

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

**Account Information**

Name	IA Capital Structures Plc Series 2014-14
Account	U1347043
Master Name	GWM GROUP INC
Account Type	Broker Client
Customer Type	Corporate
Account Capabilities	Portfolio Margin
Trading Permissions	Stocks,Warrants,Bonds,Forex
Base Currency	USD

**Net Asset Value**

January 28, 2016		January 29, 2016			Change	Change in NAV		Total
	Total	Long	Short	Total				
Cash	-666,113.70	0.00	-666,025.96	<b>-666,025.96</b>	87.74	Starting Value		422,483.80
Stock	1,085,372.50	1,379,344.50	-280,146.00	<b>1,099,198.50</b>	13,826.00	Mark-to-Market		13,922.64
Interest Accruals	-2,306.64	0.00	-2,394.91	<b>-2,394.91</b>	-88.27	Change in Interest Accruals		-88.44
Dividend Accruals	5,531.64	5,531.64	0.00	<b>5,531.64</b>	0.00	Other Fees		-8.90
<b>Total</b>	<b>422,483.80</b>	<b>1,384,876.14</b>	<b>-948,566.87</b>	<b>436,309.27</b>	<b>13,825.47</b>	Other FX Translations		0.18
<b>Time Weighted Rate of Return</b>					<b>3.27%</b>	Ending Value		436,309.27

**Mark-to-Market Performance Summary**

Symbol	Quantity		Price		Mark-to-Market P/L						Code
	Prior	Current	Prior	Current	Position	Transaction	Commissions	Other	Total		
Stocks											
ALLY PRB	12,250	12,250	25.1600	25.2000	490.00	0.00	0.00	0.00	490.00		
BCS PRA	13,650	13,650	25.9200	26.0000	1,092.00	0.00	0.00	0.00	1,092.00		
RBS PRE	15,425	15,425	24.6400	24.6200	-308.50	0.00	0.00	0.00	-308.50		
RBS PRI	13,450	13,450	24.9500	24.9800	403.50	0.00	0.00	0.00	403.50		
VIXY	-5,000	-5,000	16.7100	15.9900	3,600.00	0.00	0.00	0.00	3,600.00		
VXX	-8,300	-8,300	25.1500	24.1200	8,549.00	0.00	0.00	0.00	8,549.00		
Total					13,826.00	0.00	0.00	0.00	13,826.00		
Forex											
EUR	-9,031.85	-9,031.85	1.0940	1.0833	96.64	0.00	0.00	0.00	96.64		

## Mark-to-Market Performance Summary

Symbol	Quantity		Price		Position	Mark-to-Market P/L				Total	Code
	Prior	Current	Prior	Current		Transaction	Commissions	Other			
USD	-656,232.86	-656,241.76	1.0000	1.0000	0.00	0.00	0.00	0.00		0.00	
<b>Total</b>					<b>96.64</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>		<b>96.64</b>	
<b>Total (All Assets)</b>					<b>13,922.64</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>		<b>13,922.64</b>	
Other Fees										-8.90	
<b>Total P/L for Statement Period</b>										<b>13,913.74</b>	

## Realized & Unrealized Performance Summary

Cost Adj.		Realized					Unrealized						
Symbol		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	Total	Code
Stocks													
ALLY PRB	0.00	0.00	0.00	0.00	0.00	0.00	0.00	-3,972.40	0.00	-17,934.74	-21,907.15	-21,907.15	
BCS PRA	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	3,889.72	-8.66	3,881.07	3,881.07	
RBS PRE	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	26,751.88	0.00	26,751.88	26,751.88	
RBS PRI	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	12,315.27	0.00	12,315.27	12,315.27	
VIXY	0.00	0.00	0.00	0.00	0.00	0.00	8,591.46	-263.49	0.00	0.00	8,327.97	8,327.97	
VXX	0.00	0.00	0.00	0.00	0.00	0.00	0.00	-17,367.64	0.00	0.00	-17,367.64	-17,367.64	
Total	0.00	0.00	0.00	0.00	0.00	0.00	8,591.46	-21,603.53	42,956.87	-17,943.40	12,001.39	12,001.39	
Forex													
EUR	0.00	0.00	0.00	0.00	0.00	0.00	143.27	-0.10	0.00	0.00	143.17	143.17	
Total	0.00	0.00	0.00	0.00	0.00	0.00	143.27	-0.10	0.00	0.00	143.17	143.17	
Total (All Assets)	0.00	0.00	0.00	0.00	0.00	0.00	8,734.72	-21,603.63	42,956.87	-17,943.40	12,144.56	12,144.56	

## Month & Year to Date Performance Summary

Symbol	Description	Mark-to-Market		Realized S/T		Realized L/T	
		MTD	YTD	MTD	YTD	MTD	YTD
Stocks							
ALLY PRB	ALLY FINANCIAL INC	-6,615.00	-6,615.00	0.00	0.00	0.00	0.00
BCS PRA	BARCLAYS BK PLC SPON ADR REP CALLABLE DOLLAR PFD, 7.10%	409.50	409.50	0.00	0.00	0.00	0.00
RBS PRE	RBS CAP FDG TR V	1,234.00	1,234.00	0.00	0.00	0.00	0.00
RBS PRI	RBS CAPITAL FUNDING TRUST VI, 6.25% NONCUM GUAR PFD SE	-2,688.66	-2,688.66	0.00	0.00	0.00	0.00
VIXY	PROSHARES VIX SHORT-TERM FUT	-13,300.00	-13,300.00	0.00	0.00	0.00	0.00
VXX	IPATH S&P 500 VIX S/T FU ETN	-33,366.00	-33,366.00	0.00	0.00	0.00	0.00
Total		-54,326.16	-54,326.16	0.00	0.00	0.00	0.00
Total (All Assets)		-54,326.16	-54,326.16	0.00	0.00	0.00	0.00

## Cash Report

	Total	Securities	Futures	Month to Date	Year to Date
<b>Base Currency Summary</b>					
Starting Cash	-666,113.70	-666,113.70	0.00		
Withdrawals	0.00	0.00	0.00	-3,154.23	-3,154.23
Broker Interest Paid and Received	0.00	0.00	0.00	-2,455.62	-2,455.62
Other Fees	-8.90	-8.90	0.00	-153.37	-153.37
Cash FX Translation Gain/Loss	96.64	96.64	0.00		
Ending Cash	-666,025.96	-666,025.96	0.00		
Ending Settled Cash	-666,025.96	-666,025.96	0.00		
<b>EUR</b>					
Starting Cash	-9,031.85	-9,031.85	0.00		
Broker Interest Paid and Received	0.00	0.00	0.00	-19.51	-19.51
Ending Cash	-9,031.85	-9,031.85	0.00		
Ending Settled Cash	-9,031.85	-9,031.85	0.00		
<b>USD</b>					
Starting Cash	-656,232.86	-656,232.86	0.00		
Withdrawals	0.00	0.00	0.00	-3,154.23	-3,154.23
Broker Interest Paid and Received	0.00	0.00	0.00	-2,434.59	-2,434.59
Other Fees	-8.90	-8.90	0.00	-153.37	-153.37
Ending Cash	-656,241.76	-656,241.76	0.00		
Ending Settled Cash	-656,241.76	-656,241.76	0.00		

## Open Positions

Symbol	Open	Quantity	Mult	Cost Price	Cost Basis	Close Price	Value	Unrealized P/L	Code
<b>Stocks</b>									
<b>USD</b>									
ALLY PRB	-	12,250	1	26.9883387	330,607.15	25.2000	308,700.00	-21,907.15	SY
ALLY PRB	2015-07-16, 09:40:40	3,000		26.5241348	79,572.40	25.2000	75,600.00	-3,972.40	
ALLY PRB	2014-08-21, 13:50:28	1,999		27.2807015	54,534.12	25.2000	50,374.80	-4,159.32	
ALLY PRB	2014-08-21, 13:12:03	300		27.2807015	8,184.21	25.2000	7,560.00	-624.21	
ALLY PRB	2014-08-21, 13:06:11	1,451		27.2807015	39,584.30	25.2000	36,565.20	-3,019.10	
ALLY PRB	2014-05-01, 15:14:35	5,500		27.0422026	148,732.11	25.2000	138,600.00	-10,132.11	
BCS PRA	-	13,650	1	25.7156728	351,018.93	26.0000	354,900.00	3,881.07	
BCS PRA	2014-08-27, 04:00:19	341		25.7402543	8,777.43	26.0000	8,866.00	88.57	
BCS PRA	2014-08-13, 10:52:48	2,900		25.7407015	74,648.03	26.0000	75,400.00	751.97	
BCS PRA	2014-08-13, 10:52:38	502		25.7193319	12,911.10	26.0000	13,052.00	140.90	
BCS PRA	2014-08-13, 08:48:05	7		27.2368449	190.66	26.0000	182.00	-8.66	
BCS PRA	2014-05-13, 13:54:08	2,899		25.6907015	74,477.34	26.0000	75,374.00	896.66	
BCS PRA	2014-05-13, 13:48:09	36		25.6907015	924.87	26.0000	936.00	11.13	
BCS PRA	2014-05-13, 13:46:49	500		25.6907015	12,845.35	26.0000	13,000.00	154.65	
BCS PRA	2014-05-13, 12:47:55	200		25.6907015	5,138.14	26.0000	5,200.00	61.86	
BCS PRA	2014-05-13, 10:35:42	500		25.6907015	12,845.35	26.0000	13,000.00	154.65	
BCS PRA	2014-05-13, 10:05:33	865		25.6907015	22,222.46	26.0000	22,490.00	267.54	
BCS PRA	2014-05-05, 10:45:27	1,175		25.7263026	30,228.41	26.0000	30,550.00	321.59	
BCS PRA	2014-05-05, 10:45:27	577		25.7263026	14,844.08	26.0000	15,002.00	157.92	

## Open Positions

BCS PRA	2014-05-05, 10:45:27	800		25.7127026	20,570.16	26.0000	20,800.00	229.84	
BCS PRA	2014-05-05, 10:45:27	300		25.7127026	7,713.81	26.0000	7,800.00	86.19	
BCS PRA	2014-05-05, 10:45:27	100		25.7127026	2,571.27	26.0000	2,600.00	28.73	
BCS PRA	2014-05-05, 10:45:27	100		25.7127026	2,571.27	26.0000	2,600.00	28.73	
BCS PRA	2014-05-05, 10:45:27	200		25.7163026	5,143.26	26.0000	5,200.00	56.74	
BCS PRA	2014-05-05, 10:45:27	100		25.7163026	2,571.63	26.0000	2,600.00	28.37	
BCS PRA	2014-05-05, 10:45:27	100		25.7263026	2,572.63	26.0000	2,600.00	27.37	
BCS PRA	2014-05-05, 10:45:27	100		25.7263026	2,572.63	26.0000	2,600.00	27.37	
BCS PRA	2014-05-05, 10:45:27	48		25.7263026	1,234.86	26.0000	1,248.00	13.14	
BCS PRA	2014-05-05, 10:45:27	1,300		25.7263026	33,444.19	26.0000	33,800.00	355.81	
RBS PRE	-	15,425	1	22.8856807	353,011.62	24.6200	379,763.50	26,751.88	
RBS PRE	2014-08-21, 11:54:19	200		23.9001015	4,780.02	24.6200	4,924.00	143.98	
RBS PRE	2014-08-21, 11:54:19	25		23.9048015	597.62	24.6200	615.50	17.88	
RBS PRE	2014-08-21, 11:54:16	600		23.9001015	14,340.06	24.6200	14,772.00	431.94	
RBS PRE	2014-08-21, 11:52:13	400		23.623539	9,449.42	24.6200	9,848.00	398.58	
RBS PRE	2014-08-21, 11:52:13	100		23.9001015	2,390.01	24.6200	2,462.00	71.99	
RBS PRE	2014-08-21, 11:51:56	100		23.1626017	2,316.26	24.6200	2,462.00	145.74	
RBS PRE	2014-08-21, 11:51:56	400		23.1838048	9,273.52	24.6200	9,848.00	574.48	
RBS PRE	2014-08-21, 11:51:53	900		23.1626017	20,846.34	24.6200	22,158.00	1,311.66	
RBS PRE	2014-08-21, 11:51:53	100		23.1626017	2,316.26	24.6200	2,462.00	145.74	
RBS PRE	2014-08-21, 11:51:28	400		23.1637017	9,265.48	24.6200	9,848.00	582.52	
RBS PRE	2014-08-21, 11:51:28	1,200		23.1597017	27,791.64	24.6200	29,544.00	1,752.36	
RBS PRE	2014-08-21, 11:51:28	100		23.1673017	2,316.73	24.6200	2,462.00	145.27	
RBS PRE	2014-08-21, 11:51:28	400		23.1637017	9,265.48	24.6200	9,848.00	582.52	
RBS PRE	2014-08-21, 11:51:28	100		23.1673017	2,316.73	24.6200	2,462.00	145.27	
RBS PRE	2014-08-21, 11:51:28	100		23.1626017	2,316.26	24.6200	2,462.00	145.74	
RBS PRE	2014-08-21, 11:51:28	500		23.1673017	11,583.65	24.6200	12,310.00	726.35	
RBS PRE	2014-05-20, 11:17:40	300		22.8286188	6,848.59	24.6200	7,386.00	537.41	
RBS PRE	2014-05-20, 11:17:40	180		22.8188404	4,107.39	24.6200	4,431.60	324.21	
RBS PRE	2014-05-20, 11:17:40	100		22.8289519	2,282.90	24.6200	2,462.00	179.10	
RBS PRE	2014-05-20, 11:17:40	400		22.8249519	9,129.98	24.6200	9,848.00	718.02	
RBS PRE	2014-05-20, 11:17:40	2,278		22.8285519	52,003.44	24.6200	56,084.36	4,080.92	
RBS PRE	2014-05-20, 11:17:40	120		22.8249519	2,738.99	24.6200	2,954.40	215.41	
RBS PRE	2014-05-20, 11:17:40	100		22.8289519	2,282.90	24.6200	2,462.00	179.10	
RBS PRE	2014-05-20, 11:17:40	100		22.8289519	2,282.90	24.6200	2,462.00	179.10	
RBS PRE	2014-05-20, 11:17:40	100		22.8916394	2,289.16	24.6200	2,462.00	172.84	
RBS PRE	2014-05-20, 11:17:40	100		23.1973017	2,319.73	24.6200	2,462.00	142.27	
RBS PRE	2014-05-20, 11:17:40	100		23.1977017	2,319.77	24.6200	2,462.00	142.23	
RBS PRE	2014-05-20, 11:17:40	100		23.1977017	2,319.77	24.6200	2,462.00	142.23	
RBS PRE	2014-05-20, 11:17:40	1,022		23.1977017	23,708.05	24.6200	25,161.64	1,453.59	
RBS PRE	2014-05-07, 15:21:31	373		22.335953	8,331.31	24.6200	9,183.26	851.95	
RBS PRE	2014-05-07, 14:01:36	500		22.335953	11,167.98	24.6200	12,310.00	1,142.02	
RBS PRE	2014-05-07, 13:46:16	500		22.335953	11,167.98	24.6200	12,310.00	1,142.02	
RBS PRE	2014-05-07, 13:46:14	2,000		22.335953	44,671.91	24.6200	49,240.00	4,568.09	
RBS PRE	2014-05-07, 13:45:44	300		22.335953	6,700.79	24.6200	7,386.00	685.21	
RBS PRE	2014-05-07, 13:45:38	1,127		22.335953	25,172.62	24.6200	27,746.74	2,574.12	
RBS PRI	-	13,450	1	24.0643665	323,665.73	24.9800	335,981.00	12,315.27	

## Open Positions

RBS PRI	2014-09-08, 13:25:40	3,426		23.9522026	82,060.25	24.9800	85,581.48	3,521.23
RBS PRI	2014-08-13, 15:59:39	100		23.8187	2,381.87	24.9800	2,498.00	116.13
RBS PRI	2014-08-13, 15:59:39	24		23.8187	571.65	24.9800	599.52	27.87
RBS PRI	2014-08-13, 15:59:29	100		23.9257051	2,392.57	24.9800	2,498.00	105.43
RBS PRI	2014-08-13, 15:59:29	100		23.8187	2,381.87	24.9800	2,498.00	116.13
RBS PRI	2014-05-21, 10:43:14	400		24.1084513	9,643.38	24.9800	9,992.00	348.62
RBS PRI	2014-05-21, 10:43:14	600		24.1112015	14,466.72	24.9800	14,988.00	521.28
RBS PRI	2014-05-21, 10:43:14	300		24.1111015	7,233.33	24.9800	7,494.00	260.67
RBS PRI	2014-05-21, 10:43:14	300		24.1112015	7,233.36	24.9800	7,494.00	260.64
RBS PRI	2014-05-21, 10:43:14	2,400		24.1112015	57,866.88	24.9800	59,952.00	2,085.12
RBS PRI	2014-05-21, 10:43:14	5,700		24.1112015	137,433.85	24.9800	142,386.00	4,952.15
VIXY	-	-5,000	1	17.6555934	-88,277.97	15.9900	-79,950.00	8,327.97
VIXY	2015-09-22, 15:12:50	-1,000		16.9894857	-16,989.49	15.9900	-15,990.00	999.49
VIXY	2015-09-18, 10:38:21	-700		15.7202232	-11,004.16	15.9900	-11,193.00	-188.84
VIXY	2015-09-18, 10:38:21	-100		15.7445087	-1,574.45	15.9900	-1,599.00	-24.55
VIXY	2015-09-18, 10:38:21	-100		15.7445087	-1,574.45	15.9900	-1,599.00	-24.55
VIXY	2015-09-18, 10:38:21	-100		15.7345089	-1,573.45	15.9900	-1,599.00	-25.55
VIXY	2015-09-10, 09:46:12	-100		18.3533578	-1,835.34	15.9900	-1,599.00	236.34
VIXY	2015-09-10, 09:46:12	-200		18.4604094	-3,692.08	15.9900	-3,198.00	494.08
VIXY	2015-09-10, 09:46:12	-100		18.4548589	-1,845.49	15.9900	-1,599.00	246.49
VIXY	2015-09-10, 09:46:12	-300		18.4596588	-5,537.90	15.9900	-4,797.00	740.90
VIXY	2015-09-10, 09:44:29	-1,000		18.5895563	-18,589.56	15.9900	-15,990.00	2,599.56
VIXY	2015-09-10, 09:43:38	-100		18.4159567	-1,841.60	15.9900	-1,599.00	242.60
VIXY	2015-09-10, 09:43:38	-400		18.518433	-7,407.37	15.9900	-6,396.00	1,011.37
VIXY	2015-09-10, 09:43:38	-100		18.5186578	-1,851.87	15.9900	-1,599.00	252.87
VIXY	2015-09-10, 09:43:38	-100		18.5186578	-1,851.87	15.9900	-1,599.00	252.87
VIXY	2015-09-10, 09:43:38	-400		18.5148578	-7,405.94	15.9900	-6,396.00	1,009.94
VIXY	2015-09-10, 09:43:38	-100		18.5148578	-1,851.49	15.9900	-1,599.00	252.49
VIXY	2015-09-10, 09:43:38	-100		18.5148578	-1,851.49	15.9900	-1,599.00	252.49
VXX	-	-8,300	1	22.0275137	-182,828.36	24.1200	-200,196.00	-17,367.64
VXX	2015-08-25, 06:54:16	-3,800		22.0493928	-83,787.69	24.1200	-91,656.00	-7,868.31
VXX	2015-08-25, 06:53:55	-300		22.0160595	-6,604.82	24.1200	-7,236.00	-631.18
VXX	2015-08-25, 06:53:55	-300		22.0493928	-6,614.82	24.1200	-7,236.00	-621.18
VXX	2015-08-25, 06:53:55	-300		22.0493928	-6,614.82	24.1200	-7,236.00	-621.18
VXX	2015-08-25, 06:53:55	-200		22.0493928	-4,409.88	24.1200	-4,824.00	-414.12
VXX	2015-08-25, 06:53:55	-100		22.0493928	-2,204.94	24.1200	-2,412.00	-207.06
VXX	2015-08-24, 04:00:48	-3,300		21.9973937	-72,591.40	24.1200	-79,596.00	-7,004.60
<b>Total</b>					<b>1,087,197.11</b>		<b>1,099,198.50</b>	<b>12,001.39</b>

## Forex Balances

Description	Open	Quantity	Cost Price	Cost Basis in USD	Close Price	Value in USD	Unrealized P/L in USD	Code
<b>Forex</b>								
<b>USD</b>								
EUR	-	-9,031.85	1.0991511	9,927.37	1.0833	-9,784.20	143.17	
EUR Debit Interest for Dec-2015	2016-01-06	-19.51	1.0781	21.03	1.0833	-21.14	-0.10	

## Forex Balances

EUR Debit Interest for Nov-2015	2015-12-03	-18.6	1.0940	20.35	1.0833	-20.15	0.20
EUR Debit Interest for Oct-2015	2015-11-04	-19.22	1.0867	20.89	1.0833	-20.82	0.07
EUR Debit Interest for Sep-2015	2015-10-05	-18.6	1.1189	20.81	1.0833	-20.15	0.66
EUR Debit Interest for Aug-2015	2015-09-03	-19.22	1.1125	21.38	1.0833	-20.82	0.56
EUR Debit Interest for Jul-2015	2015-08-05	-19.22	1.0907	20.96	1.0833	-20.82	0.14
EUR Debit Interest for Jun-2015	2015-07-06	-18.6	1.1057	20.57	1.0833	-20.15	0.42
EUR Debit Interest for May-2015	2015-06-03	-18.38	1.1276	20.73	1.0833	-19.91	0.81
Disbursement Initiated by Rory..	2015-05-07, 12:45:04	-1,749	1.1267	1,970.60	1.0833	-1,894.69	75.91
EUR Debit Interest for Apr-2015	2015-05-05	-12	1.1186	13.42	1.0833	-13.00	0.42
Disbursement Initiated by Rory..	2015-04-06, 19:04:13	-7,119.5	1.0923	7,776.63	1.0833	-7,712.55	64.08
USD		-656,241.7552	0.0000	0.00	1.0000	-656,241.76	0.00
<b>Total</b>				<b>9,927.37</b>		<b>-666,025.96</b>	<b>143.17</b>

## Interest Accruals

### Base Currency Summary

Starting Accrual Balance	-2,306.64
Interest Accrued	-88.44
Accrual Reversal	0.00
FX Translation	0.18
Ending Accrual Balance	-2,394.91

### EUR

Starting Accrual Balance	-16.38
Interest Accrued	-1.26
Accrual Reversal	0.00
Ending Accrual Balance	-17.64
Ending Accrual Balance in USD	-19.11

### USD

Starting Accrual Balance	-2,288.72
Interest Accrued	-87.08
Accrual Reversal	0.00
Ending Accrual Balance	-2,375.80

## Fees

Date	Description	Amount
<b>Other Fees</b>		
<b>USD</b>		
2016-01-29	Exposure Fee, Equity for 20160128	-8.90
<b>Total</b>		<b>-8.90</b>

## Contract Information

Symbol	Description	Conid	Security ID	Multiplier	Code
<b>Stocks</b>					
ALLY PRB	ALLY FINANCIAL INC	86178834		1	
BCS PRA	BARCLAYS BK PLC SPON ADR REP CALLABLE DOLLAR PFD, 7.10%	46613405		1	
RBS PRE	RBS CAP FDG TR V	69188550		1	
RBS PRI	RBS CAPITAL FUNDING TRUST VI, 6.25% NONCUM GUAR PFD SE	69188897		1	
VIXY	PROSHARES VIX SHORT-TERM FUT	128885024		1	
VXX	IPATH S&P 500 VIX S/T FU ETN	137935324		1	

## Base Currency Exchange Rate

Currency	Rate	Currency (Cont.)	Rate (Cont.)
AUD	0.708440	INR	0.014732
BRL	0.250080	JPY	0.008261
CAD	0.715900	KRW	0.000828
CHF	0.977330	MXN	0.055218
CNH	0.151650	NOK	0.115220
CNY	0.152070	NZD	0.648450
CZK	0.040090	PLN	0.245100
DKK	0.145170	RUB	0.013241
EUR	1.083300	SEK	0.116530
GBP	1.424500	SGD	0.702140
HKD	0.128530	THB	0.027996
HUF	0.003480	ZAR	0.062929
ILS	0.252470		

## Codes

Code	Meaning	Code (Cont.)	Meaning (Cont.)
A	Assignment	LT	Long Term P/L
AEx	Automatic exercise for dividend-related recommendation.	Lo	Direct Loan
Adj	Adjustment	M	Entered manually by IB
Al	Allocation	MEx	Manual exercise for dividend-related recommendation.
Aw	Away Trade	ML	Maximize Losses tax basis election
B	Automatic Buy-in	MLG	Maximize Long Term Gain tax basis election
Bo	Direct Borrow	MLL	Maximize Long Term Loss tax basis election
C	Closing Trade	MSG	Maximize Short Term Gain tax basis election
CD	Cash Delivery	MSL	Maximize Short Term Loss tax basis election
CP	Complex Position	O	Opening Trade
Ca	Cancelled	P	Partial Execution
Co	Corrected Trade	PI	Price Improvement
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
ETF	ETF Creation/Redemption	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
Ep	Resulted from an Expired Position	R	Dividend Reinvestment
Ex	Exercise	RED	Redemption to Investor
G	Trade in Guaranteed Account Segment	Re	Interest or Dividend Accrual Reversal
HC	Highest Cost tax basis election	Ri	Reimbursement
HFI	Investment Transferred to Hedge Fund	SI	This order was solicited by Interactive Brokers
HFR	Redemption from Hedge Fund	SL	Specific Lot tax basis election
I	Internal Transfer	SO	This order was marked as solicited by your Introducing Broker
IA	This transaction was executed against an IB affiliate	SS	Customer designated this trade for shortened settlement and so is subject to execution at prices above the prevailing market
INV	Investment Transfer from Investor	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 25.20 USD
LD	Adjusted by Loss Disallowed from Wash Sale	T	Transfer
LI	Last In, First Out (LIFO) tax basis election		

## Notes/Legal Notes

### Notes

1. Most stock exchange transactions settle on the trade date plus three 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. For instance, stock transactions on XETRA settle on trade date plus two business days.) 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.
7. Trade execution times are displayed in Eastern Time.
8. 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).
9. 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.
10. 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.

### 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: [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.

### Legal Notes

1. **Please promptly report any inaccuracy or discrepancy in this statement, or in your account to Interactive Brokers and to GWM GROUP INC, using the contact information below. 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.)**

**GWM GROUP INC, [WWW.GWMGROUPINC.COM](http://WWW.GWMGROUPINC.COM), 6462061788**

2. Unless otherwise noted, Interactive Brokers acted as agent in the execution of the above transactions. For those exchanges where IB is not self-clearing, IB may use one of the following clearing agents: Interactive Brokers Canada Inc., Interactive Brokers Hong Kong Limited, Interactive Brokers Securities Japan, Inc., Interactive Brokers (U.K.) Limited, Timber Hill Europe AG, Timber Hill LLC, ABN Amro Clearing Singapore Pte. Ltd., ABN Amro Clearing Sydney Pty Ltd., BBVA Bancomer, S.A., BNP Securities Services, Milan Branch, Citibank International plc, Euroclear Bank S.A./N.V., Shinhan Securities Co., Ltd., Skandinaviska Enskilda Banken AB.
3. 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.
4. Trades marked with the exchange indicator of TMBR 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.
5. 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.
6. 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).
7. 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.
8. Customer is requested to promptly advise GWM GROUP INC of any material change in Customer's investment objectives or financial situation.
9. Interactive Brokers LLC, member Securities Investor Protection Corporation (SIPC), provides execution, clearing and carrying services for your account pursuant to an agreement with GWM GROUP INC.
10. 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.
11. 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: 244380, 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.



## Notes/Legal Notes

12. 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 SEOCH, the CCASS Rules and the laws of Hong Kong, which shall be binding on both Interactive Brokers LLC and the client.
13. Deposits held away from Interactive Brokers LLC may not qualify under SIPC protection.

**SIPC Member**

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