

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

Account Information

Name	IA Capital Structures (Ireland) Plc S 59
Account	U1809856
Master Name	GWM Ltd.
Account Type	Broker Client
Customer Type	Corporate
Account Capabilities	Portfolio Margin
Trading Permissions	Stocks,Options,Warrants,Bonds,Forex,Futures,Futures Options
Base Currency	USD

Net Asset Value

	June 30, 2016		July 31, 2016			Change	Change in NAV		Total
	Total	Long	Short		Total				
Cash	0.00	414,580.56	0.00		414,580.56	414,580.56	Starting Value		0.00
Options	0.00	0.00	-16,424.77		-16,424.77	-16,424.77	Mark-to-Market		-1,739.77
Total	0.00	414,580.56	-16,424.77		398,155.79	398,155.79	Deposits & Withdrawals		400,000.00
						-0.46%	Commissions		-104.44
Time Weighted Rate of Return							Ending Value		398,155.79

Mark-to-Market Performance Summary

Symbol	Quantity		Price		Mark-to-Market P/L						Code
	Prior	Current	Prior	Current	Position	Transaction	Commissions	Other	Total		
Equity and Index Options											
SPX 20JUL16 2120.0 P	0	0	--	--	189.94	80.06	-7.79	0.00	262.21		
SPX 20JUL16 2135.0 P	0	0	--	--	60.00	10.00	-3.96	0.00	66.04		
SPX 20JUL16 2145.0 P	0	0	--	--	-111.34	-48.66	-3.96	0.00	-163.96		
SPX 20JUL16 2150.0 P	0	0	--	--	-866.78	-73.22	-7.79	0.00	-947.79		
SPX 20JUL16 2170.0 P	0	0	--	--	0.00	-190.00	-3.96	0.00	-193.96		
SPX 22JUL16 2150.0 P	0	0	--	--	102.50	-132.50	-6.33	0.00	-36.33		
SPX 22JUL16 2160.0 P	0	0	--	--	-274.00	354.00	-6.51	0.00	73.49		
SPX 27JUL16 2110.0 P	0	0	--	--	172.59	-100.59	-12.19	0.00	59.81		
SPX 27JUL16 2115.0 P	0	0	--	--	199.96	10.04	-4.14	0.00	205.86		
SPX 27JUL16 2120.0 P	0	0	--	--	346.26	58.74	-11.89	0.00	393.11		
SPX 27JUL16 2125.0 P	0	0	--	--	-270.14	-19.86	-4.14	0.00	-294.14		

Mark-to-Market Performance Summary

Symbol	Quantity		Price		Mark-to-Market P/L					Code
	Prior	Current	Prior	Current	Position	Transaction	Commissions	Other	Total	
SPX 27JUL16 2130.0 P	0	0	--	--	-247.32	-142.68	-6.21	0.00	-396.21	
SPX 27JUL16 2135.0 P	0	0	--	--	-577.77	7.77	-6.21	0.00	-576.21	
SPX 27JUL16 2150.0 P	0	0	--	--	52.65	545.35	-12.73	0.00	585.27	
SPX 19AUG16 2010.0 C	0	-1	--	164.2477	-1,014.85	140.08	-6.60	0.00	-881.37	
Total					-2,238.30	498.53	-104.44	0.00	-1,844.21	
Forex										
USD	0.00	414,580.56	1.0000	1.0000	0.00	0.00	0.00	0.00	0.00	
Total					0.00	0.00	0.00	0.00	0.00	
Total (All Assets)					-2,238.30	498.53	-104.44	0.00	-1,844.21	

Realized & Unrealized Performance Summary

		Realized					Unrealized						
Symbol	Cost Adj.	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
Equity and Index Options													
SPX 20JUL16 2120.0 P	0.00	262.21	0.00	0.00	0.00	262.21	0.00	0.00	0.00	0.00	0.00	262.21	
SPX 20JUL16 2135.0 P	0.00	66.04	0.00	0.00	0.00	66.04	0.00	0.00	0.00	0.00	0.00	66.04	
SPX 20JUL16 2145.0 P	0.00	0.00	-163.96	0.00	0.00	-163.96	0.00	0.00	0.00	0.00	0.00	-163.96	
SPX 20JUL16 2150.0 P	0.00	0.00	-947.79	0.00	0.00	-947.79	0.00	0.00	0.00	0.00	0.00	-947.79	
SPX 20JUL16 2170.0 P	0.00	0.00	-193.96	0.00	0.00	-193.96	0.00	0.00	0.00	0.00	0.00	-193.96	
SPX 22JUL16 2150.0 P	0.00	83.02	-119.35	0.00	0.00	-36.33	0.00	0.00	0.00	0.00	0.00	-36.33	
SPX 22JUL16 2160.0 P	0.00	260.56	-187.07	0.00	0.00	73.49	0.00	0.00	0.00	0.00	0.00	73.49	
SPX 27JUL16 2110.0 P	0.00	59.81	0.00	0.00	0.00	59.81	0.00	0.00	0.00	0.00	0.00	59.81	
SPX 27JUL16 2115.0 P	0.00	205.86	0.00	0.00	0.00	205.86	0.00	0.00	0.00	0.00	0.00	205.86	
SPX 27JUL16 2120.0 P	0.00	393.11	0.00	0.00	0.00	393.11	0.00	0.00	0.00	0.00	0.00	393.11	
SPX 27JUL16 2125.0 P	0.00	0.00	-294.14	0.00	0.00	-294.14	0.00	0.00	0.00	0.00	0.00	-294.14	
SPX 27JUL16 2130.0 P	0.00	0.00	-396.21	0.00	0.00	-396.21	0.00	0.00	0.00	0.00	0.00	-396.21	
SPX 27JUL16 2135.0 P	0.00	0.00	-576.21	0.00	0.00	-576.21	0.00	0.00	0.00	0.00	0.00	-576.21	
SPX 27JUL16 2150.0 P	0.00	585.27	0.00	0.00	0.00	585.27	0.00	0.00	0.00	0.00	0.00	585.27	
SPX 19AUG16 2010.0 C	0.00	0.00	0.00	0.00	0.00	0.00	0.00	-881.37	0.00	0.00	-881.37	-881.37	
Total	0.00	1,915.87	-2,878.71	0.00	0.00	-962.84	0.00	-881.37	0.00	0.00	-881.37	-1,844.21	
Total (All Assets)	0.00	1,915.87	-2,878.71	0.00	0.00	-962.84	0.00	-881.37	0.00	0.00	-881.37	-1,844.21	

Cash Report

	Total	Securities	Futures
Base Currency Summary			
Starting Cash	0.00	0.00	0.00
Commissions	-104.44	-104.44	0.00
Deposits	400,000.00	400,000.00	0.00
Net Trades (Sales)	18,443.00	18,443.00	0.00
Net Trades (Purchase)	-3,758.00	-3,758.00	0.00
Ending Cash	414,580.56	414,580.56	0.00

Cash Report

	Total	Securities	Futures
Ending Settled Cash	414,580.56	414,580.56	0.00

Open Positions

Symbol	Quantity	Mult	Cost Price	Cost Basis	Close Price	Value	Unrealized P/L	Code
Equity and Index Options								
USD								
SPX 19AUG16 2010.0 C	-1	100	155.434036	-15,543.40	164.2477	-16,424.77	-881.37	
Total				-15,543.40		-16,424.77	-881.37	

Trades

Symbol	Date/Time	Quantity	T. Price	C. Price	Proceeds	Comm/Fee	Basis	Realized P/L	MTM P/L	Code
Equity and Index Options										
USD										
SPX 19AUG16 2010.0 C	2016-07-14, 09:57:39	-1	155.5000	154.0992	15,550.00	-6.60	-15,543.40	0.00	140.08	O
Total SPX 160819C02010000		-1			15,550.00	-6.60	-15,543.40	0.00	140.08	
SPX 20JUL16 2120.0 P	2016-07-14, 10:05:05	-2	1.3500	0.9497	270.00	-7.79	-262.21	0.00	80.06	O
SPX 20JUL16 2120.0 P	2016-07-20, 16:20:00	2	0.0000	0.0000	0.00	0.00	262.21	262.21	0.00	C;Ep
Total SPXW 160720P02120000		0			270.00	-7.79	0.00	262.21	80.06	
SPX 20JUL16 2135.0 P	2016-07-19, 15:18:42	-2	0.3500	0.3000	70.00	-3.96	-66.04	0.00	10.00	O
SPX 20JUL16 2135.0 P	2016-07-20, 16:20:00	2	0.0000	0.0000	0.00	0.00	66.04	66.04	0.00	C;Ep
Total SPXW 160720P02135000		0			70.00	-3.96	0.00	66.04	10.00	
SPX 20JUL16 2145.0 P	2016-07-19, 15:18:42	2	0.8000	0.5567	-160.00	-3.96	163.96	0.00	-48.66	O
SPX 20JUL16 2145.0 P	2016-07-20, 16:20:00	-2	0.0000	0.0000	0.00	0.00	-163.96	-163.96	0.00	C;Ep
Total SPXW 160720P02145000		0			-160.00	-3.96	0.00	-163.96	-48.66	
SPX 20JUL16 2150.0 P	2016-07-14, 10:05:05	2	4.7000	4.3339	-940.00	-7.79	947.79	0.00	-73.22	O
SPX 20JUL16 2150.0 P	2016-07-20, 16:20:00	-2	0.0000	0.0000	0.00	0.00	-947.79	-947.79	0.00	C;Ep
Total SPXW 160720P02150000		0			-940.00	-7.79	0.00	-947.79	-73.22	
SPX 20JUL16 2170.0 P	2016-07-20, 11:10:07	2	0.9500	0.0000	-190.00	-3.96	193.96	0.00	-190.00	O
SPX 20JUL16 2170.0 P	2016-07-20, 16:20:00	-2	0.0000	0.0000	0.00	0.00	-193.96	-193.96	0.00	C;Ep
Total SPXW 160720P02170000		0			-190.00	-3.96	0.00	-193.96	-190.00	
SPX 22JUL16 2150.0 P	2016-07-21, 09:39:16	-2	0.8500	1.0250	170.00	-3.96	-166.04	0.00	-35.00	O
SPX 22JUL16 2150.0 P	2016-07-21, 14:10:09	1	2.0000	1.0250	-200.00	-2.37	83.02	-119.35	-97.50	C
SPX 22JUL16 2150.0 P	2016-07-22, 16:20:00	1	0.0000	0.0000	0.00	0.00	83.02	83.02	0.00	C;Ep
Total SPXW 160722P02150000		0			-30.00	-6.33	0.00	-36.33	-132.50	
SPX 22JUL16 2160.0 P	2016-07-21, 09:39:16	2	1.8500	2.7400	-370.00	-4.14	374.14	0.00	178.00	O
SPX 22JUL16 2160.0 P	2016-07-21, 14:10:09	-1	4.5000	2.7400	450.00	-2.37	-187.07	260.56	176.00	C
SPX 22JUL16 2160.0 P	2016-07-22, 16:20:00	-1	0.0000	0.0000	0.00	0.00	-187.07	-187.07	0.00	C;Ep
Total SPXW 160722P02160000		0			80.00	-6.51	0.00	73.49	354.00	
SPX 27JUL16 2110.0 P	2016-07-20, 15:52:47	-3	0.8500	0.8750	255.00	-5.94	-249.06	0.00	-7.50	O
SPX 27JUL16 2110.0 P	2016-07-25, 11:07:24	2	0.6000	0.2997	-120.00	-3.96	166.04	42.07	-60.06	C
SPX 27JUL16 2110.0 P	2016-07-25, 11:49:42	1	0.6300	0.2997	-63.00	-2.28	83.02	17.74	-33.03	C
Total SPXW 160727P02110000		0			72.00	-12.19	0.00	59.81	-100.59	

Trades

SPX 27JUL16 2115.0 P	2016-07-20, 14:10:56	-2	1.0500	0.9998	210.00	-4.14	-205.86	0.00	10.04	O
SPX 27JUL16 2115.0 P	2016-07-27, 16:20:00	2	0.0000	0.0000	0.00	0.00	205.86	205.86	0.00	C;Ep
Total SPXW 160727P02115000		0			210.00	-4.14	0.00	205.86	10.04	
SPX 27JUL16 2120.0 P	2016-07-22, 11:20:34	-3	0.9000	0.5771	270.00	-5.94	-264.06	0.00	96.87	O
SPX 27JUL16 2120.0 P	2016-07-22, 15:48:30	-3	0.4500	0.5771	135.00	-5.94	-129.06	0.00	-38.13	O
SPX 27JUL16 2120.0 P	2016-07-27, 16:20:00	6	0.0000	0.0000	0.00	0.00	393.11	393.11	0.00	C;Ep
Total SPXW 160727P02120000		0			405.00	-11.89	0.00	393.11	58.74	
SPX 27JUL16 2125.0 P	2016-07-20, 14:10:56	2	1.4500	1.3507	-290.00	-4.14	294.14	0.00	-19.86	O
SPX 27JUL16 2125.0 P	2016-07-27, 16:20:00	-2	0.0000	0.0000	0.00	0.00	-294.14	-294.14	0.00	C;Ep
Total SPXW 160727P02125000		0			-290.00	-4.14	0.00	-294.14	-19.86	
SPX 27JUL16 2130.0 P	2016-07-22, 11:20:34	3	1.3000	0.8244	-390.00	-6.21	396.21	0.00	-142.68	O
SPX 27JUL16 2130.0 P	2016-07-27, 16:20:00	-3	0.0000	0.0000	0.00	0.00	-396.21	-396.21	0.00	C;Ep
Total SPXW 160727P02130000		0			-390.00	-6.21	0.00	-396.21	-142.68	
SPX 27JUL16 2135.0 P	2016-07-20, 15:52:47	3	1.9000	1.9259	-570.00	-6.21	576.21	0.00	7.77	O
SPX 27JUL16 2135.0 P	2016-07-27, 16:20:00	-3	0.0000	0.0000	0.00	0.00	-576.21	-576.21	0.00	C;Ep
Total SPXW 160727P02135000		0			-570.00	-6.21	0.00	-576.21	7.77	
SPX 27JUL16 2150.0 P	2016-07-22, 15:48:30	3	1.5500	1.8737	-465.00	-6.21	471.21	0.00	97.11	O
SPX 27JUL16 2150.0 P	2016-07-25, 11:07:24	-2	3.5000	2.0492	700.00	-4.14	-314.14	381.71	290.16	C
SPX 27JUL16 2150.0 P	2016-07-25, 11:49:42	-1	3.6300	2.0492	363.00	-2.37	-157.07	203.56	158.08	C
Total SPXW 160727P02150000		0			598.00	-12.73	0.00	585.27	545.35	
Total					14,685.00	-104.44	-15,543.40	-962.84	498.53	

Deposits & Withdrawals

Date	Description	Amount
USD		
2016-07-13	Electronic Fund Transfer	400,000.00
Total		400,000.00

Financial Instrument Information

Symbol	Description	Conid	Multiplier	Expiry	Delivery Month	Type	Strike	Code
Equity and Index Options								
SPX 160819C02010000	SPX 19AUG16 2010.0 C	232539134	100	2016-08-19	2016-08	C	2010	
SPXW 160720P02120000	SPX 20JUL16 2120.0 P	237879215	100	2016-07-20	2016-07	P	2120	
SPXW 160720P02135000	SPX 20JUL16 2135.0 P	237879227	100	2016-07-20	2016-07	P	2135	
SPXW 160720P02145000	SPX 20JUL16 2145.0 P	237879235	100	2016-07-20	2016-07	P	2145	
SPXW 160720P02150000	SPX 20JUL16 2150.0 P	237879238	100	2016-07-20	2016-07	P	2150	
SPXW 160720P02170000	SPX 20JUL16 2170.0 P	237879255	100	2016-07-20	2016-07	P	2170	
SPXW 160722P02150000	SPX 22JUL16 2150.0 P	233322183	100	2016-07-22	2016-07	P	2150	
SPXW 160722P02160000	SPX 22JUL16 2160.0 P	235390560	100	2016-07-22	2016-07	P	2160	
SPXW 160727P02110000	SPX 27JUL16 2110.0 P	238547172	100	2016-07-27	2016-07	P	2110	
SPXW 160727P02115000	SPX 27JUL16 2115.0 P	240443329	100	2016-07-27	2016-07	P	2115	
SPXW 160727P02120000	SPX 27JUL16 2120.0 P	238547179	100	2016-07-27	2016-07	P	2120	
SPXW 160727P02125000	SPX 27JUL16 2125.0 P	238547182	100	2016-07-27	2016-07	P	2125	

Financial Instrument Information

SPXW 160727P02130000	SPX 27JUL16 2130.0 P	238547184	100	2016-07-27	2016-07	P	2130	
SPXW 160727P02135000	SPX 27JUL16 2135.0 P	240443332	100	2016-07-27	2016-07	P	2135	
SPXW 160727P02150000	SPX 27JUL16 2150.0 P	238547194	100	2016-07-27	2016-07	P	2150	

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
L	Ordered by IB (Margin Violation)	ST	Short Term P/L
LD	Adjusted by Loss Disallowed from Wash Sale	T	Transfer

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.
- 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.
- 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.

Notes/Legal Notes

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.
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. 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 Ltd., 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, 1-877-442-2757 (U.S.)
GWM Ltd., , 9176738589
2. 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 Canada Inc.; Interactive Brokers Hong Kong Limited; Interactive Brokers Securities Japan, Inc.; Interactive Brokers (U.K.) Limited; Timber Hill Europe AG; ABN Amro Clearing Singapore Pte. Ltd.; ABN Amro Clearing Sydney Pty Ltd.; BBVA Bancomer, S.A.; BNP Securities Services, Milan Branch; BMO Harris Bank N.A.; 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.
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 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 SECH, 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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