



## Activity Statement

August 1, 2016 – August 31, 2016

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

## Account Information

Name	IA Capital Structures ( Ireland ) Plc Series 2015-24
Account	U1505814
Master Name	GWM Ltd.
Account Type	Broker Client
Customer Type	Corporate
Account Capabilities	Portfolio Margin
Trading Permissions	Stocks,Options,Warrants,Bonds,Forex,Stock Loan,Stock Borrow,Mutual Funds
Base Currency	USD

## Net Asset Value

	July 31, 2016	August 31, 2016			Change	Change in NAV	
	Total	Long	Short	Total		Total	
Cash	-210,916.54	0.00	-171,183.86	-171,183.86	39,732.68	Starting Value	3,267,787.24
Stock	3,479,021.90	2,742,733.11	0.00	2,742,733.11	-736,288.79	Mark-to-Market	-785,148.74
Interest Accruals	-318.12	0.00	-545.60	-545.60	-227.48	Deposits & Withdrawals	91,720.47
Total	3,267,787.24	2,742,733.11	-171,729.46	2,571,003.65	-696,783.59	Dividends	571.57
Time Weighted Rate of Return					-23.46%	Interest	-356.77
						Change in Interest Accruals	-230.76
						Commissions	-3,342.64
						Other FX Translations	3.27
						Ending Value	2,571,003.65

## Mark-to-Market Performance Summary

Symbol	Quantity		Price		Mark-to-Market P/L					Code
	Prior	Current	Prior	Current	Position	Transaction	Commissions	Other	Total	
Stocks										
AG	14,165	14,165	17.3400	12.0200	-75,357.80	0.00	0.00	0.00	-75,357.80	
ASM	70,000	90,000	2.7400	2.0500	-60,900.00	-1,400.00	-496.05	0.00	-62,796.05	
EXK	25,000	30,370	4.8500	4.3200	-18,673.70	-693.30	-123.71	0.00	-19,490.71	
FSM	10,000	13,540	8.7200	7.4600	-18,405.60	-953.59	-86.78	0.00	-19,445.97	
GDXJ	21,036	20,036	50.0700	41.7600	-173,769.16	310.14	-32.27	0.00	-173,491.29	
GPL	175,000	175,000	1.4500	1.2000	-43,750.00	0.00	0.00	0.00	-43,750.00	
IAG	68,634	68,634	5.1700	3.7000	-100,891.98	0.00	0.00	0.00	-100,891.98	
JNUG	880	12,800	291.6600	15.9700	-149,106.80	-1,767.78	-82.41	0.00	-150,956.99	
MUX	114,313	114,313	4.4400	3.4300	-115,456.13	0.00	0.00	571.57	-114,884.56	
PHYS	17,837	8,837	11.2700	10.7900	-7,726.76	207.53	-234.89	0.00	-7,754.12	
PSLV	22,007	0	7.8700	--	-4,851.40	247.17	-545.62	0.00	-5,149.85	
SIL	19,749	42,294	2.1700	3.0800	15,100.71	-1,690.12	-439.52	0.00	12,971.06	
USA	0	265,632	--	0.3150	-25,610.00	-231.29	-1,301.38	0.00	-27,142.66	
Total					-779,398.62	-5,971.24	-3,342.64	571.57	-788,140.93	
Forex										
CAD	-40,966.19	-230,323.13	0.76681	0.76308	221.12	0.00	0.00	0.00	221.12	
USD	-179,503.25	4,571.12	1.0000	1.0000	0.00	0.00	0.00	0.00	0.00	
Total					221.12	0.00	0.00	0.00	221.12	
Total (All Assets)					-779,177.50	-5,971.24	-3,342.64	571.57	-787,919.81	
Broker Interest Paid and Received									-356.77	

Total P/L for Statement Period

-788,276.58

## Realized &amp; 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													
AG	0.00	0.00	0.00	0.00	0.00	0.00	19,037.16	-31,168.68	0.00	0.00	-12,131.52	-12,131.52	
ASM	0.00	0.00	0.00	0.00	0.00	0.00	0.00	-84,041.27	0.00	0.00	-84,041.27	-84,041.27	
EXK	0.00	0.00	0.00	0.00	0.00	0.00	10,863.05	-6,240.71	0.00	0.00	4,622.33	4,622.33	
FSM	0.00	0.00	0.00	0.00	0.00	0.00	2,234.49	-14,571.86	0.00	0.00	-12,337.37	-12,337.37	
GDXJ	0.00	23,465.30	0.00	0.00	0.00	23,465.30	272,471.86	0.00	0.00	0.00	272,471.86	295,937.16	
GPL	0.00	0.00	0.00	0.00	0.00	0.00	0.00	-89,275.29	0.00	0.00	-89,275.29	-89,275.29	
IAG	0.00	0.00	0.00	0.00	0.00	0.00	85,910.36	-732.93	1,046.15	0.00	86,223.58	86,223.58	
JNUG	0.00	0.00	0.00	0.00	0.00	0.00	1,229.48	-71,590.74	0.00	0.00	-70,361.27	-70,361.27	
MUX	-571.57	0.00	0.00	0.00	0.00	0.00	106,987.40	-1,801.24	74,163.65	0.00	179,349.81	179,349.81	
PHYS	0.00	3,394.99	0.00	7,193.04	0.00	10,588.03	4,677.48	0.00	0.00	0.00	4,677.48	15,265.52	
PSLV	0.00	30,809.58	0.00	0.00	0.00	30,809.58	0.00	0.00	0.00	0.00	0.00	30,809.58	
SIL	0.00	0.00	0.00	0.00	0.00	0.00	15,155.19	-792.61	0.00	0.00	14,362.57	14,362.57	
USA	0.00	0.00	0.00	0.00	0.00	0.00	0.00	-26,864.59	0.00	0.00	-26,864.59	-26,864.59	
Total	-571.57	57,669.87	0.00	7,193.04	0.00	64,862.91	518,566.47	-327,079.92	75,209.80	0.00	266,696.35	331,559.27	
Forex													
CAD	0.00	0.00	0.00	0.00	0.00	0.00	152.80	-409.03	0.00	0.00	-256.23	-256.23	
Total	0.00	0.00	0.00	0.00	0.00	0.00	152.80	-409.03	0.00	0.00	-256.23	-256.23	
Total (All Assets)	-571.57	57,669.87	0.00	7,193.04	0.00	64,862.91	518,719.27	-327,488.95	75,209.80	0.00	266,440.12	331,303.04	

## Cash Report

	Total	Securities	Futures
<b>Base Currency Summary</b>			
<b>Cash Detail</b>			
Starting Cash	-210,916.54	-210,916.54	0.00
Commissions	-3,342.64	-3,342.64	0.00
Deposits	102,348.50	102,348.50	0.00
Withdrawals	-10,628.03	-10,628.03	0.00
Dividends	571.57	571.57	0.00
Broker Interest Paid and Received	-356.77	-356.77	0.00
Net Trades (Sales)	309,853.53	309,853.53	0.00
Net Trades (Purchase)	-358,457.26	-358,457.26	0.00
Cash FX Translation Gain/Loss	-256.23	-256.23	0.00
Ending Cash	-171,183.86	-171,183.86	0.00
Ending Settled Cash	-254,999.55	-254,999.55	0.00
<b>CAD</b>			
<b>Cash Detail</b>			
Starting Cash	-40,966.19	-40,966.19	0.00
Commissions	-2,288.16	-2,288.16	0.00
Broker Interest Paid and Received	-0.09	-0.09	0.00
Net Trades (Purchase)	-187,068.69	-187,068.69	0.00
Ending Cash	-230,323.13	-230,323.13	0.00
Ending Settled Cash	-230,323.13	-230,323.13	0.00
<b>USD</b>			
<b>Cash Detail</b>			
Starting Cash	-179,503.25	-179,503.25	0.00
Commissions	-1,601.73	-1,601.73	0.00
Deposits	102,348.50	102,348.50	0.00

Withdrawals	-10,628.03	-10,628.03	0.00
Dividends	571.57	571.57	0.00
Broker Interest Paid and Received	-356.70	-356.70	0.00
Net Trades (Sales)	309,853.53	309,853.53	0.00
Net Trades (Purchase)	-216,112.77	-216,112.77	0.00
Ending Cash	4,571.12	4,571.12	0.00
Ending Settled Cash	-79,244.57	-79,244.57	0.00

## Open Positions

Symbol	Open	Quantity	Mult	Cost Price	Cost Basis	Close Price	Value	Unrealized P/L	Code
Stocks									
CAD									
+SIL	-	42,294	1	2.634976	111,443.67	3.0800	130,265.52	18,821.85	
+USA	-	265,632	1	0.4475347	118,879.55	0.3150	83,674.08	-35,205.47	
Total					230,323.22		213,939.60	-16,383.62	
Total in USD					175,755.04		163,253.03	-12,502.01	
USD									
+AG	-	14,165	1	12.876443	182,394.82	12.0200	170,263.30	-12,131.52	SY
+ASM	-	90,000	1	2.9837919	268,541.27	2.0500	184,500.00	-84,041.27	SY
+EXK	-	30,370	1	4.1677993	126,576.07	4.3200	131,198.40	4,622.33	SY
+FSM	-	13,540	1	8.3711795	113,345.77	7.4600	101,008.40	-12,337.37	SY
+GDXJ	-	20,036	1	28.1608855	564,231.50	41.7600	836,703.36	272,471.86	
+GPL	-	175,000	1	1.7101445	299,275.29	1.2000	210,000.00	-89,275.29	SY
+IAG	-	68,634	1	2.4437191	167,722.22	3.7000	253,945.80	86,223.58	SY
+JNUG	-	12,800	1	21.4669739	274,777.27	15.9700	204,416.00	-70,361.27	
+MUX	-	114,313	1	1.8610637	212,743.78	3.4300	392,093.59	179,349.81	SY
+PHYS	-	8,837	1	10.2606934	90,673.75	10.7900	95,351.23	4,677.48	SY
Total					2,300,281.71		2,579,480.08	279,198.37	
Total Stocks in USD					2,476,036.76		2,742,733.11	266,696.35	

## Forex Balances

Description	Open	Quantity	Cost Price	Cost Basis in USD	Close Price	Value in USD	Unrealized P/L in USD	Code
Forex								
USD								
+CAD	-	-230,323.13	0.7619675	175,498.74	0.76308	-175,754.97	-256.23	
USD	-	4,571.12	0.0000	0.00	1.0000	4,571.12	0.00	
Total				175,498.74		-171,183.86	-256.23	

## Net Stock Position Summary

Symbol	Description	Shares at IB	Shares Borrowed	Shares Lent	Net Shares
Stocks					
CAD					
SIL	SILVERCREST METALS INC	42,294	0	0	42,294
USA	AMERICAS SILVER CORP	265,632	0	0	265,632
USD					
AG	FIRST MAJESTIC SILVER CORP	14,165	0	0	14,165
ASM	AVINO SILVER & GOLD MINES	90,000	0	0	90,000
EXK	ENDEAVOUR SILVER CORP	30,370	0	0	30,370
FSM	FORTUNA SILVER MINES INC	13,540	0	0	13,540
GDXJ	VANECK VECTORS JUNIOR GOLD M	20,036	0	0	20,036
GPL	GREAT PANTHER SILVER LTD	175,000	0	0	175,000
IAG	IAMGOLD CORPORATION	68,634	0	0	68,634
JNUG	DIRXN DAILY JR BULL GOLD 3X	12,800	0	0	12,800
MUX	MCEWEN MINING INC	114,313	0	0	114,313

PHYS	SPROTT PHYSICAL GOLD TRUST	8,837	0	0	8,837
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### Trades

Symbol	Date/Time	Exchange	Quantity	T. Price	C. Price	Proceeds	Comm/Fee	Basis	Realized P/L	MTM P/L	Code
<b>Stocks</b>											
<b>CAD</b>											
+SIL	2016-08-08, 13:52:34	-	10,000	3.1000	3.0800	-31,000.00	-273.80	31,273.80	0.00	-200.00	O;P
+SIL	2016-08-09, 10:18:34	-	12,545	3.100833	2.9400	-38,899.95	-303.55	39,203.50	0.00	-2,017.65	O;P
Total SIL			22,545			-69,899.95	-577.35	70,477.30	0.00	-2,217.65	
+USA	2016-08-08, 10:51:38	-	100,000	0.439625	0.4350	-43,962.50	-753.35	44,715.85	0.00	-462.50	O;P
+USA	2016-08-08, 13:45:30	-	100,000	0.4400	0.4350	-44,000.00	-520.40	44,520.40	0.00	-500.00	O;P
+USA	2016-08-09, 10:09:58	-	65,632	0.4450	0.4550	-29,206.24	-437.06	29,643.30	0.00	656.32	O;P
Total USA			265,632			-117,168.74	-1,710.81	118,879.55	0.00	-306.18	
Total						-187,068.69	-2,288.16	189,356.85	0.00	-2,523.83	
Total in USD						-142,344.49	-1,740.90	144,085.39	0.00	-1,921.41	
<b>USD</b>											
+ASM	2016-08-08, 10:49:34	-	20,000	2.7500	2.6800	-55,000.00	-496.05	55,496.05	0.00	-1,400.00	O;P
Total ASM			20,000			-55,000.00	-496.05	55,496.05	0.00	-1,400.00	
+EXK	2016-08-09, 10:09:48	-	5,370	5.4591061	5.3300	-29,315.40	-123.71	29,439.11	0.00	-693.30	O;P
Total EXK			5,370			-29,315.40	-123.71	29,439.11	0.00	-693.30	
+FSM	2016-08-09, 10:09:51	-	3,540	9.3693757	9.1000	-33,167.59	-86.78	33,254.37	0.00	-953.59	O;P
Total FSM			3,540			-33,167.59	-86.78	33,254.37	0.00	-953.59	
+GDJ	2016-08-30, 13:36:57	-	-1,000	43.11014	42.8000	43,110.14	-32.27	-19,612.57	23,465.30	310.14	C;P
Total GDJ			-1,000			43,110.14	-32.27	-19,612.57	23,465.30	310.14	
+JNUG	2016-08-11, 10:03:32	-	100	326.5800	306.2100	-32,658.00	-12.26	32,670.26	0.00	-2,037.00	O
+JNUG	2016-08-18, 11:48:50	-	100	307.2700	316.8100	-30,727.00	-12.26	30,739.26	0.00	954.00	O
+JNUG	2016-08-30, 13:37:40	-	2,000	17.62239	17.2800	-35,244.78	-57.89	35,302.67	0.00	-684.78	O;P
Total JNUG			2,200			-98,629.78	-82.41	98,712.19	0.00	-1,767.78	
+PHYS	2016-08-08, 10:59:12	-	-2,000	11.1011	11.1200	22,202.20	-55.93	-19,270.00	2,876.27	-37.80	C;P
+PHYS	2016-08-30, 13:43:03	-	-7,000	10.8500471	10.8150	75,950.33	-178.96	-68,059.61	7,711.76	245.33	C;P
Total PHYS			-9,000			98,152.53	-234.89	-87,329.61	10,588.03	207.53	
+PSLV	2016-08-08, 13:44:31	-	-5,000	7.630492	7.6200	38,152.46	-117.31	-31,303.07	6,732.07	52.46	C;P
+PSLV	2016-08-08, 13:52:11	-	-4,000	7.630535	7.6200	30,522.14	-96.33	-24,998.08	5,427.74	42.14	C;P
+PSLV	2016-08-09, 10:09:44	-	-13,007	7.6817298	7.6700	99,916.26	-331.98	-80,934.51	18,649.77	152.57	C;P
Total PSLV			-22,007			168,590.86	-545.62	-137,235.66	30,809.58	247.17	
Total						93,740.76	-1,601.73	-27,276.11	64,862.91	-4,049.83	

### Corporate Actions

Report Date	Date/Time	Description	Quantity	Proceeds	Value	Realized P/L	Code
<b>Stocks</b>							

USD

2016-08-25	2016-08-24, 20:25:00	JNUG(US25490K5544) Split 10 for 1 (JNUG, DIRXN DAILY JR BULL GOLD 3X, 25490K554)	9,720	0.00	0.00	0.00
Total				0.00	0.00	0.00

## Deposits &amp; Withdrawals

Date	Description	Amount
USD		
2016-08-04	Disbursement Initiated by Rory Williams	-10,628.03
2016-08-11	Electronic Fund Transfer	42,143.50
2016-08-18	Electronic Fund Transfer	60,205.00
Total		91,720.47

## Dividends

## Interest

## Interest Accruals

## Base Currency Summary

Starting Accrual Balance	-318.12
Interest Accrued	-587.53
Accrual Reversal	356.77
FX Translation	3.27
Ending Accrual Balance	-545.60

## CAD

Starting Accrual Balance	0.00
Interest Accrued	-373.36
Accrual Reversal	0.09
Ending Accrual Balance	-373.27
Ending Accrual Balance in USD	-284.83

## USD

Starting Accrual Balance	-318.12
Interest Accrued	-299.35
Accrual Reversal	356.70
Ending Accrual Balance	-260.77

## Change in Dividend Accruals

Symbol	Date	Ex Date	Pay Date	Quantity	Tax	Fee	Gross Rate	Gross Amnt	Net Amnt	Code
Starting Dividend Accruals in USD									0.00	
Stocks										
USD										
MUX	2016-08-19	2016-08-22	2016-08-29	114,313	73.45	0.00	0.00	571.57	498.12	Po
MUX	2016-08-19	2016-08-22	2016-08-29	114,313	72.84	0.00	0.00	571.56	498.72	Po
MUX	2016-08-19	2016-08-22	2016-08-29	114,313	85.73	0.00	0.00	571.56	485.83	Po
MUX	2016-08-19	2016-08-22	2016-08-29	114,313	-73.45	0.00	0.00	-571.57	-498.12	Re
MUX	2016-08-19	2016-08-22	2016-08-29	114,313	-72.84	0.00	0.00	-571.56	-498.72	Re
MUX	2016-08-29	2016-08-22	2016-08-29	114,313	-85.73	0.00	0.00	-571.56	-485.83	Re
Total					0.00	0.00		0.00	0.00	
Ending Dividend Accruals in USD									0.00	

## Financial Instrument Information

Symbol	Description	Conid	Security ID	Multiplier	Code
Stocks					
AG	FIRST MAJESTIC SILVER CORP	41855679		1	
ASM	AVINO SILVER & GOLD MINES	37028040		1	
EXK	ENDEAVOUR SILVER CORP	36525494		1	
FSM	FORTUNA SILVER MINES INC	39924435		1	
GDJX	VANECK VECTORS JUNIOR GOLD M	229726197		1	

GPL	GREAT PANTHER SILVER LTD	71419603		1
IAG	IAMGOLD CORPORATION	16671499		1
JNUG	DIRXN DAILY JR BULL GOLD 3X	202915602		1
MUX	MCEWEN MINING INC	101321040		1
PHYS	SPROTT PHYSICAL GOLD TRUST	73062564		1
PSLV	SPROTT PHYSICAL SILVER TRUST	80425147		1
SIL	SILVERCREST METALS INC	209262119	CA8283631015	1
USA	AMERICAS SILVER CORP	195561101	CA03063L1013	1

## Codes

## Notes/Legal Notes

### Notes

- 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.
- Initial and maintenance margin requirements are available within the Account Window of the Trader Workstation.
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- Quantities preceded by a "-" sign indicate sell transactions. Other transactions are purchases.
- 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.
- 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.
- 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.
- 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

- 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

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- 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 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.
- 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 Ltd. 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 Ltd..
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.
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.

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