFORD INTERNATIONAL STOCK FD	BMO PYRFORD INTE					
\vdash	-2,793.00	09658L513	212.88 USD		Purchase	05/08/2015	05/07/2015	05/08/2015	05/08/2015
1		ST	R CRED STRA INST	AVENUE MUT FDS TR					
	1,725.00	05358F301	-159.57 USD		Sale	05/11/2015	05/08/2015	05/12/2015	05/11/2015
			BMO PYRFORD INTERNATIONAL STOCK FD	BMO PYRFORD INTE					
	-2,802.00	09658L513	220.80 USD		Purchase	07/13/2015	07/10/2015	07/13/2015	07/13/2015
ı			VIDEND-INS	MATTHEWS ASIA DIVIDEND-INS			i		
	-1,541.00	577130750	93.51 USD	-	Purchase	07/13/2015	07/10/2015	07/10/2015	07/13/2015
			PELINE-INS	TORTOISE MLP & PIPELINE-INS					
	1,345.00	56166Y404	-85.45 USD		Sale	07/15/2015	07/14/2015	07/15/2015	07/15/2015
		OME	ITY INC FD-I CAP & INCO	CLEARBRIDGE EQUITY INC FD-					
	6,841.00	52469H594	-338.50 USD		Sale	07/15/2015	07/14/2015	07/16/2015	07/15/2015
			EQUITY-I	JOHN HANCOCK L/C EQUITY-I					
	-8,420.00	41013P608	190.76 USD		Purchase	07/15/2015	07/14/2015	07/14/2015	07/15/2015
			INED BOND-P	PIMCO UNCONSTRAINED BOND-P					
	-8,368.00	72201M453	758.66 USD		Purchase	08/10/2015	08/07/2015	08/07/2015	08/10/2015
		ST	R CRED STRA INS	AVENUE MUT FDS TR					
	3,485.00	05358F301	-330.64 USD		Sale	08/10/2015	08/07/2015	08/11/2015	08/10/2015
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Account Number.

Account Title: PHILIP ROSENTHAL - TAP DYS

				HYIELD BOND	BLACKROCK HIGH YIELD BOND					
	0.00	-14,943.00	091929638	1,874.91 USD		Purchase	04/07/2015	04/06/2015	04/07/2015	04/07/2015
	!		GE I	ADVANTA	EATON VANCE FLOATING-RATE					
	0.00	-21,165.00	277923637	1,938.19 USD		Purchase	04/07/2015	04/06/2015	04/06/2015	04/07/2015
			CL	FDS TOTAL RET	METROPOLITAN WEST					
	0.00	-20,427.00	592905509	1,851.95 USD		Purchase	04/07/2015	04/06/2015	04/07/2015	04/07/2015
AS SHAREHOLDER	AS	JP MORGAN CHASE BANK	D 2130 TRADE DATE 04/06/15	JPM UNCONSTRAINED DEBT FD - SELECT FUND SERVICING AGENT @ 10.15	JPM UNCONSTRA SERVICING AGEN					
	0.00	-15,441.00	48121A290	1,521.28 USD		Purchase	04/07/2015	04/06/2015	04/07/2015	04/07/2015
AS SHAREHOLDER	AS SHA	300 JP MORGAN CHASE BANK TRADE DATE 04/06/15	NADE DATE (JPM INTREPID EUROPEAN FD - INSTL FUND 13 SERVICING AGENT @ 25.62	JPM INTREPID EU SERVICING AGEN		!			
	0.00	-5,713.00	4812A0680	222.99 USD		Purchase	04/07/2015	04/06/2015	04/07/2015	04/07/2015
;	į	RITIES FD - Z	TIBLE SECURITIES FD - 2	COLUMBIA FD SER TRT - COLUMBIA CONVER	COLUMBIA FD SEP					
	0.00	-12,792.00	19765H727	656.34 USD		Purchase	04/07/2015	04/06/2015	04/06/2015	04/07/2015
				DIVIDEND-INS	MATTHEWS ASIA DIVIDEND-INS					
	0.00	-9,024.00	577130750	531.45 USD	_	Purchase	04/07/2015	04/06/2015	04/06/2015	04/07/2015
			Y	/TTR LT DU USGVSP	LORD ABBETT INVT TR	!			j	
	0.00	-13,781.00	543916688	3,089.91 USD		Purchase	04/07/2015	04/06/2015	04/06/2015	04/07/2015
		IND INC	D INCOME FUND INC	COHEN & STEERS PREFERRED SECURITIES AN	COHEN & STEERS					
	0.00	-18,953.00	19248X307	1,361.57 USD		Purchase	04/07/2015	04/06/2015	04/07/2015	04/07/2015
				NG RATE-F	TRP INST FLOATING RATE-F					
	0.00	-9,838.00	77958B105	968.31 USD		Purchase	04/07/2015	04/06/2015	04/08/2015	04/07/2015
3			7	STR CRED STRA INS	AVENUE MUT FDS TR					
	0.00	-10,097.00	05358F301	944.53 USD		Purchase	04/07/2015	04/06/2015	04/08/2015	04/07/2015
			OME	CAP & INC	CLEARBRIDGE EQUITY INC FD-I					
	0.00	-15,070.00	52469H594	733.69 USD	_	Purchase	04/07/2015	04/06/2015	04/08/2015	04/07/2015
;		· · · · · · · · · · · · · · · · · · ·		TIBLE SEC-INST	HARBOR CONVERTIBLE SEC-INST	!				
	0.00	-7,945.00	411512734	728.23 USD		Purchase	04/07/2015	04/06/2015	04/08/2015	04/07/2015
				-LD BOND-INST	HARBOR HIGH YIELD BOND-INST					
	0.00	-7,129.00	411511553	678.95 USD		Purchase	04/07/2015	04/06/2015	04/07/2015	04/07/2015
				TOTAL RETURN I	HSBC FDS					
	0.00	-12,531.00	40428X156	1,208.39 USD		Purchase	04/07/2015	04/06/2015	04/08/2015	04/07/2015
))									

05/03/2016	04/29/2016 05/03/2016 04/29/2016 05/02/2016 05/02/2016	05/04/2016 05/02/2016 04/29/2016 05/03/2016 04/29/2016 05/02/2016 05/02/2016 05/02/2016
Dividend Dividend Dividend	Dividend Purchase Dividend Dividend Dividend	Dividend Dividend Dividend Dividend Dividend Dividend
Dividend Dividend	Dividend Purchase Dividend Dividend	Purchase Dividend Dividend Dividend Dividend Dividend
		nase end end end
LORD ABBETT INVT TR AS OF 04/29/16	FEDERATED INST HI YLD BD-1 4,055 DOUBLELINE TOTL RET BND-33 39 JPM TAX FREE MMKT INST SV LORD ABBETT INVT TR AS OF 04/29/16 1,286	A TAX FREE MMK A TAX FREE MMK DEBATED INST H UBLELINE TOTL I UBLELINE TOTL I OF 04/29/16
1		JPM TAX FREE MMKT INST SWEEP FD #840 290.37 USD 290.37 USD 290.37 USD 588.22 USD 588.22 USD 4,055.01 USD 4,055.01 USD DOUBLELINE TOTL RET BND-1 JPM TAX FREE MMKT INST SWEEP FD #840 4,174.54 USD LORD ABBETT INVT TR LT DU USG AS OF 64/29/16
4,174.54 USD LT DU USGVSP		
543016688	16 16	6 6
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	.059 PER SHARE	

Account Number: Account Title: PHILIP ROSENTHAL - TAP DYS

			JPM TAX FREE MMKT INST SWEEP FD #840	JPM TAX FREE N				
0.00	-362.54	870994969	362.54 USD		Purchase		04/04/2016	04/04/2016
	i		JPM TAX FREE MMKT INST SWEEP FD #840	JPM TAX FREE N				
0.00	-289.00	870994969	289.00 USD		Purchase		04/05/2016	04/05/2016
AS OF 04/13/16	@ 0.070 PER SHARE /	04/13/16 INCOME DIVIDEND		SIT DIVIDEND GROWTH FD-I				
0.00	80.13	82980D707	1,145.11 USD		Dividend		04/13/2016	04/14/2016
			JPM TAX FREE MMKT INST SWEEP FD #840	JPM TAX FREE N			-	
0.00	-80.13	870994969	80.13 USD		Purchase		04/14/2016	04/14/2016
			JPM TAX FREE MMKT INST SWEEP FD #840	JPM TAX FREE N				
0.00	999.11	870994969	-999.11 USD		Sale		04/19/2016	04/19/2016
	FEE FOR THE PERIOD 01-01-2016 TO 03-31-2016	FEE FOR THE PER	JPMORGAN CHASE INVESTMENT MANAGEMENT	JPMORGAN CHA			-	
0.00	-999.11		0.00 USD		Fees		04/19/2016	04/19/2016
·			JPM TAX FREE MMKT INST SWEEP FD #840	JPM TAX FREE N				
0.00	10.00	870994969	-10.00 USD		Sale		04/22/2016	04/22/2016
			JPM TAX FREE MMKT INST SWEEP FD #840	JPM TAX FREE N				
0.00	24.00	870994969	-24.00 USD		Sale		04/25/2016	04/25/2016
			JPM TAX FREE MMKT INST SWEEP FD #840	JPM TAX FREE N				
0.00	-7.00	870994969	7.00 USD		Purchase		04/26/2016	04/26/2016
-			JPM TAX FREE MMKT INST SWEEP FD #840	JPM TAX FREE N				
0.00	49.00	870994969	49.00 USD		Purchase		04/27/2016	04/27/2016
AS OF 04/29/16	D @ 0.033 PER SHARE	INCOME DIVIDEND	BLACKROCK HIGH YIELD PT-BLAC 04/29/16	BLACKROCK HIG				:
0.00	65.32	091929687	1,874.91 USD		Dividend		05/02/2016	05/02/2016
0.017 PER SHARE	04/29/16 INCOME DIVIDEND @	כרו	TOTAL RET	METROPOLITAN WEST FDS AS OF 04/29/16				
0.00	32.40	592905509	1,851.95 USD		Dividend		05/02/2016	05/02/2016
			JPM TAX FREE MMKT INST SWEEP FD #840	JPM TAX FREE N				
0.00	-8.50	870994969	8.50 USD		Purchase		05/02/2016	05/02/2016
			JPM TAX FREE MMKT INST SWEEP FD #840	JPM TAX FREE N				
0.00	2.50	870994969	0.00 USD		Dividend	***	05/02/2016	05/02/2016
AS OF 05/02/16	0.039 PER SHARE	INCOME DIVIDEND	RIDGEWORTH SEIX FLOATING-IS 05/02/16	RIDGEWORTH S				
0.00	61.98	76628U105	uso		Dividend		05/03/2016	05/03/2016
AS OF 04/29/16	@ 0.067 PER SHARE	INCOME DIVIDEND	COHEN & STEERS PR SEC&INC-I 04/29/16	COHEN & STEEF				
0.00	91.22	19248X307	1,361.57 USD		Dividend		05/02/2016	05/03/2016
The state of the s			PANCHES AND		A STATE OF THE STA	CONTRACTOR OF THE PROPERTY OF	- 1,000 mg	

04/04/2016 04/01/2016 04/04/2016 04/01/2016 04/01/2016 04/01/2016 04/01/2016 04/01/2016 04/01/2016 03/31/2016 04/01/2016 04/01/2016 04/01/2016 04/01/2016													ļ 				04/04/2016 03/31/2016		04/04/2016 03/31/2016		04/04/2016 04/01/2016		04/04/2016 04/01/2016		04/04/2016 04/01/2016		04/04/2016 03/31/2016		04/04/2016 04/04/2016	
Purchase Dividend Dividend Dividend Dividend	Purchase Dividend Dividend Dividend Dividend	Purchase Dividend Dividend Dividend	Purchase Dividend Dividend	Purchase Dividend Dividend	Purchase Dividend	Purchase Dividend	Purchase	Purchase	Purchase	Purchase		_	Dividend		Dividend		Dividend		Dividend		Dividend		Dividend		Dividend		Dividend		Dividend	
#840 870994969 870994969 870994969 870994969 870994969 870994969 870994969 870994969 870994969 870994969 870994969 8709949697 870949697 870949697 870949697 870949697 870949697 87094969697 87094969697 87094969697 87094969697 87094969697 87094969697 87094969697 87094969697 87094969699999999999999999999999999999999	PFD SECS CL R 76.25 USD 77.0994969 77.72 77.0994969 77.09	PFD SECS CL R 04/01/16 INCOME 76.25 USD 87/0994969 -76.25 CT INST SWEEP FD #840 CT INST SWEEP FD #840 CT INST SWEEP FD #840 T728.23 USD 411512734 18.03 IBLE SEC-INST 03/30/16 INCOME DIVIDEND @ 05/78.25 D BOND-INST 03/30/16 INCOME DIVIDEND @ 05/78.25	PFD SECS CL R 04/01/16 INCOME 76.25 USD 87/0994969 -76.25 (T INST SWEEP FD #840 0.05) CT INST SWEEP FD #840 87/0994969 0.53 CT INST SWEEP FD #840 411512734 18.03 IBLE SEC-INST 03/30/16 INCOME DIVIDEND 678.95 USD 411511553 75.72 D BOND-INST 03/30/16 INCOME DIVIDEND 69 0	PFD SECS CL R 04/01/16 INCOME 76.25 USD 87/0994969 -76.25 (T INST SWEEP FD #840 0.05) CT INST SWEEP FD #840 0.53 CT INST SWEEP FD #840 18.03 IBLE SEC-INST 03/30/16 INCOME DIVIDEND 678.95 USD 411511553 75.72	PFD SECS CL R 04/01/16 INCOME 76.25 USD 87/0994969 -76.25 (T INST SWEEP FD #840 0.53 CT INST SWEEP FD #840 728.23 USD 411512734 18.03 IBLE SEC-INST 03/30/16 INCOME DIVIDEND @	PFD SECS CLR 04/01/16 INCOME DIVIDEND 76.25 USD 870994969 -76.25 CT INST SWEEP FD #840 0.53 CT INST SWEEP FD #840 870994969 0.53 CT INST SWEEP FD #840 411512734 18.03	PFD SECS CLR 04/01/16 INCOME DIVIDEND 76.25 USD 870994969 -76.25 CT INST SWEEP FD #840 0.00 USD 870994969 0.53 CT INST SWEEP FD #840	PFD SECS CL R 04/01/16 INCOME DIVIDEND 76.25 USD 870994969 -76.25 CT INST SWEEP FD #840 0.00 USD 870994969 0.53	PFD SECS CL R 04/01/16 INCOME DIVIDEND 76.25 USD 870994969 -76.25 CT INST SWEEP FD #840	76.25 USD 870994969 -76.25	PFD SECS CLR 04/01/16 INCOME DIVIDEND		318.67 USD 670700400 26.00	TROWE PRINST FLOAT RT-F 03/31/16 INCOME DIVIDEND @ 0.036 PER SHARE	1,286.64 USD 77958B105 46.10	LORD ABBETT INVT TR LT DU USGVSP Y 03/31/16 INCOME DIVIDEND AS OF 03/31/16	3,782.64 USD 543916688 56.00	PIMCO UNCONSTRAINED BOND-P 03/31/16 INCOME DIVIDEND @ 0.020 PER SHARE	_	CREDIT SUISSE FL RT HI IN-I 03/31/16 INCOME DIVIDEND @ 0.030 PER SHARE	64.5	FEDERATED INST HI YLD BD-IS 03/31/16 INCOME DIVIDEND @ 0.055 PER SHARE	588.22 USD 31420B300 28.23	COHEN & STEERS PR SEC&INC-I 03/31/16 INCOME DIVIDEND @ 0.067 PER SHARE	1,361.57 USD 19248X307 91.22	DOUBLELINE TOTL RET BND-I 03/31/16 INCOME DIVIDEND @ 0.036 PER SHARE	4,055.01 USD 258620103 145.13	RIDGEWORTH SEIX FLOATING-IS 04/01/16 INCOME DIVIDEND @ 0.034 PER SHARE	1,676.52 USD 76628U105 58.89	
0.00 0.00 AS OF 03/30/16 0.00 AS OF 03/31/16 0.00	0.00 0.00 AS OF 03/30/16 0.00 AS OF 03/30/16 0.00 AS OF 03/31/16	0.00 0.00 AS OF 03/30/16 0.00 0.00	0.00 0.	0.00 0.00 AS OF 03/30/16	0.00 0.00 AS OF 03/30/16	0.00	0.00	0.00	0.00	0.00	3	0.058 PER SHARE	0.00	AS OF 03/31/16	0.00	© 0.005 PER SHARE	0.00	AS OF 03/31/16	0.00	AS OF 03/31/16	0.00	AS OF 03/31/16	0.00	AS OF 03/31/16	0.00	AS OF 03/31/16	0.00	AS OF 04/01/16	0.00	

				EP FD #840	IKT INST SWE	JPM TAX FREE MMKT INST SWEEP FD #840				1
0.00	-0.16		870994969	0.16 USD	0.10		Purchase		03/01/2016	03/01/2016
	- - - -			EP FD #840	IKT INST SWE	JPM TAX FREE MMKT INST SWEEP FD #840				
0.00	0.16		870994969	0.00 USD	0.0		Dividend		03/01/2016	03/01/2016
AS OF 02/29/16	© 0.067 PER SHARE		INCOME DIVIDEND	02/29/16	PR SEC&INC-	COHEN & STEERS PR SEC&INC-I				
0.00	91.22	9	19246X307	7 USD	1,361.57 USD	-	Dividend		03/01/2016	03/02/2016
AS OF 03/01/16	© 0.032 PER SHARE		INCOME DIVIDEND	S 03/01/16	X FLOATING-I	RIDGEWORTH SEIX FLOATING-IS				
0.00	55.78	5	76628U105	2 USD	1,676.52 USD		Dividend		03/02/2016	03/02/2016
0.002 PER SHARE	02/29/16 INCOME DIVIDEND @	02/29/16	\ 	LT DU USGVSP	TTR	AS OF 02/29/16				
0.00	56.64	Qı	543916688	4 USD	3,782.64 USD		Dividend		02/29/2016	03/02/2016
AS OF 02/29/16	@ 0.018 PER SHARE	DEND	6 INCOME DIVIDEND	02/29/1	AINED BOND	PIMCO UNCONSTRAINED BOND-P				
0.00	13.46	_	72201M453	758.66 USD	758.60		Dividend	-	02/29/2016	03/02/2016
AS OF 02/29/16	0.026 PER SHARE	0	02/29/16 INCOME DIVIDEND	02/29/16 INC	RT HI IN-I	CREDIT SUISSE FL RT HI IN-I				!
0.00	63.16		22540S836	USD	2,434.40 USD		Dividend		03/01/2016	03/02/2016
AS OF 02/29/16	0.030 PER SHARE	D	02/29/16 INCOME DIVIDEND	02/29/16 IN	RET BND-1	DOUBLELINE TOTL RET BND-I				
0.00	122,83	12	258620103	1 USD	4,055.01 USD	_	Dividend		02/29/2016	03/02/2016
0.081 PER SHARE	03/01/16 INCOME DIVIDEND @	01/16 INC	03/	PFD SECS CL R	!	NUVEEN INVT TR V AS OF 03/01/16				
0.00	26.05	2	670700400	318.67 USD	318.67		Dividend		03/01/2016	03/02/2016
AS OF 02/29/16	0.034 PER SHARE	D	COME DIVIDEND	02/29/16 IN	LOAT RT-F	T ROWE PR INST FLOAT RT-F				
0.00	44.18	4	77958B105	4 USD	1,286.64 USD		Dividend		03/01/2016	03/02/2016
AS OF 02/29/16	0.048 PER SHARE	D	COME DIVIDEND	02/29/16 IN	HI YLD BD-IS	FEDERATED INST HI YLD BD-IS				
0.00	28.32	22	31420B300	2 USD	588.22 USD		Dividend		03/01/2016	03/02/2016
				EP FD #840	KT INST SWE	JPM TAX FREE MMKT INST SWEEP FD #840				
0.00	-303.49	-30	870994969	303.49 USD	303.49		Purchase		03/02/2016	03/02/2016
				EP FD #840	KT INST SWE	JPM TAX FREE MMKT INST SWEEP FD #840				
0.00	-282.66	-28	870994969	BUSD	282.66 USD		Purchase		03/03/2016	03/03/2016
AS OF 03/21/16	@ 0.016 PER SHARE		INCOME DIVIDEND	03/21/16	VIDEND-INST	MATTHEWS ASIA DIVIDEND-INST				
0.00	10.11	 	577130750	624.96 USD	624.96	-	Dividend		03/21/2016	03/22/2016
		<u> </u>		EP FD #840	IKT INST SWE	JPM TAX FREE MMKT INST SWEEP FD #840				
0.00	-10.11	<u>.</u>	870994969	10.11 USD	10.1		Purchase		03/22/2016	03/22/2016
September 1 Septem	THE RESERVE OF THE PERSON NAMED IN COLUMN TWO IS NOT THE PERSON NAMED IN COLUMN TWO IS NAME	1.05 (S. 10 CO)	100 miles 100 mi	1000年の大学の大学の大学の大学の大学の大学の大学の大学の大学の大学の大学の大学の大学の		Section of the sectio	A STATE OF THE PROPERTY OF THE PARTY OF THE	A STATE OF THE PARTY OF THE PAR	The second second second second second	the other way is the second of the

	02/02/2016		02/02/2016		02/02/2016		02/02/2016		02/02/2016		02/02/2016		02/02/2016		02/02/2016		02/03/2016		02/03/2016		02/10/2016		02/26/2016		02/26/2016		03/01/2016		03/01/2016	
	02/01/2016		02/01/2016		02/01/2016	 	01/29/2016	:	02/01/2016		02/02/2016		02/01/2016		02/02/2016		02/03/2016		02/03/2016		02/10/2016		02/26/2016		02/26/2016		03/01/2016		03/01/2016	
															_															
 	Divi		Divi		Divi	 	Divi		Divi		Divi		Divi		Pun		Pun	<u> </u>	Cos		Cos		Pun		Divi		Divi		Divi	A Company of
	Dividend		Dividend		Dividend		Dividend		Dividend		Dividend		Dividend	•	Purchase		Purchase		Cost Adjustment		Cost Adjustment		Purchase		Dividend		Dividend		Dividend	Lineage
COHEN & STEERS PR SEC&INC-I		FEDERATED INST HI YLD BD-IS		NUVEEN INVT TR V AS OF 02/01/16		PIMCO UNCONSTRAINED BOND-P		T ROWE PR INST FLOAT RT-F		RIDGEWORTH SEIX FLOATING-IS		CREDIT SUISSE FL RT HI IN-I		IPM TAX FREE M		IPM TAX FREE M		CREDIT SUISSE FL RT HI IN-I		COHEN & STEERS PR SEC&INC-		IPM TAX FREE M		JPM UNCONSTRA	_	BLACKROCK HIGH YIELD PT-BLAC		METROPOLITAN WEST FDS AS OF 02/29/16		
S PR SEC&INC-I	1,361.57 USD	THI YLD BD-IS	588.22 USD	.	318.67 USD	RAINED BOND-P	758.66 USD	FLOAT RT-F	1,286.64 USD	IX FLOATING-IS	1,676.52 USD		2,434.40 USD	JPM TAX FREE MMKT INST SWEEP FD #840	310.11 USD	JPM TAX FREE MMKT INST SWEEP FD #840	278.81 USD	<u></u>	2,434.40 USD	S PR SEC&INC-I	1,361.57 USD	JPM TAX FREE MMKT INST SWEEP FD #840	33,47 USD	JPM UNCONSTRAINED DEBT FD - SELECT FUN	1,521.28 USD	H YIELD PT-BLAC	1,874.91 USD		1,851.95 USD	
01/29/16 INCO		01/29/16 INCOM	ļ !	PFD SECS CL R		01/29/16 INC		01/29/16 INCOME		02/01/16 INCO		29/16 INC		D#840		D #840		RETURN OF CAPIT		RETURN OF CA		D #840		LECT FUND 2130		02/29/16 INCC		TOTAL RET CL		1000
INCOME DIVIDEND	19248X307	NCOME DIVIDEND	31420B300	02/01/16	670700400	6 INCOME DIVIDEND	72201M453	COME DIVIDEND	77958B105	INCOME DIVIDEND	76628U105	OME DIVIDEND @	22540S836		870994969		870994969	CAPITAL ADJUSTMENT	22540S836	OF CAPITAL ADJUSTMENT	19248X307		870994969		48121A290	INCOME DIVIDEND	091929687	02/2	592905509	
@ 0.067 PER SHARE	91.22	© 0.049 PER SHARE	28.27	02/01/16 INCOME DIVIDEND	8.80	@ 0.017 PER SHARE	12.99	@ 0.029 PER SHARE	37.36	@ 0.032 PER SHARE	54.47	0.028 PER SHARE	67.49		-310.11		-278.81	T FOR 2015 DIVIDENDS	0.00	MENT FOR 2015 DIVIDENDS	0.00		-33.47	@ 0.022 PER SHARE	33,47	@ 0.032 PER SHARE	59.36	02/29/16 INCOME DIVIDEND	25.15	
AS OF 01/29/16		AS OF 01/29/16	0.00	© 0.008 PER SHARE	0.00	RE AS OF 01/29/16	0.00	AS OF 01/29/16	0.00	AS OF 02/01/16	0.00	AS OF 01/29/16	0.00		0.00		0.00	S	0.00	DENDS	0.00		0.00		0.00	E AS OF 02/29/16	0.00	@ 0.014 PER SHARE	0.00	

			JPM TAX FREE MMKT INST SWEEP FD #840	JPM TAX FREE			
0.00	-346.01	870994969	346.01 USD		Purchase	01/05/2016	01/05/2016
			JPM TAX FREE MMKT INST SWEEP FD #840	JPM TAX FREE		-	
0.00	-200.68	870994969	200.68 USD		Purchase	01/06/2016	01/06/2016
	FEE FOR THE PERIOD 10-01-2015 TO 12-31-2015	FEE FOR THE PE	IPMORGAN CHASE INVESTMENT MANAGEMENT	JPMORGAN CH			
0.00	-1,017.99		0.00 USD		Fees	01/19/2016	01/19/2016
			JPM TAX FREE MMKT INST SWEEP FD #840	JPM TAX FREE			
0.00	3,765.99	870994969	-3,765.99 USD		Sale	01/19/2016	01/19/2016
			JPM TAX FREE MMKT INST SWEEP FD #840	JPM TAX FREE			
0.00	-2,076.97	870994969	2,076.97 USD		Purchase	01/20/2016	01/20/2016
			JPM TAX FREE MMKT INST SWEEP FD #840	JPM TAX FREE			
0.00	2,652.00	870994969	-2,652.00 USD		Sale	01/21/2016	01/21/2016
	@ 0.022 PER SHARE	D 2130	JPM UNCONSTRAINED DEBT FD - SELECT FUND	JPM UNCONST			
0.00	33.47	48121A290	1,521.28 USD		Dividend	01/28/2016	01/28/2016
			JPM TAX FREE MMKT INST SWEEP FD #840	JPM TAX FREE			
0.00	-33.47	870994969	33.47 USD	· - <u>-</u>	Purchase	01/28/2016	01/28/2016
	@ 0.005 PER SHARE	OME DIVIDEND	RETURN FD-I 02/01/16 INC	HSBC TOTAL RETURN FD-I			
0.00	3.04	40428X156	605.27 USD		Dividend	02/02/2016	02/01/2016
AS OF 01/29/16	ND @ 0.035 PER SHARE	INCOME DIVIDEND	BLACKROCK HIGH YIELD PT-BLAC 01/29/16	BLACKROCK H			
0.00	65.36	091929687	1,874.91 USD		Dividend	02/01/2016	02/01/2016
© 0.015 PER SHARE	01/29/16 INCOME DIVIDEND	υCL	TOTAL RET	METROPOLITAN WEST FDS AS OF 01/29/16			
0.00	28.55	592905509	1,851.95 USD		Dividend	02/01/2016	02/01/2016
			JPM TAX FREE MMKT INST SWEEP FD #840	JPM TAX FREE			
0.00	0.19	870994969	0.00 USD		Dividend	02/01/2016	02/01/2016
			JPM TAX FREE MMKT INST SWEEP FD #840	JPM TAX FREE			
0.00	-0.19	870994969	0.19 USD		Purchase	02/01/2016	02/01/2016
AS OF 01/29/16	@ 0.033 PER SHARE	COME DIVIDEND	DOUBLELINE TOTL RET BND-I 01/29/16 IN	DOUBLELINE T			
0.00	132.96	258620103	4,055.01 USD		Dividend	01/29/2016	02/02/2016
0.016 PER SHARE	01/29/16 INCOME DIVIDEND @	γ 0.	INVT TR LT DU USGVSP	LORD ABBETT INVT TR AS OF 01/29/16			
0.00	58.41	543916688	3,782.64 USD		Dividend	01/29/2016	02/02/2016
					- T. S.		7
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				FD #840	AKT INST SWEEP	JPM TAX FREE MMKT INST SWEEP FD #840			
0.00		-66.94	870994969		66.94 USD		Purchase	12/30/2015	12/30/2015
AS OF 12/29/15	0.330 PER SHARE	DEND @	5 INCOME DIVIDEND	12/29/15	RAINED BOND-P	PIMCO UNCONSTRAINED BOND-P			
0.00		250.21	72201M453		758.66 USD		Dividend	12/29/2015	12/31/2015
				FD #840	MKT INST SWEEP	JPM TAX FREE MMKT INST SWEEP FD #840			
0.00		-250.21	870994969		250.21 USD		Purchase	12/31/2015	12/31/2015
				FD #840	AKT INST SWEEP	JPM TAX FREE MMKT INST SWEEP FD #840			
0.00		2.24	870994969		0.00 USD		Dividend	01/04/2016	01/04/2016
@ 0.018 PER SHARE	12/31/15 INCOME DIVIDEND	12/31/15 INC	CT.	TOTAL RET (VEST FDS	METROPOLITAN WEST FDS AS OF 12/31/15			
0.00		32.70	592905509		1,851.95 USD		Dividend	01/04/2016	01/04/2016
AS OF 12/31/15	0.034 PER SHARE	6	INCOME DIVIDEND	12/31/15	YIELD PT-BLAC	BLACKROCK HIGH YIELD PT-BLAC			
0.00		64.53	091929687		1,874.91 USD		Dividend	01/04/2016	01/04/2016
				FD #840	AKT INST SWEEP	JPM TAX FREE MMKT INST SWEEP FD #840			
0.00		-2.24	870994969		2.24 USD		Purchase	 01/04/2016	01/04/2016
	0.033 PER SHARE	©	OME DIVIDEND	01/04/16 INC	URN FD-I	HSBC TOTAL RETURN FD-			
0.00		19.78	40428X156		605.27 USD		Dividend	01/05/2016	01/04/2016
AS OF 12/31/15	0.028 PER SHARE	@ 0.028	12/31/15 INCOME DIVIDEND	12/31/15 INCC	L RT HI IN-I	CREDIT SUISSE FL RT HI IN-I			
0.00		69.	22540\$836		2,434.40 USD		Dividend	 01/04/2016	01/05/2016
AS OF 12/31/15	0.037 PER SHARE	(COME DIVIDEND	12/31/15 INC	FLOAT RT-F	T ROWE PR INST FLOAT RT-F			
0.00		47.52	77958B105	JSD	1,286.64 USD		Dividend	01/04/2016	01/05/2016
AS OF 01/04/16	0.032 PER SHARE	6	INCOME DIVIDEND	01/04/16	IX FLOATING-IS	RIDGEWORTH SEIX FLOATING-IS			
0.00		55.44	76628U105		1,676.52 USD		Dividend	01/05/2016	01/05/2016
AS OF 12/31/15	0.049 PER SHARE	69	12/31/15 INCOME DIVIDEND	12/31/15 IN	HI YLD BD-IS	FEDERATED INST HI YLD BD-IS			
0.00		28.71	31420B300	USD	588.22		Dividend	01/04/2016	01/05/2016
AS OF 12/31/15	0.038 PER SHARE	0	COME DIVIDEND	12/31/15 IN	L RET BND-I	DOUBLELINE TOTL RET BND-I			
0.00		153.52	258620103		4,055.01 USD		Dividend	12/31/2015	01/05/2016
0.015 PER SHARE	ME DIVIDEND @	12/31/15 INCOME DIVIDEND	~	LT DU USGVSP		LORD ABBETT INVT TR AS OF 12/31/15			
0.00		55.48	543916688		3,782.64 USD		Dividend	 12/31/2015	01/05/2016
AS OF 12/31/15	0.026 PER SHARE	69	12/31/15 INCOME DIVIDEND	12/31/15	RAINED BOND-P	PIMCO UNCONSTRAINED BOND-P			
0.00		20.00	72201M453		758.66 USD		Dividend	12/31/2015	01/05/2016

	12/18/2015		12/18/2015		12/18/2015		12/18/2015		12/18/2015		12/18/2015		12/21/2015		12/21/2015 1		12/21/2015		12/21/2015		12/22/2015 1		12/24/2015		12/24/2015		12/24/2015		12/28/2015		12/30/2015	
	12/17/2015		12/17/2015		12/17/2015		12/17/2015		12/17/2015		12/18/2015		12/18/2015		12/18/2015		12/17/2015		12/21/2015		12/22/2015		12/24/2015		12/28/2015		12/28/2015		12/28/2015		12/30/2015	
																					_								·			
	 LT.		Dividend		S. T.		Dividend		LT.		Purchase		Dividend		LT.0		Dividend		Purchase		Purchase		S. T.		S. T.		Dividend		Purchase		Dividend	
(0	L.T. Capital Gain		end	(2)	S. T. Capital Gain		end		L.T. Capital Gain		nase	I-r	end	-	L.T. Capital Gain	-	end		nase	أد	nase	lm	S. T. Capital Gain	-	S. T. Capital Gain	<u> </u>	end		ase		end	
SIT DIVIDEND GROWTH FD-I		SIT DIVIDEND GROWTH FD-		SIT DIVIDEND GROWTH FD-I		JOHN HANCOCK L/C EQUITY-I		JOHN HANCOCK L/C EQUITY-I		IPM TAX FREE N		HARBOR CONVE		ARBOR CONVE		HARBOR HIGH YI		PM TAX FREE M		PM TAX FREE M		SLACKROCK HIG		HSBC TOTAL RETURN FD-I		HSBC TOTAL RETURN FD-		PM TAX FREE M		IPM UNCONSTR		
NOWTH FD-I	950.77 USD	OWTH FD-I	950.77 USD	OWTH FD-I	950.77	L/C EQUITY-I	253.65 USD	L/C EQUITY-I	253.65 USD	JPM TAX FREE MMKT INST SWEEP FD #840	2,049.19 USD	HARBOR CONVERTIBLE SEC-INST	728.23 USD	HARBOR CONVERTIBLE SEC-INST	728.23 USD	HARBOR HIGH YIELD BOND-INST	678.95 USD	JPM TAX FREE MMKT INST SWEEP FD #840	106.84 USD	JPM TAX FREE MMKT INST SWEEP FD #840	245,83 USD	BLACKROCK HIGH YIELD PT-BLAC	1,874.91 USD	TURN FD-I	605.27	TURN FD-	605,27 USD	JPM TAX FREE MMKT INST SWEEP FD #840	417.09 USD	JPM UNCONSTRAINED DEBT FD - SELECT FUND	1,521.28 USD	
12/17/15 LON	USD	12/17/15 INC	USD	12/17/15 SHO	USD	12/17/15 IN	USD	12/17/15 LC	USD	P FD #840	USD	T 12/17/15	USD	T 12/17/15	USD	12/17/15	USD	P FD #840	USD	P FD #840	USD	12/23/15	USD	12/24/15 SHC	USD	12/24/15 INC	USD	P FD #840		SELECT FUND	USD	
12/17/15 LONG TERM CAPITAL GAINS @	82980D707	OME DIVIDEND	82980D707	DRT TERM CAPITAL GAINS @	82980D707	COME DIVIDEND	41013P608	12/17/15 LONG TERM CAPITAL GAINS @	41013P608		870994969	INCOME DIVIDEND	411512734	LONG TERM CAPITAL GAINS	411512734	INCOME DIVIDEND	411511553		870994969		870994969	SHORT TERM CAPITAL GAINS @	091929687	ORT TERM CAPITAL GAINS @	40428X156	OME DIVIDEND	40428X156		870994969	2130	48121A290	
AL GAINS @	1,670.43	@ 0.119	112.77	TAL GAINS @	81.38	6 9	55.78	ALGAINS @	128.83		-2,049.19	©	103.97		141.86	•	106.84		-106.84		-245.83	APITAL GAINS	87.08	AL GAINS @	10.66	@ 0.528	319.35		-417.09	@ 0.044	66.94	
1.757 PER SHARE		0.119 PER SHARE		0.086 PER SHARE		0.523 PER SHARE		1.209 PER SHARE				0.143 PER SHARE		@ 0.195 PER SHARE		0.157 PER SHARE						@ 0.046 PER SHARE		0.018 PER SHARE		0.528 PER SHARE				@ 0.044 PER SHARE		
	0.00	AS OF	0.00		0.00	ASO	0.00		0.00		0.00		0.00	SHARE	0.00		0.00		0.00		0.00	SHARE	0.00	R	0.00		0.00		0.00		0.00	
AS OF 12/17/15	0	AS OF 12/17/15	0	AS OF 12/17/15		AS OF 12/17/15	0	AS OF 12/17/15				AS OF 12/17/15	3	AS OF 12/17/15		AS OF 12/17/15	0		3			AS OF 12/23/15	3									Ĺ

HARE AS OF 11/30/15	@ 0.031 PER SHARE	11/30/15 INCOME DIVIDEND		T ROWE PR INST FLOAT RT-F				
	39.60	77958B105	1,286.64 USD		Dividend		12/01/2015	12/02/2015
			NST SWEEP FD #840	JPM TAX FREE MMKT INST SWEEP FD #840				
! 	-314.25	870994969	314.25 USD		Purchase		12/02/2015	12/02/2015
			NST SWEEP FD #840	JPM TAX FREE MMKT INST SWEEP FD #840				
	-247.18	870994969	247.18 USD		Purchase		12/03/2015	12/03/2015
SHARE	ID @ 0.044 PER SHARE	INCOME DIVIDEND	12/10/15	MATTHEWS ASIA DIVIDEND-INST				
 	27.24	577130750	624.96 USD		Dividend		12/10/2015	12/11/2015
0.230 PER SHARE	0	ONG TERM CAPITAL GAINS	12/10/15	MATTHEWS ASIA DIVIDEND-INST				
	144.0	577130750	624.96 USD		L.T. Capital Gain		12/10/2015	12/11/2015
HARE	@ 0.274 PER SHARE	12/10/15 INCOME DIVIDEND		BMO PYRFORD INTL STOCK-				
 	177.99	09658L513	648.89 USD		Dividend		12/11/2015	12/11/2015
•			NST SWEEP FD #840	JPM TAX FREE MMKT INST SWEEP FD #840				
	-171.27	870994969	171.27 USD		Purchase		12/11/2015	12/11/2015
SHARE	ID @ 0.067 PER SHARE	INCOME DIVIDEND	12/10/15	COHEN & STEERS PR SEC&INC-I				
	91.22	19248X307	1,361.57 USD		Dividend		12/11/2015	12/14/2015
			NST SWEEP FD #840	JPM TAX FREE MMKT INST SWEEP FD #840				
	-177.99	870994969	177.99 USD		Purchase		12/14/2015	12/14/2015
CAPITAL GA	12/14/15 SHORT TERM CAPITAL GAINS @	다_ 다_	TOTAL RET	METROPOLITAN WEST FDS SHARE AS OF 12/14/15				
	122.93	592905509	1,851.95 USD		S. T. Capital Gain		12/15/2015	12/15/2015
CAPITAL GAIN	12/14/15 LONG TERM CAPITAL GAINS @	CT.	TOTAL RET	METROPOLITAN WEST FDS AS OF 12/14/15				
	95.19	592905509	1,851.95 USD		L.T. Capital Gain		12/15/2015	12/15/2015
			NST SWEEP FD #840	JPM TAX FREE MMKT INST SWEEP FD #840		 	-	
	-91.22	870994969	91.22 USD		Purchase		12/15/2015	12/15/2015
0.461 PER SHARE		ONG TERM CAPITAL GAINS @	12/14/15	COLUMBIA CONV SECURITIES-Z				
	145.17	19765H727	314.98 USD		L.T. Capital Gain	_	12/14/2015	12/16/2015
SHARE	ND @ 0.381 PER SHARE	INCOME DIVIDEND	12/14/15	COLUMBIA CONV SECURITIES-Z				
	119.92	19765H727	314.98 USD	Γ	Dividend		12/14/2015	12/16/2015
			NST SWEEP FD #840	JPM TAX FREE MMKT INST SWEEP FD #840				
	-483.21	870994969	483.21 USD		Purchase		12/16/2015	12/16/2015
							i Kiri	

				P FD #840	CT INST SWEE	JPM TAX FREE MMKT INST SWEEP FD #840					
0.00	-1,394.46	-1,3	870994969	USD	1,394.46 USD		Purchase	_		11/25/2015	11/25/2015
	@ 0.038 PER SHARE		JND 2130	SELECT FL	ED DEBT FO	JPM UNCONSTRAINED DEBT FD - SELECT FUND					
0.00	57.81		48121A290	USD	1,521.28 USD	_	Dividend			11/27/2015	11/27/2015
			1	P FD #840	CT INST SWEE	JPM TAX FREE MMKT INST SWEEP FD #840					
0.00	-57.81	-	870994969	USD	57.81 USD	Γ	Purchase		·- <u>-</u> -	11/27/2015	11/27/2015
	0.015 PER SHARE	8	12/01/15 INCOME DIVIDEND	12/01/15	RN FD-I	HSBC TOTAL RETURN FD-					
0.00	9.08		40428X156	USD	605.27 USD		Dividend			12/02/2015	12/01/2015
AS OF 11/30/15	@ 0.032 PER SHARE	/IDEND	/15 INCOME DIVIDEND	C 11/30/15	YIELD PT-BLA	BLACKROCK HIGH YIELD PT-BLAC		,			
0.00	60.28		091929687	USD	1,874.91 USD		Dividend			12/01/2015	12/01/2015
© 0.016 PER SHARE	11/30/15 INCOME DIVIDEND	11/30/	ET CL I	TOTAL RET	ST FDS	METROPOLITAN WEST FDS AS OF 11/30/15					
0.00	29.62		592905509	USD	1,851.95 USD	_	Dividend			12/01/2015	12/01/2015
<u> </u>		-		P FD #840	CT INST SWEE	JPM TAX FREE MMKT INST SWEEP FD #840					
0.00	0.46		870994969	0.00 USD	0.00		Dividend			12/01/2015	12/01/2015
	- - - - -			P FD #840	CT INST SWEE	JPM TAX FREE MMKT INST SWEEP FD #840					
0.00	2,060.54	2,0	870994969	USD	-2,060.54 USD		Sale	(0.		12/01/2015	12/01/2015
AS OF 11/30/15	@ 0.007 PER SHARE		11/30/15 INCOME DIVIDEND	11/30/15	II YLD BD-IS	FEDERATED INST HI YLD BD-IS		!			
0.00	4.17		31420B300	USD	588.22 USD		Dividend	_		12/01/2015	12/02/2015
AS OF 11/30/15	@ 0.067 PER SHARE	DEND	15 INCOME DIVIDEND	11/30/15	R SEC&INC-I	COHEN & STEERS PR SEC&INC-		-			
0.00	91.22		19248X307	USD	1,361.57 USD		Dividend			12/01/2015	12/02/2015
AS OF 11/30/15	@ 0.034 PER SHARE		11/30/15 INCOME DIVIDEND	11/30/15	RET BND-I	DOUBLELINE TOTL RET BND-I					
0.00	138.39		258620103	USD	4,055.01 USD		Dividend		·. · · · ·	11/30/2015	12/02/2015
AS OF 11/30/15	0.024 PER SHARE	Đ Đ	11/30/15 INCOME DIVIDEND	11/30/15	RT HI N-I	CREDIT SUISSE FL RT HI IN-I					
0.00	57.32		22540S836	USD	2,434.40 USD		Dividend	_		12/01/2015	12/02/2015
AS OF 12/01/15	@ 0.032 PER SHARE	DENO	15 INCOME DIVIDEND	12/01/15	FLOATING-IS	RIDGEWORTH SEIX FLOATING-IS					
0.00	54.87		76628U105	USD	1,676.52 USD	l	Dividend			12/02/2015	12/02/2015
@ 0.015 PER SHARE	11/30/15 INCOME DIVIDEND	11/30/15	SPY	LT DU USGVSP		LORD ABBETT INVT TR AS OF 11/30/15					
0.00	56.32	!	543916688	USD	3,782.64 USD		Dividend			11/30/2015	12/02/2015
AS OF 11/30/15	@ 0.027 PER SHARE	VIDEND	0/15 INCOME DIVIDEND	11/30/15	AINED BOND-	PIMCO UNCONSTRAINED BOND-P					
0.00	20.56		72201M453	USD	758.66 USD		Dividend	_		11/30/2015	12/02/2015
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	11/03/2015		11/03/2015		11/03/2015		11/03/2015		11/03/2015		11/03/2015		11/04/2015		11/05/2015		11/06/2015		11/09/2015		11/10/2015		11/12/2015		11/13/2015		11/16/2015		11/24/2015	
	11/02/2015		11/02/2015		10/30/2015		11/03/2015		11/03/2015		10/30/2015		11/04/2015		11/05/2015		11/06/2015		11/09/2015		11/10/2015		11/12/2015		11/13/2015		11/16/2015		11/24/2015	
												!				i			_											
	Dividend		Dividend		Dividend		Purchase		Dividend	:	Dividend		Purchase	!	Purchase		Purchase		Purchase		Purchase		Purchase		Purchase		Purchase		Sale	
TRP INST FLOATING RATE-F		CREDIT SUISSI AS OF 10/30/15		AS OF 10/30/15		JPM TAX FREE		RIDGEWORTH		PIMCO UNCON		JPM TAX FREE		JPM TAX FREE		JPM TAX FREE		JPM TAX FREE		JPM TAX FREE		JPM TAX FREE		JPM TAX FREE	•••	JPM TAX FREE		JPM TAX FREE		
TING RATE-F	1,286.64 USD	CREDIT SUISSE FLOATING RATE HIGH AS OF 10/30/15	2,434.40 USD	INVT TR	3,782.64 USD	JPM TAX FREE MMKT INST SWEEP FD #840	319.43 USD	RIDGEWORTH SEIX FLOATING - IS	1,676.52 USD	PIMCO UNCONSTRAINED BOND-P	758.66 USD	JPM TAX FREE MMKT INST SWEEP FD #840	240.72 USD	JPM TAX FREE MMKT INST SWEEP FD #840	1,483.00 USD	JPM TAX FREE MMKT INST SWEEP FD #840	842.00 USD	JPM TAX FREE MMKT INST SWEEP FD #840	836.00 USD	JPM TAX FREE MMKT INST SWEEP FD #840	816.00 USD	JPM TAX FREE MMKT INST SWEEP FD #840	831.00 USD	JPM TAX FREE MMKT INST SWEEP FD #840	807.00	JPM TAX FREE MMKT INST SWEEP FD #840	560.00 USD	JPM TAX FREE MMKT INST SWEEP FD #840	-1,841.00 USD	
10/30/15 IN	USD	HIGH INC FD	USD	LT DU USGVSP	1 USD	EP FD #840) USD	IS 11/02/15	USD	P 10/30/15	USD	EP FD #840	USD	EP FD #840	USD	EP FD #840	USD	EP FD #840	USD	EP FD #840	USD	EP FD #840	USD	EP FD #840	807.00 USD	EP FD #840	USD	EP FD #840	uso	
10/30/15 INCOME DIVIDEND	77958B105		22540S836	*	543916688		870994969	INCOME DIVIDEND	76628U105	5 INCOME DIVIDEND	72201M453		870994969		870994969		870994969		870994969		870994969		870994969		870994969		870994969		870994969	
9	43.21	10/30/15 INC	53.86	10/30/15 INCOME DIVIDEND	54.41		-319.43	•	52.43	0	20.88		-240.72	<u> </u>	-1,483.00	ļ 	-842.00		-836.00		-816.00		-831.00		-807.00		-560.00		1,841.00	
0.035 PER SHARE		10/30/15 INCOME DIVIDEND		NE DIVIDEND		<u> </u>		0.032 PER SHARE		0.028 PER SHARE		!							:											
AS OF 10/30/15	0.00	@ 0.022 PER SHARE	0.00	@ 0.014 PER SHARE	0.00		0.000	AS OF 11/02/15	0	AS OF 10/30/15	0.00		0.00		0.00		0.00		0.00		0.00		0.00		0.00		0.00		0.00	

	10/20/2015		10/22/2015 1		10/22/2015		10/27/2015 1		10/29/2015		10/29/2015		10/30/2015		11/02/2015 1		11/02/2015 1		11/02/2015 1		11/02/2015 1		11/02/2015 1		11/02/2015 1		11/03/2015		11/03/2015	
	10/20/2015		10/23/2015		10/23/2015		10/27/2015		10/29/2015		10/29/2015		10/30/2015		11/03/2015	1	11/02/2015		11/02/2015		11/02/2015		11/02/2015		11/02/2015		10/30/2015		11/02/2015	19 13 13 15 15 15 15 15 15 15 15 15 15 15 15 15
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	Fees	Conv.	Share Class	Conv.	Share Class		Sale		Purchase		Dividend		Purchase		Dividend		Dividend		Dividend		Dividend		Purchase		Dividend		Dividend		Dividend	
JPMORGAN CH		BLACKROCK HI		BLACKROCK HI		JPM TAX FREE MMKT		JPM TAX FREE		JPM UNCONSTI		JPM TAX FREE	-	HSBC FDS		JPM TAX FREE		METROPOLITAN WEST FDS AS OF 10/30/15		BLACKROCK HI		JPM TAX FREE	_	BLACKROCK HI		DOUBLELINE TOTAL RET BD-I		COHEN & STEE		からず こうできる
IPMORGAN CHASE INVESTMENT MANAGEMEN	0.00 USD	BLACKROCK HIGH YIELD BOND	-1,874.91 USD	BLACKROCK HIGH YIELD BOND FUND	1,874.91 USD	MMKT INST SWEEP FD #840	-2,608.00 USD	JPM TAX FREE MMKT INST SWEEP FD #840	25.86 USD	JPM UNCONSTRAINED DEBT FD - SELECT	1,521.28 USD	JPM TAX FREE MMKT INST SWEEP FD #840	3,012.00 USD	TOTAL RETURN	1,208.39 USD	JPM TAX FREE MMKT INST SWEEP FD #840	0.00 USD	N WEST FDS	1,851.95 USD	BLACKROCK HIGH YIELD BOND	1,874.91 USD	JPM TAX FREE MMKT INST SWEEP FD #840	0.50 USD	BLACKROCK HIGH YIELD BOND FUND	1,874.91 USD	OTAL RET BO-I	4,055.01 USD	COHEN & STEERS PREFERRED SECURITIES AN PER SHARE AS OF 10/30/15	1,361.57 USD	
ANAGEMENTFEE	SD	TO 091929687		ND FROM 091929638			1	FD #840		ELECT FUND 2130		FD #840		ETURNI		FD #840		TOTAL RET CL	,	10/30/15 INCO		FD #840		10/30		10/30/15 INCOM			ļ 	公司 美国教育 以次令人
FOR THE PERIOR	-	<u>.</u>	091929638	29638	091929687		870994969 2.	 	870994969		48121A290		870994969 -3,	11/02/15 INC	40428X156		870994969	10/3	592905509	INCOME DIVIDEND	091929638		870994969	15 INCOME DIVIDEND	091929687	INCOME DIVIDEND	258620103	D INCOME FUND INC	19248X307	
TFEE FOR THE PERIOD 07-01-2015 TO 09-30-2015	1,036.44		0.00		0.00		2,608.00		-25.86	@ 0.017 PER SHARE	25.86		-3,012.00	11/02/15 INCOME DIVIDEND @	6.04		0.50	10/30/15 INCOME DIVIDEND	28.26	@ 0.024 PER SHARE	44.35		-0.50	@ 0.010 PER SHARE	18.00	@ 0.036 PER SHARE	147.49	10/30/15 INCC	91.22	The second by the second second
-2015	0.00		0.00		0.00		0.00	;	0.00		0.00		0.00	0.005 PER SHARE	0.00		0.00	0.015 PER SHARE	0.00	RE AS OF 10/30/15	0.00		0.00		0.00	AS OF 10/30/15	0.00	10/30/15 INCOME DIVIDEND	0.00	· 一张人家心心之处。
								ļ						,				3 SHARE	}	V30/15				AS OF 10/30/15		10/15		@ 0.067		

	09/02/2015	i	09/02/2015		09/02/2015		09/03/2015		09/18/2015		09/18/2015		09/24/2015		09/24/2015		09/28/2015		09/28/2015		09/28/2015		09/29/2015		09/29/2015		10/01/2015		10/01/2015
	08/31/2015		09/01/2015		09/01/2015		09/03/2015		09/17/2015		09/18/2015		09/24/2015		09/22/2015		09/24/2015	:	09/25/2015		09/28/2015		09/29/2015		09/29/2015		10/01/2015		10/01/2015
						j				!								<u> </u>				 -				}			
	ᄝ		Di		Dá		-G-		D		29		2		Dį.		Di	<u> </u>	Di		<u> </u>		Di		20		פּ		Di
	Dividend		Dividend		Dividend		Purchase		Dividend		Purchase		Purchase		Dividend		Dividend		Dividend		Purchase		Dividend		Purchase		Purchase		Dividend
LORD ABBETT INVT TR		TRP INST FLOATING RATE-F		METROPOLITAN WEST FDS AS OF 08/31/15		JPM TAX FREE N		MATTHEWS ASIA DIVIDEND-INS		JPM TAX FREE N		JPM TAX FREE N		COLUMBIA FD SER TRT - COLUMBIA PER SHARE AS OF 09/22/15		HARBOR HIGH YIELD BOND-INST		HARBOR CONVE		JPM TAX FREE N		JPM UNCONSTRAINED DEBT FD - SELECT	***	JPM TAX FREE N		JPM TAX FREE N		JPM TAX FREE N	-
	3,782.64 USD	ING RATE-F	1,244.85 USD	WEST FDS	1,851.95 USD	JPM TAX FREE MMKT INST SWEEP FD #840	310.25 USD	N DIVIDEND-INS	624.96 USD	JPM TAX FREE MMKT INST SWEEP FD #840	22.67 USD	JPM TAX FREE MMKT INST SWEEP FD #840	70.83 USD	R TRT - COLUMI AS OF 09/22	505.90 USD	IELD BOND-INST	678.95 USD	HARBOR CONVERTIBLE SEC-INST	728.23 USD	JPM TAX FREE MMKT INST SWEEP FD #840	86.83 USD	AINED DEBT FD -	1,521.28 USD	JPM TAX FREE MMKT INST SWEEP FD #840	38.37 USD	JPM TAX FREE MMKT INST SWEEP FD #840	0.11	JPM TAX FREE MMKT INST SWEEP FD #840	0.00
LT DU USGVSP Y	USD	08/31/15 IN	USD	TOTAL REI	USD	P FD #840	USD	09/17/15	USD	P FD #840	USD	P FD #840	USD	CONVE	USD	09/24/15	USD	09/24/1	USD	P FD #840	USD	SELECT FUN	USD	P FD #840	USD	P FD #840	0.11 USD	P FD #840	0.00 USD
	543916688	08/31/15 INCOME DIVIDEND	77958B105	CLI	592905509		870994969	INCOME DIVIDEND	577130750		870994969		870994969	RTIBLE SECURITIES FD - Z	19765H727	INCOME DIVIDEND	411511553	5 INCOME DIVIDEND	411512734		870994969	FUND 2130	48121A290		870994969		870994969		870994969
08/31/15 INCOME DIVIDEND	51.52	•	37.37	08/31/15 INC	32.31		-310.25	69	22.67		-22.67		-70.83		70.83	•	86.83	9	23.16		-86.83	@ 0.01 F	15.21		-38.37		-0.11		0.11
AE DIVIDEND		0.034 PER SHARE		08/31/15 INCOME DIVIDEND				0.036 PER SHARE						09/22/15 INCOME DIVIDEND		0.128 PER SHARE		0.032 PER SHARE		- L		@ 0.01 PER SHARE							
@ 0.014 PER SHARE	0.00	AS OF 08/31/15	0.00	@ 0.017 PE	0.00		0.00	AS OF 09/17/15	0.00		0.00		0.00		0.00	AS OF 09/24/15	0.00		0.00		0.00		0.00	}	0.00		0.00		0.00
SHARE		11/15		0.017 PER SHARE	 			9/17/15						0.140)9/24/15		AS OF 09/24/15		† 							,	<u> </u> 	

	0.00	46.50						***************************************			
COHEN & STEERS PRETERED SECURITIES AND INCOME FUND INC PER SHARE				970001060	16 FO LISD			Purchase		08/21/2015	08/21/2015
COHEN & STEERS PRECERED SECURITIES AND INCOME FUND INC PER SHARE 1,874.91 USD 0,039.96838 67.72					WEEP FD #840	E MMKT INST S	JPM TAX FRE				
Dividend	0.00	76.00	4,0.	870994969	76.00 USD	4,0		Sale		08/25/2015	08/25/2015
Dividend		0.023 PER SHARE		D 2130	Ę	TRAINED DEBI	JPM UNCONS				
Dividend	0.00	34.99		48121A290	21.28 USD	1,5;		Dividend		08/28/2015	08/28/2015
Dividend					WEEP FD #840	E MMKT INST S	JPM TAX FRE				
COHEN & STEERS PREFERRED SECURITIES AND INCOME FUND INC COHEN SHARE	0.00	34.99	<i>k</i>	870994969	34.99 USD			Purchase		08/28/2015	08/28/2015
Dividend).005 PER SHARE	9	15 INCO	09/01/	OTAL RETURN I	1	HSBC FDS				
Dividend	0.00	6.05		40428X156	08.39 USD	1,20		Dividend		09/02/2015	09/01/2015
COHEN & STEERS PREFERD SECURITIES AND INCOME FUND INC COHEN & STEERS PREFERD SECURITIES AND INCOME FUND INC Dividend	İ	% RATE ON AVG COLLEC	.03	15 - 08/31/15 @	FOR 08/01/	EEP INTEREST AS OF 09/01/	DEPOSIT SW \$1,557.61				
COHEN & STEERS PREFERRED SECURITIES AND INCOME FUND INC COHEN & STEERS PREFERRED SECURITIES AND INCOME FUND INC COHEN & STEERS PREFERRED SECURITIES AND INCOME DIVIDEND	0.00	0.03		ļ	0.00 USD			Interest		09/01/2015	09/01/2015
Dividend	 - - - -			WEEP FD #840	E MMKT INST S	JPM TAX FRE					
Dividend 0.00	0.13		870994969	0.00 USD			Dividend		09/01/2015	09/01/2015	
Dividend				WEEP FD #840	E MMKT INST S	JPM TAX FRE				!	
Dividend 0.00	0.16		870994969	0.16 USD		-	Purchase		09/01/2015	09/01/2015	
Dividend	ł	DEND	5 INCOME DIVI	08/31/1	NSTRAINED BO	PIMCO UNCO					
Dividend 0.00	17.65		72201M453	58.66 USD	7:		Dividend		08/31/2015	09/02/2015	
Dividend	• •			WEEP FD #840	E MMKT INST S	JPM TAX FRE				ì	
Dividend COHEN & STEERS PREFERED SECURITIES AND INCOME FUND INC	0.00	22.43	-2:	870994969	22.43 USD	Į,		Purchase		09/02/2015	09/02/2015
Dividend AS OF 09/	1	END	1		H SEIX FLOATIN	RIDGEWORT					
Dividend CREDIT SUISSE FLOATING RATE HIGH INC FD W/31/15 W/OME DIVIDEND 0/31/15 W/OME DIVI	0.00	30.43		76628U105		1,67		Dividend		09/02/2015	09/02/2015
Dividend CREDIT SUISSE FLOATING RATE HIGH INC FD SEGURITIES AND INCOME FUND INC O8/31/15 INCOME DIVIDEND O8/31/15 O91929638 67.22	AS OF 08/31,	1		VCOME DIVIDEN	08/31/15 1	TOTAL RET BD	DOUBLELINE				
Dividend CREDIT SUISSE FLOATING RATE HIGH INC FD 08/31/15 NCOME DIVIDEND 08/	0.00	47.21	1.	258620103	55.01 USD	4,0		Dividend		08/31/2015	09/02/2015
COHEN & STEERS PREFERIED SECURITIES AND INCOME FUND INC PER SHARE		15 INCOME DIVIDEND	08/31/			SE FLOATING F	CREDIT SUIS AS OF 08/31/1				
COHEN & STEERS PREFERIED SECURITIES AND INCOME FUND INC PER SHARE	0.00	21.70		22540S836	46.30 USD	2,0,		Dividend		09/01/2015	09/02/2015
COHEN & STEERS PREFERRED SECURITIES AND INCOME FUND INC PER SHARE AS OF 08/31/15 Dividend 1,874.91 USD 091929638 67.22 0.00	AS OF 08/3	İ	B	J		HIGH YIELD BC	BLACKROCK				
ID INCOME FUND INC 08/31/15 INCOME DIVIDEND	0.00	67.22		091929638	74.91 USD	1,8;		Dividend	_	09/01/2015	09/02/2015
		08/31/15 INCOME	DINC	ID INCOME FUN	NED SECURITIES AN 08/31/15	ERS PREFERF AS OF	COHEN & STE PER SHARE				
9/01/2015 Dividend 1,361.57 USD 19248X307 91.22 0.00	0.00	91.22		19248X307	61.57 USD	1,36		Dividend		09/01/2015	09/02/2015

reliable but JPMorgan Chase and Co. does not warrant its completeness or accuracy. Please confirm all information provided here against your next regular statement specified, JPMorgan Chase and Co. can not represent that different prices would not be available elsewhere. Information contained herein, including but not limited to market valuations, calculations, and estimates, is believed to be The following is provisional and provided for informational purposes only in response to your request. It is not an official statement or confirmation. Because certain valuations provided may reflect price estimates as of the date

	07/02/2015 07/02/2015		07/02/2015 07/01/2015		07/06/2015 07/06/2015		07/10/2015 07/09/2015		07/10/2015 07/10/2015		07/13/2015 07/13/2015		07/15/2015 07/15/2015		07/20/2015 07/20/2015		07/20/2015 07/20/2015		07/30/2015 07/30/2015		07/30/2015 07/30/2015		08/03/2015 07/31/2015		08/03/2015 08/03/2015			08/03/2015 08/03/2015	
																												_	
	Dividend		Dividend		Purchase		Dividend		Purchase		Sale		Sale		Fees		Sale		Purchase		Dividend		Dividend		Dividend		DIVIDENC	7: ::	
RIDGEWORTH SEIX FLOATING - IS	1,676.52 USD	COHEN & STEERS PREFERRED SECURITIES AN PER SHARE AS OF 06/30/15	1,361.57 USD	JPM TAX FREE INSTL SWEEP FD #840	184.48 USD	SIT DIVIDEND GROWTH FUND-I	757.71 USD	JPM TAX FREE INSTL SWEEP FD #840	52.93 USD	JPM TAX FREE INSTL SWEEP FD #840	-4,343.00 USD	JPM TAX FREE INSTL SWEEP FD #840	-234.00 USD	JPMORGAN CHASE INVESTMENT MANAGEMEN	0.00 USD	JPM TAX FREE INSTL SWEEP FD #840	-1,033.08 USD	JPM TAX FREE INSTL SWEEP FD #840	36.51 USD	JPM UNCONSTRAINED DEBT FD - SELECT	1,521.28 USD	AS OF 07/31/15	1,938.19 USD	METROPOLITAN WEST FDS AS OF 07/31/15	1,851.95 USD	JPM TAX FREE INSTL SWEEP FD #840	0.00 030	3	BLACKROCK HIGH YIELD BOND
07/01/15 INCOME DIVIDEND	JSD 76628U105	CURITIES AND INCOME FUND INC	JSD 19248X307	840	JSD 870994969	07/09/15 INCOME DIVIDEND	JSD 82980D707	840	JSD 870994969	840	JSD 870994969	840	JSD 870994969		SD	840	JSD 870994969	840	JSD 870994969	SELECT FUND 2130	JSD 48121A290	ADVANTAGE !	JSD 277923637	TOTAL RET CL I	JSD 592905509	840	JSD 870994969		07/31/15
ND @ 0.034 PER SHARE	59.52	INC 06/30/15 INCOME DIVIDEND	91.22		-184.48	D @ 0.070 PER SHARE	52.93		-52.93		4,343.00		234.00	TFEE FOR THE PERIOD 04-02-2015 TO 06-30-2015	-1,033.08		1,033.08		-36.51	@ 0.024 PER SHARE	36.51	07/31/15 INCOME DIVIDEND	85.65	07/31/15 INCOME DIVIDEND	33.23		0.15	> 1	
AS OF 07/01/15	0.00	E DIVIDEND @ 0.067	0.00		0.00	AS OF 07/09/15	0.00		0.00		0.00		0.00	15	0.00		0.00		0.00		0.00	© 0.044 PER SHARE	0.00	@ 0.018 PER SHARE	0.00		0.00		AS OF 07/31/15

Account Title: PHILIP ROSENTHAL - TAP DYS

	@ 0.031 PER SHARE		ND 2130	- SELECT FUI	INED DEBT FD	JPM UNCONSTRAINED DEBT FD - SELECT FUN				
0.00	47.16		48121A290	8 USD	1,521.28 USD		Dividend		06/29/2015	06/29/2015
0.154 PER SHARE	06/30/15 INCOME DIVIDEND @	06/30/15	IST	CRED STRA INST		AVENUE MUT FDS TR				i
0.00	100.60	=	05358F301	653.69 USD	653.68		Dividend		07/01/2015	06/30/2015
@ 0.042 PER SHARE	06/30/15 INCOME DIVIDEND	06/3	AGE	ADVANTAGE	OATING-RATE	EATON VANCE FLOATING-RATE AS OF 06/30/15				
0.00	81.14	_	277923637	USD USD	1,938.19 USD		Dividend		06/30/2015	07/01/2015
AS OF 06/30/15	@ 0.035 PER SHARE		5 INCOME DIVIDEND	06/30/15	YIELD BOND	BLACKROCK HIGH YIELD BOND				
0.00	65.31		091929638	1 USD	1,874.91 USD		Dividend	-	07/01/2015	07/01/2015
AS OF 06/29/15	@ 0.133 PER SHARE		5 INCOME DIVIDEND	T 06/29/15	LD BOND-INS	HARBOR HIGH YIELD BOND-INST		j		
0.00	90.50		411511553	678.95 USD	678.99		Dividend		06/29/2015	07/01/2015
				#840	STL SWEEP FO	JPM TAX FREE INSTL SWEEP FD #840				
0.00	-272.40	-27	870994969	272.40 USD	272.40		Purchase		07/01/2015	07/01/2015
AS OF 06/29/15	@ 0.033 PER SHARE	/IDEND	15 INCOME DIVIDEND	ST 06/29/1	TIBLE SEC-INS	HARBOR CONVERTIBLE SEC-INST	!			
0.00	24.10		411512734	728.23 USD	728.23		Dividend		06/30/2015	07/01/2015
© 0.017 PER SHARE	06/30/15 INCOME DIVIDEND	06/30/1	101	TOTAL RET	VEST FDS	METROPOLITAN WEST FDS AS OF 06/30/15				
0.00	32.29	(3	592905509	5 USD	1,851.95		Dividend		07/01/2015	07/01/2015
0.005 PER SHARE	INCOME DIVIDEND @ 0.00		07/01/15	TOTAL RETURN I	TOTA	HSBC FDS				
0.00	6.04		40428X156	USD	1,208.39 USD		Dividend		07/02/2015	07/01/2015
@ 0.118 PER SHARE	06/30/15 INCOME DIVIDEND	06/30	OME I	CAP & INCOME	UITY INC FD-I	CLEARBRIDGE EQUITY INC FD-I AS OF 06/30/15				
0.00	86.64	-	52469H594	733.69 USD	733.60		Dividend		07/01/2015	07/01/2015
				#840	STL SWEEP FD	JPM TAX FREE INSTL SWEEP FD #840				
0.00	0.16		870994969	0.00 USD	0.00		Dividend		07/01/2015	07/01/2015
AS OF 06/30/15	0.035 PER SHARE	ND ®	NCOME DIVIDEND	06/30/15 IN	IG RATE-F	TRP INST FLOATING RATE-F				
0.00	33.74	63	77958B105	968.31 USD	968.31		Dividend		07/01/2015	07/02/2015
AS OF 06/30/15	0.038 PER SHARE	ND ®	INCOME DIVIDEND	06/30/15 IN	AL RET BD-I	DOUBLELINE TOTAL RET BD-I				
0.00	139.89	 ================================	258620103	6 USD	3,684.46 USD		Dividend		06/30/2015	07/02/2015
0.015 PER SHARE	06/30/15 INCOME DIVIDEND @	06/30/15	PΥ	LT DU USGVSP	ТTR	AS OF 06/30/15				
0.00	46.79		543916688	USD	3,089.91 USD		Dividend		06/30/2015	07/02/2015
				#840	STL SWEEP FD	JPM TAX FREE INSTL SWEEP FD #840				
0.00	401.06	4	870994969	401.06 USD	401.06		Purchase		07/02/2015	07/02/2015
The state of the s	からは、一、これが、とはなることが、一般の一、一個などのであるとな	神子 一 一 一 一 一 一 一 一 一 一 一 一 一 一 一 一 一 一 一				A CONTRACTOR OF THE PARTY OF TH		こうことのないないのできない こうしょうしゅうしゅう	The second of the second of	The second secon

Purchase Purchase	### PATAX FREE INSTL SWEEP FD #840 JPM TAX FREE INSTL SWEEP FD #840 JPM TAX FREE INSTL SWEEP FD #840 Odd PER SHARE AS OF 06/22/15 COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z 06/22/15 LONG TERM CAP 183.05 06/22/15 18703949699	AS OF 05/29/15	0.039 PER SHARE	ND ®	5 INCOME DIVIDEND	05/29/15 IN	DOUBLELINE TOTAL RET BD-I	DOUBLELINE T				
JPM TAX FREE INSTL SWEEP FD 8440	Purchase	-	3.41		258620103	46 USD	3,684.		Dividend		5/29/2015	06/02/2015 0
Dividend Dividend	Purchase	!	INCOME DIVIDEND	05/29/15	/SP Y	LT DU USGV	INVTTR	AS OF 05/29/15				
Dividend Dividend	Purchase		5.10	4	543916688	_	3,089.9		Dividend		5/29/2015	06/02/2015 0
S. T. Capital Gain	Purchase	AS	0.037 PER SHARE	İ	INCOME DIVIDEN	05/29/15	ATING RATE-F	TRP INST FLO		 		<u> </u>
JPM TAX FREE INSTIL SWEEP FD #440 19765H727 24.00 24.00 24.00 24.00 24.00 25.10 24.00 24.00 24.00 24.00 25.10 24.0	Purchase		5.64	a	77958B105	31 USD	968.		Dividend		5/01/2015	06/02/2015 0
S. T. Capital Gain	Purchase				┨		SEIX FLOATING	RIDGEWORTH				
Dividend Dividend	Purchase	0	0.90	6	76628U105	52 USD	1,676.		Dividend		5/02/2015	06/02/2015 0
JPM TAX FREE INSTL SWEEP FD #840 S. T. Capital Gain COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z AS OF 06/22/15 19765H727 24.00 COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z AS OF 06/22/15 CONVERTIBLE SECURITIES FD - Z AS OF 06/22/15 COLUMBIA CONVERTIBLE SECURITIES FD - Z AS OF 06/22/15 COLUMBIA CONVERTIBLE SECURITIES FD - Z AS OF 06/22/15 COLUMBIA CONVERTIBLE SECURITIES FD - Z AS OF 06/22/15 CONVERTIBLE SECURITIES FD - Z AS OF 06/22/15 S05.90 USD 19765H727 183.31 COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z AS OF 06/22/15 S77130750 99.57 CONVERTIBLE SECURITIES FD - Z AS OF 06/22/15 S77130750 99.57 S0.382 PER SHARE S31.45 USD S77130750 99.57 S0.382 PER SHARE S11.5 SWEEP FD #840 S70994969 -187.76 S0.382 PER SHARE NSTL SWEEP FD #840 S70994969 -187.76 S0.382 PER SHARE NSTL SWEEP FD #840 S70994969 -347.22 USD S7099496	Purchase	OME DIVIDEN	05/29/15 INCC	N N N	AND INCOME FUR) SECURITIES /29/15	ERS PREFERREL AS OF 05	COHEN & STER				
S. T. Capital Gain S. T. Capital Gain COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z 24.00 COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z 278.14 USD S05.90 USD S06.92715 CONVERTIBLE SECURITIES FD - Z COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA FOR SECURITIES FD - Z COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA CONVERTIBLE CONVERTIBLE CONVERTIBLE COLUMBIA CONVERTIBLE C	Purchase	0.0	1.22	9	19248X307	57 USD	1,361.		Dividend		5/01/2015	06/02/2015 0
S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z	Purchase					D #840	INSTL SWEEP F	JPM TAX FREE				
S. T. Capital Gain COLUMBIA FREE INSTL SWEEP FD #840 S. T. Capital Gain COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z AS OF 06/22/15 CONVERTIBLE SECURITIES FD - Z AS OF 06/22/15 CONVERTIBLE SECURITIES FD - Z AS OF 06/22/15 CONVERTIBLE SECURITIES FD - Z AS OF 06/22/15 CONVERTIBLE SECURITIES FD - Z AS OF 06/22/15 CONVERTIBLE SECURITIES FD - Z AS OF 06/22/15 CONVERTIBLE SECURITIES FD - Z AS OF 06/22/15 CONVERTIBLE SECURITIES FD - Z AS OF 06/22/15 CONVERTIBLE SECURITIES FD - Z CONVERT	Purchase	0.0	7.22	42	870994969	22 USD	347.		Purchase	•	3/02/2015	06/02/2015 0
JPM TAX FREE INSTL SWEEP FD #840 19765H727 24.00 20.00	Purchase			•		D #840	INSTL SWEEP F	JPM TAX FREE				
S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z	Purchase	0.0	7.76	-18	870994969	76 USD	187.7		Purchase		3/03/2015	06/03/2015 0
S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z AS OF 06/22/15 S. OF 06/22/1	Purchase					D #840	INSTL SWEEP F	JPM TAX FREE				
S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain C. COLUMBIA FD SER TRT - COLUMBIA C. CONVERTIBLE SECURITIES FD - Z S. OF 08/22/15 S. OF 08/22/	Purchase	0.0	9.57	9	870994969	57 USD	99.		Purchase		3/19/2015	06/19/2015 0
S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z A. O. O. O. O. O. O. O. O. O. O. O. O. O.	Purchase		1				SIA DIVIDEND-INS	MATTHEWS AS				
S. T. Capital Gain JPM TAX FREE INSTL SWEEP FD #840 S. T. Capital Gain COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z A.00 COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z A.00 COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z A.00 COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z A.00 COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z A.00 COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z A.00 COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z A.00 COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z A.00 COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z A.00 COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z A.00 COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z A.00 COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z A.00 CONVERTIBLE SECURITIES FD - Z A.00 CONVERTIBLE SECURITIES FD - Z	Purchase Purchase	0.0	9.57	9	577130750	45 USD	531,	_	Dividend		3/18/2015	06/19/2015 0
S. T. Capital Gain JPM TAX FREE INSTL SWEEP FD #840 S. T. Capital Gain JPM TAX FREE INSTL SWEEP FD #840 S. T. Capital Gain JPM TAX FREE INSTL SWEEP FD #840 LT. Capital Gain JPM TAX FREE INSTL SWEEP FD #840 LT. Capital Gain S. T. Capital Gain JPM TAX FREE INSTL SWEEP FD #840 LT. Capital Gain S. T. Capital Gain JPM TAX FREE INSTL SWEEP FD #840 LT. Capital Gain S. T. Capital Gain JPM TAX FREE INSTL SWEEP FD #840 LT. Capital Gain S. T. Capital Gain JPM TAX FREE INSTL SWEEP FD #840 LT. Capital Gain S. T. Capital Gain JPM TAX FREE INSTL SWEEP FD #840 LT. Capital Gain S. T. Capital Gain JPM TAX FREE INSTL SWEEP FD #840 LT. Capital Gain	Purchase	TERM CAPITA		ITIES FD - 2		MBIA CONI OF 06/22/15	SER TRT - COLU	COLUMBIA FD 0.362 PER SHA				,
S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z S. T. Capital Gain COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z CONVERT	Purchase Purchase 47.16 USD 870994969 47.16	0.0	3.31	150	19765H727	90 USD	505.9		L.T. Capital Gain		3/22/2015	06/24/2015 0
S. T. Capital Gain COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z S. T. Capital Gain S. T. Capital Gain COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z S. T. Capital Gain S. T. Capital Gain COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z S. T. Capital Gain S	Purchase					D #840	INSTL SWEEP F	JPM TAX FREE				
S. T. Capital Gain S. T. Capital Gain COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z Dividend COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z Dividend COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z PER SHARE AS OF 06/22/15 AS OF 06/22/15	Purchase JPM TAX FREE INSTL SWEEP FD #840 S. T. Capital Gain COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z Dividend COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z Dividend COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z AS OF 06/22/15 COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z PER SHARE AS OF 06/22/15	0.0	8.14	-27	870994969	14 USD	278.		Purchase		8/24/2015	06/24/2015 0
S. T. Capital Gain S. T. C	Purchase JPM TAX FREE INSTL SWEEP FD #840 S. T. Capital Gain COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z 0.047 PER SHARE AS OF 06/22/15 Dividend 50.590 USD 19765H727 70.83	ME DIVIDEND		ITIES FD -			SER TRT - COLU AS OF 06	COLUMBIA FD PER SHARE				
S. T. Capital Gain COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z 0.047 PER SHARE AS OF 06/22/15	Purchase JPM TAX FREE INSTL SWEEP FD #840 S. T. Capital Gain COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z 0.047 PER SHARE AS OF 06/22/15	0.0	0.83	7	19765H727	90 USD	505.		Dividend	_	8/22/2015	06/24/2015 0
S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain S. T. Capital Gain	Purchase	TERM CAPIT		TIES FD -		MBIA CONV	SER TRT - COLU	COLUMBIA FD 0.047 PER SHA				
JPM TAX FREE INSTL SWEEP FD #840	Purchase 47.16 USD 870994969 -47.16 JPM TAX FREE INSTL SWEEP FD #840	0.0	4.00	2	19765H727	90 USD	505.		S. T. Capital Gain		6/22/2015	06/24/2015 0
11.7+ GORAGO 101.7+	Purchase 47.16 USD 870994969 -47.16					D #840	INSTL SWEEP F	JPM TAX FREE				
A7 16 11CD 970000000 .47 16	では、「一般のでは、他のでは、他のでは、他のでは、他のでは、他のでは、他のでは、他のでは、他	0.0	7.16	4	870994969	16 USD	47		Purchase		6/29/2015	06/29/2015 0

D	JPM TAX FREE INSTL SWEEP FD #840 JPM TAX FREE INSTL SWEEP FD #840 JPM TAX FREE INSTL SWEEP FD #840 JPM TAX FREE INSTL SWEEP FD #840 JPM TAX FREE INSTL SWEEP FD #840 3,684.46 USD	Dividend	5 04/30/2015	05/04/2015
56166Y404 49.68 3/15 INCOME DIVIDEND @ 0.145 PER SHARE AS 277923637 85.07	JPM TAX FREE INSTL SWEEP FD #840 JPM TAX FREE INSTL SWEEP FD #840 JPM TAX FREE INSTL SWEEP FD #840 JPM TAX FREE INSTL SWEEP FD #840	ruichase		
56166Y404 49.68 3/15 INCOME DIVIDEND @ 0.145 PER SHARE AS 277923637 85.07	JPM TAX FREE INSTL SWEEP FD #840 JPM TAX FREE INSTL SWEEP FD #840 132.89 USD	ruichase	_	
56166Y404 49.68 3/15 INCOME DIVIDEND	JPM TAX FREE INSTL SWEEP FD #840 JPM TAX FREE INSTL SWEEP FD #840 JPM TAX FREE INSTL SWEEP FD #840		5 05/05/2015	05/05/2015
561667404 49.68 370994969 270923637 85.07 85.07 85.07 85.07 85.07 85.07 85.07 85.07 85.07 85.07 85.07 85.07 85.07 85.07 85.07 85.07 85.07 85.07 85.09 85.09 870994969 -1,725.00 870994969 -1,415.00 870994969 -1,415.00 870994969 -1,415.00 870994969 -1,415.00 870994969 -1,415.00 870994969 -1,415.00 870994969 -1,415.00 870994969 -1,415.00 870994969 -1,415.00 870994969 -1,415.00 9.00145 9.0014	JPM TAX FREE INSTL SWEEP FD #840 -28.00 USD			
56166Y404 49.68 3/15 INCOME DIVIDEND	JPM TAX FREE INSTL SWEEP FD #840	Sale	15 05/06/2015	05/06/2015
56166Y404 49.68 315 INCOME DIVIDEND	1,415.00 USD			
561667404 49.68 315 INCOME DIVIDEND		Purchase	5 05/07/2015	05/07/2015
561667404 49.68 0.145 PER SHARE AS 277923637 85.07 85.07 0.145 PER SHARE AS 277923637 85.07 0.145 PER SHARE AS 277923637 0.5/29/15 INCOME DIVIDEND @ 0.005 PER 1	JPM TAX FREE INSTL SWEEP FD #840			
56166Y404 49.68 0.145 PER SHARE AS	112.84 USD	Purchase	15 05/08/2015	05/08/2015
56166Y404 49.68 9.000 49.68 9.000	JPM TAX FREE INSTL SWEEP FD #840			
561667404 49.68 0.000	1,725.00 USD	Purchase	15 05/11/2015	05/11/2015
56166Y404 49.68 0.145 PER SHARE AS	JPM UNCONSTRAINED DEBT FD - SELECT		:	
56166Y404 49.68 0.145 PER SHARE AS 15 INCOME DIVIDEND @ 0.145 PER SHARE AS 277923637 85.07 0.005 PER 0.0	1,521.28 USD	Dividend	5 05/28/2015	05/28/2015
56166Y404 49.68 0.145 PER SHARE AS 15 INCOME DIVIDEND @ 0.145 PER SHARE AS 277923637 85.07 0.005 PER 0.0	JPM TAX FREE INSTL SWEEP FD #840			
56166Y404 49.68 0.145 PER SHARE AS 15 INCOME DIVIDEND @ 0.145 PER SHARE AS 277923637 85.07 0.005 PER 0.0	36.51 USD	Purchase	5 05/28/2015	05/28/2015
56166Y404 49.68 0.145 PER SHARE AS 15 INCOME DIVIDEND @ 0.145 PER SHARE AS 277923637 85.07 0.000 0.005 PER	BLACKROCK HIGH YIELD BOND 0			
56166Y404	1,874.91 USD	Dividend	5 06/01/2015	06/01/2015
56166Y404	METROPOLITAN WEST FDS TOT AS OF 05/29/15			
56166Y404	1,851.95 USD	Dividend	5 06/01/2015	06/01/2015
156166Y404	HSBC FDS TOTAL RETURN I			
56166Y404	1,208.39 USD	Dividend	5 06/02/2015	06/01/2015
56166Y404	AS OF 05/29/15			
56166Y404	1,938.19 USD	Dividend	15 05/29/2015	06/01/2015
49.68	TORTOISE MLP & PIPELINE-INS 05			
	341.54 USD	Dividend	5 05/29/2015	06/01/2015
	JPM TAX FREE INSTL SWEEP FD #840			
870994969 -85.22 0.00	85.22 USD	Purchase	15 06/01/2015	06/01/2015
	JPM TAX FREE INSTL SWEEP FD #840		<u> </u>	[
870994969 0.15 0.00	0.00 USD	Dividend	15 06/01/2015	06/01/2015

Account Number: Account Title: PHILIP ROSENTHAL - TAP DYS

Dividend	RSHARE	@ 0.168 PER SHARE	D 2130	JPM UNCONSTRAINED DEBT FD - SELECT FUND	JPM UNCONSTRAINED				
Dividend Dividend THP INST FLOATING FATE_F GA/30/IS INCOME DIVIDENT	255.58	25	48121A290	1,521.28 USD		Dividend	015		04/29/201
DoS/01/2015 Dividend Divide				WEEP FD #840	JPM TAX FREE INSTL S				
Dividend Dividend	-255.58		870994969	255.58 USD		Purchase	015		04/29/201
Doctorizons Doctorizons				WEEP FD #840	JPM TAX FREE INSTL S				
Dividend Dividend	0.25	Γ	870994969	0.00 USD		Dividend	015		05/01/201
Dividend HSBC FDS TOTAL RETURN DS001/5 Dividend Dividend HSBC FDS Dividend Dividend Dividend Dividend HSBC FDS Dividend Divide	.03% RATE ON AVG COLLECTED		15 - 04/30/15 @	!	DEPOSIT SWEEP INTER \$1,953.99 AS OF C				
Dividend AS OF 04/30/15 Dividend Div	0.05			0.00 USD		Interest	015		05/01/201
OS/01/2015 Dividend TRP INST FLOATING HATE.F O4/30/15 INCOME DIVIDENT	04/30/15 INCOME DIVIDEND	İ		TOTAL RET	METROPOLITAN WEST AS OF 04/30/15				
Dividend Dividend	21.98	1	592905509	1,851.95 USD		Dividend	015		05/01/201
Dividend Dividend	04/30/15 INCOME DIVIDEND	1	GE	ADVANTA	EATON VANCE FLOATII AS OF 04/30/15				
Dividend Dividend	63.93		277923637	1,938.19 USD		Dividend	015		05/01/201
Dividend Dividend	05/01/15 INCOME DIVIDEND	تت	05/01/	TOTAL RETURN I	HSBC FDS			-	
Dividend Dividend	6.04		40428X156	1,208.39 USD		Dividend	015		05/01/201
O5/01/2015 Dividend TRP INST FLOATING RATE-F 04/30/15 INCOME DIVIDENT 1,676.52 USD 76628U105 1,676.52 USD 76628U105 1,676.52 USD 76628U105 1,676.52 USD 76628U105 1,676.52 USD 76628U105 1,676.52 USD 543916888 1,000	ND @ 0.034 PER SHARE	ш	INCOME DIVIDE		BLACKROCK HIGH YIEI				
O5/01/2015 Dividend TRP INST FLOATING RATE-F 04/30/15 IN	49.07	1	091929638	1,874.91 USD		Dividend	015		05/01/201
O5/01/2015 Dividend TRP INST FLOATING RATE-F 04/30/15 IN				WEEP FD #840	JPM TAX FREE INSTL S				
O5/01/2015 Dividend TRP INST FLOATING RATE-F 04/30/15 IN	-64.23		870994969	64.23 USD		Purchase	015		05/01/201
05/01/2015 Dividend TRP INST FLOATING RATE-F 04/30/15 INI 05/04/2015 Dividend TRP INST FLOATING RATE-F 04/30/15 INI 05/04/2015 Dividend Dividend CORD ABBETT INVT TR LT DU USGVSP 05/01/2015 Dividend COHEN & STEERS PREFERRED SECURITIES AN PER SHARE AS OF 04/30/15 05/04/2015 Purchase Purchase 252.20 USD 05/04/2015 Dividend COHEN & STEERS PREFERRED SECURITIES AN PER SHARE AS OF 04/30/15 05/04/2015 Purchase	 	4		WEEP FD #840	JPM TAX FREE INSTL S				
05/01/2015 Dividend TRP INST FLOATING RATE-F 04/30/15 IN	-252.20		870994969	252.20 USD	<u>-</u>	Purchase	015		05/04/201
05/01/2015 Dividend TRP INST FLOATING RATE-F 04/30/15 INC 05/04/2015 Dividend RIDGEWORTH SEIX FLOATING - IS 05/01/15 04/30/2015 Dividend 1,676.52 USD 1/15 04/30/2015 Dividend 2,089.91 USD 1/15 05/01/2015 LORD ABBETT INVT TR AS OF 04/30/15 LT DU USGVSP 1,361.57 USD 1/361.57 U	ID INC 04/30/15 INCOME DIVIDEND		ID INCOME FUN	FERRED SECURITIES AN IS OF 04/30/15	COHEN & STEERS PRE				
05/01/2015 Dividend 968.31 USD 1,676.52 USD 1	91.22	. —	19248X307	1,361.57 USD		Dividend	015		05/04/201
05/01/2015 Dividend TRP INST FLOATING RATE F 04/30/15 INC 05/04/2015 Dividend RIDGEWORTH SEIX FLOATING - IS 05/01/15 04/30/2015 Dividend RIDGEWORTH SEIX FLOATING - IS 05/01/15	04/30/15 INCOME DIVIDEND		۲	LT DU USGVSP	LORD ABBETT INVT TR AS OF 04/30/15				
05/01/2015 Dividend TRP INST FLOATING RATE-F 04/30/15 INC 05/04/2015 Dividend RIDGEWORTH SEIX FLOATING - IS 05/01/15	37.97	$\overline{}$	543916688	3,089.91 USD		Dividend	015		05/04/201
05/01/2015 Dividend TRP INST FLOATING RATE-F 05/04/2015 Dividend TRP INST FLOATING RATE-F	ND @ 0.009 PER SHARE	ı			RIDGEWORTH SEIX FL				
05/01/2015 Dividend 968.31 US	15.48		76628U105	1,676.52 USD	[Dividend	015		05/04/201
05/01/2015 Dividend 968.31 USD	@ 0.035 PER SHARE	١Ö	COME DIVIDEN		TRP INST FLOATING RA			-	
	26.19		77958B105	968.31 USD		Dividend	015		05/04/201
	· 一丁丁子 書子二丁八十四日 二十五十八十五十二十二十二十二十二十二十二十二十二十二十二十二十二十二十二十二十	Ż						or separate and the second	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1

The following is provisional and provided for informational purposes only in response to your request. It is not an official statement or confirmation. Because certain valuations provided may reflect price estimates as of the date specified, JPMorgan Chase and Co. can not represent that different prices would not be available elsewhere. Information contained herein, including but not limited to market valuations, calculations, and estimates, is believed to be reliable but JPMorgan Chase and Co. does not warrant its completeness or accuracy. Please confirm all information provided here against your next regular statement.

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DAI/27/2015 OA/22/2015 OA	Dividend	0.00	2.26	0.00	-0.00							
December December	Dividend 1,676.52 USD				NT A/C.	MENT MANAGEME	TO INVESTA	/ DDA A/C	TRANSFER FROM		,	
Delication Dividend Dividen	Dividend Dividend RIDGEWORTH SEIX FLOATING- 04/22/15 INCOME DIVIDEND @ 0.025 PER SHARE		0.00		281,553.38		USD	0.00		Misc. Receipt	04/02/2015	04/02/2015
Dividend Dividend	Dividend	•					#840	ISTL SWEEP FO	JPM TAX FREE IN			
Dividend Conv. C	Dividend		0.00		-281,553.38	870994969	USD	281,553.38		Purchase	04/02/2015	04/02/2015
O4/22/2015 Dividend HIDGEWORTH SEIX FLOATING-I 04/22/15 INCOME DIVIDEND @ 0.025 PER SHARE	Dividend Dividend	 		<u> </u>		- 	#840	ISTL SWEEP FD	JPM TAX FREE IN			
04/22/2015 Dividend 1,676,52 USD 76628T678 30.79 04/22/2015 Purchase RIDGEWORTH SEIX FLOATING-I 04/22/15 INCOME DIVIDEND 0 0.025 PER SHARE 04/22/2015 Purchase JPM TAX FREE INSTL SWEEP FD #840 70994969 -30.79 04/22/2015 Share Class Conv. RIDGEWORTH SEIX FLOATING - IS FROM 76628T678 0.00 0.00 04/22/2015 Share Class Conv. RIDGEWORTH SEIX FLOATING-I TO 76628T678 0.00 0.00 04/09/2015 Share Class Conv. RIDGEWORTH SEIX FLOATING-I TO 76628U105 0.00 0.00 04/09/2015 Dividend SIT DIVIDEND GROWTH FUND-I 04/09/15 INCOME DIVIDEND @ 0.042 PER SHARE // 31.83 0.00 04/09/2015 Purchase JPM TAX FREE INSTL SWEEP FD #840 870994969 -31.83 -31.83 04/09/2015 Purchase JPM TAX FREE INSTL SWEEP FD #840 870994969 -3.869.00 -4,669.00	Dividend		0.00		271,188.00	870994969	USD	-271,188.00		Sale	04/07/2015	04/07/2015
O4/22/2015 Dividend	Dividend				Ī	1	#840	ISTL SWEEP FD	JPM TAX FREE IN			
O4/22/2015 Dividend 1,676.52 USD 76628T678 30.79	Dividend		0.00		-4,669.00	870994969	USD	4,669.00		Purchase	04/09/2015	04/09/2015
O4/22/2015 Dividend 1,676.52 USD 76628T678 30.79	Dividend 1,676.52 USD 76628T678 30.79						#840	ISTL SWEEP FD	JPM TAX FREE IN			
O4/22/2015 Dividend 1,676.52 USD 76628T678 30.79	Dividend 1,676.52 USD 76628T678 30.79		0.00		-31.83	870994969	USD	31.83		Purchase	04/10/2015	04/10/2015
O4/22/2015 Dividend 1,676.52 USD 76628T678 30.79	Dividend	1/09/15	AS OF 0)42 PER SHARE	9	INCOME DIVIDEN	04/09/15	OWTH FUND-I	SIT DIVIDEND GF			
O4/22/2015 Dividend 1,676.52 USD 76628T678 30.79	Dividend		0.00		31.83	82980D707	USD	757.71		Dividend	 04/09/2015	04/10/2015
O4/22/2015 Dividend 1,676.52 USD 76628T678 30.79	Dividend					3U105	TO 76628	IX FLOATING-I	RIDGEWORTH SI	Conv.		
04/22/2015 Dividend 1,676.52 USD 76628T678 30.79 04/22/2015 RIDGEWORTH SEIX FLOATING-I 04/22/15 INCOME DIVIDEND © 0.025 PER SHARE 04/27/2015 Purchase JPM TAX FREE INSTL SWEEP FD #840 870994969 -30.79 04/22/2015 Share Class JPM TAX FREE INSTL SWEEP FD #840 76628U105 0.00 Conv. RIDGEWORTH SEIX FLOATING - IS FROM 76628T678	Dividend		0.00		0.00	76628T678	USD	-1,676.52		Share Class	04/22/2015	04/22/2015
04/22/2015 Dividend 1,676.52 USD 76628T678 30.79 04/22/2015 RIDGEWORTH SEIX FLOATING-I 04/22/15 INCOME DIVIDEND © 0.025 PER SHARE 04/27/2015 Purchase 30.79 USD 870994969 -30.79 04/22/2015 JPM TAX FREE INSTL SWEEP FD #840 76628U105 0.00	Dividend					6628T678		IX FLOATING - I	RIDGEWORTH SI	Conv.		
04/22/2015 Dividend 1,676.52 USD 76628T678 30.79 Purchase RIDGEWORTH SEIX FLOATING-I 04/22/15 INCOME DIVIDEND © 0.025 PER SHARE 04/27/2015 Purchase 30,79 USD 870994969 -30.79 JPM TAX FREE INSTL SWEEP FD #840 -30,79 WEEP FD #840	1,676,52 USD 76628T678 30.79		0.00		0.00	76628U105	USD	1,676.52		Share Class	 04/22/2015	04/22/2015
04/22/2015 Dividend 1,676.52 USD 76628T678 30.79 04/27/2015 RIDGEWORTH SEIX FLOATING-I 04/22/15 INCOME DIVIDEND @ 0.025 PER SHARE 04/27/2015 Purchase 30.79 USD 870994969 -30.79	Dividend				<u> </u>	- 	#840	ISTL SWEEP FD	JPM TAX FREE IN			
04/22/2015 Dividend 1,676.52 USD 76628T678 30.79 RIDGEWORTH SEIX FLOATING-I 04/22/15 INCOME DIVIDEND @ 0.025 PER SHARE	Dividend		0.00		-30.79	870994969	USD	30.79		Purchase	 04/27/2015	04/27/2015
04/22/2015 Dividend 1,676.52 USD 76628T678 30.79	Dividend 1,676.52 USD 76628T678 30.79	14/22/15	AS OF 0	025 PER SHARE	0	INCOME DIVIDEN	04/22/15	EIX FLOATING-I	RIDGEWORTH SI] 		
			0.00		30.79	76628T678	USD	1,676.52		Dividend	04/22/2015	04/27/2015