

UNITED STATES HOUSE OF REPRESENTATIVES FINANCIAL DISCLOSURE STATEMENT

For New Members, Candidates, and New Employees

FORM B

MAY 27 2010 Page 1 of 8

Name: Philip J. Rosenthal

Daytime Telephone _____

2010 JUN -3 PM 1:00

(Office Use Only)

FILER STATUS	<input checked="" type="checkbox"/> New Member of or Candidate for U.S. House of Representatives	State: <u>New York</u> District: <u>10</u>	<input type="checkbox"/> Check if Amendment	Period Covered: January 1, <u>2015</u> to <u>5/25/18</u>	A \$200 penalty shall be assessed against any individual who files more than 30 days late.
	<input type="checkbox"/> Candidates - Date of Election: <u>November 8, 2016</u>	<input type="checkbox"/> New Officer or Employee Employing Office: _____			

PRELIMINARY INFORMATION - ANSWER EACH OF THESE QUESTIONS

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? <u>or</u> b. Make more than \$200 in unearned income from any reportable asset during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	E. Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
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?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	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?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
D. Did you, your spouse, or your dependent child have any reportable liability (more than \$10,000) at any point during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	J. Did you receive compensation of more than \$5,000 from a single source in the current year and two prior years?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"
THIS FORM INCLUDES ONLY THE SCHEDULES THAT YOU ARE REQUIRED TO COMPLETE

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION - ANSWER BOTH 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?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
EXEMPTION - Have you excluded from this report any other assets, "unearned" 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.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

Page 2 of 2

2015.
33
cent

Use additional sheets if more space is required.

Page 3 of 6

Use additional sheets if more space is required.

SCHEDULE D - LIABILITIES

Name: Philip S. Renthall

Page 5 of 6

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 exceeded \$10,000. *Column K is for liabilities held solely by your spouse or dependent child.

SP, DC, JT	Creditor	Date Liability Incurred MO/YR	Type of Liability	Amount of Liability										
				A	B	C	D	E	F	G	H	I	J	K
				\$10,001- \$15,000	\$15,001- \$50,000	\$50,001- \$100,000	\$100,001- \$250,000	\$250,001- \$500,000	\$500,001- \$1,000,000	\$1,000,001- \$5,000,000	\$5,000,001- \$25,000,000	\$25,000,001- \$50,000,000	Over \$50,000,000	Over \$1,000,000* (Spouse/DC Liability)
Example	First Bank of Wilmington, DE	5/98	Mortgage on Rental Property, Dover, DE				X							
	NONE													

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.

Position	Name of Organization
President & Chairman of Board Directors	Fastcase.com, Inc.
Member Executive Board	Endowment for Middle East Truth (CEMET) (uncompensated)
Member, Board of Directors	Council for Court Excellence (uncompensated)
Member, Board of Directors	The Blue Hill Place, Inc. (uncompensated)

FILER NOTES
(Optional)

Name: Philip J. Morenthel Page 6 of 6

NOTE NUMBER	NOTES
1	<p>This account was closed in 2015 and has no current assets. Although the associated 1099 indicated no appreciable income, a transaction report is included in Attachment 3 to ensure complete disclosure.</p>
2	<p>Fastcase.com, Inc. provides an online legal research system featuring a comprehensive database of primary law and annotated law, to make legal research simpler. It is based in Washington DC, As suggested in the instructions, year-end book value is used to value the company. Because we are still closing our 2015 books, this number is estimated. The estimate treats all classes of stock in the same way. If the extra rights of the preferred stockholders are considered in the valuation, the estimate would be reduced.</p> <p>3 My mother had a pension with the Board of Education Retirement System of the City of New York. It permitted her upon passing to direct that I would receive a monthly amount for life, which I am now receiving. The amount is indicated.</p>

POSITIONS: Product Type View

As of 12:40 PM EDT, 06/26/2016

Attachment 1

MSSB C/F
PHILIP ROSENTHAL

Morgan Stanley

MSSB C/F
PHILIP ROSENTHAL
Traditional IRA
\$7,002.51 (Previous Close) / Standard

(20

POSITIONS: 3

ACCT VALUE(\$)	CHANGE(\$)	CHANGE(%)	WEALTH MGMT. NET CASH	CASH, MMF & BDP(\$)	FOREIGN CURRENCY DEPOSITS(\$)	PRICED SECURITIES(\$)	COST(\$)	GAIN LOSS(\$)
7,002.51	0.00	0.00	-13.56	-13.56	0.00	7,016.07	3,385.98	31.75

CASH, MMF AND BDP POSITIONS 1 | -\$13.56

Symbol/USIP	Security Description	Market Value (\$)	Accrued Interest	YTD Int. Paid	YTD Tax Withheld	APY	% Of Account (LMT)
-------------	----------------------	-------------------	------------------	---------------	------------------	-----	--------------------

Totals Cash, MMF and BDP -13.56

Wealth Mgmt. Net Cash -\$13.56

MUTUAL FUNDS POSITIONS 2 | \$7,016.07

Symbol/USIP	Security Description	Quantity	Price (\$)	Market Value (\$)	Total Cost (\$)	GL (\$)	Net Value Incr/Decr (\$)	% Of Div Re/Account: CG Re (LMT)
CAMWX	CAMBIAR OPPORTUNITY INST	158.867	22.650	3,598.34	-	-	-	51.29 R/R
TMGCX	TOUCHSTONE MERGER ARBITRAGE C	323.955	10.550	3,417.73	3,385.98	31.75	182.73	48.71 R/R
Totals Mutual Funds				\$7,016.07	\$3,385.98	\$31.75	\$182.73	100.00

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.

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 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 coupon rate and may not reflect historic rates within the accrual period.

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. 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 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 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-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 able to identify the mutual fund position as Margin "W" 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.

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 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 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 for the length of the withholding.

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 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 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, rights, benefits and payments are controlled by the contract between the insurance company and the contract owner as shown on your policy copy. Annualized information as provided by the insurance carrier reflects the value of the last payment 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 annualized policies will not appear as assets on this statement.

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.

Risk/Ratings- Research Ratings may be displayed for certain securities. Neither Morgan Stanley nor Standard & Poor's uses the rating system displayed. For ease of comparison, we have normalized their ratings so that (1) = Buy, (2) = Hold, 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 security.

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 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 have been evaluated by CG IAR and meet acceptable standards. They have usually been subjected to a less comprehensive evaluation process than investment products on CG IAR's Focus List. The Not Approved List identifies investment

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

SK = Position held in Safekeeping

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

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 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, 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 periods.

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 and general reference purposes only. We are not responsible for any clerical, computational or other inaccuracies, errors or omissions. We obtain market values and other data from various standard quotation services and other sources, which 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 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 decision.

The Bank Deposit Program (BDP) is a cash sweep feature whereby clients can choose to have their available free credit balances automatically deposited into interest bearing, FDIC-insured deposit accounts at up to three banks ("Program 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 ("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 not insured by the FDIC, are not deposits or of other obligations of, or guaranteed by, the Program Banks and involve investment risks, including possible loss of principal amount invested.

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 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 tax 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.

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

Morgan Stanley Research Ratings

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 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 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 recommendations, and (3) corresponds to Sell recommendations. Please refer to a Morgan Stanley research report for a complete description of Morgan Stanley's rating system and Morgan Stanley's actual proprietary rating on any covered company.

Morgan Stanley Wealth Management Normalized Code / Morgan Stanley Rating: Definition

- 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
- 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 12-18 months
- 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

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.

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.

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

- 1 / 4-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
 - 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-Star (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
- Relevant benchmarks: In North America the relevant benchmark is the S&P 500 Index, in Europe and in Asia, the relevant benchmarks are generally the S&P Europe 350 Index and the S&P Asia 50 Index.

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

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.

CG IAR Stutuses in Investment Advisory Programs

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 Group and Fiduciary Asset Management programs. CG IAR statuses for these products are:

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 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. They have usually been subject to a less comprehensive evaluation process than investment products on CG IAR's Focus List. The Not Approved List identifies investment products that in CG IAR's opinion no longer warrant research coverage due to a specific concern(s) or material event.

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 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 all assets today

Attachment 2

CHASE WEALTH MANAGEMENT														
Account Executive: EDWARD CASPER / 0C71														
Account Nickname: ROSENTHAL,PHILIP / 00														

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.

© Reuters. Reuters content is the intellectual property of Reuters Limited. Any copying, republication or redistribution of Reuters content, including by caching, framing or similar means, is expressly prohibited without the prior written consent of Reuters. Reuters shall not be liable for any errors or delays in content, or for any actions taken in reliance thereon.

Market Data Provided by Reuters. Data is provided for information purposes only and is not intended for trading purposes. Reuters shall not be liable for any errors or delay in the content, or for any action taken in reliance thereon. The RIC or Reuters Instrument Code set has been developed and maintained by Reuters and are ©, database right and ™ Reuters.

Neither J.P. Morgan Clearing Corp. nor its affiliates shall be liable for any errors or delay in the content, or for any action taken in reliance thereon.

Market Data source: NYSE, NASDAQ, and OPRA

Information is provided as an accommodation to enable you to monitor your investment activity. The information contained herein has been obtained or derived from sources and methods considered to be reliable but is not guaranteed. Securities pricing may not reflect realizable values. In the event of a discrepancy between the information provided herein and the information set forth in your confirmations of daily activity and monthly statements of account, the latter shall govern. Market data feeds on this site differ from those used for account statements. Nothing herein may be construed as tax advice and you are urged to consult a tax advisor.

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.

ACTIVITY: DETAIL VIEW
Last Refreshed - 12:56 PM EST, 05/26/2016

A H a chment 3

PHILIP ROSENTHAL
6:11 PM
Single
\$0.00 (Previous Close) / Standard

PHILIP ROSENTHAL
11:57 AM '17

Morgan Stanley

ACTIVITIES ALL ACTIVITY TYPES ALL ASSET TYPES DATE RANGE FROM DATE : 01/01/2015 TO DATE : 05/25/2016 17 TRANSACTIONS									
ACTIVITY DATE ▼	SETTLEMENT DATE	ACTIVITY	QUANTITY	DESCRIPTION	SYMBOL/CUSIP	PRICE (\$)	AMOUNT (\$)	CASH BALANCE (\$)	TYPE
03/25/2015	03/25/2015	Deliver \$ Short		BROKER TO BROKER FROM J.P. MORGAN SECURITIES I Ref: 08464758			118.72	0.00	Cash
03/24/2015	03/24/2015	Transfer(Long)	3,727,772	TA ASSET ALLOC-MOD PTF C TO J.P. MORGAN SECURITIES I Ref: 08343011 SEC ID: MYK29	IMOLX		-47,342.70	-118.72	Cash
03/24/2015	03/24/2015	Transfer(Long)	1,250,060	FIRST EAGLE GLOBAL C TO J.P. MORGAN SECURITIES I Ref: 08343015 SEC ID: MMS27	FESGX		-66,453.18	-118.72	Cash
03/24/2015	03/24/2015	Transfer(Long)	3,258,904	SUNAMERICA NEW FOC DIV STRA C TO J.P. MORGAN SECURITIES I Ref: 08343019 SEC ID: MOR71	FDSTX		-56,281.27	-118.72	Cash
03/24/2015	03/24/2015	Transfer(Long)	424,783	COHEN & STEERS GLB INFRASTR C TO J.P. MORGAN SECURITIES I Ref: 08343007 SEC ID: MLF23	CSUCX		-8,151.58	-118.72	Cash
03/24/2015	03/24/2015	Transfer(Long)	3,832,763	NEUBERGER BERMAN EQ INC C TO J.P. MORGAN SECURITIES I Ref: 08342995 SEC ID: MK122	NBHGX		-48,561.10	-118.72	Cash
03/24/2015	03/24/2015	Transfer(Long)	1,134,037	TEMPLETON FOREIGN FUND C TO J.P. MORGAN SECURITIES I Ref: 08343003 SEC ID: MF439	TEFTX		-8,199.08	-118.72	Cash
03/24/2015	03/24/2015	Transfer(Long)	3,836,298	VIRTUS PREM ALPHASECTOR (SM) C TO J.P. MORGAN SECURITIES I Ref: 08342999 SEC ID: A9RJ2	VAPCX		-49,104.58	-118.72	Cash
03/19/2015	03/19/2015	Service Fee		ACCOUNT TRANSFER FEE Ref: 07834499			-95.00	-118.72	Cash
03/19/2015	03/19/2015	Account Fee		ACCT MAINTENANCE FEE Ref: 07880100			-23.75	-23.72	Cash
02/27/2015	02/27/2015	Interest		MORGAN STANLEY BANK N.A. (Period 02/01-02/28) Ref: 05889378 SEC ID: 00361	MSBKN		0.01	0.03	Cash
02/23/2015	02/26/2015	Bought	104,167	COHEN & STEERS GLB INFRASTR C CONFIRM NBR Ref: 05466C01 SEC ID: MLF23	CSUCX	19.200	-2,000.00	0.02	Cash
02/23/2015	02/26/2015	Bought	282,486	TEMPLETON FOREIGN FUND C CONFIRM NBR Ref: 05466B82 SEC ID: MF439	TEFTX	7.080	-2,000.00	2,000.02	Cash
02/20/2015	02/20/2015	DEPOSIT		FUNDS RECEIVED BANK OF AMERICA XX-2420 CONFIRMATION # 32382995 Ref: 00092895			4,000.00	4,000.02	Cash
01/21/2015	01/26/2015	Bought	106,667	COHEN & STEERS GLB INFRASTR C CONFIRM NBR Ref: 02187N98 SEC ID: MLF23	CSUCX	18.750	-2,000.00	0.02	Cash
01/21/2015	01/26/2015	Bought	292,826	TEMPLETON FOREIGN FUND C CONFIRM NBR Ref: 02149M15 SEC ID: MF439	TEFTX	6.830	-2,000.00	2,000.02	Cash
01/20/2015	01/20/2015	DEPOSIT		FUNDS RECEIVED BANK OF AMERICA XX-2420 CONFIRMATION # 31275379 Ref: 00075379			4,000.00	4,000.02	Cash
Balance as of 01/01/2015								\$ 0.02	

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 purposes only.

and general reference purposes only. We are not responsible for any clerical, computational or other inaccuracies, errors or omissions. We obtain market values and other data from various standard quotation services and other sources, which we believe to be reliable. However, we do not warrant or guarantee the accuracy or completeness of any such information. The historical activity shown was provided to Morgan Stanley by Citigroup Global Markets Incorporated (CGMI). CGMI was the booking agent for this activity for former Smith Barney accounts and is solely responsible for its accuracy. The values that you actually receive in the market for any investment may be higher or lower than the values reflected 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 decision. The Bank Deposit Program (BDP) is a cash sweep feature whereby clients can choose to have their available free credit balances automatically deposited into interest bearing, FDIC-insured deposit accounts at up to three banks ("Program 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 ("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 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. 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 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, 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 periods.

Attachment - 4

[Print](#) | [Click To Customize Printer View](#) | [No Shade View](#)**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: -\$1,530.84(S), -\$7,974.43(L) Account YTD G/L: -\$1,389.08(S), -\$365.47(L)

Estimated Annual Income: \$9,552.53 (3.45%) Total Liability: \$0.00

▼ Equity

Description (Long/Short)	Security Id	Price	Quantity	Cost	Market Value	MV %	Unrealized G/L	Unrealized G/L%	Accrued Income	Est. Annual Income
US Large Cap Equity										
Core										
<u>JOHN HANCOCK L/C EQUITY-I</u>	JLVIX	42.73	<u>253.65</u>	11,196.00	10,838.38	3.91	-357.60	-3.19	0.00	55.80
<u>SIT DIVIDEND GROWTH FD-I</u>	SDVGX	15.64	<u>1,145.11</u>	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										
<u>BMO PYRFORD INTL STOCK-I</u>	MISNX	11.96	<u>648.89</u>	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	7,760.77	2.80	-664.20	-7.88	0.00	177.79
Asia ex-Japan Equity										
Core										
<u>MATTHEWS ASIA DIVIDEND-INST</u>	MIPIX	15.67	<u>624.96</u>	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										
<u>COHEN & STEERS PR SEC&INC-I</u>	CPXIX	13.67	<u>1,361.57</u>	18,886.07	18,612.61	6.72	-273.45	-1.45	0.00	1,094.69
<u>NUVEEN INVT TR V</u>	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 (Long/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								
<u>PIMCO UNCONSTRAINED BOND-P</u> Priced on 25-May-2016	PUCPX		<u>758.66</u>	8,368.00	0.00	7,859.70	2.84	-508.29
Total Relative Value/Credit				8,368.00		7,859.70	2.84	-508.29
Total Hedge Funds				8,368.00		7,859.70	2.84	-508.29
Total Alternative Assets				8,368.00		7,859.70	2.84	-508.29

▼ Fixed Income & Cash

Description (Long/Short)	Security Id	Price	Quantity	Cost	Market Value	MV %	Unrealized G/L	Unrealized G/L%	Accrued Income	Est. Annual Income
Cash & Short Term										
Cash										
<u>JPM TAX FREE MMKT INST SWEEP FD #840</u>	870994969	1.00	<u>20,841.81</u>	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										
<u>DOUBLELINE TOTL RET BND-I</u>	DBLTX	10.86	<u>4,055.01</u>	44,863.00	44,037.39	15.90	-825.59	-1.84	0.00	1,739.59
<u>METROPOLITAN WEST FDS</u>	MWTIX	10.82	<u>1,851.95</u>	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										
<u>BLACKROCK HIGH YIELD PT-BLAC</u>	BRHYX	7.35	<u>1,874.91</u>	14,943.00	13,780.56	4.97	-1,162.43	-7.78	0.00	778.08
<u>CREDIT SUISSE FL RT HI IN-I</u>	CSHIX	6.64	<u>2,434.40</u>	16,527.89	16,164.40	5.83	-363.46	-2.20	0.00	749.79
<u>FEDERATED INST HI YLD BD-IS</u>	FIHBX	9.51	<u>588.22</u>	5,494.00	5,594.00	2.02	100.00	1.82	0.00	341.16
<u>HARBOR CONVERTIBLE SEC-INST</u>	HACSX	10.21	<u>728.23</u>	7,945.00	7,435.24	2.68	-509.75	-6.42	0.00	168.94
<u>HARBOR HIGH YIELD BOND-INST</u>	HYFAX	9.76	<u>678.95</u>	7,129.00	6,626.57	2.39	-502.42	-7.05	0.00	359.84
<u>JPM UNCONSTRAINED DEBT FD - SELECT</u>	JSISX	9.84	<u>1,521.28</u>	15,441.00	14,969.41	5.40	-471.58	-3.05	0.00	387.92
<u>LORD ABBETT INVT TR</u>	LLDYX	4.33	<u>4,504.73</u>	19,961.00	19,505.46	7.04	-455.46	-2.28	0.00	806.34
<u>RIDGEWORTH SEIX FLOATING-IS</u>	SFRZX	8.53	<u>1,676.52</u>	14,854.00	14,300.75	5.16	-553.24	-3.72	0.00	687.37
<u>T ROWE PR INST FLOAT RT-F</u>	PFFRX	9.93	<u>1,286.64</u>	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

The account information shown here is provided as a convenience to you, and is not official bank or brokerage record or statement of any affiliate or subsidiary of J P Morgan Chase & Co. It is not to be relied upon for purposes of final reconciliation or otherwise. We do not make any representation or warranty that this information is accurate or complete. This summary information is subject to correction, and corrections may routinely occur without notice. The valuations may not represent the actual or indicative terms at which new (or economically equivalent) transactions could be entered into or the actual or indicative terms at which existing (or such equivalent) transactions could be liquidated, assigned, or unwound, and may vary from valuations used by us for other purposes. We may derive valuations for assets set forth in any periodic statement or other document through the use of proprietary pricing models and/or any external pricing service selected by us in our sole discretion, and estimates and assumptions about relevant future market conditions and other matters, all of which are subject to change without notice. Any such changes may have a material impact on the valuations provided, and valuations based on the other models or different assumptions may yield materially different results. Valuations provided do not necessarily reflect a market price estimate on the date specified. Valuations may reflect price estimates on dates different from that indicated above. You can view your most recent bank and brokerage statements that represent official records and that identify the specific J.P. Morgan Chase legal entities holding your accounts by clicking the Account Details tab of Morgan OnLine.

Attachment 5

Account Number.

Account Title: PHILIP ROSENTHAL - TAP DYS

05/05/2016	05/06/2016	05/04/2016	05/05/2016	Sale	HSBC TOTAL RETURN FD-I	-39.19 USD	40428X156	380.17	0.00
05/05/2016	05/04/2016	05/04/2016	05/05/2016	Purchase	LORD ABBETT INVT TR	101.84 USD	543916688	-442.00	0.00
05/04/2016	05/03/2016	05/03/2016	05/04/2016	Purchase	LORD ABBETT INVT TR	108.06 USD	543916688	-469.00	0.00
05/04/2016	05/05/2016	05/03/2016	05/04/2016	Sale	HSBC TOTAL RETURN FD-I	-47.58 USD	40428X156	463.00	0.00
05/03/2016	05/04/2016	05/02/2016	05/03/2016	Sale	HSBC TOTAL RETURN FD-I	-53.73 USD	40428X156	526.00	0.00
05/03/2016	05/03/2016	05/02/2016	05/03/2016	Purchase	LORD ABBETT INVT TR	120.28 USD	543916688	-522.00	0.00
05/02/2016	05/02/2016	04/29/2016	05/02/2016	Purchase	LORD ABBETT INVT TR	103.23 USD	543916688	-448.00	0.00
05/02/2016	05/03/2016	04/29/2016	05/02/2016	Sale	HSBC TOTAL RETURN FD-I	-46.37 USD	40428X156	454.00	0.00
04/29/2016	04/28/2016	04/28/2016	04/29/2016	Purchase	LORD ABBETT INVT TR	101.84 USD	543916688	-442.00	0.00
04/27/2016	04/28/2016	04/26/2016	04/27/2016	Sale	HSBC TOTAL RETURN FD-I	-87.82 USD	40428X156	856.00	0.00
04/27/2016	04/26/2016	04/26/2016	04/27/2016	Purchase	LORD ABBETT INVT TR	186.84 USD	543916688	-809.00	0.00
04/26/2016	04/25/2016	04/25/2016	04/26/2016	Purchase	NUVEEN INVT TR V	53.86 USD	670700400	-899.00	0.00
04/26/2016	04/27/2016	04/25/2016	04/26/2016	Sale	HSBC TOTAL RETURN FD-I	-92.83 USD	40428X156	906.00	0.00
04/25/2016	04/26/2016	04/22/2016	04/25/2016	Sale	HSBC TOTAL RETURN FD-I	-98.05 USD	40428X156	957.00	0.00
04/25/2016	04/22/2016	04/22/2016	04/25/2016	Purchase	NUVEEN INVT TR V	58.67 USD	670700400	-981.00	0.00

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.

Account Title: PHILIP ROSENTHAL - TAP DYS

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.

11/05/2015	11/06/2015	11/04/2015	11/05/2015	Sale	HSBC FDS	-144.26 USD	40428X156	1,483.00	0.00
10/30/2015	10/29/2015	10/29/2015	10/30/2015	Sale	COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z	-190.92 USD	19765H727	3,427.00	0.00
10/30/2015	10/30/2015	10/29/2015	10/30/2015	Purchase	TRP INST FLOATING RATE-F	41.79 USD	77958B105	-415.00	0.00
10/27/2015	10/27/2015	10/28/2015	10/27/2015	Purchase	CREDIT SUISSE FLOATING RATE HIGH INC FD	388.10 USD	22540S836	-2,608.00	0.00
08/25/2015	08/24/2015	08/24/2015	08/25/2015	Purchase	DOUBLELINE TOTAL RET BD-I	370.54 USD	258620103	-4,076.00	0.00
08/20/2015	08/19/2015	08/19/2015	08/20/2015	Sale	EATON VANCE FLOATING-RATE ADVANTAGE I	-327.98 USD	277923637	3,516.00	0.00
08/19/2015	08/18/2015	08/18/2015	08/19/2015	Purchase	LOHD ARBETT INVT TR LT DU USGVSP Y	692.73 USD	543916688	-3,046.00	0.00
08/17/2015	08/17/2015	08/14/2015	08/17/2015	Purchase	CREDIT SUISSE FLOATING RATE HIGH INC FD	1,432.35 USD	22540S836	-9,740.00	0.00
08/17/2015	08/17/2015	08/14/2015	08/17/2015	Purchase	TRP INST FLOATING RATE-F	276.54 USD	77958B105	-2,782.00	0.00
08/17/2015	08/18/2015	08/14/2015	08/17/2015	Sale	AVENUE MUT FDS TR CRED STRA INST	-323.05 USD	05358F301	3,385.53	0.00
08/17/2015	08/14/2015	08/14/2015	08/17/2015	Sale	EATON VANCE FLOATING-RATE ADVANTAGE I	-1,221.99 USD	277923637	13,112.00	0.00
08/13/2015	08/12/2015	08/12/2015	08/13/2015	Purchase	JOHN HANCOCK L/C EQUITY-I	62.89 USD	41013P608	-2,776.00	0.00
08/13/2015	08/14/2015	08/12/2015	08/13/2015	Sale	CLEARBRIDGE DIV STRATEGY FD - I	-395.19 USD	52469H594	7,899.83	0.00
08/13/2015	08/12/2015	08/12/2015	08/13/2015	Purchase	SIT DIVIDEND GROWTH FUND-I	193.06 USD	82980D707	-3,394.00	0.00
08/11/2015	08/12/2015	08/10/2015	08/11/2015	Purchase	CREDIT SUISSE FLOATING RATE HIGH INC FD	613.95 USD	22540S836	-4,181.00	0.00
08/11/2015	08/11/2015	08/10/2015	08/11/2015	Sale	EATON VANCE FLOATING-RATE ADVANTAGE I	-388.21 USD	277923637	4,181.00	0.00

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.

Account Number: Account Title: PHILIP ROSENTHAL - TAP DYS

04/07/2015	04/08/2015	04/06/2015	04/07/2015	Purchase	HSBC FDS	1,208.39 USD	40428X156	-12,531.00	0.00
					TOTAL RETURN I				
04/07/2015	04/07/2015	04/06/2015	04/07/2015	Purchase	HARBOR HIGH YIELD BOND-INST	678.95 USD	411511553	-7,129.00	0.00
04/07/2015	04/08/2015	04/06/2015	04/07/2015	Purchase	HARBOR CONVERTIBLE SEC-INST	728.23 USD	411512734	-7,945.00	0.00
04/07/2015	04/08/2015	04/06/2015	04/07/2015	Purchase	CLEARBRIDGE EQUITY INC FD-I	733.69 USD	52468H594	-15,070.00	0.00
04/07/2015	04/08/2015	04/06/2015	04/07/2015	Purchase	AVENUE MUT FDS TR	944.53 USD	05358F301	-10,097.00	0.00
04/07/2015	04/08/2015	04/06/2015	04/07/2015	Purchase	TRP INST FLOATING RATE-F	968.31 USD	77958B105	-9,838.00	0.00
04/07/2015	04/07/2015	04/06/2015	04/07/2015	Purchase	COHEN & STEERS PREFERRED SECURITIES AND INCOME FUND INC	1,361.57 USD	19248X307	-18,953.00	0.00
04/07/2015	04/06/2015	04/06/2015	04/07/2015	Purchase	LORD ABBETT INV TR	3,089.91 USD	543916688	-13,781.00	0.00
04/07/2015	04/06/2015	04/06/2015	04/07/2015	Purchase	MATTHEWS ASIA DIVIDEND-INS	531.45 USD	57730750	-9,024.00	0.00
04/07/2015	04/06/2015	04/06/2015	04/07/2015	Purchase	COLUMBIA FD SER TRT - COLUMBIA	656.34 USD	19765H727	-12,792.00	0.00
04/07/2015	04/07/2015	04/06/2015	04/07/2015	Purchase	JPM INTREPID EUROPEAN FD - INSTL	222.99 USD	4812A0680	-5,713.00	0.00
04/07/2015	04/07/2015	04/06/2015	04/07/2015	Purchase	JPM UNCONSTRAINED DEBT FD - SELECT	1,521.28 USD	48121A290	-15,441.00	0.00
04/07/2015	04/07/2015	04/06/2015	04/07/2015	Purchase	METROPOLITAN WEST FDS	1,851.95 USD	582905509	-20,427.00	0.00
04/07/2015	04/06/2015	04/06/2015	04/07/2015	Purchase	EATON VANCE FLOATING-RATE	1,938.19 USD	277923637	-21,165.00	0.00
04/07/2015	04/07/2015	04/06/2015	04/07/2015	Purchase	BLACKROCK HIGH YIELD BOND	1,874.91 USD	091929638	-14,943.00	0.00

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.

Account Number: Account Title: PHILIP ROSENTHAL - TAP DYS

04/07/2015	04/07/2015	04/06/2015	04/07/2015	Purchase	TORTOISE MLP & PIPELINE-INS	445.98 USD	56166Y404	-7,332.00	0.00
04/07/2015	04/06/2015	04/06/2015	04/07/2015	Purchase	DOUBLELINE TOTAL RET BD-I	3,684.46 USD	258620103	-40,787.00	0.00
04/07/2015	04/06/2015	04/06/2015	04/07/2015	Purchase	SIT DIVIDEND GROWTH FUND-I	757.71 USD	82980D707	-13,366.00	0.00
04/07/2015	04/06/2015	04/06/2015	04/07/2015	Purchase	RIDGEMORTH SEIX FLOATING-I	1,676.52 USD	76628T678	-14,854.00	0.00
06/01/2016	06/01/2016		06/01/2016	Dividend	JPM TAX FREE MMKT INST SWEEP FD #840	0.00 USD	870994969	0.00	2.26
05/05/2016	05/05/2016			Sale	JPM TAX FREE MMKT INST SWEEP FD #840	-61.83 USD	870994969	61.83	0.00
05/04/2016	05/04/2016			Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	290.37 USD	870994969	-290.37	0.00
05/03/2016	05/02/2016			Dividend	FEDERATED INST HI YLD BD-IS	568.22 USD	31420B300	28.03	0.00
05/03/2016	04/29/2016			Dividend	DOUBLELINE TOTL RET BND-I	4,055.01 USD	258620103	130.29	0.00
05/03/2016	05/03/2016			Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	334.22 USD	870994969	-334.22	0.00
05/03/2016	04/29/2016			Dividend	LORD ABBETT INVT TR	4,174.54 USD	543916688	57.64	0.00
05/03/2016	05/02/2016			Dividend	T ROWE PR INST FLOAT RT-F	1,286.64 USD	77958B105	46.86	0.00
05/03/2016	05/02/2016			Dividend	NUVEEN INVT TR V	487.23 USD	670700400	28.33	0.00
05/03/2016	05/02/2016			Dividend	CREDIT SUISSE FL RT HI IN-I	758.66 USD	72201M453	16.24	0.00
05/03/2016	04/29/2016			Dividend	PIMCO UNCONSTRAINED BOND-P	2,434.40 USD	22540S836	68.26	0.00

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.

Account Number: Account Title: PHILIP ROSENTHAL - TAP DYS

05/03/2016	05/02/2016		Dividend	COHEN & STEERS PR SEC&INC-1	1,361.57 USD	19248X307	91.22	0.067 PER SHARE	AS OF 04/29/16
05/03/2016	05/03/2016		Dividend	1,676.52 USD	76628U105	61.96	0.039 PER SHARE	AS OF 05/02/16	
05/02/2016	05/02/2016		Dividend	RIDGEWORTH SEIX FLOATING-IS	05/02/16	INCOME DIVIDEND	@	0.039 PER SHARE	AS OF 05/02/16
05/02/2016	05/02/2016		Dividend	JPM TAX FREE MMKT INST SWEEP FD #840	0.00 USD	870994969	2.50		0.00
05/02/2016	05/02/2016		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	8.50 USD	870994969	-8.50		0.00
05/02/2016	05/02/2016		Dividend	JPM TAX FREE MMKT INST SWEEP FD #840	1,851.95 USD	592905509	32.40		0.00
05/02/2016	05/02/2016		Dividend	METROPOLITAN WEST FDS	TOTAL RET CL I	04/29/16	INCOME DIVIDEND	@	0.017 PER SHARE
05/02/2016	05/02/2016		Dividend	BLACKROCK HIGH YIELD PT-BLAC	04/29/16	INCOME DIVIDEND	@	0.033 PER SHARE	AS OF 04/29/16
04/27/2016	04/27/2016		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	49.00 USD	870994969	-49.00		0.00
04/26/2016	04/26/2016		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	7.00 USD	870994969	-7.00		0.00
04/25/2016	04/25/2016		Sale	JPM TAX FREE MMKT INST SWEEP FD #840	-24.00 USD	870994969	24.00		0.00
04/22/2016	04/22/2016		Sale	JPM TAX FREE MMKT INST SWEEP FD #840	-10.00 USD	870994969	10.00		0.00
04/19/2016	04/19/2016		Fees	JPMORGAN CHASE INVESTMENT MANAGEMENT FEE FOR THE PERIOD 01-01-2016 TO 03-31-2016	0.00 USD		-999.11		0.00
04/19/2016	04/19/2016		Sale	JPM TAX FREE MMKT INST SWEEP FD #840	-999.11 USD	870994969	999.11		0.00
04/14/2016	04/14/2016		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	80.13 USD	870994969	-80.13		0.00
04/14/2016	04/13/2016		Dividend	SIT DIVIDEND GROWTH FD-I	04/13/16	INCOME DIVIDEND	@	0.070 PER SHARE	AS OF 04/13/16
04/05/2016	04/05/2016		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	289.00 USD	870994969	-289.00		0.00
04/04/2016	04/04/2016		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	362.54 USD	870994969	-362.54		0.00

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.

Account Title: PHILIP ROSENTHAL - TAP DYS

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.

03/01/2016	03/01/2016		Dividend	METROPOLITAN WEST FDS AS OF 02/29/16	1,851.95 USD	592905509	25.15	0.00	0.014 PER SHARE
03/01/2016	03/01/2016		Dividend	BLACKROCK HIGH YIELD PT-BLAC	1,874.91 USD	091929687	59.36	0.00	AS OF 02/29/16
02/26/2016	02/26/2016		Dividend	JPM UNCONSTRAINED DEBT FD - SELECT FUND 2130	1,521.28 USD	48121A290	33.47	0.00	0.00
02/26/2016	02/26/2016		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	33.47 USD	870994969	-33.47	0.00	0.00
02/10/2016	02/10/2016		Cost Adjustment	COHEN & STEERS PR SEC&INC-1	1,361.57 USD	19248X307	0.00	0.00	0.00
02/03/2016	02/03/2016		Cost Adjustment	CREDIT SUISSE FL RT HI IN-1	2,434.40 USD	22540S836	0.00	0.00	0.00
02/03/2016	02/03/2016		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	278.81 USD	870994969	-278.81	0.00	0.00
02/02/2016	02/02/2016		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	310.11 USD	870994969	-310.11	0.00	0.00
02/02/2016	02/01/2016		Dividend	CREDIT SUISSE FL RT HI IN-1	2,434.40 USD	22540S836	67.49	0.00	0.00
02/02/2016	02/02/2016		Dividend	RIDGEMORTH SEIX FLOATING-IS	1,676.52 USD	76828U105	54.47	0.00	0.00
02/02/2016	02/01/2016		Dividend	T ROWE PR INST FLOAT RT-F	1,286.64 USD	77968B105	37.38	0.00	0.00
02/02/2016	01/29/2016		Dividend	PIMCO UNCONSTRAINED BOND-P	758.66 USD	72201M453	12.99	0.00	0.00
02/02/2016	02/01/2016		Dividend	NUVEEN INV'T TR V	318.67 USD	670700400	8.80	0.00	0.00
02/02/2016	02/01/2016		Dividend	FEDERATED INST HI YLD BD-IS	588.22 USD	31420B300	28.27	0.00	0.00
02/02/2016	02/01/2016		Dividend	COHEN & STEERS PR SEC&INC-1	1,361.57 USD	19248X307	91.22	0.00	0.00

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.

02/02/2016	01/29/2016		Dividend	LORD ABBETT INVT TR AS OF 01/29/16	3,782.64 USD	543916688	01/29/16	INCOME DIVIDEND	@ 0.016 PER SHARE	0.00
02/02/2016	01/29/2016		Dividend	DOUBLELINE TOTL RET BND-I 01/29/16	4,055.01 USD	258620103	01/29/16	INCOME DIVIDEND	@ 0.033 PER SHARE	0.00
02/01/2016	02/01/2016		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	0.19 USD	870994969				0.00
02/01/2016	02/01/2016		Dividend	JPM TAX FREE MMKT INST SWEEP FD #840	0.00 USD	870994969		0.19		0.00
02/01/2016	02/01/2016		Dividend	JPM TAX FREE MMKT INST SWEEP FD #840	1,851.95 USD	592905509		28.55		0.00
02/01/2016	02/01/2016		Dividend	METROPOLITAN WEST FDS AS OF 01/29/16	1,874.91 USD	091929687	01/29/16	INCOME DIVIDEND	@ 0.015 PER SHARE	0.00
02/01/2016	02/01/2016		Dividend	BLACKROCK HIGH YIELD PT-BLAC 01/29/16	605.27 USD	40428X156		3.04		0.00
02/01/2016	02/02/2016		Dividend	HSBC TOTAL RETURN FD-I 02/01/16	33.47 USD	870994969		-33.47		0.00
01/28/2016	01/28/2016		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	1,521.28 USD	48121A290		33.47		0.00
01/28/2016	01/28/2016		Dividend	JPM UNCONSTRAINED DEBT FD - SELECT FUND 2130	-2,652.00 USD	870994969		2,652.00		0.00
01/21/2016	01/21/2016		Sale	JPM TAX FREE MMKT INST SWEEP FD #840	2,076.97 USD	870994969		-2,076.97		0.00
01/20/2016	01/20/2016		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	-3,765.99 USD	870994969		3,765.99		0.00
01/19/2016	01/19/2016		Sale	JPM TAX FREE MMKT INST SWEEP FD #840	0.00 USD			-1,017.99		0.00
01/19/2016	01/19/2016		Fees	JPMORGAN CHASE INVESTMENT MANAGEMENT FEE FOR THE PERIOD 10-01-2015 TO 12-31-2015	200.68 USD	870994969		-200.68		0.00
01/06/2016	01/06/2016		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	346.01 USD	870994969		-346.01		0.00
01/05/2016	01/05/2016		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840						

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.

01/05/2016	12/31/2015	Dividend	758.66 USD	72201M453	20.00	0.00	AS OF 12/31/15
01/05/2016	12/31/2015	Dividend	PIMCO UNCONSTRAINED BOND-P	12/31/15 INCOME DIVIDEND	@ 0.026 PER SHARE	0.00	AS OF 12/31/15
			3,782.64 USD	543916688	55.48	0.00	
01/05/2016	12/31/2015	Dividend	LORD ABBETT INVT TR	LT DU USGVSP Y	12/31/15 INCOME DIVIDEND	@ 0.015 PER SHARE	AS OF 12/31/15
01/05/2016	12/31/2015	Dividend	4,055.01 USD	258620103	153.52	0.00	
01/05/2016	01/04/2016	Dividend	DOUBLELINE TOTL RET BND-I	12/31/15 INCOME DIVIDEND	@ 0.038 PER SHARE	0.00	AS OF 12/31/15
			588.22 USD	31420B300	28.71	0.00	
01/05/2016	01/05/2016	Dividend	FEDERATED INST HI YLD BD-IS	12/31/15 INCOME DIVIDEND	@ 0.049 PER SHARE	0.00	AS OF 12/31/15
			1,676.52 USD	76628U105	55.44	0.00	
01/05/2016	01/04/2016	Dividend	RIDGEWORTH SEIX FLOATING-IS	01/04/16 INCOME DIVIDEND	@ 0.032 PER SHARE	0.00	AS OF 01/04/16
			1,286.64 USD	77956B105	47.52	0.00	
01/05/2016	01/04/2016	Dividend	T ROWE PR INST FLOAT RT-F	12/31/15 INCOME DIVIDEND	@ 0.037 PER SHARE	0.00	AS OF 12/31/15
			2,434.40 USD	22540S836	69.01	0.00	
01/04/2016	01/05/2016	Dividend	CREDIT SUISSE FL RT HI IN-I	12/31/15 INCOME DIVIDEND	@ 0.028 PER SHARE	0.00	AS OF 12/31/15
			605.27 USD	40428X156	19.78	0.00	
01/04/2016	01/04/2016	Purchase	HSBC TOTAL RETURN FD-I	01/04/16 INCOME DIVIDEND	@ 0.033 PER SHARE	0.00	
			2.24 USD	870994969	-2.24	0.00	
01/04/2016	01/04/2016	Dividend	JPM TAX FREE MMKT INST SWEEP FD #840	091929687	64.53	0.00	
			1,874.91 USD	582905509	32.70	0.00	
01/04/2016	01/04/2016	Dividend	BLACKROCK HIGH YIELD PT-BLAC	12/31/15 INCOME DIVIDEND	@ 0.034 PER SHARE	0.00	AS OF 12/31/15
			1,851.95 USD	582905509	32.70	0.00	
01/04/2016	01/04/2016	Dividend	METROPOLITAN WEST FDS	TOTAL RET CL I	12/31/15 INCOME DIVIDEND	@ 0.018 PER SHARE	AS OF 12/31/15
			0.00 USD	870994969	2.24	0.00	
01/04/2016	01/04/2016	Dividend	JPM TAX FREE MMKT INST SWEEP FD #840	870994969	-250.21	0.00	
			250.21 USD	72201M453	250.21	0.00	
12/31/2015	12/29/2015	Dividend	PIMCO UNCONSTRAINED BOND-P	12/29/15 INCOME DIVIDEND	@ 0.330 PER SHARE	0.00	AS OF 12/29/15
			66.94 USD	870994969	-66.94	0.00	
12/30/2015	12/30/2015	Purchase	JPM TAX FREE MMKT INST SWEEP FD #840				

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.

12/30/2015	12/30/2015		Dividend	JPM UNCONSTRAINED DEBT FD - SELECT FUND 2130	1,521.28 USD	48121A290	66.94	@ 0.044 PER SHARE	0.00
12/28/2015	12/28/2015		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	417.09 USD	870994969	-417.09		0.00
12/24/2015	12/28/2015		Dividend	HSBC TOTAL RETURN FD-I	605.27 USD	40428X156	319.35	@ 0.528 PER SHARE	0.00
12/24/2015	12/28/2015		S. T. Capital Gain	HSBC TOTAL RETURN FD-I	605.27 USD	40428X156	10.66	@ 0.018 PER SHARE	0.00
12/24/2015	12/24/2015		S. T. Capital Gain	BLACKROCK HIGH YIELD PT-BLAC	1,874.91 USD	091929687	87.08	@ 0.046 PER SHARE	0.00
12/22/2015	12/22/2015		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	245.83 USD	870994969	-245.83		0.00
12/21/2015	12/21/2015		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	106.84 USD	870994969	-106.84		0.00
12/21/2015	12/17/2015		Dividend	HARBOR HIGH YIELD BOND-INST	678.96 USD	411511553	106.84	@ 0.157 PER SHARE	0.00
12/21/2015	12/18/2015		L. T. Capital Gain	HARBOR CONVERTIBLE SEC-INST	728.23 USD	411512734	141.86	@ 0.195 PER SHARE	0.00
12/21/2015	12/18/2015		Dividend	HARBOR CONVERTIBLE SEC-INST	728.23 USD	411512734	103.97	@ 0.143 PER SHARE	0.00
12/18/2015	12/18/2015		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	2,049.19 USD	870994969	-2,049.19		0.00
12/18/2015	12/17/2015		L. T. Capital Gain	JOHN HANCOCK LC EQUITY-I	253.65 USD	41013P608	128.83	@ 1.209 PER SHARE	0.00
12/18/2015	12/17/2015		Dividend	JOHN HANCOCK LC EQUITY-I	253.65 USD	41013P608	55.78	@ 0.523 PER SHARE	0.00
12/18/2015	12/17/2015		S. T. Capital Gain	SIT DIVIDEND GROWTH FD-I	950.77 USD	82980D707	81.38	@ 0.086 PER SHARE	0.00
12/18/2015	12/17/2015		Dividend	SIT DIVIDEND GROWTH FD-I	950.77 USD	82980D707	112.77	@ 0.119 PER SHARE	0.00
12/18/2015	12/17/2015		L. T. Capital Gain	SIT DIVIDEND GROWTH FD-I	950.77 USD	82980D707	1,670.43	@ 1.757 PER SHARE	0.00

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.

12/16/2015	12/16/2015		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	483.21 USD	870994969	-483.21		0.00
12/16/2015	12/14/2015		Dividend	COLUMBIA CONV SECURITIES-Z	314.98 USD	19765H727	119.92		0.00
12/16/2015	12/14/2015		L.T. Capital Gain	COLUMBIA CONV SECURITIES-Z	314.98 USD	19765H727	145.17		0.00
12/15/2015	12/15/2015		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	91.22 USD	870994969	-91.22		0.00
12/15/2015	12/15/2015		L.T. Capital Gain	METROPOLITAN WEST FDS	1,851.95 USD	592905509	95.19		0.00
12/15/2015				METROPOLITAN WEST FDS	1,851.95 USD	592905509	122.93		0.00
12/15/2015	12/15/2015		S.T. Capital Gain	METROPOLITAN WEST FDS	1,851.95 USD	592905509	122.93		0.00
12/14/2015	12/14/2015		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	177.99 USD	870994969	-177.99		0.00
12/14/2015	12/11/2015		Dividend	COHEN & STEERS PR SEC&INC-1	1,361.57 USD	19248X307	91.22		0.00
12/11/2015	12/11/2015		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	171.27 USD	870994969	-171.27		0.00
12/11/2015	12/11/2015		Dividend	BMO PYRORD INTL STOCK-1	648.89 USD	08658L513	177.99		0.00
12/11/2015	12/10/2015		L.T. Capital Gain	MATTHEWS ASIA DIVIDEND-INST	624.96 USD	577130750	144.03		0.00
12/11/2015	12/10/2015		Dividend	MATTHEWS ASIA DIVIDEND-INST	624.96 USD	577130750	27.24		0.00
12/03/2015	12/03/2015		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	247.18 USD	870994969	-247.18		0.00
12/02/2015	12/02/2015		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	314.25 USD	870994969	-314.25		0.00
12/02/2015	12/01/2015		Dividend	T ROWE PR INST FLOAT RT-F	1,286.64 USD	77958B105	39.60		0.00

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.

Account Number: Account Title: PHILIP ROSENTHAL - TAP DYS

12/02/2015	11/30/2015	Dividend	758.66 USD	72201M453	20.56	0.00	0.00
12/02/2015	11/30/2015	Dividend	PIMCO UNCONSTRAINED BOND-P	11/30/15 INCOME DIVIDEND	@ 0.027 PER SHARE	AS OF 11/30/15	
			3,782.64 USD	543916688	56.32	0.00	
12/02/2015	11/30/2015	Dividend	LORD ABBETT INVT TR	LT DU USGVSP Y	11/30/15 INCOME DIVIDEND	@ 0.015 PER SHARE	
			AS OF 11/30/15				
12/02/2015	12/02/2015	Dividend	1,676.52 USD	76629U105	54.87	0.00	0.00
12/02/2015	12/01/2015	Dividend	RIDGEWORTH SEIX FLOATING-IS	12/01/15 INCOME DIVIDEND	@ 0.032 PER SHARE	AS OF 12/01/15	
			2,434.40 USD	22540S836	57.32	0.00	
12/02/2015	11/30/2015	Dividend	CREDIT SUISSE FL RT HI IN4	11/30/15 INCOME DIVIDEND	@ 0.024 PER SHARE	AS OF 11/30/15	
			4,055.01 USD	258620103	138.39	0.00	
12/02/2015	12/01/2015	Dividend	DOUBLELINE TOTL RET BND-I	11/30/15 INCOME DIVIDEND	@ 0.034 PER SHARE	AS OF 11/30/15	
			1,361.57 USD	19248X307	91.22	0.00	
12/02/2015	12/01/2015	Dividend	COHEN & STEERS PR SEC&INC-I	11/30/15 INCOME DIVIDEND	@ 0.067 PER SHARE	AS OF 11/30/15	
			588.22 USD	31420B300	4.17	0.00	
12/01/2015	12/01/2015	Dividend	FEDERATED INST HI YLD BD-IS	11/30/15 INCOME DIVIDEND	@ 0.007 PER SHARE	AS OF 11/30/15	
			-2,060.54 USD	870994969	2,060.54	0.00	
12/01/2015	12/01/2015	Sale	JPM TAX FREE MMKT INST SWEEP FD #940				
			0.00 USD	870994969	0.46	0.00	
12/01/2015	12/01/2015	Dividend	JPM TAX FREE MMKT INST SWEEP FD #940				
			1,851.95 USD	592905509	29.62	0.00	
12/01/2015	12/01/2015	Dividend	METROPOLITAN WEST FDS	TOTAL RET CL I	11/30/15 INCOME DIVIDEND	@ 0.016 PER SHARE	
			AS OF 11/30/15				
12/01/2015	12/01/2015	Dividend	1,874.91 USD	091929687	60.28	0.00	
12/01/2015	12/01/2015	Dividend	BLACKROCK HIGH YIELD PT-BLAC	11/30/15 INCOME DIVIDEND	@ 0.032 PER SHARE	AS OF 11/30/15	
			805.27 USD	40428X156	9.08	0.00	
12/01/2015	12/02/2015	Dividend	HSBC TOTAL RETURN FD-I	12/01/15 INCOME DIVIDEND	@ 0.015 PER SHARE	0.00	
			57.81 USD	870994969	-57.81	0.00	
11/27/2015	11/27/2015	Purchase	JPM TAX FREE MMKT INST SWEEP FD #940				
			1,521.28 USD	48121A290	57.81	0.00	
11/27/2015	11/27/2015	Dividend	JPM UNCONSTRAINED DEBT FD - SELECT FUND 2130		@ 0.038 PER SHARE		
			1,394.46 USD	870994969	-1,394.46	0.00	
11/25/2015	11/25/2015	Purchase	JPM TAX FREE MMKT INST SWEEP FD #940				

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.

Account Number: 6111111111

Account Title: PHILIP ROSENTHAL - TAP DYS

11/24/2015	11/24/2015			Sale	JPM TAX FREE MMKT INST SWEEP FD #840	-1,841.00 USD	870994969	1,841.00		0.00
11/6/2015	11/6/2015			Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	560.00 USD	870994969	-560.00		0.00
11/3/2015	11/13/2015			Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	807.00 USD	870994969	-807.00		0.00
11/12/2015	11/12/2015			Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	831.00 USD	870994969	-831.00		0.00
11/10/2015	11/10/2015			Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	816.00 USD	870994969	-816.00		0.00
11/09/2015	11/09/2015			Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	836.00 USD	870994969	-836.00		0.00
11/06/2015	11/06/2015			Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	842.00 USD	870994969	-842.00		0.00
11/05/2015	11/05/2015			Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	1,483.00 USD	870994969	-1,483.00		0.00
11/04/2015	11/04/2015			Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	240.72 USD	870994969	-240.72		0.00
11/03/2015	10/30/2015			Dividend	PIMCO UNCONSTRAINED BOND-P	758.66 USD	72201M453	20.88		0.00
11/03/2015	11/03/2015			Dividend	RIDGEMORTH SEIX FLOATING -IS	1,676.52 USD	76628U105	52.43		0.00
11/03/2015	11/03/2015			Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	319.43 USD	870994969	-319.43		0.00
11/03/2015	10/30/2015			Dividend	LORD ABBETT INVT TR	3,782.64 USD	543916688	54.41		0.00
11/03/2015	11/02/2015			Dividend	CREDIT SUISSE FLOATING RATE HIGH INC FD	2,434.40 USD	22540S836	53.86		0.00
11/03/2015	11/02/2015			Dividend	TRP INST FLOATING RATE-F	1,286.64 USD	77958B105	43.21		0.00

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.

11/03/2015	11/02/2015	Dividend	COHEN & STEERS PREFERRED SECURITIES AND INCOME FUND INC AS OF 10/30/15	1,361.57 USD	19248X307	91.22	10/30/15 INCOME DIVIDEND @ 0.067	0.00
11/03/2015	10/30/2015	Dividend	DOUBLELINE TOTAL RET BD-I	4,055.01 USD	258620103	147.49	@ 0.036 PER SHARE	0.00
11/02/2015	11/02/2015	Dividend	BLACKROCK HIGH YIELD BOND FUND	1,874.91 USD	091929687	18.00	@ 0.010 PER SHARE	0.00
11/02/2015	11/02/2015	Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	0.50 USD	870994969	-0.50		0.00
11/02/2015	11/02/2015	Dividend	BLACKROCK HIGH YIELD BOND	1,874.91 USD	091929638	44.35	@ 0.024 PER SHARE	0.00
11/02/2015	11/02/2015	Dividend	METROPOLITAN WEST FDS	1,851.95 USD	592905509	28.26	@ 0.015 PER SHARE	0.00
11/02/2015	11/02/2015	Dividend	JPM TAX FREE MMKT INST SWEEP FD #840	0.00 USD	870994969	0.50		0.00
11/02/2015	11/03/2015	Dividend	HSBC FDS	1,208.39 USD	40428X156	6.04	@ 0.005 PER SHARE	0.00
10/30/2015	10/30/2015	Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	3,012.00 USD	870994969	-3,012.00		0.00
10/29/2015	10/29/2015	Dividend	JPM UNCONSTRAINED DEBT FD - SELECT FUND 2130	1,521.28 USD	46121A290	25.86	@ 0.017 PER SHARE	0.00
10/29/2015	10/29/2015	Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	25.86 USD	870994969	-25.86		0.00
10/27/2015	10/27/2015	Sale	JPM TAX FREE MMKT INST SWEEP FD #840	-2,608.00 USD	870994969	2,608.00		0.00
10/22/2015	10/23/2015	Share Class Conv.	BLACKROCK HIGH YIELD BOND FUND	1,874.91 USD	091929687	0.00		0.00
10/22/2015	10/23/2015	Share Class Conv.	BLACKROCK HIGH YIELD BOND	-1,874.91 USD	091929638	0.00		0.00
10/20/2015	10/20/2015	Fees	JPMORGAN CHASE INVESTMENT MANAGEMENT FEE FOR THE PERIOD 07-01-2015 TO 09-30-2015	0.00 USD		-1,036.44		0.00

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.

10/20/2015	10/20/2015		Sale	JPM TAX FREE MMKT INST SWEEP FD #840	-1,036.44 USD	870994969	1,036.44	0.00	
10/09/2015	10/08/2015		Dividend	SIT DIVIDEND GROWTH FUND-I	950.77 USD	82980D707	59.39	0.00	
10/09/2015	10/09/2015		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	59.39 USD	870994969	-59.39	0.00	
10/05/2015	10/05/2015		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	234.84 USD	870994969	-234.84	0.00	
10/02/2015	10/01/2015		Dividend	CREDIT SUISSE FLOATING RATE HIGH INC FD	2,046.30 USD	22540S836	47.02	0.00	
10/02/2015	09/30/2015		Dividend	DOUBLELINE TOTAL RET BD-I	4,055.01 USD	258620103	148.47	0.00	
10/02/2015	10/02/2015		Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	319.46 USD	870994969	-319.46	0.00	
10/02/2015	10/01/2015		Dividend	COHEN & STEERS PREFERRED SECURITIES AND INCOME FUND INC	1,361.57 USD	19248X307	91.22	0.00	
10/02/2015	09/30/2015		Dividend	PIMCO UNCONSTRAINED BOND-P	758.66 USD	72201M453	20.62	0.00	
10/02/2015	10/01/2015		Dividend	TRP INST FLOATING RATE-F	1,244.85 USD	77958B105	42.80	0.00	
10/02/2015	09/30/2015		Dividend	LORD ABBETT INVT TR	3,782.64 USD	543916688	56.20	0.00	
10/02/2015	10/02/2015		Dividend	RIDGEWORTH SEIX FLOATING -IS	1,676.52 USD	76628U105	53.80	0.00	
10/01/2015	10/01/2015		Dividend	BLACKROCK HIGH YIELD BOND	1,874.91 USD	091929638	60.87	0.00	
10/01/2015	10/01/2015		Dividend	METROPOLITAN WEST FDS	1,851.95 USD	592905509	27.26	0.00	
10/01/2015	10/02/2015		Dividend	HSBC FDS	1,208.39 USD	40428X156	6.04	0.00	

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.

10/01/2015	10/01/2015	Dividend	JPM TAX FREE MMKT INST SWEEP FD #840	0.00 USD	870994969	0.11	0.00
10/01/2015	10/01/2015	Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	0.11 USD	870994969	-0.11	0.00
09/29/2015	09/29/2015	Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	38.37 USD	870994969	-38.37	0.00
09/29/2015	09/29/2015	Dividend	JPM UNCONSTRAINED DEBT FD - SELECT FUND 2130	1,521.28 USD	48121A290	15.21	0.00
09/28/2015	09/28/2015	Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	86.83 USD	870994969	-86.83	0.00
09/28/2015	09/25/2015	Dividend	HARBOR CONVERTIBLE SEC-INST	728.23 USD	411512734	23.16	0.00
09/28/2015	09/24/2015	Dividend	HARBOR HIGH YIELD BOND-INST	678.95 USD	411511553	86.83	0.00
09/24/2015	09/22/2015	Dividend	COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z AS OF 09/22/15	505.90 USD	19765H727	70.83	0.00
09/24/2015	09/24/2015	Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	70.83 USD	870994969	-70.83	0.00
09/18/2015	09/18/2015	Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	22.67 USD	870994969	-22.67	0.00
09/18/2015	09/17/2015	Dividend	MATTHEWS ASIA DIVIDEND-INS	624.96 USD	577130750	22.67	0.00
09/03/2015	09/03/2015	Purchase	JPM TAX FREE MMKT INST SWEEP FD #840	310.25 USD	870994969	-310.25	0.00
09/02/2015	09/01/2015	Dividend	METROPOLITAN WEST FDS	1,851.95 USD	582905509	32.31	0.00
09/02/2015	09/01/2015	Dividend	TRP INST FLOATING RATE-F	1,244.85 USD	77958B105	37.37	0.00
09/02/2015	08/31/2015	Dividend	LORD ABBETT INVT TR	3,782.64 USD	543916688	51.52	0.00

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.

Account Number: Account Title: PHILIP ROSENTHAL - TAP DYS

09/02/2015	09/01/2015	Dividend	COHEN & STEERS PREFERRED SECURITIES AND INCOME FUND INC PER SHARE AS OF 08/31/15	1,361.57 USD	19248X307	91.22	0.00	0.067
09/02/2015	09/01/2015	Dividend	BLACKROCK HIGH YIELD BOND 2,046.30 USD	08/31/15 INCOME DIVIDEND @ 0.036 PER SHARE	091929638	67.22	0.00	0.00
09/02/2015	09/01/2015	Dividend	CREDIT SUISSE FLOATING RATE HIGH AS OF 08/31/15	INC FD	22540S836	21.70	0.00	0.012 PER SHARE
09/02/2015	08/31/2015	Dividend	DOUBLELINE TOTAL RET BD-1	08/31/15 INCOME DIVIDEND @ 0.036 PER SHARE	4,055.01 USD	258620103	147.21	0.00
09/02/2015	09/02/2015	Dividend	RIDGEWORTH SEIX FLOATING - IS	09/01/15 INCOME DIVIDEND @ 0.036 PER SHARE	1,676.52 USD	76628U105	60.43	0.00
09/02/2015	09/02/2015	Purchase	JPM TAX FREE MMKT INST SWEEP FD #840		222.43 USD	870994969	-222.43	0.00
09/02/2015	08/31/2015	Dividend	PIMCO UNCONSTRAINED BOND-P	08/31/15 INCOME DIVIDEND @ 0.041 PER SHARE	758.66 USD	72201M453	17.65	0.00
09/01/2015	09/01/2015	Purchase	JPM TAX FREE MMKT INST SWEEP FD #840		0.16 USD	870994969	-0.16	0.00
09/01/2015	09/01/2015	Dividend	JPM TAX FREE MMKT INST SWEEP FD #840		0.00 USD	870994969	0.13	0.00
09/01/2015	09/01/2015	Interest	DEPOSIT SWEEP INTEREST AS OF 09/01/15	FOR 08/01/15 - 08/31/15 @ .03% RATE ON AVG COLLECTED	0.00 USD		0.03	0.00
09/01/2015	09/02/2015	Dividend	HSBC FDS	TOTAL RETURN I	1,208.39 USD	40428X156	6.05	0.00
08/28/2015	08/28/2015	Purchase	JPM TAX FREE MMKT INST SWEEP FD #840		34.99 USD	870994969	-34.99	0.00
08/28/2015	08/28/2015	Dividend	JPM UNCONSTRAINED DEBT FD - SELECT FUND 2130	@ 0.023 PER SHARE	1,521.28 USD	48121A290	34.99	0.00
08/25/2015	08/25/2015	Sale	JPM TAX FREE MMKT INST SWEEP FD #840		-4,076.00 USD	870994969	4,076.00	0.00
08/21/2015	08/21/2015	Purchase	JPM TAX FREE MMKT INST FD #840		46.50 USD	870994969	-46.50	0.00

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.

08/21/2015	08/19/2015		Dividend	EATON VANCE FLOATING-RATE AS OF 08/19/15	327.98 USD	277923637	46.50	0.00	0.131 PER SHARE
08/20/2015	08/20/2015		Purchase	JPM TAX FREE MMKT INST FD #840	3,516.00 USD	870994969	-3,516.00	0.00	
08/19/2015	08/19/2015		Sale	JPM TAX FREE MMKT INST FD #840	-3,048.00 USD	870994969	3,048.00	0.00	
08/17/2015	08/17/2015		Purchase	JPM TAX FREE INSTL SWEEP FD #840	3,975.53 USD	870994969	-3,975.53	0.00	
08/13/2015	08/13/2015		Purchase	JPM TAX FREE INSTL SWEEP FD #840	1,729.93 USD	870994969	-1,729.93	0.00	
08/10/2015	08/10/2015		Sale	JPM TAX FREE INSTL SWEEP FD #840	-4,883.00 USD	870994969	4,883.00	0.00	
08/05/2015	08/05/2015		Purchase	JPM TAX FREE INSTL SWEEP FD #840	187.55 USD	870994969	-187.55	0.00	
08/04/2015	08/04/2015		Purchase	JPM TAX FREE INSTL SWEEP FD #840	298.08 USD	870994969	-298.08	0.00	
08/04/2015	08/04/2015		Dividend	RIDGEWORTH SEIX FLOATING - IS	1,676.52 USD	76628U105	59.07	0.00	AS OF 08/03/15
08/04/2015	07/31/2015		Dividend	DOUBLINE TOTAL RET BD-I	3,684.46 USD	258620103	145.54	0.00	AS OF 07/31/15
08/04/2015	08/03/2015		Dividend	COHEN & STEERS PREFERRED SECURITIES AND INCOME FUND INC AS OF 07/31/15	1,361.57 USD	19248X307	91.22	0.00	0.067
08/04/2015	07/31/2015		Dividend	LORD ABBETT INVT TR AS OF 07/31/15	3,089.91 USD	543916688	44.80	0.00	0.014 PER SHARE
08/04/2015	08/03/2015		Dividend	TRP INST FLOATING RATE-F	968.31 USD	77958B105	37.26	0.00	AS OF 07/31/15
08/03/2015	08/03/2015		Purchase	JPM TAX FREE INSTL SWEEP FD #840	85.80 USD	870994969	-85.80	0.00	
08/03/2015	08/04/2015		Dividend	HSBC FDS TOTAL RETURN I	1,208.39 USD	40428X156	6.04	0.00	

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.

08/03/2015	08/03/2015		Dividend	BLACKROCK HIGH YIELD BOND	1,874.91 USD	091929638	68.47	@ 0.028 PER SHARE	AS OF 07/31/15	0.00
08/03/2015	08/03/2015		Dividend	JPM TAX FREE INSTL SWEEP FD #840	0.00 USD	870994969	0.15	@ 0.028 PER SHARE	AS OF 07/31/15	0.00
08/03/2015	08/03/2015		Dividend	METROPOLITAN WEST FDS	1,851.95 USD	592905509	33.23	@ 0.018 PER SHARE	AS OF 07/31/15	0.00
08/03/2015	07/31/2015		Dividend	EATON VANCE FLOATING-RATE ADVANTAGE I	1,938.19 USD	277923637	85.65	@ 0.044 PER SHARE	AS OF 07/31/15	0.00
07/30/2015	07/30/2015		Dividend	JPM UNCONSTRAINED DEBT FD - SELECT FUND 2130	1,521.28 USD	48121A290	36.51	@ 0.024 PER SHARE	AS OF 07/31/15	0.00
07/30/2015	07/30/2015		Purchase	JPM TAX FREE INSTL SWEEP FD #840	36.51 USD	870994969	-36.51	@ 0.024 PER SHARE	AS OF 07/31/15	0.00
07/20/2015	07/20/2015		Sale	JPM TAX FREE INSTL SWEEP FD #840	-1,033.08 USD	870994969	1,033.08	@ 0.024 PER SHARE	AS OF 07/31/15	0.00
07/20/2015	07/20/2015		Fees	JPMORGAN CHASE INVESTMENT MANAGEMENT FEE FOR THE PERIOD 04-02-2015 TO 06-30-2015	0.00 USD		-1,033.08	@ 0.024 PER SHARE	AS OF 07/31/15	0.00
07/15/2015	07/15/2015		Sale	JPM TAX FREE INSTL SWEEP FD #840	-234.00 USD	870994969	234.00	@ 0.024 PER SHARE	AS OF 07/31/15	0.00
07/13/2015	07/13/2015		Sale	JPM TAX FREE INSTL SWEEP FD #840	-4,343.00 USD	870994969	4,343.00	@ 0.024 PER SHARE	AS OF 07/31/15	0.00
07/10/2015	07/10/2015		Purchase	JPM TAX FREE INSTL SWEEP FD #840	52.93 USD	870994969	-52.93	@ 0.024 PER SHARE	AS OF 07/31/15	0.00
07/10/2015	07/09/2015		Dividend	SIT DIVIDEND GROWTH FUND-I	757.71 USD	82980D707	52.93	@ 0.070 PER SHARE	AS OF 07/09/15	0.00
07/06/2015	07/06/2015		Purchase	JPM TAX FREE INSTL SWEEP FD #840	184.48 USD	870994969	-184.48	@ 0.070 PER SHARE	AS OF 07/09/15	0.00
07/02/2015	07/01/2015		Dividend	COHEN & STEERS PREFERRED SECURITIES AND INCOME FUND INC	1,361.57 USD	19248X307	91.22	@ 0.067 PER SHARE	AS OF 07/01/15	0.00
07/02/2015	07/02/2015		Dividend	RIDGEWORTH SEIX FLOATING - IS	1,676.52 USD	76628U105	59.52	@ 0.034 PER SHARE	AS OF 07/01/15	0.00

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.

06/29/2015	06/29/2015		Purchase	JPM TAX FREE INSTL SWEEP FD #840	47.16 USD	870994969	-47.16	0.00	
06/24/2015	06/22/2015		S. T. Capital Gain	COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z	505.90 USD	19765H727	24.00	0.00	
06/24/2015	06/22/2015		Dividend	COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z	505.90 USD	19765H727	70.83	0.00	
06/24/2015	06/24/2015		Purchase	COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z	278.14 USD	870994969	-278.14	0.00	
06/24/2015	06/22/2015		L. T. Capital Gain	JPM TAX FREE INSTL SWEEP FD #840	505.90 USD	19765H727	183.31	0.00	
06/19/2015	06/18/2015		Dividend	COLUMBIA FD SER TRT - COLUMBIA CONVERTIBLE SECURITIES FD - Z	531.45 USD	577130750	99.57	0.00	
06/19/2015	06/19/2015		Purchase	MATTHEWS ASIA DIVIDEND-INS	99.57 USD	870994969	-99.57	0.00	
06/03/2015	06/03/2015		Purchase	JPM TAX FREE INSTL SWEEP FD #840	187.78 USD	870994969	-187.78	0.00	
06/02/2015	06/02/2015		Purchase	JPM TAX FREE INSTL SWEEP FD #840	347.22 USD	870994969	-347.22	0.00	
06/02/2015	06/01/2015		Dividend	JPM TAX FREE INSTL SWEEP FD #840	1,361.57 USD	19248X307	91.22	0.00	
06/02/2015	06/02/2015		Dividend	COHEN & STEERS PREFERRED SECURITIES AND INCOME FUND INC	1,676.52 USD	76628U105	60.90	0.00	
06/02/2015	06/01/2015		Dividend	RIDGEWORTH SEIX FLOATING - IS	968.31 USD	77958B105	35.64	0.00	
06/02/2015	05/29/2015		Dividend	TRP INST FLOATING RATE-F	3,089.91 USD	543916688	45.10	0.00	
06/02/2015	05/29/2015		Dividend	LORD ABBETT INVT TR	3,684.46 USD	258620103	143.41	0.00	
06/02/2015	05/29/2015		Dividend	DOUBLELINE TOTAL RET BD-I	3,684.46 USD	258620103	143.41	0.00	

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.

06/01/2015	06/01/2015	Dividend	JPM TAX FREE INSTL SWEEP FD #840	0.00 USD	870994969	0.15	0.00
06/01/2015	06/01/2015	Purchase	JPM TAX FREE INSTL SWEEP FD #840	85.22 USD	870994969	-85.22	0.00
06/01/2015	05/29/2015	Dividend	TORTOISE MLP & PIPELINE-INS	341.54 USD	56166Y404	49.68	0.00
06/01/2015	05/29/2015	Dividend	EATON VANCE FLOATING-RATE	1,938.19 USD	277923637	85.07	0.00
06/01/2015	06/02/2015	Dividend	AS OF 05/29/15	1,208.39 USD	40428X156	6.04	0.00
06/01/2015	06/01/2015	Dividend	HSBC FDS	TOTAL RETURN I	06/01/15 INCOME DIVIDEND	@ 0.005 PER SHARE	0.00
06/01/2015	06/01/2015	Dividend	METROPOLITAN WEST FDS	1,851.95 USD	592905509	36.66	0.00
06/01/2015	06/01/2015	Dividend	AS OF 05/29/15	TOTAL RET CL I	05/29/15 INCOME DIVIDEND	@ 0.020 PER SHARE	0.00
05/28/2015	05/28/2015	Purchase	BLACKROCK HIGH YIELD BOND	1,874.91 USD	091929638	66.33	0.00
05/28/2015	05/28/2015	Dividend	JPM TAX FREE INSTL SWEEP FD #840	36.51 USD	870994969	-36.51	0.00
05/11/2015	05/11/2015	Purchase	JPM UNCONSTRAINED DEBT FD - SELECT FUND 2130	1,521.28 USD	48121A280	36.51	0.00
05/08/2015	05/08/2015	Purchase	JPM TAX FREE INSTL SWEEP FD #840	1,725.00 USD	870994969	-1,725.00	0.00
05/07/2015	05/07/2015	Purchase	JPM TAX FREE INSTL SWEEP FD #840	112.84 USD	870994969	-112.84	0.00
05/06/2015	05/06/2015	Sale	JPM TAX FREE INSTL SWEEP FD #840	-28.00 USD	870994969	28.00	0.00
05/04/2015	04/30/2015	Dividend	DOUBLELINE TOTAL RET BD-1	3,684.46 USD	258620103	137.14	0.00

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.

Account Number: Account Title: PHILIP ROSENTHAL - TAP DYS

05/04/2015	05/01/2015		Dividend	TRP INST FLOATING RATE-F	968.31 USD	779568105	26.19	@ 0.035 PER SHARE	AS OF 04/30/15	0.00
05/04/2015	05/04/2015		Dividend	RIDGEWORTH SEX FLOATING - IS	1,676.52 USD	76628U105	15.48	@ 0.009 PER SHARE	AS OF 05/01/15	0.00
05/04/2015	04/30/2015		Dividend	LORD ARBETT INVT TR	3,089.91 USD	543916888	37.97	@ 0.015 PER SHARE		0.00
05/04/2015	05/01/2015		Dividend	COHEN & STEERS PREFERRED SECURITIES AND INCOME FUND INC	1,361.57 USD	19248X307	91.22	@ 0.067 PER SHARE		0.00
05/04/2015	05/04/2015		Purchase	JPM TAX FREE INSTL SWEEP FD #840	252.20 USD	870994969	-252.20			0.00
05/01/2015	05/01/2015		Purchase	JPM TAX FREE INSTL SWEEP FD #840	64.23 USD	870994969	-64.23			0.00
05/01/2015	05/01/2015		Dividend	BLACKROCK HIGH YIELD BOND	1,874.91 USD	091929638	49.07	@ 0.034 PER SHARE	AS OF 04/30/15	0.00
05/01/2015	05/04/2015		Dividend	HSBC FDS	1,208.39 USD	40428X156	6.04	@ 0.005 PER SHARE		0.00
05/01/2015	04/30/2015		Dividend	EATON VANCE FLOATING-RATE	1,938.19 USD	277923637	63.93	@ 0.043 PER SHARE		0.00
05/01/2015	05/01/2015		Dividend	METROPOLITAN WEST FDS	1,851.95 USD	592905509	21.98	@ 0.018 PER SHARE		0.00
05/01/2015	05/01/2015		Interest	DEPOSIT SWEEP INTEREST	0.00 USD		0.05	@ 0.03% RATE ON AVG COLLECTED		0.00
05/01/2015	05/01/2015		Dividend	JPM TAX FREE INSTL SWEEP FD #840	0.00 USD	870994969	0.25			0.00
04/29/2015	04/29/2015		Purchase	JPM TAX FREE INSTL SWEEP FD #840	255.58 USD	870994969	-255.58			0.00
04/29/2015	04/29/2015		Dividend	JPM UNCONSTRAINED DEBT FD - SELECT FUND 2130	1,521.28 USD	48121A290	255.58	@ 0.168 PER SHARE		0.00

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.

Account Number: 00000000000000000000

Account Title: PHILIP ROSENTHAL - TAP DYS

DATE	DESCRIPTION	AMOUNT	CURRENCY	INVESTMENT	INCOME	PER SHARE	AS OF
04/27/2015	Dividend	1,676.52	USD	766281678	30.79	@ 0.025 PER SHARE	0.00
04/27/2015	Purchase	30.79	USD	870994969	-30.79		0.00
04/22/2015	Share Class Conv.	1,676.52	USD	76628U105	0.00		0.00
04/22/2015	Share Class Conv.	-1,676.52	USD	766281678	0.00		0.00
04/10/2015	Dividend	757.71	USD	82980D707	31.83	@ 0.042 PER SHARE	0.00
04/10/2015	Purchase	31.83	USD	870994969	-31.83		0.00
04/09/2015	Purchase	4,669.00	USD	870994969	-4,669.00		0.00
04/07/2015	Sale	-271,188.00	USD	870994969	271,188.00		0.00
04/02/2015	Purchase	281,553.38	USD	870994969	-281,553.38		0.00
04/02/2015	Misc. Receipt	0.00	USD	281,553.38	0.00		0.00
	TRANSFER FROM DDA A/C			TO INVESTMENT MANAGEMENT A/C	-0.00		0.00
							2.26
							0.00

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.