

Trading • Investing • Banking

## **E**\*TRADE Securities

**Investment Account** 

## TRADE CONFIRMATION

Account Number: XXXX-7417

Account Name:
NEERAJ GUPTA

E**≭TRADE Securities LLC**P0 Box 484
Jersey City, NJ 07303-0484
1-800-ETRADE-1 (1-800-387-2331)
etrade.com

| TRADE SETL DATE   | MKT /<br>CPT | SYMBOL/<br>CUSIP | BUY/<br>SELL | QUANTITY | PRICE  | ACCT<br>Type |                |            |  |  |
|-------------------|--------------|------------------|--------------|----------|--------|--------------|----------------|------------|--|--|
| 06/19/18 06/20/18 | 3 1          |                  | BUY          | 10       | \$.33  | Margin       | PRINCIPAL      | \$330.00   |  |  |
| CALL PBR 01/18/1  | 9 15 PE      | TROLEO BRA       | SILEIRO SA   |          |        |              | COMMISSION     | \$1.50     |  |  |
| OPEN CONTRACT     |              |                  |              |          |        |              | OPT REG FEE    | \$0.17     |  |  |
|                   |              |                  |              |          |        |              | NET AMOUNT     | \$331.67   |  |  |
| 06/19/18 06/20/18 | 3 1          |                  | BUY          | 10       | \$.33  | Margin       | PRINCIPAL      | \$330.00   |  |  |
| CALL PBR 01/18/1  |              | TROLEO BRA       |              | 10       | ψ.00   | Margin       | COMMISSION     | \$1.50     |  |  |
| OPEN CONTRACT     |              | THOLEG BIN       | OILLING OA   |          |        |              | OPT REG FEE    | \$0.17     |  |  |
| or En continuo    |              |                  |              |          |        |              | NET AMOUNT     | \$331.67   |  |  |
|                   |              |                  |              |          |        |              |                |            |  |  |
| 06/19/18 06/20/18 | 3 1          |                  | BUY          | 129      | \$.33  | Margin       | PRINCIPAL      | \$4,257.00 |  |  |
| CALL PBR 01/18/1  | 9 15 PE      | TROLEO BRA       | SILEIRO SA   |          |        |              | COMMISSION     | \$19.35    |  |  |
| OPEN CONTRACT     |              |                  |              |          |        |              | OPT REG FEE    | \$2.15     |  |  |
|                   |              |                  |              |          |        |              | NET AMOUNT     | \$4,278.50 |  |  |
| 06/19/18 06/20/18 | 3 1          |                  | BUY          | 14       | \$.33  | Margin       | PRINCIPAL      | \$462.00   |  |  |
| CALL PBR 01/18/1  |              | TROLEO BRA       |              | 14       | ψ.00   | Margin       | COMMISSION     | \$2.10     |  |  |
| OPEN CONTRACT     | J 1311       | IIIOLLO DIIA     | OILLING OA   |          |        |              | OPT REG FEE    | \$0.23     |  |  |
| OI EIV GOIVIIIAGI |              |                  |              |          |        |              | NET AMOUNT     | \$464.33   |  |  |
|                   |              |                  |              |          |        |              |                | ·          |  |  |
| 06/19/18 06/20/18 | 3 4          |                  | BUY          | 18       | \$.33  | Margin       | PRINCIPAL      | \$594.00   |  |  |
| CALL PBR 01/18/1  | 9 15 PE      | TROLEO BRA       | SILEIRO SA   |          |        | · ·          | COMMISSION     | \$11.20    |  |  |
| OPEN CONTRACT     |              |                  |              |          |        |              | OPT REG FEE    | \$0.30     |  |  |
|                   |              |                  |              |          |        |              | NET AMOUNT     | \$605.50   |  |  |
| 00/10/10          |              |                  | 0511         |          | 4      |              | BDIMOID AT     | *****      |  |  |
| 06/19/18 06/20/18 | 3 4          |                  | SELL         | 7        | \$1.42 | Margin       | PRINCIPAL      | \$994.00   |  |  |
| CALL P 01/18/19   | 8 PAN        | DORA MEDIA       | INC          |          |        |              | COMMISSION     | \$9.55     |  |  |
| CLOSING CONTRACT  |              |                  |              |          |        |              | OPT REG FEE    | \$0.12     |  |  |
|                   |              |                  |              |          |        |              | FEE NET AMOUNT | 0.02       |  |  |
|                   |              |                  |              |          |        |              | NET AMOUNT     | \$984.31   |  |  |

▲ DETACH HERE

NEERAJ GUPTA

FF5 WILDGRASS APTS BLK 2
8-1 S.T. BED, KORAMANGALA
BANGALORE
550047 INDIA

Please do not send cash

**Use This Deposit Slip** 

Acct: XXXX-7417

DETACH HERE

Make checks payable to E\*TRADE Securities LLC. Mail deposits to:

TOTAL DEPOSIT

Dollars Cents

E\*TRADE Securities LLC PO Box 484 Jersey City, NJ 07303-0484



**E**\*TRADE Securities

**Investment Account** 

# **TRADE CONFIRMATION**

**Account Number:** XXXX-7417

|             |             | ACCT<br>Type | PRICE         | QUANTITY | BUY/<br>SELL | SYMBOL /<br>CUSIP | MKT /<br>CPT | SETL<br>Date | TRADE<br>DATE   |
|-------------|-------------|--------------|---------------|----------|--------------|-------------------|--------------|--------------|-----------------|
| \$13,206.00 | PRINCIPAL   | Margin       | \$1.42        | 93       | SELL         |                   | 3 1          | 06/20/18     | 06/19/18        |
| \$13.95     | COMMISSION  |              |               |          | INC          | OORA MEDIA        | 8 PANL       | 01/18/19     | CALL P          |
| \$0.19      | FINRA TAF   |              |               |          |              |                   |              | DNIRACI      | CLOSING CO      |
| 1.55        | OPT REG FEE |              |               |          |              |                   |              |              |                 |
| 0.18        | FEE AMOUNT  |              |               |          |              |                   |              |              |                 |
| \$13,190.13 | NET AMOUNT  |              |               |          |              |                   |              |              |                 |
| \$297.00    | PRINCIPAL   | Margin       | \$.33         | 9        | BUY          |                   | 3 4          | 06/20/18     | 06/19/18        |
| \$1.35      | COMMISSION  | Ü            |               |          | SILEIRO SA   | TROLEO BRA        | 15 PE        | 01/18/19     | <b>CALL PBR</b> |
| \$0.15      | OPT REG FEE |              |               |          |              |                   |              | - , -, -     | OPEN CONT       |
| \$298.50    | NET AMOUNT  |              |               |          |              |                   |              |              |                 |
|             |             |              |               |          |              |                   |              |              |                 |
| \$7,000.00  | PRINCIPAL   | Margin       | \$.35         | 20,000   | SELL         | HMNY              | 6 1          | 06/21/18     | 06/19/18        |
| \$3.95      | COMMISSION  |              |               |          |              | ALYTICS INC       | SON ANA      | ND MATHES    | HELIOS AI       |
| \$2.38      | FINRA TAF   |              |               |          |              |                   |              |              |                 |
| 0.10        | FEE         |              |               |          |              |                   |              |              |                 |
| \$6,993.57  | NET AMOUNT  |              |               |          |              |                   |              |              |                 |
| \$280.00    | PRINCIPAL   | Margin       | \$.28         | 10       | BUY          |                   | 3 4          | 06/20/18     | 06/19/18        |
| \$10.00     | COMMISSION  | 111019111    | Ų. <b>L</b> O | 10       |              | TROLEO BRA        |              | , -, -       | CALL PBR        |
| \$0.17      | OPT REG FEE |              |               |          |              |                   |              | - , -, -     | OPEN CONT       |
|             | J IILG   LL |              |               |          |              |                   |              |              | J. L            |

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#### Terms and Conditions

Please refer to the E"TRADE Customer Agreement for a complete discussion of the terms and conditions governing your account. If you have questions regarding the E"TRADE Customer Agreement or your account, please email us through etrade.com or call 800-ETRADE-1. THE INFORMATION CONTAINED IN THIS CONFIRMATION SHALL BEBINDING UPON YOU IF YOU DO NOT OBJECT IN WRITING WITHIN TWO (2) DAYS AFTER THE CONFIRMATION IS FIRST RECEIVED BY YOU. Securities products and services are offered by E"TRADE Securities LLC ("ETS"), Member FINRA/SIPC. Your account is carried by ETS, which maintains your funds and securities deposited with ETS. ETS or its affiliates may be a principal in your transaction.

Applicable Rules and Regulations. All transactions in your account shall be subject to the constitution, rules, regulations, customs, and usages of the exchange or market, and is clearing house, where the transactions are executed by ETS or its agents, including ETS affiliates. Also, where applicable, the transactions shall be subject to the provisions of the Securities Act of 1933, as amended, the Securities Exchange Act of 1934, as amended, and the rules and regulations of the Securities and Exchange Commission ("SEC"), the Board of Governors of the Federal Reserve System, and any applicable self-regulatory organization. For information about FINRA's BrokerCheck Program, including an investor brochure, please contact FINRA at 800-289-9990 or www.firms.org.

Securities held on your behalf at ETS or a central clearing facility but not registered in your name are commingled with identical securities held for other customers. In the event that securities so held are called by the issuer, the securities to be called will be determined by an impartial and random selection system. If your security is selected, it will be presented for redemption and your account credited with the proceeds. You have the right to withdraw uncalled, fully paid securities at any time prior to a partial call and also to withdraw excess margin securities not subject to restriction.

The responsibility to cancel an existing open order rests with you. Any transaction that results from the execution of any orders that you have not instructed us to cancel, prior to execution, will be recorded in your account. Market orders are subject to immediate execution and are difficult to cancel.

If required payment or delivery of securities is not made by the settlement date, ETS may, at its option and without further notice, charge interest on the amount shown on the face hereof or cancel, sell out, or buy in the subject securities and charge your account for any expenses, losses, or other costs incurred.

Investments in securities are not guaranteed by ETS, are not insured by the FDIC, and will fluctuate with changes in market conditions. When selling a security, you may receive more or less than your original investment

The principal amount or commission described on the face hereof may include an Additional Fee\* for special services rendered. Other charges may include commissions paid to affiliates of ETS, local taxes, transaction fees, and exchange fees, among others. For customers who choose to convert from the currency in which the security or payment thereon is denominated, the amounts provided with respect to principal, interest, dividend and/or yield is subject to fluctuation or applicable foreign currency exchange rates and costs including a markup charged by ETS. Further details are available upon written request. The name of the party with whom this transaction was made and time of execution of the transaction will be furnished upon written request.

Securities purchased by you or held by ETS may be hypothecated and/or commingled with securities carried for other customers.

Call features for bonds may exist and such bonds can be redeemed in whole or in part before maturity that could affect the yield; complete information will be provided upon request. With respect to a zero coupon issue, you will not receive periodic payments, and the securities may be callable at a price below maturity value. Furthermore, a zero coupon issues that is callable and in bearer form may be called without notice by mail to you unless the issue is registered.

For an asset-backed security (e.g., GMO, FNMA, FHLMC, or GMNA), the actual yield may vary according to the rate at which the underlying assets or receivables are prepaid. Information concerning factors that affect yield, including estimated yield, weighted average life, and prepayment assumptions, are available upon request.

The ratings that appear in the description of some fixed-income securities have been obtained from rating services that we believe to be reliable; however, we cannot guarantee their accuracy. Securities for which arating is not available will be marked "Not Rated." A withdrawn rating "WR" signifies the removal of a rating on either an obligation or issuer. Confirmations related to fixed income transactions may reflect a mark-up or mark-down; both as a dollar and percentage value. The mark-up or mark-down dollar value is calculated as the execution price less the prevailing market price (PMP) multiplied by the quantity. The mark-up or mark-down percentage value is calculated as the mark-up or mark-down dollar value divided by the PMP. Trades with a mark-up or mark-down value of "N/A" indicate a negative mark-up or mark-down, i.e., the sale of the security was at a price lower than the PMP.

\*Additional Fees may include a broker-assist fee, an order handling fee and/or market center charges. ETS will charge a fee if you request to have certificates issued in your name and mailed to you. Type of Transaction

(Market)

NYSE
 NYSE American

2. NYSE American 6. Over-the-Counter
3. Other US Registered Exchanges 7. Underwriting
4. Mutual Funds 8. Foreign Exchange or Other

(Capacity in which your broker is acting)

1.2.3.4.5.8 As agent

6As agent for both buyer and seller. The commission charged to the partyon the other side of the transaction will be furnished upon request.

5. CBOE

7 As principal

If the symbol (') appears in the security description on the face hereof, the offering of the described security has been made solely by means of the prospectus relating thereto, a copy of which has been or will be delivered to you, the receipt of which is acknowledged by payment hereof

If the symbol (F) appears in the security description, it indicates that the security is "Foreign' and maybe subject to interest equalization tay

and maybe subject to interest equalization tax.

If the symbol (T) appears in the security description, an officer or employee of ETS is a director of the issuer of the securities involved in this transaction. A control relationship may therefore exist between the issuer and ETS.

Please retain this confirmation for income tax purposes. Federal regulations require brokers to report proceeds from all transactions to the Internal Revenue Service.

NEERAJ GUPTA FF5 WILDGRASS APTS BLK 2 8-1 S.T. BED, KORAMANGALA BANGALORE 560047 INDIA

### Payment for Order Flow Disclosure

The SEC (as well as FINRA) requires that all broker-dealers inform their customers when a new account is opened, and on an annual basis thereafter, of payment for order flow practices (compensation received for placing orders through specialists on national securities exchanges, over-the-counter market makers, alternative trading systems, and ECN's (collectively, 'market centers'). Consistent with the overriding principle of best execution, ETS routes orders to various market centers. ETS receives remuneration (generally in the form of per share cash payments or through profit-sharing arrangements) for routing orders in securities to particular market centers for execution. Such remuneration is considered compensation to ETS, and the source and amount of any compensation received in connection with your transaction will be disclosed to you upon written request. ETS, absent instructions from you to the contrary, takes a number of factors into consideration in, determining where to route customers' orders, including the speed of execution, price improvement opportunities (executions at prices superior to the then prevailing inside market), automatic execution guarantees, the availability of efficient and reliable order handling systems, the level of service provided, the cost of executing orders, whether it will receive cash or non-cash payments for routing order flow and reciprocal business arrangements.

Trades noted as "AVG PRICE SHOWN-DETAILS ON REQ" are executed through an average price account. The price shown may represent an average of multiple executions or may represent a single execution at the price indicated. Details regarding trades done in an average price account areavailable upon request.

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