

**FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA)
OFFICE OF HEARING OFFICERS**

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

JAY KUMAR CHITNIS
(CRD No. 2038685),

Respondent.

Disciplinary Proceeding
No. 2015047037401

COMPLAINT

The Department of Enforcement alleges:

SUMMARY

1. Between November 2014 and September 2015, Respondent Jay Chitnis, who was during this time period the Chief Executive Officer, Chief Compliance Officer, and Financial and Operations Principal of FINRA member firm YieldQuest Securities, LLC ("YieldQuest"), engaged in a scheme to fraudulently obtain funds from YieldQuest's clearing firm in order to keep YieldQuest afloat and support his own lifestyle. Chitnis, acting with scienter, caused 480 fraudulent transactions to be entered through YieldQuest's clearing firm that resulted in YieldQuest and Chitnis wrongfully receiving \$680,917.36 to which they were not entitled. As a result of this conduct, Chitnis willfully violated Section 10(b) of the Securities Exchange Act of 1934 ("Exchange Act") and Exchange Act Rule 10b-5 thereunder, violated FINRA Rules 2010 and 2020 and willfully violated MSRB Rules G-14 and G-17.
2. In addition, in furtherance of this scheme, Chitnis effected 239 unauthorized trades in customer accounts, in violation of FINRA Rule 2010, and in willful violation of MSRB

Rules G-14 and G-17. Alternatively, Chitnis exercised discretion in these same customer accounts without prior written authorization from the customer and approval from the firm, in violation of NASD Rule 2510(b) and FINRA Rule 2010 and in willful violation of MSRB Rules G-8 and G-17.

- 3. Chitnis' actions also resulted in incorrect trade reporting to TRACE and the MSRB and reporting of fictitious trades to the clearing firm in order to conceal the trading scheme described herein. Moreover, Chitnis failed to maintain proper corporate bond and municipal bond order tickets. Accordingly, YieldQuest failed to create and maintain accurate books and records. These actions violated FINRA Rules 4511, 5210, 6730 and 2010 and willfully violated MSRB Rules G-8, G-9 and G-14.**
- 4. Finally, Chitnis, as Chief Executive Officer and Chief Compliance Officer of YieldQuest, violated NASD Rules 3010(a) and (b) (for conduct occurring before December 1, 2014), FINRA Rules 3110(a) and (b) (for conduct occurring on or after December 1, 2014) and 2010, and willfully violated MSRB Rule G-27 by failing to establish reasonable supervisory systems and procedures to prevent and detect unauthorized trading and discretionary trading, to provide for the proper review and approval of daily orders and related trade cancellations, and to address transaction reporting and order ticket requirements.**

RESPONDENT AND JURISDICTION

- 5. Chitnis first became associated with a FINRA member firm in June 1989, and was registered as a General Securities Representative in September 1992. Chitnis holds additional registrations as a General Securities Principal and Sales Supervisor, Introducing Firm Financial and Operations Principal, and Operations Professional.**

6. Chitnis was associated with a number of FINRA member firms before becoming associated with FINRA member firm YieldQuest on March 31, 2005. YieldQuest is a small single-office firm that employed four registered persons in Atlanta, Georgia and conducted a fixed income business, primarily for institutional RVP/DVP accounts consisting of small state-registered investment advisors ("RIAs"). During the relevant period, all of YieldQuest's business was introduced on a fully-disclosed basis through a single clearing firm.
7. At all times relevant to this action, Chitnis was Chief Executive Officer, Chief Compliance Officer, and Financial and Operations Principal of YieldQuest.
8. Chitnis also operates a registered investment advisor, YieldQuest Advisors, LLC.
9. Chitnis became associated with another FINRA member firm on October 21, 2015.
10. YieldQuest filed a Uniform Notice of Termination of Securities Industry Registration ("Form U5") on behalf of Chitnis effective December 2, 2015, although at present he remains the firm's CEO and president, as well as an owner.
11. By virtue of Chitnis' current association and current registration with a FINRA member firm, he is subject to FINRA's jurisdiction under Article V of FINRA's By-Laws.

FACTS COMMON TO ALL CAUSES OF ACTION

Chitnis' Fictitious Trading Scheme

12. From at least November 2014 through September 2015, Chitnis engaged in a pattern of fictitious trading, resulting in 480 trades in 18 customer accounts. In these transactions, Chitnis would purchase fixed income securities -- primarily corporate bonds, but also municipal bonds and United States government agency instruments -- into YieldQuest's inventory account from institutional customers, and then Chitnis would sell the same

positions from YieldQuest's inventory to other institutional customers. (See Schedule A attached hereto for a complete list of the transactions at issue.)

13. The institutional customers involved were all state-registered RIAs with assets held in custody at third-party custodial firms. The trades at issue were primarily made on behalf of executing prime broker ("EPB") accounts through "trade aways" (trading away from their associated custodian on an RVP/DVP basis).
14. The mechanics of Chitnis' fictitious scheme using the trades on Schedule A were as follows:
 - a. When purchasing the security from an institutional customer into YieldQuest's inventory and then selling the security out of YieldQuest's inventory to another institutional customer, Chitnis would arrange to settle the offsetting trades shortly after month end by using an extended settlement date.
 - b. The clearing firm, however, would pay out the profit from the in and out inventory trading at the end of each month to YieldQuest, essentially as an advance on the forthcoming customer trade settlement.
 - c. Prior to the customer trade settlements, Chitnis would cancel the customer trades and re-book both the customer and corresponding inventory trades with another extended settlement date, effectively hiding the clearing firm's unwarranted advance payment made to YieldQuest at the end of the prior month.
15. The offsetting extended settlement trades, later cancelled and replaced each month, totaled approximately 480 trades, of which 239 involved cancellations on behalf of YieldQuest customers. The remaining 241 cancellations were in the offsetting YieldQuest proprietary inventory accounts. Approximately 95% (219 trades) of the total canceled customer trades involved the same five RIA EPB accounts, LFA, WWA, FFC, MI, and MMM.

16. The five RIAs did not authorize this trading activity, either before or after it occurred.
17. One RIA firm, MMM, noticed unexplained canceled trades in its EPB account in late 2014.

When MMM sought an explanation from Chitnis, he claimed it was an error. These trades were much larger than MMM's normal transactions. The trades never appeared on MMM's statements at the third-party custodial firm, so the firm did not pursue the issue further.
18. Most of the trades listed in Schedule A were greatly in excess of the legitimate trades made by the RIAs through YieldQuest. For the period of December 2014 through September 2015, the average par amount for YieldQuest customer trades other than those listed in Schedule A was \$18,561 for buys and \$22,310 for sells. For the trades listed in Schedule A, the average par amount was \$1,037,504 for buys and \$1,142,112 for sells.
19. As shown in Schedule A, this pattern commenced with smaller trades and gradually increased to larger trades.
20. Chitnis knew at the time he made the trades in Schedule A that the trades would result in payments from the clearing firm to YieldQuest prior to the offsetting customer trade settlement date.
21. Chitnis' scheme was intentionally designed to allow YieldQuest to keep the payments from the clearing firm through continued cancellation and re-booking of the trades at issue.
22. Chitnis was responsible for placing the orders listed in Schedule A, although actual order entry was performed by support staff at his direction.
23. The trades were entered into the clearing firm's order entry system under Chitnis' broker identification code.
24. Chitnis was the broker of record for all YieldQuest customers during 2014 and 2015.

25. The funds derived from the trading activity on Schedule A were nearly 50 percent of the total payments YieldQuest received from the clearing firm between November 2014 and August 2015.

26. Specifically, between November 2014 and August 2015, YieldQuest received payments totaling \$1,266,578.92 from its clearing firm. Of this amount, YieldQuest's clearing firm paid approximately \$680,000 in unearned advances as a result of Chitnis' trading scheme.

27. Approximately 98 percent of all the funds paid by the clearing firm were disbursed either to Chitnis, the RIA he controlled, or YieldQuest's payroll as follows:

- Wires to BK Systems (Chitnis' DBA entity for personal compensation) - \$470,500;
- Checks to BK Systems - \$152,606.97;
- Transfers to YieldQuest Advisors to fund its operations, including Chitnis' compensation – \$361,175;
- Transfers to the YieldQuest payroll account - \$238,441;
- Transfers to pay Chitnis' credit card bills - \$38,962.92; and
- Check to pay Chitnis' credit card bill - \$4,893.03.

YieldQuest's Supervisory System

28. YieldQuest's Written Supervisory Procedures ("WSPs") stated that "Representatives are not to effect any transactions without the customer's specific knowledge and approval."

29. YieldQuest's WSPs further prohibited discretionary trading in customer accounts, stating:

[T]he Firm and its Registered Representatives are prohibited from exercising any discretionary power in a customer's account unless such customer has given prior written authorization to a stated individual or individuals and the account has been accepted by the Firm and approved by the Designated Principal. A customer's account need not be approved as a discretionary account if the discretionary power granted by the customer is limited to time and price discretion; however, as described below, the exercise of time and price discretion must be reflected on the order ticket

and, with limited exceptions, must not extend beyond the end of the business day on which the customer granted such time and price discretion.

30. None of the customers associated with the trades listed on Schedule A had given prior written authorization to Chitnis to exercise discretion in their accounts, nor had YieldQuest accepted the accounts as discretionary.
31. Nonetheless, Chitnis entered the trades listed in Schedule A without prior written authorization from the customer associated with the trades or acceptance of the discretionary trading by YieldQuest.
32. Chitnis' general practice for all bond transactions was to exercise discretion in making trades. YieldQuest's customers would only learn of the trades when they received trade confirmation sheets to sign so that the trades could be settled.
33. For the trades listed on Schedule A, however, no trade confirmation sheets were ever sent to customers to sign because the trades were cancelled.
34. YieldQuest's WSPs further stated that:

SEC Rule 17a-3 requires broker-dealers to make and maintain, "[a] memorandum of each brokerage order, and of any other instruction, given or received for the purchase or sale of securities, whether executed or unexecuted. The Designated Principal is responsible for ensuring that customer orders are entered and recorded with all required information. The Designated Principal is also responsible for the prompt review and approval of each order memorandum or order ticket, regardless of whether the memorandum or ticket is recorded in writing or electronically through entry into the clearing firm's system.

35. In addition, YieldQuest's WSPs with respect to review and approval of orders require that a designated principal review all order tickets for proper completion, including "verification of the necessary time stamps and, for each customer sell order, the location of the security." The designated principal was required to evidence his review and approval at the time of approval of daily trading activity.

36. YieldQuest, however, did not maintain order tickets that contained all of the data required under SEC and MSRB Rules. YieldQuest maintained printouts of Bloomberg screen shots for various bonds, but these did not indicate the person taking the order, the time of order receipt, or time of order execution. YieldQuest relied on the clearing firm for access to its electronic daily order ticket reports, but did not download, store, or otherwise preserve such reports.
37. YieldQuest did not maintain a daily trade blotter signed or approved by a designated principal after May 2015.
38. YieldQuest's WSPs failed to identify or designate a principal responsible for review of canceled trades or specific steps to be taken to conduct such reviews.
39. For the period from November 2014 through June 2015, PC acted as the municipal principal for daily review of the trade blotter for fixed income products at YieldQuest. He did not review trade cancellations.
40. Beginning in July 2015, the sole municipal principal at YieldQuest was SP. Although he was nominally the principal responsible for reviewing the daily trade blotter for fixed income products, SP was unaware of what his role as municipal principal required. Chitnis did not give SP any instructions as to his duties as municipal principal, and SP never read the firm's WSPs. As municipal principal, SP never reviewed trade cancellations.
41. The firm's process for handling trade cancellations permitted Chitnis, who was the registered representative of record on all customer accounts, to initiate, enter and approve trade cancels with no independent review or approval.

Chitnis' Scheme Is Exposed by YieldQuest's Clearing Firm

42. On September 9, 2015, the clearing firm asked YieldQuest for an explanation of the numerous extended settlement trades that were subject to repeated cancellations. At this time, Chitnis falsely represented to the clearing firm that the trades were made on behalf of an RIA customer, LFS, whose client, TC, was in the process of selling a business and intended to buy bonds with the proceeds of the sale. Chitnis represented to the clearing firm that, because of a delay in closing the deal, TC needed more time to secure the funds to settle the trades, so the trades were "rolled over" through cancels since November 2014.
43. Contrary to Chitnis' representations, LFS did not authorize YieldQuest to make trades on behalf of any of its clients after January 2015. Moreover, TC, the LFS client for whose benefit the trades at issue here were allegedly made, had moved his investments to another firm in December 2014 and thus LFS did not authorize any trades on behalf of TC through YieldQuest after that time.
44. The clearing firm terminated YieldQuest's trading access on September 9, 2015 and all of the remaining unsettled extended settlement trades were canceled.
45. To date, the clearing firm has not been repaid for the funds paid to Chitnis through YieldQuest as a result of the fictitious trading scheme. On September 21, 2015, the clearing firm initiated an arbitration proceeding against YieldQuest and Chitnis seeking recovery of the fraudulently obtained funds.
46. On September 22, 2015, YieldQuest submitted a net capital deficiency notice to FINRA pursuant to SEC Rule 17a-11(b). The notice identified a net capital deficiency of \$465,533. This net capital deficiency resulted from recording the clearing firm's claim for the

\$680,917.36 on YieldQuest's books. Without the fraudulently acquired funds, YieldQuest was unable to meet its net capital requirement.

47. On November 25, 2015, YieldQuest filed a request for termination of its FINRA membership.

FIRST CAUSE OF ACTION

Section 10(b) of the Securities Exchange Act of 1934, Exchange Act Rule 10b-5, FINRA Rules 2020 and 2010, and MSRB Rules G-14 and G-17 (Fraud)

48. The Department realleges and incorporates by reference paragraphs 1 through 47 above.
49. Section 10(b) of the Exchange Act makes it unlawful for any person, in connection with the purchase or sale of a security, to use or employ "any manipulative or deceptive device or contrivance in contravention of such rules and regulations as the Commission may prescribe as necessary or appropriate in the public interest or for the protection of investors."
50. Exchange Act Rule 10b-5, as promulgated under Section 10(b) of the Exchange Act, provides that:

It shall be unlawful for any person, directly or indirectly, by the use of any means or instrumentality of interstate commerce, or of the mails or of any facility of any national securities exchange,

- (a) To employ any device, scheme, or artifice to defraud,
- (b) To make any untrue statement of a material fact or to omit to state a material fact necessary in order to make the statements made, in the light of the circumstances under which they were made, not misleading, or
- (c) To engage in any act, practice, or course of business which operates or would operate as a fraud or deceit upon any person, in connection with the purchase or sale of any security.

51. A violation of Rule 10b-5 also violates FINRA Rule 2020, which provides that: "No member shall effect any transaction in, or induce the purchase or sale of, any security by means of any manipulative, deceptive or other fraudulent device or contrivance."

52. In addition, such conduct is inconsistent with high standards of commercial honor and just and equitable principles of trade and thus violates FINRA Rule 2010.

53. MSRB Rule G-14(a) states that

No broker, dealer or municipal securities dealer or person associated with a broker, dealer or municipal securities dealer shall distribute or publish, or cause to be distributed or published, any report of a purchase or sale of municipal securities, unless such broker, dealer or municipal securities dealer or associated person knows or has reason to believe that the purchase or sale was actually effected and has no reason to believe that the reported transaction is fictitious or in furtherance of any fraudulent, deceptive or manipulative purpose.

54. In addition, MSRB Rule G-17 provides that “[i]n the conduct of its municipal securities or municipal advisory activities, each broker, dealer, municipal securities dealer, and municipal advisor shall deal fairly with all persons and shall not engage in any deceptive, dishonest, or unfair practice.”

55. By engaging in the scheme described herein between November 2014 and September 2015 of making trades with extended settlement dates in fixed income securities and repeatedly cancelling and rebooking the trades before the extended settlement date in order to keep the unearned payments made by the clearing firm to YieldQuest for the trades, Chitnis employed a scheme to defraud the clearing firm and also engaged in acts, a practice, and a course of business which operated as a fraud or deceit upon the clearing firm and his customers. These transactions are reflected on Schedule A hereto, which is incorporated herein.

56. Chitnis acted with scienter with respect to each of the transactions on Schedule A. He intentionally, or at least recklessly, placed hundreds of fictitious trades, with the intention and for the purpose of generating proceeds for YieldQuest and himself and then converting the same funds received from the clearing firm to which neither he nor YieldQuest was entitled.

57. In connection with the transactions on Schedule A hereto, Chitnis used the means and instrumentalities of interstate commerce by communicating with the clearing firm through electronic means about the transactions and by causing the transactions to be executed on an electronic trading platform.
58. Furthermore, in connection with certain of the transactions on Schedule A hereto, Chitnis reported the purchase and sale of municipal securities which he knew had not been actually effected and which he knew were fictitious and in furtherance of a fraudulent, deceptive or manipulative purpose.
59. As a result of the foregoing conduct, Chitnis willfully violated Section 10(b) of the Exchange Act and Rule 10b-5 thereunder, violated FINRA Rules 2020 and 2010, and willfully violated MSRB Rules G-14 and G-17.

**SECOND CAUSE OF ACTION
FINRA RULE 2010
(Conversion)**

60. The Department realleges and incorporates by reference paragraphs 1 through 59 above.
61. Conversion is an intentional and unauthorized taking of and/or exercise of ownership over property by one who neither owns the property nor is entitled to possess it.
62. Between November 2014 and September 2015, Chitnis intentionally and wrongfully obtained and exercised ownership over \$680,917.36 of the clearing firm's funds as a result of his fictitious trading scheme.
63. To date, Chitnis has failed to return any of these funds to the clearing firm.
64. By converting \$680,917.36 from the clearing firm, Chitnis acted in a manner inconsistent with high standards of commercial honor and just and equitable principles of trade.
65. As a result of the foregoing conduct, Chitnis violated FINRA Rule 2010.

THIRD CAUSE OF ACTION
FINRA Rule 2010 and MSRB Rules G-14 and G-17
(Unauthorized Trading in Customer Accounts)

66. The Department realleges and incorporates by reference paragraphs 1 through 65 above.
67. Chitnis made or caused to be made the 239 trades in customer accounts shown in Schedule A attached hereto.
68. Chitnis did not communicate about these trades with any of the customers before making the trades. None of the customers authorized any of these trades.
69. As a result of these unauthorized transactions, Chitnis and YieldQuest received payments of at least \$680,917.36 from the clearing firm.
70. As a result of the foregoing conduct, Chitnis violated FINRA Rule 2010 and willfully violated MSRB Rules G-14 and G-17.

FOURTH CAUSE OF ACTION
NASD Rule 2510, FINRA Rule 2010 and MSRB Rules G-8 and G-17
(Exercising Discretion without Written Authorization)
(In the Alternative to the Third Cause of Action)

71. The Department realleges and incorporates by reference paragraphs 1 through 70 above.
72. NASD Rule 2510(b) provides that that no "registered representative shall exercise any discretionary power in a customer's account unless such customer has given prior written authorization to a stated individual or individuals and the account has been accepted by the member, as evidenced in writing by the member or the partner, officer or manager duly designated by the member, in accordance with Rule 3010."
73. MSRB Rule G-8 requires brokers, dealers and municipal securities dealers to maintain accurate records of customer accounts and requires firms to maintain a customer's written authorization to exercise discretionary power or authority with respect to discretionary

accounts. Also, as detailed above, MSRB Rule G-17 prohibits registered representatives from engaging in any deceptive, dishonest, or unfair practice.

74. From November 2014 through September 2015, Chitnis regularly exercised discretion in accounts belonging to customers by engaging in the transactions shown in Schedule A.

Chitnis exercised discretion over when, and at what price, to place purchase and sale orders for the securities shown on Schedule A without consulting the customers.

75. Chitnis, however, did not have written authorization from any of the customers involved in the transactions on Schedule A to exercise discretionary power in their accounts.

Additionally, these accounts had not been accepted in writing by YieldQuest as discretionary accounts.

76. As the result of the foregoing conduct, Chitnis violated NASD Rule 2510 and FINRA Rule 2010, and willfully violated MSRB Rules G-8 and G-17.

**FIFTH CAUSE OF ACTION
FINRA Rules 4511, 5210, 6730 and 2010 and MSRB Rules G-8, G-9 and G-14
(Inaccurate Books and Records)**

77. The Department realleges and incorporates by reference Paragraphs 1 through 76 above.

78. FINRA Rule 4511(a) requires each member to “make and preserve books and records as required under the FINRA rules, the Exchange Act and the applicable Exchange Act rules.”

79. MSRB Rules G-8 and G-9 require every broker, dealer and municipal securities dealer to maintain and preserve accurate books and records.

80. During the period of November 2014 to September 2015, by recording transactions that he knew at the time they were made were fictitious and by failing to maintain proper order tickets, Chitnis caused YieldQuest to maintain inaccurate books and records.

81. FINRA Rule 6730 requires accurate and timely reporting of transactions in a TRACE-eligible security.
82. By making the trades in Schedule A, Chitnis caused YieldQuest to maintain inaccurate books and records by inaccurately reporting trades to TRACE and the MSRB.
83. In addition, FINRA Rule 5210 prohibits members from publishing any communication reporting a purchase or sale of a security “unless such member believes that such transaction was a bona fide purchase or sale of such security; or which purports to quote the bid price or asked price for any security, unless such member believes that such quotation represents a bona fide bid for, or offer of, such security.”
84. By making the trades in Schedule A, Chitnis caused the publication and circulation of communications and reports of non-bona fide purchases and sales to the clearing firm.
85. As a result of the foregoing conduct, Chitnis violated FINRA Rules 4511, 5210, 6730 and 2010 and willfully violated MSRB Rules G-8, G-9 and G-14.

**SIXTH CAUSE OF ACTION
NASD Rules 3010(a) and (b),
FINRA Rules 3110(a) and (b) and 2010 and MSRB Rule G-27
(Failure to Supervise)**

86. The Department realleges and incorporates by reference Paragraphs 1 through 85 above.
87. NASD Rule 3010(a) and its successor, FINRA Rule 3110(a)¹, require each member to establish and maintain a system to supervise the activities of each associated person that is reasonably designed to achieve compliance with applicable securities laws and regulations and with NASD and FINRA rules.
88. NASD Rule 3010(b) and its successor, FINRA Rule 3110(b), require each member to establish, maintain, and enforce written procedures to supervise the types of business in

¹ FINRA Rule 3110 became effective December 1, 2014.

which it engages and to supervise the activities of its registered and associated persons that are reasonably designed to achieve compliance with applicable securities laws and regulations and with NASD and FINRA rules.

89. MSRB Rule G-27 requires every broker, dealer and municipal securities dealer to supervise its municipal securities activities to ensure compliance with MSRB rules by establishing a reasonable supervisory system, including written supervisory procedures.
90. Chitnis, as the Chief Executive Officer and Chief Compliance Officer for YieldQuest, was responsible for ensuring that YieldQuest established and maintained a reasonable supervisory system and WSPs reasonably designed to supervise the firm's business activities, including the trading of municipal securities.
91. During the period from November 2014 to September 2015, YieldQuest, under the direction of Chitnis, did not enforce its WSPs related to unauthorized trading. Specifically, in furtherance of his trading scheme, Chitnis made the customer trades listed on Schedule A without the customers' knowledge or consent.
92. During the period from November 2014 to September 2015, YieldQuest, under the direction of Chitnis, did not enforce its WSPs related to discretionary accounts. Specifically, Chitnis made all the customer trades listed in Schedule A on a discretionary basis despite the fact that YieldQuest did not have written authorization from any of the customers to exercise discretionary power in the accounts, and the accounts had not been accepted in writing by YieldQuest as discretionary accounts.
93. During the period from November 2014 to September 2015, YieldQuest, under the direction of Chitnis, also did not enforce its WSPs with regard to maintaining order tickets that contained all of the data required under SEC and MSRB Rules. Instead, YieldQuest

maintained printouts of Bloomberg screen shots for bonds that did not indicate the person taking the order, the time of order receipt, or time of order execution.

94. During the period from November 2014 to September 2015, YieldQuest, under the direction of Chitnis, had no WSPs or supervisory system relating to principal review of trade cancellations. As a result, Chitnis was able to cancel the trades at issue here with no review or approval by another principal.

95. During the period from June 2015 to September 2015, YieldQuest, under the direction of Chitnis, failed to maintain a daily trade blotter signed or approved by a designated principal, in violation of its WSPs.

96. During the period from July 2015 to September 2015, YieldQuest, under the direction of Chitnis, failed to have a municipal principal who was conducting any meaningful review of municipal transactions.

97. Finally, during the period from November 2014 to September 2015, YieldQuest, under the direction of Chitnis, also did not have a reasonable supervisory system or WSPs to ensure compliance with MSRB rules, as evidenced by the violations detailed above.

98. As a result of the foregoing conduct, Chitnis violated NASD Rules 3010 (a) and 3010(b) (for conduct before December 1, 2014), FINRA Rules 3110(a) and 3110(b) (for conduct on or after December 1, 2014) and FINRA Rule 2010 and willfully violated MSRB Rule G-27.

RELIEF REQUESTED

WHEREFORE, the Department respectfully requests that the Panel:

- A. Make findings of fact and conclusions of law that Respondent committed the violations charged and alleged herein;**

- B. Order that one or more of the sanctions provided under FINRA Rule 8310(a) be imposed, including monetary sanctions, and that Respondent be required to disgorge fully any and all ill-gotten gains and/or make full and complete restitution, together with interest;
- C. Order that Respondent bear such costs of proceeding as are deemed fair and appropriate under the circumstances in accordance with FINRA Rule 8330; and
- D. Make specific findings that Respondent willfully violated Section 10(b) of the Exchange Act and Exchange Act Rule 10b-5 thereunder and MSRB Rules G-8, G-9, G-14, G-17 and G-27.

FINRA DEPARTMENT OF ENFORCEMENT

Date: Feb. 12, 2016



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Authorized House Counsel
Admitted in NY and NJ Only

LIST OF ABBREVIATIONS IN COMPLAINT

LFA	Larson Financial Services, Inc., operating as Larson Financial Advisors
WWA	Warren Ward Associates, Financial Planning
FFC	Fullbright Financial Consulting, PA
MI	McCarter Investments, LLC
MMM	Metrics Money Management, LLC
PC	Paul Callaway
SP	Seila Phlong

LIST OF ACCOUNTS IN SCHEDULE A TO COMPLAINT

1035	METRICS MONEY MANAGEMENT, LLC
9541	MCCARTER INVESTMENTS, LLC
0318	LARSON FINANCIAL SERVICES, INC., OPERATING AS LARSON FINANCIAL ADVISORS
0674	FULLBRIGHT FINANCIAL CONSULTING, PA
7602	WARREN WARD ASSOCIATES, FINANCIAL PLANNING
4461	BLANK EQUITY MANAGEMENT LLC
9655	BRIGHTON WEALTH MANAGEMENT, INC
2620	FULLBRIGHT FINANCIAL CONSULTING, PA (INDIVIDUAL CUSTOMER)
6839	HARBAB LLC
9757	GLACIERWEALTH INC FA
5176	GLACIERWEALTH
7034	GLACIERWEALTH
9310	LARSON FINANCIAL ADVISORS (INDIVIDUAL CUSTOMER)
0275	LARSON FINANCIAL ADVISORS (INDIVIDUAL CUSTOMER)
7206	RATHNAM CAPITAL LLC
7422	ROOKWOOD WEALTH MANAGEMENT, LLC
1438	SHANKLAND FINANCIAL ADVISORS, LLC
7487	THAMES ASSET MANAGEMENT, INC.

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
11/24/2014	Cancelled Trade	xxxxx7422	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	11/14/2014	12/1/2014	Corporate Bonds	Sell	(400,000)	108.270	(433,080.0)
11/24/2014	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	11/14/2014	12/1/2014	Corporate Bonds	Buy	400,000	108.270	433,080.0
11/24/2014	Cancelled Trade	xxxxx7422	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	11/14/2014	12/1/2014	Corporate Bonds	Sell	(400,000)	108.306	(433,224.0)
11/24/2014	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	11/14/2014	12/1/2014	Corporate Bonds	Buy	400,000	108.306	433,224.0
11/24/2014	Cancelled Trade	xxxxx1035	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	11/14/2014	12/1/2014	Corporate Bonds	Buy	400,000	111.250	445,000.0
11/24/2014	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	11/14/2014	12/1/2014	Corporate Bonds	Sell	(400,000)	111.250	(445,000.0)
11/24/2014	Cancelled Trade	xxxxx1035	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	11/14/2014	12/1/2014	Corporate Bonds	Buy	400,000	111.250	445,000.0
11/24/2014	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	11/14/2014	12/1/2014	Corporate Bonds	Sell	(400,000)	111.250	(445,000.0)
11/24/2014	Cancelled Trade	xxxxx6839	646136J85	NEW JERSEY ST TRANSPRTN TRUSTFUND AUTH TRANSPRTN SYS-SER A BOOK ENTRY ONLY CALLABLE	11/20/2014	11/25/2014	Municipal Bonds	Buy	65,000	107.294	69,741.1

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
11/24/2014	Cancelled Trade	YQ	646136J85	NEW JERSEY ST TRANSPRTN TRUSTFUND AUTH TRANSPRTN SYS-SER A BOOK ENTRY ONLY CALLABLE	11/20/2014	11/25/2014	Municipal Bonds	Sell	(65,000)	107.294	(69,741.1)
11/24/2014	Cancelled Trade	xxxxx9757	63165TCY9	NASSAU CNTY N Y GO IMPT BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 04/01/31	11/24/2014	12/1/2014	Municipal Bonds	Buy	10,000	113.350	11,335.0
11/24/2014	Cancelled Trade	YQ	63165TCY9	NASSAU CNTY N Y GO IMPT BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 04/01/31	11/24/2014	12/1/2014	Municipal Bonds	Sell	(10,000)	113.350	(11,335.0)
11/24/2014	Cancelled Trade	xxxxx9757	31200CAN6	FAU FIN CORP FLA CAP IMPT REV TAXABLE-BUILD AMERICA BONDS BOOK ENTRY ONLY MSF BEG 7/1/2031 CALLABLE	11/24/2014	12/1/2014	Municipal Bonds	Buy	15,000	119.968	17,995.2
11/24/2014	Cancelled Trade	YQ	31200CAN6	FAU FIN CORP FLA CAP IMPT REV TAXABLE-BUILD AMERICA BONDS BOOK ENTRY ONLY MSF BEG 7/1/2031 CALLABLE	11/24/2014	12/1/2014	Municipal Bonds	Sell	(15,000)	119.968	(17,995.2)
11/24/2014	Cancelled Trade	xxxxx9757	13281KTT5	CAMDEN CNTY N J IMPT AUTH LEAS LEASE REV BDS 2010A CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 07/01/26	11/24/2014	12/1/2014	Municipal Bonds	Buy	15,000	119.108	17,866.2
11/24/2014	Cancelled Trade	YQ	13281KTT5	CAMDEN CNTY N J IMPT AUTH LEAS LEASE REV BDS 2010A CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 07/01/26	11/24/2014	12/1/2014	Municipal Bonds	Sell	(15,000)	119.108	(17,866.2)
11/24/2014	Cancelled Trade	xxxxx0318	167486MM8	CHICAGO ILL GO BDS 2010C- CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/31	11/24/2014	12/16/2014	Municipal Bonds	Buy	430,000	120.500	518,150.0
11/24/2014	Cancelled Trade	YQ	167486MM8	CHICAGO ILL GO BDS 2010C- CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/31	11/24/2014	12/16/2014	Municipal Bonds	Sell	(430,000)	120.500	(518,150.0)
12/26/2014	Cancelled Trade	xxxxx2620	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	12/12/2014	12/18/2014	Corporate Bonds	Buy	7,000	109.800	7,686.0
12/26/2014	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	12/12/2014	12/18/2014	Corporate Bonds	Sell	(7,000)	109.800	(7,686.0)
12/26/2014	Cancelled Trade	xxxxx7602	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	12/12/2014	1/5/2015	Corporate Bonds	Sell	(500,000)	101.000	(505,000.0)

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
12/26/2014	Cancelled Trade	YQ	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	12/12/2014	1/5/2015	Corporate Bonds	Buy	500,000	101.000	505,000.0
12/26/2014	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	12/12/2014	1/5/2015	Corporate Bonds	Sell	(500,000)	105.500	(527,500.0)
12/26/2014	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	12/12/2014	1/5/2015	Corporate Bonds	Buy	500,000	105.500	527,500.0
12/26/2014	Cancelled Trade	xxxxx1035	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	12/12/2014	1/5/2015	Corporate Bonds	Buy	500,000	103.950	519,750.0
12/26/2014	Cancelled Trade	YQ	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	12/12/2014	1/5/2015	Corporate Bonds	Sell	(500,000)	103.950	(519,750.0)
12/26/2014	Cancelled Trade	xxxxx1035	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	12/12/2014	1/5/2015	Corporate Bonds	Buy	500,000	108.500	542,500.0
12/26/2014	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	12/12/2014	1/5/2015	Corporate Bonds	Sell	(500,000)	108.500	(542,500.0)
12/26/2014	Cancelled Trade	xxxxx0318	952347VB5	WEST CONTRA COSTA CALIF UNI SC GO REF AND NEW MONEY BDS C-2 CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 08/01/33	12/12/2014	1/5/2015	Municipal Bonds	Buy	375,000	124.500	466,875.0
12/26/2014	Cancelled Trade	YQ	952347VB5	WEST CONTRA COSTA CALIF UNI SC GO REF AND NEW MONEY BDS C-2 CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 08/01/33	12/12/2014	1/5/2015	Municipal Bonds	Sell	(375,000)	124.500	(466,875.0)

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
12/26/2014	Cancelled Trade	YQ	786005PM4	SACRAMENTO CALIF MUN UTILITY DIST BUILD AMERICA BONDS-SER V TAXABLE CALL @ MAKE WHOLE T +35BPS MSF BEG 5/15/2031 BOOK ENTRY ONLY	12/26/2014	12/31/2014	Municipal Bonds	Buy	20,000	124.104	24,820.8
12/26/2014	Cancelled Trade	xxxxx7034	786005PM4	SACRAMENTO CALIF MUN UTILITY DIST BUILD AMERICA BONDS-SER V TAXABLE CALL @ MAKE WHOLE T +35BPS MSF BEG 5/15/2031 BOOK ENTRY ONLY	12/26/2014	12/31/2014	Municipal Bonds	Buy	20,000	125.804	25,160.8
12/26/2014	Cancelled Trade	YQ	786005PM4	SACRAMENTO CALIF MUN UTILITY DIST BUILD AMERICA BONDS-SER V TAXABLE CALL @ MAKE WHOLE T +35BPS MSF BEG 5/15/2031 BOOK ENTRY ONLY	12/26/2014	12/31/2014	Municipal Bonds	Sell	(20,000)	125.804	(25,160.8)
12/26/2014	Cancelled Trade	xxxxx7034	476576DB6	JERSEY CITY N J GO IMPT BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 11/01/37	12/26/2014	12/31/2014	Municipal Bonds	Buy	40,000	115.906	46,362.4
12/26/2014	Cancelled Trade	YQ	476576DB6	JERSEY CITY N J GO IMPT BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 11/01/37	12/26/2014	12/31/2014	Municipal Bonds	Sell	(40,000)	115.906	(46,362.4)
12/26/2014	Cancelled Trade	xxxxx5176	476576DB6	JERSEY CITY N J GO IMPT BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 11/01/37	12/26/2014	12/31/2014	Municipal Bonds	Buy	30,000	115.906	34,771.8
12/26/2014	Cancelled Trade	YQ	476576DB6	JERSEY CITY N J GO IMPT BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 11/01/37	12/26/2014	12/31/2014	Municipal Bonds	Sell	(30,000)	115.906	(34,771.8)
12/26/2014	Cancelled Trade	xxxxx0318	606092EF7	MISSOURI JT MUN ELEC UTIL COMM TAXABLE REV BDS 2009A CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/37	12/26/2014	12/31/2014	Municipal Bonds	Buy	450,000	129.250	581,625.0
12/26/2014	Cancelled Trade	YQ	606092EF7	MISSOURI JT MUN ELEC UTIL COMM TAXABLE REV BDS 2009A CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/37	12/26/2014	12/31/2014	Municipal Bonds	Sell	(450,000)	129.250	(581,625.0)
12/26/2014	Cancelled Trade	xxxxx7602	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	12/26/2014	1/12/2015	Corporate Bonds	Sell	(425,000)	108.300	(460,275.0)
12/26/2014	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	12/26/2014	1/12/2015	Corporate Bonds	Buy	425,000	108.300	460,275.0

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
12/26/2014	Cancelled Trade	xxxxx7602	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	12/26/2014	1/12/2015	Corporate Bonds	Sell	(380,000)	106.000	(402,800.0)
12/26/2014	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	12/26/2014	1/12/2015	Corporate Bonds	Buy	380,000	106.000	402,800.0
12/26/2014	Cancelled Trade	xxxxx9541	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	12/26/2014	1/12/2015	Corporate Bonds	Buy	425,000	111.300	473,025.0
12/26/2014	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	12/26/2014	1/12/2015	Corporate Bonds	Sell	(425,000)	111.300	(473,025.0)
12/26/2014	Cancelled Trade	xxxxx9541	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	12/26/2014	1/12/2015	Corporate Bonds	Buy	380,000	109.000	414,200.0
12/26/2014	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	12/26/2014	1/12/2015	Corporate Bonds	Sell	(380,000)	109.000	(414,200.0)
1/27/2015	Cancelled Trade	xxxxx0318	606092EF7	MISSOURI JT MUN ELEC UTIL COMM TAXABLE REV BDS 2009A CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/37	1/13/2015	2/3/2015	Municipal Bonds	Buy	450,000	133.500	600,750.0
1/27/2015	Cancelled Trade	YQ	606092EF7	MISSOURI JT MUN ELEC UTIL COMM TAXABLE REV BDS 2009A CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/37	1/13/2015	2/3/2015	Municipal Bonds	Sell	(450,000)	133.500	(600,750.0)
1/27/2015	Cancelled Trade	xxxxx7602	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	1/13/2015	2/5/2015	Corporate Bonds	Sell	(500,000)	107.350	(536,750.0)
1/27/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	1/13/2015	2/5/2015	Corporate Bonds	Buy	500,000	107.350	536,750.0

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
1/27/2015	Cancelled Trade	xxxxx9541	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	1/13/2015	2/5/2015	Corporate Bonds	Buy	500,000	110.500	552,500.0
1/27/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	1/13/2015	2/5/2015	Corporate Bonds	Sell	(500,000)	110.500	(552,500.0)
1/27/2015	Cancelled Trade	xxxxx7602	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	1/14/2015	2/6/2015	Corporate Bonds	Sell	(550,000)	108.700	(597,850.0)
1/27/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	1/14/2015	2/6/2015	Corporate Bonds	Buy	550,000	108.700	597,850.0
1/27/2015	Cancelled Trade	xxxxx9541	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	1/14/2015	2/6/2015	Corporate Bonds	Buy	550,000	112.000	616,000.0
1/27/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	1/14/2015	2/6/2015	Corporate Bonds	Sell	(550,000)	112.000	(616,000.0)
1/27/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	1/14/2015	2/6/2015	Corporate Bonds	Sell	(600,000)	105.500	(633,000.0)
1/27/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	1/14/2015	2/6/2015	Corporate Bonds	Buy	600,000	105.500	633,000.0
1/27/2015	Cancelled Trade	xxxxx1035	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	1/14/2015	2/6/2015	Corporate Bonds	Buy	600,000	108.500	651,000.0

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
1/27/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	1/14/2015	2/6/2015	Corporate Bonds	Sell	(600,000)	108.500	(651,000.0)
1/27/2015	Cancelled Trade	xxxxx7602	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	1/15/2015	2/6/2015	Corporate Bonds	Sell	(650,000)	101.000	(656,500.0)
1/27/2015	Cancelled Trade	YQ	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	1/15/2015	2/6/2015	Corporate Bonds	Buy	650,000	101.000	656,500.0
1/27/2015	Cancelled Trade	xxxxx1035	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	1/15/2015	2/6/2015	Corporate Bonds	Buy	650,000	103.950	675,675.0
1/27/2015	Cancelled Trade	YQ	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	1/15/2015	2/6/2015	Corporate Bonds	Sell	(650,000)	103.950	(675,675.0)
1/27/2015	Cancelled Trade	xxxxx0318	952347VB5	WEST CONTRA COSTA CALIF UNI SC GO REF AND NEW MONEY BDS C-2 CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 08/01/33	1/15/2015	2/5/2015	Municipal Bonds	Buy	500,000	124.500	622,500.0
1/27/2015	Cancelled Trade	YQ	952347VB5	WEST CONTRA COSTA CALIF UNI SC GO REF AND NEW MONEY BDS C-2 CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 08/01/33	1/15/2015	2/5/2015	Municipal Bonds	Sell	(500,000)	124.500	(622,500.0)
1/27/2015	Cancelled Trade	xxxxx7602	952347VB5	WEST CONTRA COSTA CALIF UNI SC GO REF AND NEW MONEY BDS C-2 CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 08/01/33	1/16/2015	2/5/2015	Municipal Bonds	Sell	(500,000)	121.000	(605,000.0)
1/27/2015	Cancelled Trade	YQ	952347VB5	WEST CONTRA COSTA CALIF UNI SC GO REF AND NEW MONEY BDS C-2 CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 08/01/33	1/16/2015	2/5/2015	Municipal Bonds	Buy	500,000	121.000	605,000.0
1/27/2015	Cancelled Trade	xxxxx0674	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	1/27/2015	2/10/2015	Corporate Bonds	Sell	(1,537,000)	107.000	(1,644,590.0)

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Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
1/27/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	1/27/2015	2/10/2015	Corporate Bonds	Buy	1,537,000	107.000	1,644,590.0
1/27/2015	Cancelled Trade	xxxxx0318	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	1/27/2015	2/10/2015	Corporate Bonds	Buy	1,537,000	110.100	1,692,237.0
1/27/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	1/27/2015	2/10/2015	Corporate Bonds	Sell	(1,537,000)	110.100	(1,692,237.0)
1/27/2015	Cancelled Trade	xxxxx0674	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	1/27/2015	2/10/2015	US Government Agencies	Sell	(1,292,000)	88.000	(1,136,960.0)
1/27/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	1/27/2015	2/10/2015	US Government Agencies	Buy	1,292,000	88.000	1,136,960.0
1/27/2015	Cancelled Trade	xxxxx0318	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	1/27/2015	2/10/2015	US Government Agencies	Buy	1,292,000	90.250	1,166,030.0
1/27/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	1/27/2015	2/10/2015	US Government Agencies	Sell	(1,292,000)	90.250	(1,166,030.0)
1/27/2015	Cancelled Trade	xxxxx9310	642835LS9	NEW BRUNSWICK N J PKG AUTH REV REV BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE	1/27/2015	2/10/2015	Municipal Bonds	Buy	500,000	123.000	615,000.0
1/27/2015	Cancelled Trade	YQ	642835LS9	NEW BRUNSWICK N J PKG AUTH REV REV BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE	1/27/2015	2/10/2015	Municipal Bonds	Sell	(500,000)	123.000	(615,000.0)
2/24/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	2/11/2015	3/3/2015	Corporate Bonds	Sell	(1,575,000)	107.000	(1,685,250.0)

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Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
2/24/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	2/11/2015	3/3/2015	Corporate Bonds	Buy	1,575,000	107.000	1,685,250.0
2/24/2015	Cancelled Trade	xxxxx0318	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	2/11/2015	3/3/2015	Corporate Bonds	Buy	1,575,000	110.000	1,732,500.0
2/24/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	2/11/2015	3/3/2015	Corporate Bonds	Sell	(1,575,000)	110.000	(1,732,500.0)
2/24/2015	Cancelled Trade	xxxxx7602	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	2/11/2015	3/3/2015	Corporate Bonds	Sell	(750,000)	106.000	(795,000.0)
2/24/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	2/11/2015	3/3/2015	Corporate Bonds	Buy	750,000	106.000	795,000.0
2/24/2015	Cancelled Trade	xxxxx9541	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	2/11/2015	3/3/2015	Corporate Bonds	Buy	750,000	109.000	817,500.0
2/24/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	2/11/2015	3/3/2015	Corporate Bonds	Sell	(750,000)	109.000	(817,500.0)
2/24/2015	Cancelled Trade	xxxxx7602	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	2/11/2015	3/3/2015	Corporate Bonds	Sell	(800,000)	98.000	(784,000.0)
2/24/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	2/11/2015	3/3/2015	Corporate Bonds	Buy	800,000	98.000	784,000.0

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Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
2/24/2015	Cancelled Trade	xxxxx9541	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	2/11/2015	3/3/2015	Corporate Bonds	Buy	800,000	100.750	806,000.0
2/24/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	2/11/2015	3/3/2015	Corporate Bonds	Sell	(800,000)	100.750	(806,000.0)
2/24/2015	Cancelled Trade	xxxxx0674	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	2/12/2015	3/4/2015	US Government Agencies	Sell	(1,292,000)	88.000	(1,136,960.0)
2/24/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	2/12/2015	3/4/2015	US Government Agencies	Buy	1,292,000	88.000	1,136,960.0
2/24/2015	Cancelled Trade	xxxxx0318	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	2/12/2015	3/4/2015	US Government Agencies	Buy	1,292,000	90.500	1,169,260.0
2/24/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	2/12/2015	3/4/2015	US Government Agencies	Sell	(1,292,000)	90.500	(1,169,260.0)
2/24/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	2/12/2015	3/4/2015	Corporate Bonds	Sell	(800,000)	107.000	(856,000.0)
2/24/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	2/12/2015	3/4/2015	Corporate Bonds	Buy	800,000	107.000	856,000.0
2/24/2015	Cancelled Trade	xxxxx9541	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	2/12/2015	3/4/2015	Corporate Bonds	Buy	800,000	110.000	880,000.0

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Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
2/24/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	2/12/2015	3/4/2015	Corporate Bonds	Sell	(800,000)	110.000	(880,000.0)
2/24/2015	Cancelled Trade	xxxxx0674	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	2/12/2015	3/4/2015	Corporate Bonds	Sell	(980,000)	107.500	(1,053,500.0)
2/24/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	2/12/2015	3/4/2015	Corporate Bonds	Buy	980,000	107.500	1,053,500.0
2/24/2015	Cancelled Trade	xxxxx9541	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	2/12/2015	3/4/2015	Corporate Bonds	Buy	980,000	110.500	1,082,900.0
2/24/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	2/12/2015	3/4/2015	Corporate Bonds	Sell	(980,000)	110.500	(1,082,900.0)
2/24/2015	Cancelled Trade	xxxxx0318	167486MK2	CHICAGO ILL TAXABLE GO BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/36	2/13/2015	3/6/2015	Municipal Bonds	Buy	800,000	120.500	964,000.0
2/24/2015	Cancelled Trade	YQ	167486MK2	CHICAGO ILL TAXABLE GO BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/36	2/13/2015	3/6/2015	Municipal Bonds	Sell	(800,000)	120.500	(964,000.0)
2/24/2015	Cancelled Trade	xxxxx0674	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	2/13/2015	3/6/2015	Corporate Bonds	Sell	(980,000)	107.000	(1,048,600.0)
2/24/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	2/13/2015	3/6/2015	Corporate Bonds	Buy	980,000	107.000	1,048,600.0
2/24/2015	Cancelled Trade	xxxxx9310	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	2/13/2015	3/6/2015	Corporate Bonds	Buy	980,000	110.000	1,078,000.0
2/24/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	2/13/2015	3/6/2015	Corporate Bonds	Sell	(980,000)	110.000	(1,078,000.0)

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Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
2/24/2015	Cancelled Trade	xxxxx1438	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	2/13/2015	3/6/2015	Corporate Bonds	Sell	(1,000,000)	107.000	(1,070,000.0)
2/24/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	2/13/2015	3/6/2015	Corporate Bonds	Buy	1,000,000	107.000	1,070,000.0
2/24/2015	Cancelled Trade	xxxxx7602	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	2/13/2015	3/6/2015	Corporate Bonds	Buy	1,000,000	110.000	1,100,000.0
2/24/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	2/13/2015	3/6/2015	Corporate Bonds	Sell	(1,000,000)	110.000	(1,100,000.0)
2/24/2015	Cancelled Trade	xxxxx7602	167486MK2	CHICAGO ILL TAXABLE GO BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/36	2/17/2015	3/6/2015	Municipal Bonds	Sell	(800,000)	117.500	(940,000.0)
2/24/2015	Cancelled Trade	YQ	167486MK2	CHICAGO ILL TAXABLE GO BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/36	2/17/2015	3/6/2015	Municipal Bonds	Buy	800,000	117.500	940,000.0
2/24/2015	Cancelled Trade	xxxxx0275	286650CH7	ELIZABETH CITY N C ST UNIV REV GEN REV BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 04/01/21	2/24/2015	3/2/2015	Municipal Bonds	Buy	450,000	123.000	553,500.0
2/24/2015	Cancelled Trade	YQ	286650CH7	ELIZABETH CITY N C ST UNIV REV GEN REV BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 04/01/21	2/24/2015	3/2/2015	Municipal Bonds	Sell	(450,000)	123.000	(553,500.0)
2/24/2015	Cancelled Trade	xxxxx0674	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	2/24/2015	3/10/2015	Corporate Bonds	Sell	(500,000)	109.000	(545,000.0)
2/24/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	2/24/2015	3/10/2015	Corporate Bonds	Buy	500,000	109.000	545,000.0
2/24/2015	Cancelled Trade	xxxxx9310	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	2/24/2015	3/10/2015	Corporate Bonds	Buy	500,000	112.000	560,000.0

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Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
2/24/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	2/24/2015	3/10/2015	Corporate Bonds	Sell	(500,000)	112.000	(560,000.0)
2/24/2015	Cancelled Trade	xxxxx0674	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	2/24/2015	3/10/2015	Corporate Bonds	Sell	(1,500,000)	107.000	(1,605,000.0)
2/24/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	2/24/2015	3/10/2015	Corporate Bonds	Buy	1,500,000	107.000	1,605,000.0
2/24/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	2/24/2015	3/10/2015	Corporate Bonds	Buy	1,500,000	110.000	1,650,000.0
2/24/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	2/24/2015	3/10/2015	Corporate Bonds	Sell	(1,500,000)	110.000	(1,650,000.0)
3/26/2015	Cancelled Trade	xxxxx0674	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	2/24/2015	4/10/2015	Corporate Bonds	Sell	(500,000)	109.000	(545,000.0)
3/26/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	2/24/2015	4/10/2015	Corporate Bonds	Buy	500,000	109.000	545,000.0
3/26/2015	Cancelled Trade	xxxxx0318	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	2/24/2015	4/10/2015	Corporate Bonds	Buy	500,000	112.000	560,000.0
3/26/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	2/24/2015	4/10/2015	Corporate Bonds	Sell	(500,000)	112.000	(560,000.0)

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Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
3/26/2015	Cancelled Trade	xxxxx0674	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	2/24/2015	4/10/2015	Corporate Bonds	Sell	(1,500,000)	107.000	(1,605,000.0)
3/26/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	2/24/2015	4/10/2015	Corporate Bonds	Buy	1,500,000	107.000	1,605,000.0
3/26/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	2/24/2015	4/10/2015	Corporate Bonds	Buy	1,500,000	110.000	1,650,000.0
3/26/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	2/24/2015	4/10/2015	Corporate Bonds	Sell	(1,500,000)	110.000	(1,650,000.0)
3/26/2015	Cancelled Trade	xxxxx0674	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	3/11/2015	4/2/2015	Corporate Bonds	Sell	(980,000)	107.500	(1,053,500.0)
3/26/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	3/11/2015	4/2/2015	Corporate Bonds	Buy	980,000	107.500	1,053,500.0
3/26/2015	Cancelled Trade	xxxxx9541	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	3/11/2015	4/2/2015	Corporate Bonds	Buy	980,000	110.500	1,082,900.0
3/26/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	3/11/2015	4/2/2015	Corporate Bonds	Sell	(980,000)	110.500	(1,082,900.0)
3/26/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	3/11/2015	4/2/2015	Corporate Bonds	Sell	(800,000)	107.000	(856,000.0)

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Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
3/26/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	3/11/2015	4/2/2015	Corporate Bonds	Buy	800,000	107.000	856,000.0
3/26/2015	Cancelled Trade	xxxxx9541	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	3/11/2015	4/2/2015	Corporate Bonds	Buy	800,000	110.000	880,000.0
3/26/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	3/11/2015	4/2/2015	Corporate Bonds	Sell	(800,000)	110.000	(880,000.0)
3/26/2015	Cancelled Trade	xxxxx0674	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	3/11/2015	4/2/2015	US Government Agencies	Sell	(1,292,000)	88.000	(1,136,960.0)
3/26/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	3/11/2015	4/2/2015	US Government Agencies	Buy	1,292,000	88.000	1,136,960.0
3/26/2015	Cancelled Trade	xxxxx0318	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	3/11/2015	4/2/2015	US Government Agencies	Buy	1,292,000	90.500	1,169,260.0
3/26/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	3/11/2015	4/2/2015	US Government Agencies	Sell	(1,292,000)	90.500	(1,169,260.0)
3/26/2015	Cancelled Trade	xxxxx7602	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	3/12/2015	4/6/2015	Corporate Bonds	Sell	(1,000,000)	98.000	(980,000.0)
3/26/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	3/12/2015	4/6/2015	Corporate Bonds	Buy	1,000,000	98.000	980,000.0

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Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
3/26/2015	Cancelled Trade	xxxxx9541	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	3/12/2015	4/6/2015	Corporate Bonds	Buy	1,000,000	100.750	1,007,500.0
3/26/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	3/12/2015	4/6/2015	Corporate Bonds	Sell	(1,000,000)	100.750	(1,007,500.0)
3/26/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	3/12/2015	4/6/2015	Corporate Bonds	Sell	(1,575,000)	107.000	(1,685,250.0)
3/26/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	3/12/2015	4/6/2015	Corporate Bonds	Buy	1,575,000	107.000	1,685,250.0
3/26/2015	Cancelled Trade	xxxxx0318	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	3/12/2015	4/6/2015	Corporate Bonds	Buy	1,575,000	110.000	1,732,500.0
3/26/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	3/12/2015	4/6/2015	Corporate Bonds	Sell	(1,575,000)	110.000	(1,732,500.0)
3/26/2015	Cancelled Trade	xxxxx0674	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	3/13/2015	4/6/2015	Corporate Bonds	Sell	(1,000,000)	107.000	(1,070,000.0)
3/26/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	3/13/2015	4/6/2015	Corporate Bonds	Buy	1,000,000	107.000	1,070,000.0
3/26/2015	Cancelled Trade	xxxxx7602	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	3/13/2015	4/6/2015	Corporate Bonds	Buy	1,000,000	110.000	1,100,000.0

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
3/26/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	3/13/2015	4/6/2015	Corporate Bonds	Sell	(1,000,000)	110.000	(1,100,000.0)
3/26/2015	Cancelled Trade	xxxxx0674	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	3/13/2015	4/6/2015	US Government Agencies	Sell	(1,292,000)	84.000	(1,085,280.0)
3/26/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	3/13/2015	4/6/2015	US Government Agencies	Buy	1,292,000	84.000	1,085,280.0
3/26/2015	Cancelled Trade	xxxxx0318	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	3/13/2015	4/6/2015	US Government Agencies	Buy	1,292,000	86.500	1,117,580.0
3/26/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	3/13/2015	4/6/2015	US Government Agencies	Sell	(1,292,000)	86.500	(1,117,580.0)
3/26/2015	Cancelled Trade	xxxxx7602	167486MK2	CHICAGO ILL TAXABLE GO BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/36	3/13/2015	4/6/2015	Municipal Bonds	Sell	(1,000,000)	117.500	(1,175,000.0)
3/26/2015	Cancelled Trade	YQ	167486MK2	CHICAGO ILL TAXABLE GO BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/36	3/13/2015	4/6/2015	Municipal Bonds	Buy	1,000,000	117.500	1,175,000.0
3/26/2015	Cancelled Trade	xxxxx0318	167486MK2	CHICAGO ILL TAXABLE GO BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/36	3/13/2015	4/6/2015	Municipal Bonds	Buy	1,000,000	120.500	1,205,000.0
3/26/2015	Cancelled Trade	YQ	167486MK2	CHICAGO ILL TAXABLE GO BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/36	3/13/2015	4/6/2015	Municipal Bonds	Sell	(1,000,000)	120.500	(1,205,000.0)
3/26/2015	Cancelled Trade	xxxxx0674	06741UJW5	BARCLAYS BANK PLC SER MTN FLOATING RATE BOOK ENTRY ONLY CALLABLE PAYS QUARTERLY	3/13/2015	4/6/2015	Corporate Bonds	Sell	(990,000)	87.000	(861,300.0)
3/26/2015	Cancelled Trade	YQ	06741UJW5	BARCLAYS BANK PLC SER MTN FLOATING RATE BOOK ENTRY ONLY CALLABLE PAYS QUARTERLY	3/13/2015	4/6/2015	Corporate Bonds	Buy	990,000	87.000	861,300.0
3/26/2015	Cancelled Trade	xxxxx0318	06741UJW5	BARCLAYS BANK PLC SER MTN FLOATING RATE BOOK ENTRY ONLY CALLABLE PAYS QUARTERLY	3/13/2015	4/6/2015	Corporate Bonds	Buy	990,000	89.600	887,040.0
3/26/2015	Cancelled Trade	YQ	06741UJW5	BARCLAYS BANK PLC SER MTN FLOATING RATE BOOK ENTRY ONLY CALLABLE PAYS QUARTERLY	3/13/2015	4/6/2015	Corporate Bonds	Sell	(990,000)	89.600	(887,040.0)

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Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
3/26/2015	Cancelled Trade	xxxxx1035	286650CG9	ELIZABETH CITY N C ST UNIV REV GEN REV BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 04/01/33	3/26/2015	3/31/2015	Municipal Bonds	Buy	500,000	123.500	617,500.0
3/26/2015	Cancelled Trade	YQ	286650CG9	ELIZABETH CITY N C ST UNIV REV GEN REV BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 04/01/33	3/26/2015	3/31/2015	Municipal Bonds	Sell	(500,000)	123.500	(617,500.0)
3/26/2015	Cancelled Trade	xxxxx0674	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	3/26/2015	4/10/2015	Corporate Bonds	Sell	(980,000)	107.000	(1,048,600.0)
3/26/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	3/26/2015	4/10/2015	Corporate Bonds	Buy	980,000	107.000	1,048,600.0
3/26/2015	Cancelled Trade	xxxxx0318	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	3/26/2015	4/10/2015	Corporate Bonds	Buy	980,000	110.000	1,078,000.0
3/26/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	3/26/2015	4/10/2015	Corporate Bonds	Sell	(980,000)	110.000	(1,078,000.0)
3/26/2015	Cancelled Trade	xxxxx7602	899124HA2	TULARE CALIF SWR REV REV BDS 2009B CALLABLE BOOK ENTRY ONLY TAXABLE OID 96.709	3/26/2015	4/1/2015	Municipal Bonds	Buy	500,000	123.000	615,000.0
3/26/2015	Cancelled Trade	YQ	899124HA2	TULARE CALIF SWR REV REV BDS 2009B CALLABLE BOOK ENTRY ONLY TAXABLE OID 96.709	3/26/2015	4/1/2015	Municipal Bonds	Sell	(500,000)	123.000	(615,000.0)
4/27/2015	Cancelled Trade	xxxxx0674	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	4/13/2015	4/29/2015	Corporate Bonds	Sell	(980,000)	107.500	(1,053,500.0)
4/27/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	4/13/2015	4/29/2015	Corporate Bonds	Buy	980,000	107.500	1,053,500.0
4/27/2015	Cancelled Trade	xxxxx9541	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	4/13/2015	4/29/2015	Corporate Bonds	Buy	980,000	110.500	1,082,900.0

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Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
4/27/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	4/13/2015	4/29/2015	Corporate Bonds	Sell	(980,000)	110.500	(1,082,900.0)
4/27/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	4/13/2015	4/29/2015	Corporate Bonds	Sell	(800,000)	107.000	(856,000.0)
4/27/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	4/13/2015	4/29/2015	Corporate Bonds	Buy	800,000	107.000	856,000.0
4/27/2015	Cancelled Trade	xxxxx9541	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	4/13/2015	4/29/2015	Corporate Bonds	Buy	800,000	110.000	880,000.0
4/27/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	4/13/2015	4/29/2015	Corporate Bonds	Sell	(800,000)	110.000	(880,000.0)
4/27/2015	Cancelled Trade	xxxxx0674	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	4/13/2015	4/29/2015	US Government Agencies	Sell	(1,292,000)	88.000	(1,136,960.0)
4/27/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	4/13/2015	4/29/2015	US Government Agencies	Buy	1,292,000	88.000	1,136,960.0
4/27/2015	Cancelled Trade	xxxxx0318	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	4/13/2015	4/29/2015	US Government Agencies	Buy	1,292,000	90.500	1,169,260.0
4/27/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	4/13/2015	4/29/2015	US Government Agencies	Sell	(1,292,000)	90.500	(1,169,260.0)

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
4/27/2015	Cancelled Trade	xxxxx0674	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	4/13/2015	4/29/2015	Corporate Bonds	Sell	(1,500,000)	107.000	(1,605,000.0)
4/27/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	4/13/2015	4/29/2015	Corporate Bonds	Buy	1,500,000	107.000	1,605,000.0
4/27/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	4/13/2015	4/29/2015	Corporate Bonds	Buy	1,500,000	110.000	1,650,000.0
4/27/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	4/13/2015	4/29/2015	Corporate Bonds	Sell	(1,500,000)	110.000	(1,650,000.0)
4/27/2015	Cancelled Trade	xxxxx0674	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	4/13/2015	4/29/2015	Corporate Bonds	Sell	(980,000)	107.000	(1,048,600.0)
4/27/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	4/13/2015	4/29/2015	Corporate Bonds	Buy	980,000	107.000	1,048,600.0
4/27/2015	Cancelled Trade	xxxxx0318	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	4/13/2015	4/29/2015	Corporate Bonds	Buy	980,000	110.000	1,078,000.0
4/27/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	4/13/2015	4/29/2015	Corporate Bonds	Sell	(980,000)	110.000	(1,078,000.0)
4/27/2015	Cancelled Trade	xxxxx0318	167486MK2	CHICAGO ILL TAXABLE GO BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/36	4/14/2015	4/30/2015	Municipal Bonds	Buy	1,000,000	120.500	1,205,000.0
4/27/2015	Cancelled Trade	YQ	167486MK2	CHICAGO ILL TAXABLE GO BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/36	4/14/2015	4/30/2015	Municipal Bonds	Sell	(1,000,000)	120.500	(1,205,000.0)

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Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
4/27/2015	Cancelled Trade	xxxxx7602	167486MK2	CHICAGO ILL TAXABLE GO BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/36	4/14/2015	4/30/2015	Municipal Bonds	Sell	(1,000,000)	117.500	(1,175,000.0)
4/27/2015	Cancelled Trade	YQ	167486MK2	CHICAGO ILL TAXABLE GO BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/36	4/14/2015	4/30/2015	Municipal Bonds	Buy	1,000,000	117.500	1,175,000.0
4/27/2015	Cancelled Trade	xxxxx7602	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	4/14/2015	4/30/2015	Corporate Bonds	Sell	(1,100,000)	98.000	(1,078,000.0)
4/27/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	4/14/2015	4/30/2015	Corporate Bonds	Buy	1,100,000	98.000	1,078,000.0
4/27/2015	Cancelled Trade	xxxxx9541	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	4/14/2015	4/30/2015	Corporate Bonds	Buy	1,100,000	100.750	1,108,250.0
4/27/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	4/14/2015	4/30/2015	Corporate Bonds	Sell	(1,100,000)	100.750	(1,108,250.0)
4/27/2015	Cancelled Trade	xxxxx0674	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	4/14/2015	4/30/2015	Corporate Bonds	Sell	(1,000,000)	109.000	(1,090,000.0)
4/27/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	4/14/2015	4/30/2015	Corporate Bonds	Buy	1,000,000	109.000	1,090,000.0
4/27/2015	Cancelled Trade	xxxxx0318	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	4/14/2015	4/30/2015	Corporate Bonds	Buy	1,000,000	112.000	1,120,000.0
4/27/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	4/14/2015	4/30/2015	Corporate Bonds	Sell	(1,000,000)	112.000	(1,120,000.0)
4/27/2015	Cancelled Trade	xxxxx0674	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	4/14/2015	4/30/2015	Corporate Bonds	Sell	(1,500,000)	107.000	(1,605,000.0)

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
4/27/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	4/14/2015	4/30/2015	Corporate Bonds	Buy	1,500,000	107.000	1,605,000.0
4/27/2015	Cancelled Trade	xxxxx7602	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	4/14/2015	4/30/2015	Corporate Bonds	Buy	1,500,000	110.000	1,650,000.0
4/27/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	4/14/2015	4/30/2015	Corporate Bonds	Sell	(1,500,000)	110.000	(1,650,000.0)
4/27/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	4/14/2015	4/30/2015	Corporate Bonds	Sell	(1,575,000)	107.000	(1,685,250.0)
4/27/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	4/14/2015	4/30/2015	Corporate Bonds	Buy	1,575,000	107.000	1,685,250.0
4/27/2015	Cancelled Trade	xxxxx0318	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	4/14/2015	4/30/2015	Corporate Bonds	Buy	1,575,000	110.000	1,732,500.0
4/27/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	4/14/2015	4/30/2015	Corporate Bonds	Sell	(1,575,000)	110.000	(1,732,500.0)
4/27/2015	Cancelled Trade	xxxxx9655	44420PAC8	HUDSON YARDS N Y INFRA CORP SR BOOK ENTRY ONLY	4/27/2015	5/1/2015	Municipal Bonds	Buy	10,000	107.062	10,706.2
4/27/2015	Cancelled Trade	YQ	44420PAC8	HUDSON YARDS N Y INFRA CORP SR BOOK ENTRY ONLY	4/27/2015	5/1/2015	Municipal Bonds	Sell	(10,000)	107.062	(10,706.2)
4/27/2015	Cancelled Trade	xxxxx0674	06741UJW5	BARCLAYS BANK PLC SER MTN FLOATING RATE BOOK ENTRY ONLY CALLABLE PAYS QUARTERLY	4/27/2015	5/8/2015	Corporate Bonds	Sell	(990,000)	87.000	(861,300.0)

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
4/27/2015	Cancelled Trade	YQ	06741UJW5	BARCLAYS BANK PLC SER MTN FLOATING RATE BOOK ENTRY ONLY CALLABLE PAYS QUARTERLY	4/27/2015	5/8/2015	Corporate Bonds	Buy	990,000	87.000	861,300.0
4/27/2015	Cancelled Trade	xxxxx0318	06741UJW5	BARCLAYS BANK PLC SER MTN FLOATING RATE BOOK ENTRY ONLY CALLABLE PAYS QUARTERLY	4/27/2015	5/8/2015	Corporate Bonds	Buy	990,000	89.600	887,040.0
4/27/2015	Cancelled Trade	YQ	06741UJW5	BARCLAYS BANK PLC SER MTN FLOATING RATE BOOK ENTRY ONLY CALLABLE PAYS QUARTERLY	4/27/2015	5/8/2015	Corporate Bonds	Sell	(990,000)	89.600	(887,040.0)
4/27/2015	Cancelled Trade	xxxxx0674	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	4/27/2015	5/8/2015	US Government Agencies	Sell	(1,292,000)	84.000	(1,085,280.0)
4/27/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	4/27/2015	5/8/2015	US Government Agencies	Buy	1,292,000	84.000	1,085,280.0
4/27/2015	Cancelled Trade	xxxxx0318	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	4/27/2015	5/8/2015	US Government Agencies	Buy	1,292,000	86.500	1,117,580.0
4/27/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	4/27/2015	5/8/2015	US Government Agencies	Sell	(1,292,000)	86.500	(1,117,580.0)
4/27/2015	Cancelled Trade	xxxxx0674	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	4/27/2015	5/8/2015	Corporate Bonds	Sell	(1,000,000)	95.500	(955,000.0)
4/27/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	4/27/2015	5/8/2015	Corporate Bonds	Buy	1,000,000	95.500	955,000.0
4/27/2015	Cancelled Trade	xxxxx7602	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	4/27/2015	5/8/2015	Corporate Bonds	Buy	1,000,000	98.300	983,000.0
4/27/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	4/27/2015	5/8/2015	Corporate Bonds	Sell	(1,000,000)	98.300	(983,000.0)

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
4/27/2015	Cancelled Trade	xxxxx7602	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	4/27/2015	5/8/2015	Corporate Bonds	Sell	(1,000,000)	98.500	(985,000.0)
4/27/2015	Cancelled Trade	YQ	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	4/27/2015	5/8/2015	Corporate Bonds	Buy	1,000,000	98.500	985,000.0
4/27/2015	Cancelled Trade	xxxxx0318	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	4/27/2015	5/8/2015	Corporate Bonds	Buy	1,000,000	101.400	1,014,000.0
4/27/2015	Cancelled Trade	YQ	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	4/27/2015	5/8/2015	Corporate Bonds	Sell	(1,000,000)	101.400	(1,014,000.0)
4/27/2015	Cancelled Trade	xxxxx0318	64763FNR6	NEW ORLEANS LA TAXABLE BUILD AMERICA BONDS-PUB IMPT-SER A BOOK ENTRY ONLY MSF BEG 12/01/35 CALLABLE	4/27/2015	5/6/2015	Municipal Bonds	Buy	475,000	122.500	581,875.0
4/27/2015	Cancelled Trade	YQ	64763FNR6	NEW ORLEANS LA TAXABLE BUILD AMERICA BONDS-PUB IMPT-SER A BOOK ENTRY ONLY MSF BEG 12/01/35 CALLABLE	4/27/2015	5/6/2015	Municipal Bonds	Sell	(475,000)	122.500	(581,875.0)
5/26/2015	Cancelled Trade	xxxxx0674	06741UJW5	BARCLAYS BANK PLC SER MTN FLOATING RATE BOOK ENTRY ONLY CALLABLE PAYS QUARTERLY	5/13/2015	5/28/2015	Corporate Bonds	Sell	(990,000)	87.000	(861,300.0)
5/26/2015	Cancelled Trade	YQ	06741UJW5	BARCLAYS BANK PLC SER MTN FLOATING RATE BOOK ENTRY ONLY CALLABLE PAYS QUARTERLY	5/13/2015	5/28/2015	Corporate Bonds	Buy	990,000	87.000	861,300.0
5/26/2015	Cancelled Trade	xxxxx0318	06741UJW5	BARCLAYS BANK PLC SER MTN FLOATING RATE BOOK ENTRY ONLY CALLABLE PAYS QUARTERLY	5/13/2015	5/28/2015	Corporate Bonds	Buy	990,000	89.600	887,040.0
5/26/2015	Cancelled Trade	YQ	06741UJW5	BARCLAYS BANK PLC SER MTN FLOATING RATE BOOK ENTRY ONLY CALLABLE PAYS QUARTERLY	5/13/2015	5/28/2015	Corporate Bonds	Sell	(990,000)	89.600	(887,040.0)
5/26/2015	Cancelled Trade	xxxxx0674	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	5/13/2015	5/28/2015	US Government Agencies	Sell	(1,292,000)	84.000	(1,085,280.0)
5/26/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	5/13/2015	5/28/2015	US Government Agencies	Buy	1,292,000	84.000	1,085,280.0

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
5/26/2015	Cancelled Trade	xxxxx0318	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	5/13/2015	5/28/2015	US Government Agencies	Buy	1,292,000	86.500	1,117,580.0
5/26/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	5/13/2015	5/28/2015	US Government Agencies	Sell	(1,292,000)	86.500	(1,117,580.0)
5/26/2015	Cancelled Trade	xxxxx0674	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	5/13/2015	5/28/2015	Corporate Bonds	Sell	(1,000,000)	95.500	(955,000.0)
5/26/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	5/13/2015	5/28/2015	Corporate Bonds	Buy	1,000,000	95.500	955,000.0
5/26/2015	Cancelled Trade	xxxxx7602	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	5/13/2015	5/28/2015	Corporate Bonds	Buy	1,000,000	98.300	983,000.0
5/26/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	5/13/2015	5/28/2015	Corporate Bonds	Sell	(1,000,000)	98.300	(983,000.0)
5/26/2015	Cancelled Trade	xxxxx7602	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	5/13/2015	5/28/2015	Corporate Bonds	Sell	(1,000,000)	98.500	(985,000.0)
5/26/2015	Cancelled Trade	YQ	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	5/13/2015	5/28/2015	Corporate Bonds	Buy	1,000,000	98.500	985,000.0
5/26/2015	Cancelled Trade	xxxxx0318	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	5/13/2015	5/28/2015	Corporate Bonds	Buy	1,000,000	101.400	1,014,000.0
5/26/2015	Cancelled Trade	YQ	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	5/13/2015	5/28/2015	Corporate Bonds	Sell	(1,000,000)	101.400	(1,014,000.0)

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
5/26/2015	Cancelled Trade	xxxxx0674	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	5/14/2015	5/29/2015	Corporate Bonds	Sell	(980,000)	107.000	(1,048,600.0)
5/26/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	5/14/2015	5/29/2015	Corporate Bonds	Buy	980,000	107.000	1,048,600.0
5/26/2015	Cancelled Trade	xxxxx0318	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	5/14/2015	5/29/2015	Corporate Bonds	Buy	980,000	110.000	1,078,000.0
5/26/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	5/14/2015	5/29/2015	Corporate Bonds	Sell	(980,000)	110.000	(1,078,000.0)
5/26/2015	Cancelled Trade	xxxxx0674	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	5/14/2015	5/29/2015	Corporate Bonds	Sell	(1,500,000)	107.000	(1,605,000.0)
5/26/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	5/14/2015	5/29/2015	Corporate Bonds	Buy	1,500,000	107.000	1,605,000.0
5/26/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	5/14/2015	5/29/2015	Corporate Bonds	Buy	1,500,000	110.000	1,650,000.0
5/26/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	5/14/2015	5/29/2015	Corporate Bonds	Sell	(1,500,000)	110.000	(1,650,000.0)
5/26/2015	Cancelled Trade	xxxxx0674	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	5/14/2015	5/29/2015	US Government Agencies	Sell	(1,292,000)	88.000	(1,136,960.0)

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
5/26/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	5/14/2015	5/29/2015	US Government Agencies	Buy	1,292,000	88.000	1,136,960.0
5/26/2015	Cancelled Trade	xxxxx0318	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	5/14/2015	5/29/2015	US Government Agencies	Buy	1,292,000	90.500	1,169,260.0
5/26/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	5/14/2015	5/29/2015	US Government Agencies	Sell	(1,292,000)	90.500	(1,169,260.0)
5/26/2015	Cancelled Trade	xxxxx4461	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	5/26/2015	6/4/2015	Corporate Bonds	Sell	(1,200,000)	109.000	(1,308,000.0)
5/26/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	5/26/2015	6/4/2015	Corporate Bonds	Buy	1,200,000	109.000	1,308,000.0
5/26/2015	Cancelled Trade	xxxxx7487	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	5/26/2015	6/4/2015	Corporate Bonds	Buy	1,200,000	112.000	1,344,000.0
5/26/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	5/26/2015	6/4/2015	Corporate Bonds	Sell	(1,200,000)	112.000	(1,344,000.0)
5/26/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	5/26/2015	6/4/2015	Corporate Bonds	Sell	(1,575,000)	107.000	(1,685,250.0)
5/26/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	5/26/2015	6/4/2015	Corporate Bonds	Buy	1,575,000	107.000	1,685,250.0

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
5/26/2015	Cancelled Trade	xxxxx0318	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	5/26/2015	6/4/2015	Corporate Bonds	Buy	1,575,000	110.000	1,732,500.0
5/26/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	5/26/2015	6/4/2015	Corporate Bonds	Sell	(1,575,000)	110.000	(1,732,500.0)
5/26/2015	Cancelled Trade	xxxxx0674	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	5/26/2015	6/4/2015	Corporate Bonds	Sell	(1,500,000)	107.000	(1,605,000.0)
5/26/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	5/26/2015	6/4/2015	Corporate Bonds	Buy	1,500,000	107.000	1,605,000.0
5/26/2015	Cancelled Trade	xxxxx7602	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	5/26/2015	6/4/2015	Corporate Bonds	Buy	1,500,000	110.000	1,650,000.0
5/26/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	5/26/2015	6/4/2015	Corporate Bonds	Sell	(1,500,000)	110.000	(1,650,000.0)
5/26/2015	Cancelled Trade	xxxxx0674	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	5/26/2015	6/4/2015	Corporate Bonds	Sell	(1,000,000)	109.000	(1,090,000.0)
5/26/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	5/26/2015	6/4/2015	Corporate Bonds	Buy	1,000,000	109.000	1,090,000.0
5/26/2015	Cancelled Trade	xxxxx0318	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	5/26/2015	6/4/2015	Corporate Bonds	Buy	1,000,000	112.000	1,120,000.0
5/26/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	5/26/2015	6/4/2015	Corporate Bonds	Sell	(1,000,000)	112.000	(1,120,000.0)

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
5/26/2015	Cancelled Trade	xxxxx7602	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	5/26/2015	6/5/2015	Corporate Bonds	Sell	(1,100,000)	98.000	(1,078,000.0)
5/26/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	5/26/2015	6/5/2015	Corporate Bonds	Buy	1,100,000	98.000	1,078,000.0
5/26/2015	Cancelled Trade	xxxxx9541	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	5/26/2015	6/5/2015	Corporate Bonds	Buy	1,100,000	100.750	1,108,250.0
5/26/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	5/26/2015	6/5/2015	Corporate Bonds	Sell	(1,100,000)	100.750	(1,108,250.0)
5/26/2015	Cancelled Trade	xxxxx0674	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	5/26/2015	6/5/2015	Corporate Bonds	Sell	(1,500,000)	107.500	(1,612,500.0)
5/26/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	5/26/2015	6/5/2015	Corporate Bonds	Buy	1,500,000	107.500	1,612,500.0
5/26/2015	Cancelled Trade	xxxxx0318	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	5/26/2015	6/5/2015	Corporate Bonds	Buy	1,500,000	110.500	1,657,500.0
5/26/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	5/26/2015	6/5/2015	Corporate Bonds	Sell	(1,500,000)	110.500	(1,657,500.0)
5/26/2015	Cancelled Trade	xxxxx0318	167486MK2	CHICAGO ILL TAXABLE GO BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/36	5/26/2015	6/1/2015	Municipal Bonds	Buy	450,000	102.000	459,000.0
5/26/2015	Cancelled Trade	YQ	167486MK2	CHICAGO ILL TAXABLE GO BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 01/01/36	5/26/2015	6/1/2015	Municipal Bonds	Sell	(450,000)	102.000	(459,000.0)
5/26/2015	Cancelled Trade	xxxxx7602	44420PAC8	HUDSON YARDS N Y INFRA CORP SR BOOK ENTRY ONLY	5/26/2015	6/5/2015	Municipal Bonds	Sell	(1,200,000)	104.000	(1,248,000.0)
5/26/2015	Cancelled Trade	YQ	44420PAC8	HUDSON YARDS N Y INFRA CORP SR BOOK ENTRY ONLY	5/26/2015	6/5/2015	Municipal Bonds	Buy	1,200,000	104.000	1,248,000.0

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
5/26/2015	Cancelled Trade	xxxxx7487	44420PAC8	HUDSON YARDS N Y INFRA CORP SR BOOK ENTRY ONLY	5/26/2015	6/5/2015	Municipal Bonds	Buy	1,200,000	107.000	1,284,000.0
5/26/2015	Cancelled Trade	YQ	44420PAC8	HUDSON YARDS N Y INFRA CORP SR BOOK ENTRY ONLY	5/26/2015	6/5/2015	Municipal Bonds	Sell	(1,200,000)	107.000	(1,284,000.0)
6/25/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	6/11/2015	6/29/2015	Corporate Bonds	Sell	(1,575,000)	107.000	(1,685,250.0)
6/25/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	6/11/2015	6/29/2015	Corporate Bonds	Buy	1,575,000	107.000	1,685,250.0
6/25/2015	Cancelled Trade	xxxxx0318	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	6/11/2015	6/29/2015	Corporate Bonds	Buy	1,575,000	110.000	1,732,500.0
6/25/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	6/11/2015	6/29/2015	Corporate Bonds	Sell	(1,575,000)	110.000	(1,732,500.0)
6/25/2015	Cancelled Trade	xxxxx0674	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	6/11/2015	6/29/2015	Corporate Bonds	Sell	(1,500,000)	107.000	(1,605,000.0)
6/25/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	6/11/2015	6/29/2015	Corporate Bonds	Buy	1,500,000	107.000	1,605,000.0
6/25/2015	Cancelled Trade	xxxxx7602	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	6/11/2015	6/29/2015	Corporate Bonds	Buy	1,500,000	110.000	1,650,000.0
6/25/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	6/11/2015	6/29/2015	Corporate Bonds	Sell	(1,500,000)	110.000	(1,650,000.0)

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Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
6/25/2015	Cancelled Trade	xxxxx0674	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	6/11/2015	6/29/2015	Corporate Bonds	Sell	(1,000,000)	109.000	(1,090,000.0)
6/25/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	6/11/2015	6/29/2015	Corporate Bonds	Buy	1,000,000	109.000	1,090,000.0
6/25/2015	Cancelled Trade	xxxxx0318	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	6/11/2015	6/29/2015	Corporate Bonds	Buy	1,000,000	112.000	1,120,000.0
6/25/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	6/11/2015	6/29/2015	Corporate Bonds	Sell	(1,000,000)	112.000	(1,120,000.0)
6/25/2015	Cancelled Trade	xxxxx7602	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	6/12/2015	7/2/2015	Corporate Bonds	Sell	(1,000,000)	98.500	(985,000.0)
6/25/2015	Cancelled Trade	YQ	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	6/12/2015	7/2/2015	Corporate Bonds	Buy	1,000,000	98.500	985,000.0
6/25/2015	Cancelled Trade	xxxxx0318	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	6/12/2015	7/2/2015	Corporate Bonds	Buy	1,000,000	101.400	1,014,000.0
6/25/2015	Cancelled Trade	YQ	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	6/12/2015	7/2/2015	Corporate Bonds	Sell	(1,000,000)	101.400	(1,014,000.0)
6/25/2015	Cancelled Trade	xxxxx0674	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	6/12/2015	7/2/2015	Corporate Bonds	Sell	(1,000,000)	95.500	(955,000.0)
6/25/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	6/12/2015	7/2/2015	Corporate Bonds	Buy	1,000,000	95.500	955,000.0

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
6/25/2015	Cancelled Trade	xxxxx7602	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	6/12/2015	7/2/2015	Corporate Bonds	Buy	1,000,000	98.300	983,000.0
6/25/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	6/12/2015	7/2/2015	Corporate Bonds	Sell	(1,000,000)	98.300	(983,000.0)
6/25/2015	Cancelled Trade	xxxxx0674	06741UJW5	BARCLAYS BANK PLC SER MTN FLOATING RATE BOOK ENTRY ONLY CALLABLE PAYS QUARTERLY	6/12/2015	7/2/2015	Corporate Bonds	Sell	(990,000)	87.000	(861,300.0)
6/25/2015	Cancelled Trade	YQ	06741UJW5	BARCLAYS BANK PLC SER MTN FLOATING RATE BOOK ENTRY ONLY CALLABLE PAYS QUARTERLY	6/12/2015	7/2/2015	Corporate Bonds	Buy	990,000	87.000	861,300.0
6/25/2015	Cancelled Trade	xxxxx0318	06741UJW5	BARCLAYS BANK PLC SER MTN FLOATING RATE BOOK ENTRY ONLY CALLABLE PAYS QUARTERLY	6/12/2015	7/2/2015	Corporate Bonds	Buy	990,000	89.600	887,040.0
6/25/2015	Cancelled Trade	YQ	06741UJW5	BARCLAYS BANK PLC SER MTN FLOATING RATE BOOK ENTRY ONLY CALLABLE PAYS QUARTERLY	6/12/2015	7/2/2015	Corporate Bonds	Sell	(990,000)	89.600	(887,040.0)
6/25/2015	Cancelled Trade	xxxxx0674	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	6/12/2015	7/2/2015	US Government Agencies	Sell	(1,292,000)	84.000	(1,085,280.0)
6/25/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	6/12/2015	7/2/2015	US Government Agencies	Buy	1,292,000	84.000	1,085,280.0
6/25/2015	Cancelled Trade	xxxxx0318	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	6/12/2015	7/2/2015	US Government Agencies	Buy	1,292,000	86.500	1,117,580.0
6/25/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	6/12/2015	7/2/2015	US Government Agencies	Sell	(1,292,000)	86.500	(1,117,580.0)
6/25/2015	Cancelled Trade	xxxxx0674	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	6/24/2015	7/6/2015	Corporate Bonds	Sell	(980,000)	105.000	(1,029,000.0)
6/25/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	6/24/2015	7/6/2015	Corporate Bonds	Buy	980,000	105.000	1,029,000.0

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
6/25/2015	Cancelled Trade	xxxxx0318	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	6/24/2015	7/6/2015	Corporate Bonds	Buy	980,000	108.000	1,058,400.0
6/25/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	6/24/2015	7/6/2015	Corporate Bonds	Sell	(980,000)	108.000	(1,058,400.0)
6/25/2015	Cancelled Trade	xxxxx0674	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	6/24/2015	7/6/2015	Corporate Bonds	Sell	(1,500,000)	106.000	(1,590,000.0)
6/25/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	6/24/2015	7/6/2015	Corporate Bonds	Buy	1,500,000	106.000	1,590,000.0
6/25/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	6/24/2015	7/6/2015	Corporate Bonds	Buy	1,500,000	109.000	1,635,000.0
6/25/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	6/24/2015	7/6/2015	Corporate Bonds	Sell	(1,500,000)	109.000	(1,635,000.0)
6/25/2015	Cancelled Trade	xxxxx0674	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	6/24/2015	7/6/2015	US Government Agencies	Sell	(1,292,000)	83.000	(1,072,360.0)
6/25/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	6/24/2015	7/6/2015	US Government Agencies	Buy	1,292,000	83.000	1,072,360.0
6/25/2015	Cancelled Trade	xxxxx0318	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	6/24/2015	7/6/2015	US Government Agencies	Buy	1,292,000	85.400	1,103,368.0

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
6/25/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	6/24/2015	7/6/2015	US Government Agencies	Sell	(1,292,000)	85.400	(1,103,368.0)
6/25/2015	Cancelled Trade	xxxxx7602	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	6/24/2015	7/6/2015	Corporate Bonds	Sell	(1,100,000)	88.000	(968,000.0)
6/25/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	6/24/2015	7/6/2015	Corporate Bonds	Buy	1,100,000	88.000	968,000.0
6/25/2015	Cancelled Trade	xxxxx9541	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	6/24/2015	7/6/2015	Corporate Bonds	Buy	1,100,000	90.500	995,500.0
6/25/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	6/24/2015	7/6/2015	Corporate Bonds	Sell	(1,100,000)	90.500	(995,500.0)
6/25/2015	Cancelled Trade	xxxxx0318	646065A44	NEW JERSEY ST EDL FACS AUTH RE REV BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 07/01/31	6/25/2015	6/30/2015	Municipal Bonds	Buy	450,000	112.500	506,250.0
6/25/2015	Cancelled Trade	YQ	646065A44	NEW JERSEY ST EDL FACS AUTH RE REV BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 07/01/31	6/25/2015	6/30/2015	Municipal Bonds	Sell	(450,000)	112.500	(506,250.0)
6/25/2015	Cancelled Trade	xxxxx0318	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	6/25/2015	7/2/2015	Corporate Bonds	Sell	(1,000,000)	105.000	(1,050,000.0)
6/25/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	6/25/2015	7/2/2015	Corporate Bonds	Buy	1,000,000	105.000	1,050,000.0
6/25/2015	Cancelled Trade	xxxxx7602	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	6/25/2015	7/2/2015	Corporate Bonds	Buy	1,000,000	107.750	1,077,500.0

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
6/25/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	6/25/2015	7/2/2015	Corporate Bonds	Sell	(1,000,000)	107.750	(1,077,500.0)
6/25/2015	Cancelled Trade	xxxxx0318	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	6/25/2015	7/2/2015	Corporate Bonds	Buy	1,500,000	108.000	1,620,000.0
6/25/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	6/25/2015	7/2/2015	Corporate Bonds	Sell	(1,500,000)	108.000	(1,620,000.0)
6/25/2015	Cancelled Trade	xxxxx7602	44420PAC8	HUDSON YARDS N Y INFRA CORP SR BOOK ENTRY ONLY	6/25/2015	7/2/2015	Municipal Bonds	Sell	(1,200,000)	102.000	(1,224,000.0)
6/25/2015	Cancelled Trade	YQ	44420PAC8	HUDSON YARDS N Y INFRA CORP SR BOOK ENTRY ONLY	6/25/2015	7/2/2015	Municipal Bonds	Buy	1,200,000	102.000	1,224,000.0
6/25/2015	Cancelled Trade	xxxxx0674	44420PAC8	HUDSON YARDS N Y INFRA CORP SR BOOK ENTRY ONLY	6/25/2015	7/2/2015	Municipal Bonds	Buy	1,200,000	105.000	1,260,000.0
6/25/2015	Cancelled Trade	YQ	44420PAC8	HUDSON YARDS N Y INFRA CORP SR BOOK ENTRY ONLY	6/25/2015	7/2/2015	Municipal Bonds	Sell	(1,200,000)	105.000	(1,260,000.0)
6/25/2015	Cancelled Trade	xxxxx0674	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	6/25/2015	7/2/2015	Corporate Bonds	Sell	(1,500,000)	105.000	(1,575,000.0)
6/25/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	6/25/2015	7/2/2015	Corporate Bonds	Buy	1,500,000	105.000	1,575,000.0
7/28/2015	Cancelled Trade	xxxxx7602	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	7/14/2015	8/4/2015	Corporate Bonds	Sell	(1,100,000)	88.500	(973,500.0)
7/28/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	7/14/2015	8/4/2015	Corporate Bonds	Buy	1,100,000	88.500	973,500.0
7/28/2015	Cancelled Trade	xxxxx9541	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	7/14/2015	8/4/2015	Corporate Bonds	Buy	1,100,000	91.000	1,001,000.0

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
7/28/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	7/14/2015	8/4/2015	Corporate Bonds	Sell	(1,100,000)	91.000	(1,001,000.0)
7/28/2015	Cancelled Trade	xxxxx0674	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	7/14/2015	8/4/2015	US Government Agencies	Sell	(1,292,000)	83.000	(1,072,360.0)
7/28/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	7/14/2015	8/4/2015	US Government Agencies	Buy	1,292,000	83.000	1,072,360.0
7/28/2015	Cancelled Trade	xxxxx0318	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	7/14/2015	8/4/2015	US Government Agencies	Buy	1,292,000	85.400	1,103,368.0
7/28/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	7/14/2015	8/4/2015	US Government Agencies	Sell	(1,292,000)	85.400	(1,103,368.0)
7/28/2015	Cancelled Trade	xxxxx0674	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	7/14/2015	8/4/2015	Corporate Bonds	Sell	(1,500,000)	105.000	(1,575,000.0)
7/28/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	7/14/2015	8/4/2015	Corporate Bonds	Buy	1,500,000	105.000	1,575,000.0
7/28/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	7/14/2015	8/4/2015	Corporate Bonds	Buy	1,500,000	108.000	1,620,000.0
7/28/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	7/14/2015	8/4/2015	Corporate Bonds	Sell	(1,500,000)	108.000	(1,620,000.0)

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
7/28/2015	Cancelled Trade	xxxxx0674	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	7/14/2015	8/4/2015	Corporate Bonds	Sell	(980,000)	105.000	(1,029,000.0)
7/28/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	7/14/2015	8/4/2015	Corporate Bonds	Buy	980,000	105.000	1,029,000.0
7/28/2015	Cancelled Trade	xxxxx0318	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	7/14/2015	8/4/2015	Corporate Bonds	Buy	980,000	108.000	1,058,400.0
7/28/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	7/14/2015	8/4/2015	Corporate Bonds	Sell	(980,000)	108.000	(1,058,400.0)
7/28/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	7/23/2015	8/3/2015	Corporate Bonds	Sell	(1,575,000)	105.000	(1,653,750.0)
7/28/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	7/23/2015	8/3/2015	Corporate Bonds	Buy	1,575,000	105.000	1,653,750.0
7/28/2015	Cancelled Trade	xxxxx0674	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	7/23/2015	8/3/2015	Corporate Bonds	Sell	(1,500,000)	105.000	(1,575,000.0)
7/28/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	7/23/2015	8/3/2015	Corporate Bonds	Buy	1,500,000	105.000	1,575,000.0
7/28/2015	Cancelled Trade	xxxxx7602	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	7/23/2015	8/3/2015	Corporate Bonds	Buy	1,500,000	108.000	1,620,000.0
7/28/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	7/23/2015	8/3/2015	Corporate Bonds	Sell	(1,500,000)	108.000	(1,620,000.0)

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
7/28/2015	Cancelled Trade	xxxxx0674	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	7/23/2015	8/3/2015	Corporate Bonds	Sell	(1,000,000)	107.000	(1,070,000.0)
7/28/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	7/23/2015	8/3/2015	Corporate Bonds	Buy	1,000,000	107.000	1,070,000.0
7/28/2015	Cancelled Trade	xxxxx0318	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	7/23/2015	8/3/2015	Corporate Bonds	Buy	1,000,000	110.000	1,100,000.0
7/28/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	7/23/2015	8/3/2015	Corporate Bonds	Sell	(1,000,000)	110.000	(1,100,000.0)
7/28/2015	Cancelled Trade	xxxxx0318	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	7/23/2015	8/3/2015	Corporate Bonds	Buy	1,575,000	108.000	1,701,000.0
7/28/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	7/23/2015	8/3/2015	Corporate Bonds	Sell	(1,575,000)	108.000	(1,701,000.0)
7/28/2015	Cancelled Trade	xxxxx0674	44420PAC8	HUDSON YARDS N Y INFRA CORP SR BOOK ENTRY ONLY	7/27/2015	8/7/2015	Municipal Bonds	Buy	1,200,000	105.000	1,260,000.0
7/28/2015	Cancelled Trade	YQ	44420PAC8	HUDSON YARDS N Y INFRA CORP SR BOOK ENTRY ONLY	7/27/2015	8/7/2015	Municipal Bonds	Sell	(1,200,000)	105.000	(1,260,000.0)
7/28/2015	Cancelled Trade	xxxxx7602	44420PAC8	HUDSON YARDS N Y INFRA CORP SR BOOK ENTRY ONLY	7/27/2015	8/7/2015	Municipal Bonds	Sell	(1,200,000)	102.000	(1,224,000.0)
7/28/2015	Cancelled Trade	YQ	44420PAC8	HUDSON YARDS N Y INFRA CORP SR BOOK ENTRY ONLY	7/27/2015	8/7/2015	Municipal Bonds	Buy	1,200,000	102.000	1,224,000.0
7/28/2015	Cancelled Trade	xxxxx0674	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	7/27/2015	8/7/2015	Corporate Bonds	Sell	(1,500,000)	105.000	(1,575,000.0)

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
7/28/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	7/27/2015	8/7/2015	Corporate Bonds	Buy	1,500,000	105.000	1,575,000.0
7/28/2015	Cancelled Trade	xxxxx0318	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	7/27/2015	8/7/2015	Corporate Bonds	Buy	1,500,000	108.000	1,620,000.0
7/28/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	7/27/2015	8/7/2015	Corporate Bonds	Sell	(1,500,000)	108.000	(1,620,000.0)
7/28/2015	Cancelled Trade	xxxxx7206	167736UE5	CHICAGO ILL WTR REV SEC LIEN WTR REV BDS 2006A CALLABLE BOOK ENTRY ONLY AMBAC INSURED	7/28/2015	7/31/2015	Municipal Bonds	Sell	(25,000)	99.750	(24,937.5)
7/28/2015	Cancelled Trade	YQ	167736UE5	CHICAGO ILL WTR REV SEC LIEN WTR REV BDS 2006A CALLABLE BOOK ENTRY ONLY AMBAC INSURED	7/28/2015	7/31/2015	Municipal Bonds	Buy	25,000	99.750	24,937.5
7/28/2015	Cancelled Trade	YQ	976657AH9	WISCONSIN ENERGY CORP SER A CALLABLE BOOK ENTRY ONLY FIX TO FLOAT BONDS VARIABLE CPN TYPE CALL @ MAKE WHOLE +25BP	7/28/2015	7/31/2015	Corporate Bonds	Sell	(38,000)	87.500	(33,250.0)
7/28/2015	Cancelled Trade	xxxxx0318	286650CH7	ELIZABETH CITY N C ST UNIV REV GEN REV BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 04/01/21	7/28/2015	8/3/2015	Municipal Bonds	Buy	425,000	122.000	518,500.0
7/28/2015	Cancelled Trade	YQ	286650CH7	ELIZABETH CITY N C ST UNIV REV GEN REV BDS 2010B CALLABLE BOOK ENTRY ONLY TAXABLE MSF BEG 04/01/21	7/28/2015	8/3/2015	Municipal Bonds	Sell	(425,000)	122.000	(518,500.0)
7/28/2015	Cancelled Trade	xxxxx0674	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	7/28/2015	8/11/2015	Corporate Bonds	Sell	(1,500,000)	105.000	(1,575,000.0)
7/28/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	7/28/2015	8/11/2015	Corporate Bonds	Buy	1,500,000	105.000	1,575,000.0

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
7/28/2015	Cancelled Trade	xxxxx0318	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	7/28/2015	8/11/2015	Corporate Bonds	Buy	1,500,000	108.000	1,620,000.0
7/28/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	7/28/2015	8/11/2015	Corporate Bonds	Sell	(1,500,000)	108.000	(1,620,000.0)
7/28/2015	Cancelled Trade	xxxxx0318	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	7/28/2015	8/11/2015	Corporate Bonds	Sell	(1,250,000)	104.000	(1,300,000.0)
7/28/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	7/28/2015	8/11/2015	Corporate Bonds	Buy	1,250,000	104.000	1,300,000.0
7/28/2015	Cancelled Trade	xxxxx7602	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	7/28/2015	8/11/2015	Corporate Bonds	Buy	1,250,000	107.000	1,337,500.0
7/28/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	7/28/2015	8/11/2015	Corporate Bonds	Sell	(1,250,000)	107.000	(1,337,500.0)
7/28/2015	Cancelled Trade	xxxxx0674	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	7/28/2015	8/11/2015	Corporate Bonds	Sell	(1,500,000)	107.000	(1,605,000.0)
7/28/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	7/28/2015	8/11/2015	Corporate Bonds	Buy	1,500,000	107.000	1,605,000.0
7/28/2015	Cancelled Trade	xxxxx0318	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	7/28/2015	8/11/2015	Corporate Bonds	Buy	1,500,000	110.000	1,650,000.0
7/28/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	7/28/2015	8/11/2015	Corporate Bonds	Sell	(1,500,000)	110.000	(1,650,000.0)

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
7/28/2015	Cancelled Trade	xxxxx0674	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	7/28/2015	8/11/2015	Corporate Bonds	Sell	(1,500,000)	105.000	(1,575,000.0)
7/28/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	7/28/2015	8/11/2015	Corporate Bonds	Buy	1,500,000	105.000	1,575,000.0
7/28/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	7/28/2015	8/11/2015	Corporate Bonds	Buy	1,500,000	108.000	1,620,000.0
7/28/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	7/28/2015	8/11/2015	Corporate Bonds	Sell	(1,500,000)	108.000	(1,620,000.0)
8/26/2015	Cancelled Trade	xxxxx0674	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	7/28/2015	8/28/2015	Corporate Bonds	Sell	(1,500,000)	105.000	(1,575,000.0)
8/26/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	7/28/2015	8/28/2015	Corporate Bonds	Buy	1,500,000	105.000	1,575,000.0
8/26/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	7/28/2015	8/28/2015	Corporate Bonds	Buy	1,500,000	108.000	1,620,000.0
8/26/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	7/28/2015	8/28/2015	Corporate Bonds	Sell	(1,500,000)	108.000	(1,620,000.0)

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
8/26/2015	Cancelled Trade	xxxxx0674	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	7/28/2015	8/28/2015	Corporate Bonds	Sell	(1,500,000)	105.000	(1,575,000.0)
8/26/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	7/28/2015	8/28/2015	Corporate Bonds	Buy	1,500,000	105.000	1,575,000.0
8/26/2015	Cancelled Trade	xxxxx0318	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	7/28/2015	8/28/2015	Corporate Bonds	Buy	1,500,000	108.000	1,620,000.0
8/26/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	7/28/2015	8/28/2015	Corporate Bonds	Sell	(1,500,000)	108.000	(1,620,000.0)
8/26/2015	Cancelled Trade	xxxxx0674	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	8/24/2015	9/4/2015	Corporate Bonds	Sell	(1,500,000)	105.000	(1,575,000.0)
8/26/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	8/24/2015	9/4/2015	Corporate Bonds	Buy	1,500,000	105.000	1,575,000.0
8/26/2015	Cancelled Trade	xxxxx0318	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	8/24/2015	9/4/2015	Corporate Bonds	Buy	1,500,000	108.000	1,620,000.0
8/26/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	8/24/2015	9/4/2015	Corporate Bonds	Sell	(1,500,000)	108.000	(1,620,000.0)
8/26/2015	Cancelled Trade	xxxxx0674	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	8/24/2015	9/4/2015	Corporate Bonds	Sell	(1,500,000)	105.000	(1,575,000.0)
8/26/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	8/24/2015	9/4/2015	Corporate Bonds	Buy	1,500,000	105.000	1,575,000.0

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
8/26/2015	Cancelled Trade	xxxxx0318	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	8/24/2015	9/4/2015	Corporate Bonds	Buy	1,500,000	108.000	1,620,000.0
8/26/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	8/24/2015	9/4/2015	Corporate Bonds	Sell	(1,500,000)	108.000	(1,620,000.0)
8/26/2015	Cancelled Trade	xxxxx7602	44420PAC8	HUDSON YARDS N Y INFRA CORP SR BOOK ENTRY ONLY	8/24/2015	9/4/2015	Municipal Bonds	Sell	(1,200,000)	102.000	(1,224,000.0)
8/26/2015	Cancelled Trade	YQ	44420PAC8	HUDSON YARDS N Y INFRA CORP SR BOOK ENTRY ONLY	8/24/2015	9/4/2015	Municipal Bonds	Buy	1,200,000	102.000	1,224,000.0
8/26/2015	Cancelled Trade	xxxxx0674	44420PAC8	HUDSON YARDS N Y INFRA CORP SR BOOK ENTRY ONLY	8/24/2015	9/4/2015	Municipal Bonds	Buy	1,200,000	105.000	1,260,000.0
8/26/2015	Cancelled Trade	YQ	44420PAC8	HUDSON YARDS N Y INFRA CORP SR BOOK ENTRY ONLY	8/24/2015	9/4/2015	Municipal Bonds	Sell	(1,200,000)	105.000	(1,260,000.0)
8/26/2015	Cancelled Trade	xxxxx7602	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	8/24/2015	9/4/2015	Corporate Bonds	Sell	(1,100,000)	83.000	(913,000.0)
8/26/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	8/24/2015	9/4/2015	Corporate Bonds	Buy	1,100,000	83.000	913,000.0
8/26/2015	Cancelled Trade	xxxxx9541	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	8/24/2015	9/4/2015	Corporate Bonds	Buy	1,100,000	85.400	939,400.0
8/26/2015	Cancelled Trade	YQ	534187AS8	LINCOLN NATIONAL CORP VAR RATE CALLABLE 5/17/16 @ 100 CPN RATE=7% TO 5/16 S/A (30/360), THEREAFTER 3MO US\$LIBOR +235.75BP	8/24/2015	9/4/2015	Corporate Bonds	Sell	(1,100,000)	85.400	(939,400.0)
8/26/2015	Cancelled Trade	xxxxx0674	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	8/24/2015	9/4/2015	Corporate Bonds	Sell	(980,000)	105.000	(1,029,000.0)
8/26/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	8/24/2015	9/4/2015	Corporate Bonds	Buy	980,000	105.000	1,029,000.0

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
8/26/2015	Cancelled Trade	xxxxx0318	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	8/24/2015	9/4/2015	Corporate Bonds	Buy	980,000	108.000	1,058,400.0
8/26/2015	Cancelled Trade	YQ	060505DT8	BANK OF AMERICA CORP VAR RATE CALLABLE 5/15/18 @ 100 CPN=8.125% TO 5/18 (S/A 30/360); 3MO US\$LIBOR +364BP (QTRLY ACT/360)	8/24/2015	9/4/2015	Corporate Bonds	Sell	(980,000)	108.000	(1,058,400.0)
8/26/2015	Cancelled Trade	xxxxx0674	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	8/24/2015	9/4/2015	Corporate Bonds	Sell	(1,500,000)	104.000	(1,560,000.0)
8/26/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	8/24/2015	9/4/2015	Corporate Bonds	Buy	1,500,000	104.000	1,560,000.0
8/26/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	8/24/2015	9/4/2015	Corporate Bonds	Buy	1,500,000	107.000	1,605,000.0
8/26/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	8/24/2015	9/4/2015	Corporate Bonds	Sell	(1,500,000)	107.000	(1,605,000.0)
8/26/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	8/25/2015	9/8/2015	Corporate Bonds	Sell	(1,575,000)	105.000	(1,653,750.0)
8/26/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	8/25/2015	9/8/2015	Corporate Bonds	Buy	1,575,000	105.000	1,653,750.0

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Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
8/26/2015	Cancelled Trade	xxxxx0318	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	8/25/2015	9/8/2015	Corporate Bonds	Buy	1,575,000	108.000	1,701,000.0
8/26/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	8/25/2015	9/8/2015	Corporate Bonds	Sell	(1,575,000)	108.000	(1,701,000.0)
8/26/2015	Cancelled Trade	xxxxx0674	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	8/25/2015	9/8/2015	Corporate Bonds	Sell	(1,500,000)	105.000	(1,575,000.0)
8/26/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	8/25/2015	9/8/2015	Corporate Bonds	Buy	1,500,000	105.000	1,575,000.0
8/26/2015	Cancelled Trade	xxxxx7602	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	8/25/2015	9/8/2015	Corporate Bonds	Buy	1,500,000	108.000	1,620,000.0
8/26/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	8/25/2015	9/8/2015	Corporate Bonds	Sell	(1,500,000)	108.000	(1,620,000.0)
8/26/2015	Cancelled Trade	xxxxx0674	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	8/25/2015	9/8/2015	Corporate Bonds	Sell	(1,000,000)	107.000	(1,070,000.0)
8/26/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	8/25/2015	9/8/2015	Corporate Bonds	Buy	1,000,000	107.000	1,070,000.0
8/26/2015	Cancelled Trade	xxxxx0318	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	8/25/2015	9/8/2015	Corporate Bonds	Buy	1,000,000	110.000	1,100,000.0
8/26/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	8/25/2015	9/8/2015	Corporate Bonds	Sell	(1,000,000)	110.000	(1,100,000.0)

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
8/26/2015	Cancelled Trade	xxxxx0674	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	8/25/2015	9/8/2015	US Government Agencies	Sell	(1,292,000)	83.000	(1,072,360.0)
8/26/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	8/25/2015	9/8/2015	US Government Agencies	Buy	1,292,000	83.000	1,072,360.0
8/26/2015	Cancelled Trade	xxxxx0318	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	8/25/2015	9/8/2015	US Government Agencies	Buy	1,292,000	85.400	1,103,368.0
8/26/2015	Cancelled Trade	YQ	45905UPV0	INTL BK RECON & DEVELOPMENT FLOATING RATE BOOK ENTRY ONLY CPN FIXED @ 10% FOR YR 1, THEN 9*(USISDA30-USISDA05-.50%	8/25/2015	9/8/2015	US Government Agencies	Sell	(1,292,000)	85.400	(1,103,368.0)
8/26/2015	Cancelled Trade	xxxxx0318	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	8/25/2015	9/8/2015	Corporate Bonds	Sell	(1,250,000)	104.000	(1,300,000.0)
8/26/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	8/25/2015	9/8/2015	Corporate Bonds	Buy	1,250,000	104.000	1,300,000.0
8/26/2015	Cancelled Trade	xxxxx7602	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	8/25/2015	9/8/2015	Corporate Bonds	Buy	1,250,000	107.000	1,337,500.0
8/26/2015	Cancelled Trade	YQ	060505DR2	BANK OF AMERICA CORP VARIABLE RATE FIX TO FLOAT BONDS CPN=8% TO 1/18 (S/A; 30/360); 3ML US\$LIBOR +363BP (QTLY; ACT/360) SERIES K	8/25/2015	9/8/2015	Corporate Bonds	Sell	(1,250,000)	107.000	(1,337,500.0)
8/26/2015	Cancelled Trade	xxxxx0318	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	8/26/2015	9/4/2015	Corporate Bonds	Sell	(1,500,000)	105.500	(1,582,500.0)
8/26/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	8/26/2015	9/4/2015	Corporate Bonds	Buy	1,500,000	105.500	1,582,500.0

SCHEDULE A TO COMPLAINT

Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
8/26/2015	Cancelled Trade	xxxxx9541	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	8/26/2015	9/4/2015	Corporate Bonds	Buy	1,500,000	108.500	1,627,500.0
8/26/2015	Cancelled Trade	YQ	949746PM7	WELLS FARGO & COMPANY VAR RATE BOOK ENTRY ONLY CALLABLE CALLABLE 03/15/18 @ 100 DIV=7.98% TO 3/18 (S/A 30/360) THEN 3MO	8/26/2015	9/4/2015	Corporate Bonds	Sell	(1,500,000)	108.500	(1,627,500.0)
8/26/2015	Cancelled Trade	xxxxx0318	369622SN6	GENERAL ELEC CAP CORP CALLABLE 6/15/22 @ 100 PERP/CALL BOOK ENTRY ONLY PAYS IN DIVIDENDS CPN=7.125% TO 6/15/22 (S/A 30/360) THEN	8/26/2015	9/4/2015	Corporate Bonds	Sell	(1,500,000)	114.000	(1,710,000.0)
8/26/2015	Cancelled Trade	YQ	369622SN6	GENERAL ELEC CAP CORP CALLABLE 6/15/22 @ 100 PERP/CALL BOOK ENTRY ONLY PAYS IN DIVIDENDS CPN=7.125% TO 6/15/22 (S/A 30/360) THEN	8/26/2015	9/4/2015	Corporate Bonds	Buy	1,500,000	114.000	1,710,000.0
8/26/2015	Cancelled Trade	xxxxx7602	369622SN6	GENERAL ELEC CAP CORP CALLABLE 6/15/22 @ 100 PERP/CALL BOOK ENTRY ONLY PAYS IN DIVIDENDS CPN=7.125% TO 6/15/22 (S/A 30/360) THEN	8/26/2015	9/4/2015	Corporate Bonds	Buy	1,500,000	117.000	1,755,000.0
8/26/2015	Cancelled Trade	YQ	369622SN6	GENERAL ELEC CAP CORP CALLABLE 6/15/22 @ 100 PERP/CALL BOOK ENTRY ONLY PAYS IN DIVIDENDS CPN=7.125% TO 6/15/22 (S/A 30/360) THEN	8/26/2015	9/4/2015	Corporate Bonds	Sell	(1,500,000)	117.000	(1,755,000.0)
8/26/2015	Cancelled Trade	xxxxx7602	279247BT6	ECTOR CNTY TEX HOSP DIST CALL @ MAKE WHOLE T +45BPS BUILD AMERICA BONDS-TAXABLE-MED CTR HOSP-SER B REV REF IMPT BDS 2010B	8/26/2015	9/1/2015	Municipal Bonds	Buy	300,000	108.000	324,000.0
8/26/2015	Cancelled Trade	YQ	279247BT6	ECTOR CNTY TEX HOSP DIST CALL @ MAKE WHOLE T +45BPS BUILD AMERICA BONDS-TAXABLE-MED CTR HOSP-SER B REV REF IMPT BDS 2010B	8/26/2015	9/1/2015	Municipal Bonds	Sell	(300,000)	108.000	(324,000.0)

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Included in TDEOM	Status	Account	CUSIP	SecurityDescription	TradeDate	SettleDate	ProductType	Trade Action	Quantity	Price	Principal
8/26/2015	Cancelled Trade	xxxxx9541	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	8/26/2015	9/4/2015	Corporate Bonds	Sell	(1,500,000)	104.000	(1,560,000.0)
8/26/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	8/26/2015	9/4/2015	Corporate Bonds	Buy	1,500,000	104.000	1,560,000.0
8/26/2015	Cancelled Trade	xxxxx7602	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	8/26/2015	9/4/2015	Corporate Bonds	Buy	1,500,000	107.000	1,605,000.0
8/26/2015	Cancelled Trade	YQ	46625HHA1	JPMORGAN CHASE & CO VARIABLE PERP/CALLABLE 04/30/18 @ 100 CPN=7.9% TO 4/30/2018 (S/A,30/360), THEN 3MO US\$LIBOR+347BP (QTLY,ACT/360) DEP	8/26/2015	9/4/2015	Corporate Bonds	Sell	(1,500,000)	107.000	(1,605,000.0)
8/26/2015	Cancelled Trade	xxxxx9541	92931BAC0	INTEGRY'S ENERGY GROUP BOOK ENTRY CALLABLE CPN RATE=6.11% TO 12/1/16	8/26/2015	9/4/2015	Corporate Bonds	Sell	(1,500,000)	84.000	(1,260,000.0)
8/26/2015	Cancelled Trade	YQ	92931BAC0	INTEGRY'S ENERGY GROUP BOOK ENTRY CALLABLE CPN RATE=6.11% TO 12/1/16	8/26/2015	9/4/2015	Corporate Bonds	Buy	1,500,000	84.000	1,260,000.0
8/26/2015	Cancelled Trade	xxxxx7602	92931BAC0	INTEGRY'S ENERGY GROUP BOOK ENTRY CALLABLE CPN RATE=6.11% TO 12/1/16	8/26/2015	9/4/2015	Corporate Bonds	Buy	1,500,000	86.400	1,296,000.0
8/26/2015	Cancelled Trade	YQ	92931BAC0	INTEGRY'S ENERGY GROUP BOOK ENTRY CALLABLE CPN RATE=6.11% TO 12/1/16	8/26/2015	9/4/2015	Corporate Bonds	Sell	(1,500,000)	86.400	(1,296,000.0)