

Interactive Brokers LLC, Two Pickwick Plaza, Greenwich, CT 06830

## Account Information

Name: Goodyer Superannuation Fund  
 Account Alias: Superannuation Fund  
 Account: U953066  
 Investment Advisor: Derek C Goodyer  
 Account Type: Advisor Client  
 Customer Type: Trust  
 Account Capabilities: Cash  
 Base Currency: AUD

## Net Asset Value

|                                     | June 29, 2018     |             | June 28, 2019     |             | Change           | Total             | Change in NAV               | Total      |                |                |          |
|-------------------------------------|-------------------|-------------|-------------------|-------------|------------------|-------------------|-----------------------------|------------|----------------|----------------|----------|
|                                     | Total             | Short       | Long              | Short       |                  |                   |                             |            | Starting Value | Mark-to-Market | Interest |
| Cash                                | 380,913.80        | 0.00        | 429,943.99        | 0.00        | 49,030.19        | 429,943.99        | Starting Value              | 430,117.45 |                |                |          |
| Stock                               | 48,829.72         | 0.00        | 18,832.12         | 0.00        | -29,997.60       | 18,832.12         | Mark-to-Market              | 13,006.51  |                |                |          |
| Interest Accruals                   | 373.93            | 0.00        | 458.16            | 0.00        | 84.23            | 458.16            | Interest                    | 6,159.53   |                |                |          |
| <b>Total</b>                        | <b>430,117.45</b> | <b>0.00</b> | <b>449,234.27</b> | <b>0.00</b> | <b>19,116.82</b> | <b>449,234.27</b> | Change in Interest Accruals | 83.24      |                |                |          |
| <b>Time Weighted Rate of Return</b> |                   |             |                   |             | <b>4.44%</b>     |                   | Other Fees                  | -130.00    |                |                |          |
|                                     |                   |             |                   |             |                  |                   | Commissions                 | -3.46      |                |                |          |
|                                     |                   |             |                   |             |                  |                   | Other FX Translations       | 0.99       |                |                |          |
|                                     |                   |             |                   |             |                  |                   | Ending Value                | 449,234.27 |                |                |          |

## Mark-to-Market Performance Summary

| Symbol       | Quantity |         | Price    |          | Mark-to-Market P/L |             |             | Total       | Code          |
|--------------|----------|---------|----------|----------|--------------------|-------------|-------------|-------------|---------------|
|              | Prior    | Current | Prior    | Current  | Position           | Transaction | Commissions |             |               |
| Warrants     |          |         |          |          |                    |             |             |             |               |
| MYLO         | 1,816    | 1,816   | 0.0530   | 0.0280   | -45.40             | 0.00        | 0.00        | 0.00        | -45.40        |
| <b>Total</b> |          |         |          |          | <b>-45.40</b>      | <b>0.00</b> | <b>0.00</b> | <b>0.00</b> | <b>-45.40</b> |
| Stocks       |          |         |          |          |                    |             |             |             |               |
| IMM          | 312,658  | 312,658 | 0.0310   | 0.0250   | -1,875.95          | 0.00        | 0.00        | 0.00        | -1,875.95     |
| MAY          | 975,000  | 975,000 | 0.0120   | 0.0110   | -975.00            | 0.00        | 0.00        | 0.00        | -975.00       |
| MAYXE        | 108,333  | 108,333 | 0.000001 | 0.000001 | 0.00               | 0.00        | 0.00        | 0.00        | 0.00          |
| MED          | 3,631    | 3,631   | 0.0070   | 0.0060   | -3.63              | 0.00        | 0.00        | 0.00        | -3.63         |
| MYL          | 3,632    | 3,632   | 0.0720   | 0.0600   | -43.22             | 0.00        | 0.00        | 0.00        | -43.22        |

### Mark-to-Market Performance Summary

| Symbol                                | Quantity   |            | Price   |         | Current | Position         | Mark-to-Market P/L |              |             | Code             |
|---------------------------------------|------------|------------|---------|---------|---------|------------------|--------------------|--------------|-------------|------------------|
|                                       | Prior      | Current    | Prior   | Current |         |                  | Transaction        | Commissions  | Other       |                  |
| MYL.RTS                               | 0          | 0          | --      | --      | --      | -0.36            | 0.00               | 0.00         | 0.00        | -0.36            |
| SPXL                                  | 450        | 0          | 44,5400 | --      | --      | 1,111.24         | -205.89            | -3.46        | 0.00        | 901.89           |
| <b>Total</b>                          |            |            |         |         |         | <b>-1,786.92</b> | <b>-205.89</b>     | <b>-3.46</b> | <b>0.00</b> | <b>-1,996.27</b> |
| <b>Forex</b>                          |            |            |         |         |         |                  |                    |              |             |                  |
| AUD                                   | 137,561.14 | 139,023.58 | 1.0000  | 1.0000  | 1.0000  | 0.00             | 0.00               | 0.00         | 0.00        | 0.00             |
| USD                                   | 180,287.95 | 204,269.35 | 1.3498  | 1.4242  | 1.4242  | 15,044.72        | 0.00               | 0.00         | 0.00        | 15,044.72        |
| <b>Total</b>                          |            |            |         |         |         | <b>15,044.72</b> | <b>0.00</b>        | <b>0.00</b>  | <b>0.00</b> | <b>15,044.72</b> |
| <b>Total (All Assets)</b>             |            |            |         |         |         | <b>13,212.40</b> | <b>-205.89</b>     | <b>-3.46</b> | <b>0.00</b> | <b>13,003.05</b> |
| Broker Interest Paid and Received     |            |            |         |         |         |                  |                    |              |             | 6,159.53         |
| Other Fees                            |            |            |         |         |         |                  |                    |              |             | -130.00          |
| <b>Total P/L for Statement Period</b> |            |            |         |         |         |                  |                    |              |             | <b>19,032.58</b> |

### Realized & Unrealized Performance Summary

| Symbol                    | Cost Adj.   | Realized    |              |              | Unrealized  |                   |               | Code              |
|---------------------------|-------------|-------------|--------------|--------------|-------------|-------------------|---------------|-------------------|
|                           |             | S/T Profit  | S/T Loss     | L/T Profit   | S/T Profit  | S/T Loss          | L/T Profit    |                   |
| <b>Warrants</b>           |             |             |              |              |             |                   |               |                   |
| MYLO                      | 0.00        | 0.00        | 0.00         | 0.00         | 0.00        | -6.66             | -6.66         | -6.66             |
| <b>Total</b>              | <b>0.00</b> | <b>0.00</b> | <b>0.00</b>  | <b>0.00</b>  | <b>0.00</b> | <b>-6.66</b>      | <b>-6.66</b>  | <b>-6.66</b>      |
| <b>Stocks</b>             |             |             |              |              |             |                   |               |                   |
| IMM                       | 0.00        | 0.00        | 0.00         | 0.00         | 0.00        | -12,379.33        | -12,379.33    | -12,379.33        |
| MAY                       | 0.00        | 0.00        | 0.00         | 0.00         | 0.00        | -14,418.18        | -14,093.06    | -14,093.06        |
| MAYXE                     | 0.00        | 0.00        | 0.00         | 0.00         | 0.00        | -0.01             | -0.01         | -0.01             |
| MED                       | 0.00        | 0.00        | 0.00         | 0.00         | 0.00        | -2,374.67         | -2,374.67     | -2,374.67         |
| MYL                       | 0.00        | 0.00        | 0.00         | 0.00         | 0.00        | -69.61            | -69.61        | -69.61            |
| MYL.RTS                   | 0.00        | 0.00        | 0.00         | 0.00         | 0.00        | 0.00              | 0.00          | 0.00              |
| SPXL                      | 0.00        | 0.45        | -0.89        | 0.00         | 0.00        | 0.00              | 0.00          | -0.43             |
| <b>Total</b>              | <b>0.00</b> | <b>0.46</b> | <b>-0.89</b> | <b>-0.43</b> | <b>0.00</b> | <b>-29,241.81</b> | <b>325.12</b> | <b>-28,917.12</b> |
| <b>Forex</b>              |             |             |              |              |             |                   |               |                   |
| USD                       | 0.00        | 0.00        | 0.00         | 0.00         | 0.00        | 0.00              | 0.00          | 0.00              |
| <b>Total</b>              | <b>0.00</b> | <b>0.00</b> | <b>0.00</b>  | <b>0.00</b>  | <b>0.00</b> | <b>-3.35</b>      | <b>0.00</b>   | <b>9,546.63</b>   |
| <b>Total (All Assets)</b> | <b>0.00</b> | <b>0.46</b> | <b>-0.89</b> | <b>-0.43</b> | <b>0.00</b> | <b>-3.35</b>      | <b>325.12</b> | <b>-19,376.71</b> |

### Cash Report

| Base Currency Summary             |            | Futures    |         |
|-----------------------------------|------------|------------|---------|
| Total                             | Securities | Total      | Futures |
| Starting Cash                     | 380,913.80 | 380,913.80 | 0.00    |
| Commissions                       | -3.46      | -3.46      | 0.00    |
| Broker Interest Paid and Received | 6,159.53   | 6,159.53   | 0.00    |
| Net Trades (Sales)                | 27,874.16  | 27,874.16  | 0.00    |
| Other Fees                        | -130.00    | -130.00    | 0.00    |
| Cash FX Translation Gain/Loss     | 15,129.95  | 15,129.95  | 0.00    |

## Cash Report

|                                   | Total      | Securities | Futures |
|-----------------------------------|------------|------------|---------|
| Ending Cash                       | 429,943.99 | 429,943.99 | 0.00    |
| Ending Settled Cash               | 429,943.99 | 429,943.99 | 0.00    |
| <b>AUD</b>                        |            |            |         |
| Starting Cash                     | 137,561.14 | 137,561.14 | 0.00    |
| Broker Interest Paid and Received | 1,592.44   | 1,592.44   | 0.00    |
| Net Trades (Sales)                | 0.00       | 0.00       | 0.00    |
| Other Fees                        | -130.00    | -130.00    | 0.00    |
| Ending Cash                       | 139,023.58 | 139,023.58 | 0.00    |
| Ending Settled Cash               | 139,023.58 | 139,023.58 | 0.00    |
| <b>USD</b>                        |            |            |         |
| Starting Cash                     | 180,287.95 | 180,287.95 | 0.00    |
| Commissions                       | -2.57      | -2.57      | 0.00    |
| Broker Interest Paid and Received | 3,270.48   | 3,270.48   | 0.00    |
| Net Trades (Sales)                | 20,713.50  | 20,713.50  | 0.00    |
| Ending Cash                       | 204,269.35 | 204,269.35 | 0.00    |
| Ending Settled Cash               | 204,269.35 | 204,269.35 | 0.00    |

## Open Positions

| Symbol          | Quantity | Mult | Cost Price | Cost Basis       | Close Price | Value            | Unrealized P/L    | Code |
|-----------------|----------|------|------------|------------------|-------------|------------------|-------------------|------|
| <b>Warrants</b> |          |      |            |                  |             |                  |                   |      |
| <b>AUD</b>      |          |      |            |                  |             |                  |                   |      |
| MYLO            | 1,816    | 1    | 0.0316667  | 57.51            | 0.0280      | 50.85            | -6.66             |      |
| <b>Total</b>    |          |      |            | <b>57.51</b>     |             | <b>50.85</b>     | <b>-6.66</b>      |      |
| <b>Stocks</b>   |          |      |            |                  |             |                  |                   |      |
| <b>AUD</b>      |          |      |            |                  |             |                  |                   |      |
| IMM             | 312,658  | 1    | 0.0645938  | 20,195.78        | 0.0250      | 7,816.45         | -12,379.33        |      |
| MAY             | 975,000  | 1    | 0.0254544  | 24,818.06        | 0.0110      | 10,725.00        | -14,093.06        |      |
| MAYXE           | 108,333  | 1    | 0.0000011  | 0.12             | 0.000001    | 0.11             | -0.01             |      |
| MED             | 3,631    | 1    | 0.6600     | 2,396.46         | 0.0060      | 21.79            | -2,374.67         |      |
| MYL             | 3,632    | 1    | 0.0791667  | 287.53           | 0.0600      | 217.92           | -69.61            |      |
| <b>Total</b>    |          |      |            | <b>47,697.96</b> |             | <b>18,781.27</b> | <b>-28,916.69</b> |      |

## Forex Balances

| Description  | Quantity   | Cost Price | Cost Basis in AUD  | Close Price | Value in AUD      | Unrealized P/L in AUD | Code |
|--------------|------------|------------|--------------------|-------------|-------------------|-----------------------|------|
| <b>Forex</b> |            |            |                    |             |                   |                       |      |
| <b>AUD</b>   |            |            |                    |             |                   |                       |      |
| AUD          | 139,023.58 | 1.0000     | -139,023.58        | 1.0000      | 139,023.58        | 0.00                  |      |
| USD          | 204,269.35 | 1.3774645  | -281,373.78        | 1.4242      | 290,920.41        | 9,546.63              |      |
| <b>Total</b> |            |            | <b>-420,397.36</b> |             | <b>429,943.99</b> | <b>9,546.63</b>       |      |

## Trades

| Symbol               | Date/Time               | Quantity       | T. Price | C. Price | Proceeds         | Comm/Fee     | Basis             | Realized P/L | MTM P/L        | Code |
|----------------------|-------------------------|----------------|----------|----------|------------------|--------------|-------------------|--------------|----------------|------|
| Stocks               |                         |                |          |          |                  |              |                   |              |                |      |
| AUD                  |                         |                |          |          |                  |              |                   |              |                |      |
| MYL.RTS              | 2019-05-24,<br>20:25:00 | -0.5556        | 0.0045   | 0.0009   | 0.00             | 0.00         | 0.00              | 0.00         | 0.00           | C    |
| <b>Total MYL.RTS</b> |                         | <b>-0.5556</b> |          |          | <b>0.00</b>      | <b>0.00</b>  | <b>0.00</b>       | <b>0.00</b>  | <b>0.00</b>    |      |
| Total                |                         |                |          |          |                  |              |                   |              |                |      |
| USD                  |                         |                |          |          |                  |              |                   |              |                |      |
| SPXL                 | 2018-07-06,<br>11:07:24 | -450           | 46.0300  | 46.3700  | 20,713.50        | -2.57        | -20,711.25        | -0.32        | -153.00        | C;P  |
| <b>Total SPXL</b>    |                         | <b>-450</b>    |          |          | <b>20,713.50</b> | <b>-2.57</b> | <b>-20,711.25</b> | <b>-0.32</b> | <b>-153.00</b> |      |
| Total                |                         |                |          |          |                  |              |                   |              |                |      |
| Total in AUD         |                         |                |          |          | <b>20,713.50</b> | <b>-2.57</b> | <b>-20,711.25</b> | <b>-0.32</b> | <b>-153.00</b> |      |
|                      |                         |                |          |          | <b>27,874.16</b> | <b>-3.46</b> | <b>-27,871.13</b> | <b>-0.43</b> | <b>-205.89</b> |      |

## Corporate Actions

| Report Date  | Date/Time            | Description                                                                                             | Quantity    | Value       | Proceeds    | Realized P/L | Code |
|--------------|----------------------|---------------------------------------------------------------------------------------------------------|-------------|-------------|-------------|--------------|------|
| Stocks       |                      |                                                                                                         |             |             |             |              |      |
| AUD          |                      |                                                                                                         |             |             |             |              |      |
| 2019-05-27   | 2019-05-24, 20:25:00 | MYL(AU000000MYL5) Subscribable Rights Issue 1 for 9 (MYL.RTS, MYANMAR METALS LTD - RIGHTS, QS0002121X1) | 403.5556    | 0.00        | 0.00        | 0.00         |      |
| 2019-06-28   | 2019-06-17, 20:25:00 | (QS0002121X1) Delisted (MYL.RTS, MYANMAR METALS LTD - RIGHTS, QS0002121X1)                              | -403        | 0.00        | 0.00        | 0.00         |      |
| <b>Total</b> |                      |                                                                                                         | <b>0.00</b> | <b>0.00</b> | <b>0.00</b> | <b>0.00</b>  |      |

## Interest

| Date                         | Description                      | Amount          |
|------------------------------|----------------------------------|-----------------|
| AUD                          |                                  | 373.93          |
| 2018-07-05                   | AUD Credit Interest for Jun-2018 | 146.15          |
| 2018-08-03                   | AUD Credit Interest for Jul-2018 | 163.58          |
| 2018-09-06                   | AUD Credit Interest for Aug-2018 | 129.40          |
| 2018-10-03                   | AUD Credit Interest for Sep-2018 | 148.74          |
| 2018-11-05                   | AUD Credit Interest for Oct-2018 | 140.67          |
| 2018-12-05                   | AUD Credit Interest for Nov-2018 | 118.11          |
| 2019-01-04                   | AUD Credit Interest for Dec-2018 | 128.35          |
| 2019-02-05                   | AUD Credit Interest for Jan-2019 | 142.46          |
| 2019-03-05                   | AUD Credit Interest for Feb-2019 | 130.67          |
| 2019-04-03                   | AUD Credit Interest for Mar-2019 | 121.99          |
| 2019-05-03                   | AUD Credit Interest for Apr-2019 | 118.49          |
| 2019-06-05                   | AUD Credit Interest for May-2019 | 103.83          |
| <b>Total</b>                 |                                  | <b>1,592.44</b> |
| <b>USD</b>                   |                                  |                 |
| 2018-07-05                   | USD Credit Interest for Jun-2018 | 192.12          |
| 2018-08-03                   | USD Credit Interest for Jul-2018 | 224.86          |
| 2018-09-06                   | USD Credit Interest for Aug-2018 | 233.23          |
| 2018-10-03                   | USD Credit Interest for Sep-2018 | 232.27          |
| 2018-11-05                   | USD Credit Interest for Oct-2018 | 278.78          |
| 2018-12-05                   | USD Credit Interest for Nov-2018 | 271.71          |
| 2019-01-04                   | USD Credit Interest for Dec-2018 | 293.96          |
| 2019-02-05                   | USD Credit Interest for Jan-2019 | 315.24          |
| 2019-03-05                   | USD Credit Interest for Feb-2019 | 285.24          |
| 2019-04-03                   | USD Credit Interest for Mar-2019 | 317.06          |
| 2019-05-03                   | USD Credit Interest for Apr-2019 | 310.21          |
| 2019-06-05                   | USD Credit Interest for May-2019 | 315.80          |
| <b>Total</b>                 |                                  | <b>3,270.48</b> |
| <b>Total in AUD</b>          |                                  | <b>4,567.09</b> |
| <b>Total Interest in AUD</b> |                                  | <b>6,159.53</b> |

## Interest Accruals

| Base Currency Summary         |  | Amount    |
|-------------------------------|--|-----------|
| Starting Accrual Balance      |  | 373.93    |
| Interest Accrued              |  | 6,242.78  |
| Accrual Reversal              |  | -6,159.53 |
| FX Translation                |  | 0.99      |
| Ending Accrual Balance        |  | 458.16    |
| <b>AUD</b>                    |  |           |
| Starting Accrual Balance      |  | 132.61    |
| Interest Accrued              |  | 1,528.90  |
| Accrual Reversal              |  | -1,592.44 |
| Ending Accrual Balance        |  | 69.07     |
| <b>USD</b>                    |  |           |
| Starting Accrual Balance      |  | 178.78    |
| Interest Accrued              |  | 3,364.90  |
| Accrual Reversal              |  | -3,270.48 |
| Ending Accrual Balance        |  | 273.20    |
| Ending Accrual Balance in AUD |  | 389.09    |

## Fees

| Date              | Description                              | Amount         |
|-------------------|------------------------------------------|----------------|
| <b>Other Fees</b> |                                          |                |
| AUD               |                                          |                |
| 2019-05-03        | ANNUAL LEI REGISTRATION FEE FOR MAY 2019 | -130.00        |
| <b>Total</b>      |                                          | <b>-130.00</b> |

## Financial Instrument Information

| Symbol   | Description                 | Conid     | Security ID   | Multiplier | Expiry     | Strike | Code |
|----------|-----------------------------|-----------|---------------|------------|------------|--------|------|
| Warrants |                             |           |               |            |            |        |      |
| MYLO     | MYL 31DEC19 0.03 C          | 287948317 | AU000000MYLO1 | 1          | 2019-12-31 | 0.03   |      |
| Symbol   | Description                 | Conid     | Security ID   | Multiplier | Type       |        | Code |
| Stocks   |                             |           |               |            |            |        |      |
| IMM      | IMMUTEP LTD                 | 298064707 | AU000000IMM6  | 1          | COMMON     |        |      |
| MAY      | MELBANA ENERGY LTD          | 4109707   | AU000000MAY8  | 1          | COMMON     |        |      |
| MAYXE    | MELBANE ENERGY OPT          | 288650047 | QS0003261060  | 1          | COMMON     |        |      |
| MED      | MERLIN DIAMONDS LTD         | 118651079 | AU000000MED4  | 1          | COMMON     |        |      |
| MYL      | MYANMAR METALS LTD          | 287341155 | AU000000MYL5  | 1          | COMMON     |        |      |
| MYLRTS   | MYANMAR METALS LTD - RIGHTS | 368113211 | QS00021211X1  | 1          | RIGHT      |        |      |

## Financial Instrument Information

SPXL DIREXION DAILY S&P 500 BULL 55679428 1 ETF

### Codes

| Code | Meaning                                                                                                                               | Code (Cont.) | Meaning (Cont.)                                                                                                                                                             |
|------|---------------------------------------------------------------------------------------------------------------------------------------|--------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| A    | Assignment                                                                                                                            | LI           | Last In, First Out (LIFO) tax basis election                                                                                                                                |
| AEx  | Automatic exercise for dividend-related recommendation.                                                                               | LT           | Long Term P/L                                                                                                                                                               |
| Adj  | Adjustment                                                                                                                            | Lo           | Direct Loan                                                                                                                                                                 |
| Al   | Allocation                                                                                                                            | M            | Entered manually by IB                                                                                                                                                      |
| Aw   | Away Trade                                                                                                                            | MEx          | Manual exercise for dividend-related recommendation.                                                                                                                        |
| B    | Automatic Buy-in                                                                                                                      | ML           | Maximize Losses tax basis election                                                                                                                                          |
| Bo   | Direct Borrow                                                                                                                         | MLG          | Maximize Long Term Gain tax basis election                                                                                                                                  |
| C    | Closing Trade                                                                                                                         | MLL          | Maximize Long Term Loss tax basis election                                                                                                                                  |
| CD   | Cash Delivery                                                                                                                         | MSG          | Maximize Short Term Gain tax basis election                                                                                                                                 |
| CP   | Complex Position                                                                                                                      | MSL          | Maximize Short Term Loss tax basis election                                                                                                                                 |
| Ca   | Cancelled                                                                                                                             | O            | Opening Trade                                                                                                                                                               |
| Co   | Corrected Trade                                                                                                                       | P            | Partial Execution                                                                                                                                                           |
| Cx   | Part or all of this transaction was a Crossing executed as dual agent by IB for two IB customers                                      | PI           | Price Improvement                                                                                                                                                           |
| ETF  | ETF Creation/Redemption                                                                                                               | Po           | Interest or Dividend Accrual Posting                                                                                                                                        |
| Ep   | Resulted from an Expired Position                                                                                                     | Pr           | Part or all of this transaction was executed by the Exchange as a Crossing by IB against an IB affiliate and is therefore classified as a Principal and not an agency trade |
| Ex   | Exercise                                                                                                                              | R            | Dividend Reinvestment                                                                                                                                                       |
| G    | Trade in Guaranteed Account Segment                                                                                                   | RED          | Redemption to Investor                                                                                                                                                      |
| HC   | Highest Cost tax basis election                                                                                                       | Re           | Interest or Dividend Accrual Reversal                                                                                                                                       |
| HFI  | Investment Transferred to Hedge Fund                                                                                                  | Ri           | Reimbursement                                                                                                                                                               |
| HFR  | Redemption from Hedge Fund                                                                                                            | SI           | This order was solicited by Interactive Brokers                                                                                                                             |
| I    | Internal Transfer                                                                                                                     | SL           | Specific Lot tax basis election                                                                                                                                             |
| IA   | This transaction was executed against an IB affiliate                                                                                 | SO           | This order was marked as solicited by your Introducing Broker                                                                                                               |
| INV  | Investment Transfer from Investor                                                                                                     | SS           | Customer designated this trade for shortened settlement and so is subject to execution at prices above the prevailing market                                                |
| IPO  | This transaction was executed as part of an IPO in which IB was a member of the selling group and is classified as a Principal trade. | ST           | Short Term P/L                                                                                                                                                              |
| L    | Ordered by IB (Margin Violation)                                                                                                      | T            | Transfer                                                                                                                                                                    |
| LD   | Adjusted by Loss Disallowed from Wash Sale                                                                                            |              |                                                                                                                                                                             |

### Notes/Legal Notes

#### Notes

1. Most stock exchange transactions settle on the trade date plus two business days. Options, futures and US open-end mutual fund transactions settle on trade date plus one business day. (Some exchanges and other transaction types may have longer or shorter settlement periods.) Ending settled cash reflects the cash that has actually settled.
2. Initial and maintenance margin requirements are available within the Account Window of the Trader Workstation.
3. Interactive Brokers LLC receives compensation from fund companies in connection with the purchase and holding of fund shares by customers of Interactive Brokers LLC. Such compensation includes, but is not limited to, Rule 12b-1 fees that are paid out of the funds assets. The source and amount of any remuneration received by Interactive Brokers LLC in connection with a transaction will be furnished upon written request of the customer. IB may share a portion of the compensation received from fund companies with your financial advisor or introducing broker.
4. Quantities preceded by a "-" sign indicate sell transactions. Other transactions are purchases.
5. In case of partial executions, commissions are charged on the total quantity executed on the original order. The commission is displayed on the first partial execution only.
6. Each closed lot indicated above with a reference to note (6) was chosen by the end of the trading day to be sold versus the specific opening purchase identified in that row.

## Notes/Legal Notes

- Trade execution times are displayed in Eastern Time.
- Applicable commodity Regulatory Fees for your transactions are available on the IB website at [www.interactivebrokers.com/en/accounts/fees/exchangeAndRegulatoryFees.php](http://www.interactivebrokers.com/en/accounts/fees/exchangeAndRegulatoryFees.php).
- Borrow Fee Rate** represents the cost to borrow stock expressed in percent per annum. It is applied to the cash collateral amount on the stock borrow contract and is separate from any interest earned on credit cash balances. Similarly, **Loan Fee Rate** represents the benefit to lend stock. A positive rate indicates a cost to the borrower/benefit to the lender and a negative rate indicates a benefit to the borrower/cost to the lender. In general, the fee rates for hard-to-borrow stocks are higher than for normal availability stocks.
- Interest Rate on Customer Collateral represents the interest paid on the collateral posted to the customer's account and received from lending stock. A positive rate indicates a benefit to the lender.
- The closing prices on this Activity Statement are indicative and may come from third-party sources. Interactive Brokers does not warrant the accuracy of the prices provided by third-party sources. Due to time zone differences, certain non-US mutual funds may deliver closing prices after the Activity Statement has been produced and the closing prices for such funds will reflect the previous day's price.
- For clients whose accounts are being managed by an advisor, trades shown may be part of a larger trade that was allocated across multiple client accounts, based on an allocation algorithm specified by the advisor prior to execution of the trade. Times shown are times that trades were allowed to your account. Execution time on the relevant market center is available upon your request.
- If you specified that your advisor is to receive a per-trade advisory fee, please note that the figures in the "Commiss" column in the transaction listings are gross amounts that include both IB's brokerage commission for the trade as well as the advisor's per-trade fee. IB receives its standard published brokerage commissions on your trades (see [www.interactivebrokers.com](http://www.interactivebrokers.com)). To determine the advisor's per-trade fee for any trade, subtract IB's standard commission from the amount shown.

### Fixed Income Notes

- Call features for bonds or preferred stocks may affect the yield. For zero coupon, compound interest and multiplier securities, there are no periodic payments and securities may be callable below maturity value without notice to holder unless registered. For asset-backed securities, the actual yield may vary depending on the speed at which the underlying note is pre-paid. For additional information regarding bond yield, please contact the IB Help Desk at: [help@interactivebrokers.com](mailto:help@interactivebrokers.com). If this debt security is unrated by a nationally recognized statistical rating organization, it may pose a high risk of default. You should consult a financial advisor to determine whether unrated bonds are appropriate for your portfolio in light of your goals and your financial circumstances. Fees charged by bond trading centers are included in the cost of bond transactions.

### Legal Notes

- Please promptly report any inaccuracy or discrepancy in this statement, or in your account. Contact the IB Customer Service Department in writing using the form available on the IB website. You may also contact IB by phone, but if you report an error by phone, you should re-confirm such oral communication in writing in order to protect your rights, including rights under the Securities Investor Protection Act (SIPA).**  
Interactive Brokers LLC, [www.interactivebrokers.com](http://www.interactivebrokers.com), 1-877-442-2757 (U.S.), +612 8093 7300 (Aust.)  
Interactive Brokers (UK) (Ltd), [www.interactivebrokers.co.uk](http://www.interactivebrokers.co.uk), 00800-42-276537 (Intl)  
Interactive Brokers Canada Inc., [www.interactivebrokers.ca](http://www.interactivebrokers.ca), 877-745-4222 (Can.)
- Unless otherwise noted, Interactive Brokers acted as agent in the execution of the above transactions. For those exchanges where IB is not a direct clearing member or custodian, IB may use one of the following clearing agents or sub-custodians: Interactive Brokers Australia Pty Limited; Interactive Brokers Canada Inc.; Interactive Brokers Hong Kong Limited; Interactive Brokers Securities Japan, Inc.; Interactive Brokers (U.K.) Limited; IBKR Financial Services AG; ABN AMRO Clearing Singapore Pte. Ltd.; BBVA Bancomer, S.A.; BNP Securities Services, Milan Branch; BMO Harris Bank N.A.; Citibank International plc; Euroclear Bank S.A./N.V.; Shintian Securities Co., Ltd.; Skandinaviska Enskilda Banken AB.; Skandinaviska Enskilda Merching Banking, Oslo Branch
- IB acts as agent or riskless principal in foreign currency exchange transactions. Such transactions are executed against an IB affiliate or a third party, which acts as principal in such transactions and may have a long or short position and may have profited or lost in connection with the transaction. Foreign currency exchange transactions executed by Customer through IB are not regulated or overseen by the SEC or the CFTC.
- Trades marked with the exchange indicator of TWBR were effected by IB as agent through a market making affiliate, which acted as principal in the transaction and may have a long or short position in the security and may have profited or lost in connection with the transaction.
- All VWAP trades are effected pursuant to an average price formula based on a reference price provided by a third-party data provider. Additional information and reference prices are available upon request. IB, as agent, effects VWAP transactions through a market making affiliate, which acts as principal in such transactions and may have a long or short position in the security and may have profited or lost in connection with the transaction.
- IB accepts liquidity rebates or other order flow payments from Alternative Trading Systems, market makers and exchanges for certain orders in stocks. IB receives payment for some option orders pursuant to exchange-mandated marketing fee programs or other arrangements. To the extent permissible under exchange rules, IB may direct customer option orders for execution against its market making affiliate Timber Hill LLC, which acts as principal and may earn a profit or incur a loss. The source and nature of any compensation received by IB in connection with any transaction is available upon written request of the customer. For further information, check the IB website and the Order Routing and Payment for Order Flow Disclosure provided when you opened your account and annually or email [help@interactivebrokers.com](mailto:help@interactivebrokers.com).
- For security futures trades, if not already indicated on this statement, information about the time of any transaction, the identity of the counterparty to the transaction, and whether IB is acting as agent or principal, as agent for the counterparty, as agent for both parties to the contract, or as principal, and if acting as principal, whether the transaction was a block transaction or an exchange for physicals transaction, will be available upon written request of the customer.
- Customer is requested to promptly advise Interactive Brokers of any material change in Customer's investment objectives or financial situation.
- A financial statement of Interactive Brokers LLC is available for your personal inspection at [www.interactivebrokers.com](http://www.interactivebrokers.com) or at its offices, or a copy of it will be mailed upon your written request.
- For trades executed on either the Australian Stock Exchange Ltd ("ASX") or Chi-X Australia Pty Ltd ("Chi-X"), this confirmation is issued subject to: (i) the directions, decisions and requirements of the Market Operator, the relevant Market Integrity Rules, the relevant Market Operating Rules, the Clearing Rules and where relevant, the Settlement Rules; (ii) the customs and usages of the relevant Market; and (iii) the correction of errors and omissions. Interactive Brokers LLC (ARBN: 091191141; AFSL: 245574; Participant on Chi-X Australia) ("IB") is not a participant on the ASX, and will route orders to the ASX through its affiliate, Timber Hill Australia Pty Ltd (ABN 25079993534; AFSL: 244360; Participant on the ASX) ("THA") who executes such orders. Your ASX and Chi-X Australia trades will be cleared through ABN AMRO Clearing Sydney Pty Ltd, an ACH participant. If your transaction was a crossing transaction, IB may have either acted on behalf of (i) both the buyer and seller of this transaction, or (ii) on behalf of the buyer or seller on one side of the transaction and act as Principal on the other side. Under the Corporations Act 2001, where IB enters into an exchange traded derivatives on a customer's behalf, IB is regarded as having issued the derivative to the customer.
- For All Options Trades Executed on the Stock Exchange of Hong Kong ("SEHK"): (a) Options can involve a high degree of risk and may not be suitable for every investor. Investors should ensure they understand those risks before participating in the options market. (b) All options contracts executed on the SEHK were executed by Timber Hill Securities Hong Kong on behalf of Interactive Brokers LLC. (c) In the event of a default committed by Interactive Brokers LLC resulting in the client suffering any pecuniary loss, the client shall have a right to claim under the Investor Compensation Fund established under the Hong Kong Securities and Futures Ordinance, subject to the terms of the Investor Compensation Fund from time to time. (d) All Exchange Traded Options Business made for or on behalf of a client shall be subject to the relevant provisions of the constitution, Rules of the Stock Exchange of Hong Kong Limited ("SEHK Rules"), regulations, the Articles, customs and usages of SEHK, the Options Trading Rules, the Clearing Rules of SEOH, the CCASS Rules and the laws of Hong Kong, which shall be binding on both Interactive Brokers LLC and the client.
- Deposits held away from Interactive Brokers LLC may not qualify under SIPC protection. Also, futures and options on futures are not covered by SIPC.

