

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

Account Information

Name	Jingyan Wang
Account	U5621771
Account Type	Individual
Customer Type	Individual
Account Capabilities	Margin
Base Currency	USD

Net Asset Value

February 28, 2025		March 31, 2025			Change	Change in NAV	
Total		Long	Short	Total			Total
Cash	0.00	503.61	0.00	503.61	503.61	Starting Value	1,848,382.31
Stock	1,848,382.31	1,726,983.82	0.00	1,726,983.82	-121,398.49	Mark-to-Market	-137,262.62
Interest Accruals	0.00	0.00	-3.63	-3.63	-3.63	Deposits & Withdrawals	15,404.70
Dividend Accruals	0.00	2,183.63	0.00	2,183.63	2,183.63	Dividends	968.04
Total	1,848,382.31	1,729,671.06	-3.63	1,729,667.43	-118,714.88	Change in Dividend Accruals	2,183.63
						Change in Interest Accruals	-3.63
Time Weighted Rate of Return					-7.25%	Commissions	-5.01
						Ending Value	1,729,667.43

Mark-to-Market Performance Summary

Symbol	Quantity		Price		Mark-to-Market P/L					Total	Code
	Prior	Current	Prior	Current	Position	Transaction	Commissions	Other			
Stocks											
IJH	1,340	1,340	61.8800	58.3500	-4,730.20	0.00	0.00	218.37	-4,511.83		
IVV	139	139	597.0400	561.9000	-4,884.46	0.00	0.00	245.28	-4,639.18		
QQQ	3,051	3,051	508.1700	468.9200	-119,751.75	0.00	0.00	0.00	-119,751.75		
QQQM	0	72	--	193.0200	-206.72	-69.28	-2.00	22.87	-255.13		
QTOP	0	28	--	23.7300	-2.80	-1.06	-1.00	0.78	-4.09		
SCHA	16	16	25.2700	23.4300	-29.44	0.00	0.00	0.88	-28.56		
SCHM	9	9	27.8900	26.2000	-15.21	0.00	0.00	0.70	-14.51		
SPLG	3	3	69.8900	65.7600	-12.39	0.00	0.00	0.65	-11.74		
VB	106	106	237.5900	221.7500	-1,679.04	0.00	0.00	97.39	-1,581.65		

Mark-to-Market Performance Summary

Symbol	Quantity		Price		Mark-to-Market P/L					Code
	Prior	Current	Prior	Current	Position	Transaction	Commissions	Other	Total	
VO	99	99	270.5100	258.6200	-1,177.11	0.00	0.00	115.54	-1,061.57	
VOO	145	146	546.3300	513.9100	-4,698.27	-1.97	-1.00	264.57	-4,436.67	
XLG	0	11	--	46.0200	-0.55	-2.36	-1.00	1.01	-2.91	
Total Stocks					-137,187.94	-74.68	-5.01	968.04	-136,299.58	
Forex										
USD	0.00	503.61	1.0000	1.0000	0.00	0.00	0.00	0.00	0.00	
Total Forex					0.00	0.00	0.00	0.00	0.00	
Total (All Assets)					-137,187.94	-74.68	-5.01	968.04	-136,299.58	

Realized & Unrealized Performance Summary

Symbol	Cost Adj.	Realized					Unrealized					Total	Code
		S/T Profit	S/T Loss	L/T Profit	L/T Loss	Total	S/T Profit	S/T Loss	L/T Profit	L/T Loss	Total		
Stocks													
IJH	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	6,189.13	0.00	6,189.13	6,189.13	
IVV	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	19,984.85	0.00	19,984.85	19,984.85	
QQQ	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	382,437.34	0.00	382,437.34	382,437.34	
QQQM	0.00	0.00	0.00	0.00	0.00	0.00	0.00	-278.00	0.00	0.00	-278.00	-278.00	
QTOP	0.00	0.00	0.00	0.00	0.00	0.00	0.00	-4.87	0.00	0.00	-4.87	-4.87	
SCHA	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	-27.76	-27.76	-27.76	
SCHM	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	11.10	0.00	11.10	11.10	
SPLG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	57.96	0.00	57.96	57.96	
VB	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	311.96	-81.34	230.62	230.62	
VO	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	2,736.30	0.00	2,736.30	2,736.30	
VOO	0.00	0.00	0.00	0.00	0.00	0.00	0.00	-0.34	20,101.87	0.00	20,101.53	20,101.53	
XLG	0.00	0.00	0.00	0.00	0.00	0.00	0.00	-3.92	0.00	0.00	-3.92	-3.92	
Total Stocks	0.00	0.00	0.00	0.00	0.00	0.00	0.00	-287.12	431,830.52	-109.10	431,434.29	431,434.29	

Notes

1. This statement uses wash sales P/L for realized and unrealized P/L calculations.

Cash Report

	Total	Securities	Futures
Base Currency Summary			
Starting Cash	0.00	0.00	0.00
Commissions	-5.01	-5.01	0.00
Deposits	18,110.21	18,110.21	0.00
Withdrawals	-2,705.51	-2,705.51	0.00
Dividends	968.04	968.04	0.00
Trades (Purchase)	-15,864.13	-15,864.13	0.00
Ending Cash	503.61	503.61	0.00
Ending Settled Cash	503.61	503.61	0.00

Open Positions

Symbol	Quantity	Mult	Cost Price	Cost Basis	Close Price	Value	Unrealized P/L	Code
Stocks								
USD								
IJH	1,340	1	53.73124546	71,999.87	58.3500	78,189.00	6,189.13	
IVV	139	1	418.12407737	58,119.25	561.9000	78,104.10	19,984.85	
QQQ	3,051	1	343.57180467	1,048,237.58	468.9200	1,430,674.92	382,437.34	
QQQM	72	1	196.88115711	14,175.44	193.0200	13,897.44	-278.00	
QTOP	28	1	23.90376029	669.31	23.7300	664.44	-4.87	SY
SCHA	16	1	25.1650	402.64	23.4300	374.88	-27.76	SY
SCHM	9	1	24.96711111	224.70	26.2000	235.80	11.10	
SPLG	3	1	46.43833333	139.32	65.7600	197.28	57.96	
VB	106	1	219.57438679	23,274.89	221.7500	23,505.50	230.62	
VO	99	1	230.98056162	22,867.08	258.6200	25,603.38	2,736.30	
VOO	146	1	376.22828936	54,929.33	513.9100	75,030.86	20,101.53	
XLG	11	1	46.37595509	510.14	46.0200	506.22	-3.92	
Total				1,295,549.53		1,726,983.82	431,434.29	

Trades

Symbol	Date/Time	Quantity	T. Price	C. Price	Proceeds	Comm/Fee	Basis	Realized P/L	MTM P/L	Code
Stocks										
USD										
QQQM	2025-03-11, 10:17:42	32	194.3900	194.1300	-6,220.48	-1.00	6,221.48	0.00	-8.32	O
QQQM	2025-03-20, 11:23:08	40	198.8240	197.3000	-7,952.96	-1.00	7,953.96	0.00	-60.96	O
Total QQQM		72			-14,173.44	-2.00	14,175.44	0.00	-69.28	
QTOP	2025-03-11, 10:18:32	28	23.8680	23.8300	-668.30	-1.00	669.31	0.00	-1.06	O
Total QTOP		28			-668.30	-1.00	669.31	0.00	-1.06	
VOO	2025-03-11, 10:19:49	1	513.2483	511.2800	-513.25	-1.00	514.25	0.00	-1.97	IA;O
Total VOO		1			-513.25	-1.00	514.25	0.00	-1.97	
XLG	2025-03-11, 10:21:03	11	46.2850	46.0700	-509.14	-1.00	510.14	0.00	-2.36	O
Total XLG		11			-509.14	-1.00	510.14	0.00	-2.36	
Total					-15,864.13	-5.01	15,869.13	0.00	-74.68	

Dividends

Date	Description	Amount
USD		
2025-03-21	IJH(US4642875078) Cash Dividend USD 0.162959 per Share (Ordinary Dividend)	218.37
2025-03-21	IVV(US4642872000) Cash Dividend USD 1.72813 per Share (Ordinary Dividend)	240.21
2025-03-21	IVV(US4642872000) Cash Dividend USD 0.036444 per Share (Bonus Dividend)	5.07
2025-03-21	QTOP(US46438G5624) Cash Dividend USD 0.027982 per Share (Ordinary Dividend)	0.78
2025-03-28	QQQM(US46138G6492) Cash Dividend USD 0.31763 per Share (Ordinary Dividend)	22.87
2025-03-28	XLG(US46137V2337) Cash Dividend USD 0.09149 per Share (Ordinary Dividend)	1.01
2025-03-31	SCHA(US8085246077) Cash Dividend USD 0.0553 per Share (Ordinary Dividend)	0.88
2025-03-31	SCHM(US8085245087) Cash Dividend USD 0.0776 per Share (Ordinary Dividend)	0.70
2025-03-31	SPLG(US78464A8541) Cash Dividend USD 0.217412 per Share (Ordinary Dividend)	0.65
2025-03-31	VB(US9229087518) Cash Dividend USD 0.9188 per Share (Ordinary Dividend)	97.39
2025-03-31	VO(US9229086296) Cash Dividend USD 1.1671 per Share (Ordinary Dividend)	115.54
2025-03-31	VOO(US9229083632) Cash Dividend USD 1.8121 per Share (Ordinary Dividend)	264.57
Total		968.04

Interest Accruals

Base Currency Summary	
Starting Accrual Balance	0.00
Interest Accrued	-3.63
Accrual Reversal	0.00
Ending Accrual Balance	-3.63

Deposits & Withdrawals

Date	Description	Amount
USD		
2025-03-11	Electronic Fund Transfer	10,620.68
2025-03-14	Disbursement Initiated by Jingyan Wang	-2,705.51
2025-03-24	Electronic Fund Transfer	6,092.51
2025-03-24	Electronic Fund Transfer	1,397.02
Total		15,404.70

Change in Dividend Accruals

Symbol	Date	Ex Date	Pay Date	Quantity	Tax	Fee	Gross Rate	Gross Amount	Net Amount	Code
Starting Dividend Accruals in USD									0.00	
Stocks										
USD										
IJH	2025-03-17	2025-03-18	2025-03-21	1,340	0.00	0.00	0.16	218.37	218.37	Po
IJH	2025-03-21	2025-03-18	2025-03-21	1,340	0.00	0.00	0.16	-218.37	-218.37	Re
IVV	2025-03-17	2025-03-18	2025-03-21	139	0.00	0.00	0.04	5.07	5.07	Po
IVV	2025-03-17	2025-03-18	2025-03-21	139	0.00	0.00	1.73	240.21	240.21	Po
IVV	2025-03-21	2025-03-18	2025-03-21	139	0.00	0.00	1.73	-240.21	-240.21	Re
IVV	2025-03-21	2025-03-18	2025-03-21	139	0.00	0.00	0.04	-5.07	-5.07	Re
QQQ	2025-03-21	2025-03-24	2025-04-30	3,051	0.00	0.00	0.72	2,183.63	2,183.63	Po
QQQM	2025-03-21	2025-03-24	2025-03-28	72	0.00	0.00	0.32	22.87	22.87	Po
QQQM	2025-03-28	2025-03-24	2025-03-28	72	0.00	0.00	0.32	-22.87	-22.87	Re
QTOP	2025-03-17	2025-03-18	2025-03-21	28	0.00	0.00	0.03	0.78	0.78	Po
QTOP	2025-03-21	2025-03-18	2025-03-21	28	0.00	0.00	0.03	-0.78	-0.78	Re
SCHA	2025-03-25	2025-03-26	2025-03-31	16	0.00	0.00	0.06	0.88	0.88	Po
SCHA	2025-03-31	2025-03-26	2025-03-31	16	0.00	0.00	0.06	-0.88	-0.88	Re
SCHM	2025-03-25	2025-03-26	2025-03-31	9	0.00	0.00	0.08	0.70	0.70	Po
SCHM	2025-03-31	2025-03-26	2025-03-31	9	0.00	0.00	0.08	-0.70	-0.70	Re
SPLG	2025-03-27	2025-03-28	2025-03-31	3	0.00	0.00	0.22	0.65	0.65	Po

Change in Dividend Accruals

Symbol	Date	Ex Date	Pay Date	Quantity	Tax	Fee	Gross Rate	Gross Amount	Net Amount	Code
SPLG	2025-03-31	2025-03-28	2025-03-31	3	0.00	0.00	0.22	-0.65	-0.65	Re
VB	2025-03-26	2025-03-27	2025-03-31	106	0.00	0.00	0.92	97.39	97.39	Po
VB	2025-03-31	2025-03-27	2025-03-31	106	0.00	0.00	0.92	-97.39	-97.39	Re
VO	2025-03-26	2025-03-27	2025-03-31	99	0.00	0.00	1.17	115.54	115.54	Po
VO	2025-03-31	2025-03-27	2025-03-31	99	0.00	0.00	1.17	-115.54	-115.54	Re
VOO	2025-03-26	2025-03-27	2025-03-31	146	0.00	0.00	1.81	264.57	264.57	Po
VOO	2025-03-31	2025-03-27	2025-03-31	146	0.00	0.00	1.81	-264.57	-264.57	Re
XLG	2025-03-21	2025-03-24	2025-03-28	11	0.00	0.00	0.09	1.01	1.01	Po
XLG	2025-03-28	2025-03-24	2025-03-28	11	0.00	0.00	0.09	-1.01	-1.01	Re
Total					0.00	0.00		2,183.63	2,183.63	
Ending Dividend Accruals in USD									2,183.63	

Financial Instrument Information

Symbol	Description	Conid	Security ID	Underlying	Listing Exch	Multiplier	Type	Code
Stocks								
IJH	ISHARES CORE S&P MID-CAP ETF	9579987	US4642875078	IJH	ARCA	1	ETF	
IVV	ISHARES CORE S&P 500 ETF	8991352	US4642872000	IVV	ARCA	1	ETF	
QQQ	INVESTCO QQQ TRUST SERIES 1	320227571	US46090E1038	QQQ	NASDAQ	1	ETF	
QQQM	INVESTCO NASDAQ 100 ETF	449738108	US46138G6492	QQQM	NASDAQ	1	ETF	
QTOP	ISHARES NSDQ TOP 30 STOCKS	737558524	US46438G5624	QTOP	NASDAQ	1	ETF	
SCHA	SCHWAB US SMALL-CAP ETF	70083661	US8085246077	SCHA	ARCA	1	ETF	
SCHM	SCHWAB US MID CAP ETF	82817275	US8085245087	SCHM	ARCA	1	ETF	
SPLG	SPDR PORTFOLIO S&P 500 ETF	45540646	US78464A8541	SPLG	ARCA	1	ETF	
VB	VANGUARD SMALL-CAP ETF	27638105	US9229087518	VB	ARCA	1	ETF	
VO	VANGUARD MID-CAP ETF	27638087	US9229086296	VO	ARCA	1	ETF	
VOO	VANGUARD S&P 500 ETF	136155102	US9229083632	VOO	ARCA	1	ETF	
XLG	INVESTCO S&P 500 TOP 50 ETF	319359438	US46137V2337	XLG	ARCA	1	ETF	

Codes

Code	Meaning	Code (Cont.)	Meaning (Cont.)
A	Assignment	Lo	Direct Loan
ADR	ADR Fee Accrual	M	Entered manually by IB
AEx	Automatic exercise for dividend-related recommendation.	MEx	Manual exercise for dividend-related recommendation.
AFx	AutoFX conversion resulting from trading	ML	Maximize Losses tax basis election
Adj	Adjustment	MLG	Maximize Long Term Gain tax basis election
Al	Allocation	MLL	Maximize Long Term Loss tax basis election
Aw	Away Trade	MSG	Maximize Short Term Gain tax basis election
B	Automatic Buy-in	MSL	Maximize Short Term Loss tax basis election
Bo	Direct Borrow	O	Opening Trade

Codes

Code	Meaning	Code (Cont.)	Meaning (Cont.)
C	Closing Trade	Off	Yes and No contracts offset to \$1.00 cash settlement
CD	Cash Delivery	P	Partial Execution
CP	Complex Position	PE	Perpetual Investment
Ca	Cancelled	PI	Price Improvement
Co	Corrected Trade	PTA	Post Trade Allocation
Cx	Part or all of this transaction was a Crossing executed as dual agent by IB for two IB customers	Po	Interest or Dividend Accrual Posting
DT	Discounted Trade	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
De	Delivery or Conversion Action	R	Dividend Reinvestment
ETF	ETF Creation/Redemption	RED	Redemption to Investor
Ep	Resulted from an Expired Position	RI	Recurring Investment
Ex	Exercise	RP	IB acted as agent for the fractional share portion of this trade, which was executed by an IB affiliate as riskless principal.
FP	The fractional portion of this trade was executed against IB or an affiliate.	RPA	IB acted as agent for both the fractional share portion and the whole share portion of this trade; the fractional share portion was executed by an IB Affiliate as riskless principal.
FPA	The fractional portion of this trade was executed against IB or an affiliate. IB acted as agent for the whole share portion of this trade.	Rb	Rebill
G	Trade in Guaranteed Account Segment	Re	Interest or Dividend Accrual Reversal
GEA	Exercise or Assignment resulting from offsetting positions	Ri	Reimbursement
HC	Highest Cost tax basis election	S0	Contract settled to zero value
HFI	Investment Transferred to Hedge Fund	S1	Contract settled to \$1.00
HFR	Redemption from Hedge Fund	SF	Trade is subject to IBKR Lite Surcharge Fee if volume of such trades exceeds 10% of the total monthly Lite trade volume
I	Internal Transfer	SI	This order was solicited by Interactive Brokers
IA	The transaction was executed against IB or an affiliate	SL	Specific Lot tax basis election
IM	A portion of the order was executed against IB or an affiliate; IB acted as agent on a portion.	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)	SY	Positions that may be eligible for Stock Yield. Potential for additional annualized income of 1.90 USD
LD	Adjusted by Loss Disallowed from Wash Sale	T	Transfer
LI	Last In, First Out (LIFO) tax basis election	Un	Unvested shares from stock grant
LT	Long Term P/L	XCH	Mutual Fund Exchange Transaction

Notes/Legal Notes

Notes

1. Stock exchange transactions generally settle on the trade date plus one business day (T+1). Options, futures and US open-end mutual fund transactions also 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 independent advisor or introducing broker.
4. Quantities preceded by a "-" sign indicate sell transactions. Other transactions are purchases.

Notes/Legal Notes

5. IB acts as agent in executing the fractional share portion of your order. In certain circumstances, IB routes the fractional portion of your order to an affiliate, which may execute the fractional portion of the order as principal. In such circumstances, this is indicated by the codes associated with the trade. If an IB affiliate acts as principal in executing any fractional share portion of your order, the order will be executed at the price displayed for the opposite side of the NBBO from your order (the offer if you are buying and the bid if you are selling) at the time of execution. If an IB affiliate is acting as riskless principal in connection with filling the fractional share portion of your order, the affiliate will execute the fractional share portion of your order at the price it receives for the execution of the whole share.
6. 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.
7. Trade execution times are displayed in Eastern Time.
8. Applicable regulatory fees for your transactions are available on the IB website at www.interactivebrokers.com/en/accounts/fees/exchangeAndRegulatoryFees.php.
9. Borrow Fee Rate represents the cost to borrow stock expressed in percent per annum. It is applied to the collateral value 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.
10. 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.
11. 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.
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13. Market data is provided by Global Financial Information Services (GmbH). Your local broker collects amounts owed for fees and tax for such data on behalf of Global Financial Information Services (GmbH). Note, you are responsible for any applicable taxes relating to the provision of these services.
14. RUB denotes Ruble balances that have been restricted by Russian authorities.

Mutual Fund Notes

1. All purchase and sales of mutual funds are calculated against the published NAV (Net Asset Value) of the underlying fund and is displayed on this confirmation as the "C. Price" (Closing Price). Due to any fees charged by a fund and/or any share rounding, the net price you pay may vary from the published NAV and is shown on this confirmation as the "T. Price" (Trade Price).

Fixed Income Notes

1. 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: ibkr.com/help. If this debt security is unrated by a nationally recognized statistical rating organization, it may pose a high risk of default. You should consult an independent 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

1. **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).**

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6. Customer is requested to promptly advise Interactive Brokers of any material change in Customer's investment objectives.
7. A financial statement of Interactive Brokers LLC is available for your personal inspection at www.interactivebrokers.com or at its offices, or a copy of it will be mailed upon your written request.
8. For trades executed on the ASX market, the ASX 24 market and the Cboe Australia market, this confirmation is issued subject to: (i) the Applicable Laws, the directions, decisions and requirements of the relevant market operator, the operating rules of the relevant market, the clearing rules and where relevant, the relevant settlement rules, (ii) the customs and usages of the relevant financial market, and (iii) the correction of errors and omissions. Trades in Cash Market Products (as that term is defined in the relevant ASIC market integrity rules) on ASX market and Cboe Australia are cleared by BNP Paribas, ARBN 149 440 291, AFSL 402467, who is a participant of ASX Clear Pty Ltd and ASX Settlement Pty Ltd. Trades in Derivative Products on ASX and all products on ASX 24 are cleared by Interactive Brokers Australia ("IBA") as a participant of ASX Clear Pty Ltd and ASX Clear (Futures) Pty Ltd. If your transaction was a crossing transaction, IBA 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 acted as Principal on the other side. Under the Corporations Act 2001, where IBA enters into an exchange traded derivative on a customer's behalf, IBA is regarded as having issued the derivative to the customer.

Notes/Legal Notes

9. 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 Interactive Brokers Hong Kong Limited 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 SEOCH, the CCASS Rules and the laws of Hong Kong, which shall be binding on both Interactive Brokers LLC and the client.
10. Interactive Brokers LLC is a SIPC member. Deposits held away from Interactive Brokers LLC may not qualify under SIPC protection. Also, futures and options on futures are not covered by SIPC.

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