



BTGPACTUAL US CAPITAL LLC
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2019 Year-End Account Report

GLOBAL RAMOS INVESTMENTS LTD.
AV LUCIO COSTA 2320 APT 102
RIO DE JANEIRO RJ 22620172
BRAZIL

January 1, 2019 - December 31, 2019
Account Number: T14-002611

Your Account Executive:
BRUNO SALGADO

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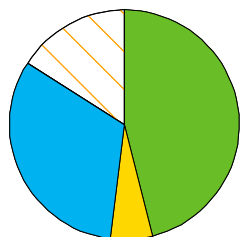
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Portfolio at a Glance

	Year-to-Date
BEGINNING ACCOUNT VALUE	\$2,082,073.63
Withdrawals (Cash & Securities)	-601,800.00
Dividends, Interest and Other Income	25,256.76
Fees	-335.44
Other Transactions	-2,957.69
Net Change in Portfolio¹	81,233.34
ENDING ACCOUNT VALUE	\$1,583,470.60
Estimated Annual Income	\$14,406.07

¹ Net Change in Portfolio is the difference between the ending account value and beginning account value after activity.

Asset Summary



Percent	Asset Type	Prior Year-End	12/31/19
46%	Cash, Money Funds, and Bank Deposits	913,750.05	738,442.90
6%	Fixed Income	640,900.00	89,880.00
32%	Equities	527,423.58	501,936.70
16%	Exchange-Traded Products	0.00	253,211.00
100%	Account Total (Pie Chart)	\$2,082,073.63	\$1,583,470.60

Please review your allocation periodically with your Account Executive.



Schedule of Realized Gains and Losses

Description	Date Disposed	Date Acquired	Designation	Disposition Method / Transaction	Quantity	Proceeds	Cost Basis	Realized Gain/Loss
Short Term								
AT&T INC COM Security Identifier: 00206R102	10/24/19	10/18/19	Covered	First In First Out / SELL	2,631.000	97,686.58	100,080.00	-2,393.42
ALPHABET INC CL A Security Identifier: 02079K305	08/02/19	05/02/19	Covered	First In First Out / SELL	42.000	50,409.97	48,990.42	1,419.55
AMAZON COM INC Security Identifier: 023135106	04/30/19	04/25/19	Covered	First In First Out / SELL	60.000	114,943.33	114,684.00	259.33
APPLE INC COM Security Identifier: 037833100	05/31/19	09/12/18	Covered	First In First Out / SELL	135.000	24,531.14	29,931.60	-5,400.46
	05/31/19	09/21/18	Covered	First In First Out / SELL	12.000	2,180.55	2,732.64	-552.09
	05/31/19	10/17/18	Covered	First In First Out / SELL	2,200.000	399,766.80	486,479.54	-86,712.74
	05/31/19	02/25/19	Covered	First In First Out / SELL	753.000	136,829.27	131,736.83	5,092.44
Total					3,100.000	563,307.76	650,880.61	-87,572.85
BANK OF AMERICA CORP M Security Identifier: 060505104	10/01/19	09/27/19	Covered	First In First Out / SELL	3,350.000	96,241.50	99,329.50	-3,088.00
	12/12/19	12/11/19	Covered	First In First Out / SELL	2,960.000	102,563.47	99,972.40	2,591.07
Total					6,310.000	198,804.97	199,301.90	-496.93
DISNEY WALT CO DISNE Security Identifier: 254687106	10/07/19	09/26/19	Covered	First In First Out / BUY	-760.000	99,721.93	99,406.18	315.75
JP MORGAN CHASE & CO US46625H1005 Security Identifier: 46625H100	01/16/19	01/15/19	Covered	First In First Out / BUY	-1,000.000	99,363.70	103,482.00	-4,118.30
MICROSOFT CORP COM Security Identifier: 594918104	11/15/19	10/30/19	Covered	First In First Out / SELL	690.000	102,218.95	99,834.60	2,384.35
NETFLIX INC COM Security Identifier: 64110L106	04/30/19	01/17/19	Covered	First In First Out / SELL	500.000	185,997.89	176,845.90	9,151.99
NIKE INC CL B Security Identifier: 654106103	12/03/19	11/25/19	Covered	First In First Out / SELL	1,065.000	97,493.53	99,841.91	-2,348.38
NVIDIA CORP COM Security Identifier: 67066G104	11/25/19	11/20/19	Covered	First In First Out / SELL	470.000	103,516.75	99,840.70	3,676.05
PROSHARES TR SHORT S Security Identifier: 74347B425	08/02/19	04/04/19	Covered	First In First Out / SELL	9,000.000	240,383.01	245,792.00	-5,408.99
ROKU INC COM CL A Security Identifier: 77543R102	11/27/19	11/20/19	Covered	First In First Out / SELL	330.000	53,691.83	52,182.87	1,508.96
	12/02/19	11/20/19	Covered	First In First Out / SELL	300.000	41,920.05	47,438.97	-5,518.92
Total					630.000	95,611.88	99,621.84	-4,009.96

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GLOBAL RAMOS INVESTMENTS LTD.

Schedule of Realized Gains and Losses (continued)

Description	Date Disposed	Date Acquired	Designation	Disposition Method / Transaction	Quantity	Proceeds	Cost Basis	Realized Gain/Loss
Short Term (continued)								
SOFTBANK CORP ADR IS D1090 Security Identifier: 83404D109	08/02/19	05/07/19	Covered	First In First Out / SELL	400.000	10,117.78	10,305.00	-187.22
STARBUCKS CORP COM Security Identifier: 855244109	02/01/19	01/15/19	Covered	First In First Out / SELL	1,547.000	104,851.83	100,037.43	4,814.40
	02/01/19	01/24/19	Covered	First In First Out / SELL	53.000	3,592.21	3,562.90	29.31
	02/01/19	02/01/19	Covered	First In First Out / SELL	1,600.000	108,444.03	107,320.55	1,123.48
Total					3,200.000	216,888.07	210,920.88	5,967.19
TESLA INC COM Security Identifier: 88160R101	04/30/19	04/24/19	Covered	First In First Out / SELL	400.000	95,519.02	103,664.52	-8,145.50
TWITTER INC COM Security Identifier: 90184L102	04/23/19	12/14/18	Covered	First In First Out / SELL	3,000.000	117,439.46	109,725.80	7,713.66
	04/30/19	12/14/18	Covered	First In First Out / SELL	2,470.000	99,233.91	90,340.90	8,893.01
Total					5,470.000	216,673.37	200,066.70	16,606.67
CALL PETROLEO BRASIL 17.00 Security Identifier: 99QALTCSH	10/24/19	08/13/19	Covered	First In First Out / BUY	-260.000	10,387.91	11,660.09	-1,272.18
PUT APPLE INC COM O 60.00 Security Identifier: 99QANWIKJ	02/05/19	01/31/19	Covered	First In First Out / SELL	31.000	485.81	3,854.06	-3,368.25
PUT APPLE INC COM O 00.00 Security Identifier: 99QAOM2R9	07/18/19	07/10/19	Covered	First In First Out / BUY	-31.000	3,957.71	506.20	3,451.51
PUT TWITTER INC COM 33.00 Security Identifier: 99QAOPIFQ	02/15/19	02/01/19	Covered	First In First Out / SELL	54.000	9,607.81	11,506.06	-1,898.25
PUT VALE S A ADR IS 11.00 Security Identifier: 99QAOTT2U	02/04/19	01/28/19	Covered	First In First Out / EXPIRE OPTION	201.000	0.00	6,388.63	-6,388.63

Schedule of Realized Gains and Losses (continued)

Description	Date Disposed	Date Acquired	Designation	Disposition Method / Transaction	Quantity	Proceeds	Cost Basis	Realized Gain/Loss
Short Term (continued)								
PUT VALE S A ADR IS 13.50 Security Identifier: 99QAOTT2Z	01/28/19	01/25/19	Covered	First In First Out / SELL	180.000	32,571.39	6,848.17	25,723.22
PUT INVESCO QQQ TR 160.00 Security Identifier: 99QAOWQR3	09/23/19	08/16/19	Covered	First In First Out / EXPIRE OPTION	125.000	0.00	5,256.74	-5,256.74
PUT APPLE INC COM O 67.50 Security Identifier: 99QA0Y4AQ	02/25/19	02/05/19	Covered	First In First Out / EXPIRE OPTION	31.000	0.00	4,753.18	-4,753.18
PUT NETFLIX INC COM 322.50 Security Identifier: 99QA00D4E	01/22/19	01/17/19	Covered	First In First Out / EXPIRE OPT SHT	-10.000	3,967.60	0.00	3,967.60
PUT NETFLIX INC COM 352.50 Security Identifier: 99QA00D4K	01/18/19	01/17/19	Covered	First In First Out / SELL	10.000	10,447.52	14,662.34	-4,214.82
CALL NETFLIX INC COM 352.50 Security Identifier: 99QA004GJ	02/11/19	01/17/19	Covered	First In First Out / EXPIRE OPTION	10.000	0.00	21,948.34	-21,948.34
PUT STARBU CKS CORP 65.50 Security Identifier: 99QA01MNI	01/28/19	01/24/19	Covered	First In First Out / EXPIRE OPTION	16.000	0.00	2,534.55	-2,534.55
CALL NETFLIX INC COM 377.50 Security Identifier: 99QA01W3X	02/11/19	01/17/19	Covered	First In First Out / EXPIRE OPT SHT	-20.000	21,541.02	0.00	21,541.02
CALL NETFLIX INC COM 375.00 Security Identifier: 99QA03LM2	09/23/19	08/13/19	Covered	First In First Out / EXPIRE OPT SHT	-10.000	427.60	0.00	427.60
PUT NETFLIX INC COM 300.00 Security Identifier: 99QA03LOR	09/20/19	08/15/19	Covered	First In First Out / SELL	5.000	15,997.47	8,177.19	7,820.28
PUT VALE S A ADR IS 11.00 Security Identifier: 99QA04F2M	09/23/19	08/30/19	Covered	First In First Out / EXPIRE OPTION	21.000	0.00	900.80	-900.80
PUT APPLE INC COM O 70.00 Security Identifier: 99QA04UZF	03/11/19	02/22/19	Covered	First In First Out / EXPIRE OPTION	30.000	0.00	4,603.16	-4,603.16

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Schedule of Realized Gains and Losses (continued)

Description	Date Disposed	Date Acquired	Designation	Disposition Method / Transaction	Quantity	Proceeds	Cost Basis	Realized Gain/Loss
Short Term (continued)								
PUT VALE S A ADR IS 11.00 Security Identifier: 99QA05J69	03/11/19	02/07/19	Covered	First In First Out / EXPIRE OPTION	180.000	0.00	8,468.88	-8,468.88
PUT APPLE INC COM O 70.00 Security Identifier: 99QA051VC	03/25/19	03/08/19	Covered	First In First Out / EXPIRE OPTION	30.000	0.00	7,213.16	-7,213.16
PUT APPLE INC COM 1 25.00 Security Identifier: 99QA08SSB	10/21/19	10/11/19	Covered	First In First Out / EXPIRE OPT SHT	-31.000	1,818.76	0.00	1,818.76
PUT APPLE INC COM O 87.50 Security Identifier: 99QAPBHM3	04/08/19	03/19/19	Covered	First In First Out / EXPIRE OPTION	31.000	0.00	9,713.20	-9,713.20
CALL APPLE INC COM O 97.50 Security Identifier: 99QAPCUIT	04/08/19	04/01/19	Covered	First In First Out / BUY	-31.000	1,384.78	10,178.20	-8,793.42
CALL APPLE INC COM O 05.00 Security Identifier: 99QAPCU1W	04/15/19	04/08/19	Covered	First In First Out / EXPIRE OPT SHT	-31.000	1,205.91	0.00	1,205.91
CALL NETFLIX INC COM 380.00 Security Identifier: 99QAPDBP4	04/15/19	04/01/19	Covered	First In First Out / EXPIRE OPT SHT	-10.000	1,707.58	0.00	1,707.58
CALL TWITTER INC COM 35.00 Security Identifier: 99QAPDIIM	04/15/19	04/01/19	Covered	First In First Out / EXPIRE OPT SHT	-54.000	913.88	0.00	913.88
CALL NETFLIX INC COM 380.00 Security Identifier: 99QAPEI7Y	04/16/19	04/12/19	Covered	First In First Out / BUY	-10.000	4,697.54	7,602.39	-2,904.85
PUT NETFLIX INC COM 360.00 Security Identifier: 99QAPEI8W	04/29/19	04/16/19	Covered	First In First Out / EXPIRE OPTION	10.000	0.00	12,952.39	-12,952.39

Schedule of Realized Gains and Losses (continued)

Description	Date Disposed	Date Acquired	Designation	Disposition Method / Transaction	Quantity	Proceeds	Cost Basis	Realized Gain/Loss
Short Term (continued)								
PUT APPLE INC COM O 00.00 Security Identifier: 99QAPE4C5	09/11/19	09/06/19	Covered	First In First Out / BUY	-31.000	2,221.77	661.18	1,560.59
CALL CBOE VOLATILITY 18.00 Security Identifier: 99QAPIP6K	08/01/19	05/17/19	Covered	First In First Out / SELL	70.000	15,185.35	15,614.72	-429.37
PUT NETFLIX INC COM 280.00 Security Identifier: 99QAPIXAP	10/18/19	09/20/19	Covered	First In First Out / SELL	5.000	2,022.76	11,027.19	-9,004.43
PUT APPLE INC COM O 90.00 Security Identifier: 99QAPJCJ7	05/13/19	04/30/19	Covered	First In First Out / EXPIRE OPTION	31.000	0.00	6,613.20	-6,613.20
PUT APPLE INC COM O 00.00 Security Identifier: 99QAPKHS	05/10/19	05/07/19	Covered	First In First Out / SELL	31.000	26,401.25	14,363.20	12,038.05
PUT APPLE INC COM O 05.00 Security Identifier: 99QAPKHRS	05/07/19	05/06/19	Covered	First In First Out / SELL	31.000	21,782.34	9,310.20	12,472.14
PUT APPLE INC COM O 07.50 Security Identifier: 99QAPKHRS	05/06/19	05/02/19	Covered	First In First Out / SELL	31.000	12,296.54	8,597.20	3,699.34
PUT NETFLIX INC COM 377.50 Security Identifier: 99QAPKHRS	05/24/19	05/02/19	Covered	First In First Out / SELL	5.000	10,672.58	4,627.19	6,045.39
PUT APPLE INC COM O 92.50 Security Identifier: 99QAPKOHG	05/13/19	05/10/19	Covered	First In First Out / SELL	31.000	25,161.27	15,913.20	9,248.07
CALL CBOE VOLATILITY 24.00 Security Identifier: 99QAPLQBC	10/17/19	08/16/19	Covered	First In First Out / EXPIRE OPTION	80.000	0.00	13,445.03	-13,445.03
PUT NETFLIX INC COM 305.00 Security Identifier: 99QAPM4OM	12/23/19	11/20/19	Covered	First In First Out / EXPIRE OPTION	5.000	0.00	5,452.19	-5,452.19
PUT APPLE INC COM O 90.00 Security Identifier: 99QAPOOVF	07/01/19	06/21/19	Covered	First In First Out / EXPIRE OPT SHT	-31.000	981.77	0.00	981.77

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Schedule of Realized Gains and Losses (continued)

Description	Date Disposed	Date Acquired	Designation	Disposition Method / Transaction	Quantity	Proceeds	Cost Basis	Realized Gain/Loss
Short Term (continued)								
PUT NETFLIX INC COM 352.50 Security Identifier: 99QAPS50Y	06/14/19	05/24/19	Covered	First In First Out / SELL	5.000	6,197.67	4,777.19	1,420.48
PUT APPLE INC COM O 87.50 Security Identifier: 99QAPT50A	06/24/19	06/11/19	Covered	First In First Out / EXPIRE OPT SHT	-31.000	4,298.70	0.00	4,298.70
PUT DIREXION SHS ET 29.00 Security Identifier: 99QAPWTGG	07/08/19	06/14/19	Covered	First In First Out / EXPIRE OPTION	34.000	0.00	9,438.32	-9,438.32
PUT NETFLIX INC COM 340.00 Security Identifier: 99QAPW56O	07/08/19	06/14/19	Covered	First In First Out / EXPIRE OPTION	5.000	0.00	5,702.19	-5,702.19
PUT PETROLEO BRASIL 15.00 Security Identifier: 99QAPW7ZO	07/08/19	06/14/19	Covered	First In First Out / EXPIRE OPTION	130.000	0.00	5,337.04	-5,337.04
PUT VALE S A ADR IS 13.00 Security Identifier: 99QAPXELA	07/08/19	06/14/19	Covered	First In First Out / EXPIRE OPTION	201.000	0.00	8,250.80	-8,250.80
PUT APPLE INC COM O 97.50 Security Identifier: 99QAPXX9F	07/10/19	07/08/19	Covered	First In First Out / BUY	-31.000	3,709.72	537.20	3,172.52
PUT APPLE INC COM O 97.50 Security Identifier: 99QAPY6MC	07/29/19	07/18/19	Covered	First In First Out / EXPIRE OPT SHT	-31.000	1,322.77	0.00	1,322.77
PUT APPLE INC COM O 00.00 Security Identifier: 99QAPY6MD	07/29/19	07/18/19	Covered	First In First Out / EXPIRE OPT SHT	-31.000	2,190.75	0.00	2,190.75
CALL APPLE INC COM O 10.00 Security Identifier: 99QAPOIT3	07/31/19	07/30/19	Covered	First In First Out / SELL	10.000	8,947.42	4,632.39	4,315.03

Schedule of Realized Gains and Losses *(continued)*

Description	Date Disposed	Date Acquired	Designation	Disposition Method / Transaction	Quantity	Proceeds	Cost Basis	Realized Gain/Loss
Short Term <i>(continued)</i>								
CALL CBOE VOLATILITY 15.00 Security Identifier: 99QAP1R3F	12/19/19	11/13/19	Covered	First In First Out / EXPIRE OPTION	80.000	0.00	17,045.10	-17,045.10
PUT APPLE INC COM O 97.50 Security Identifier: 99QAP1YES	07/18/19	07/11/19	Covered	First In First Out / BUY	-31.000	2,252.75	351.20	1,901.55
PUT INVESCO QQQ TR 171.00 Security Identifier: 99QAP3PBY	10/21/19	09/20/19	Covered	First In First Out / EXPIRE OPTION	125.000	0.00	4,631.76	-4,631.76
PUT PETROLEO BRASIL 13.00 Security Identifier: 99QAP4N1X	09/23/19	08/13/19	Covered	First In First Out / EXPIRE OPTION	130.000	0.00	4,166.93	-4,166.93
PUT APPLE INC COM O 87.50 Security Identifier: 99QAP4PWL	08/12/19	07/29/19	Covered	First In First Out / EXPIRE OPT SHT	-62.000	3,292.67	0.00	3,292.67
PUT APPLE INC COM O 85.00 Security Identifier: 99QAP5033	08/26/19	08/09/19	Covered	First In First Out / EXPIRE OPT SHT	-31.000	2,469.77	0.00	2,469.77
PUT APPLE INC COM O 87.50 Security Identifier: 99QAP5034	08/26/19	08/09/19	Covered	First In First Out / EXPIRE OPT SHT	-31.000	3,120.76	0.00	3,120.76
PUT VALE S A ADR IS 11.50 Security Identifier: 99QAP7LZX	08/30/19	08/13/19	Covered	First In First Out / SELL	21.000	653.18	711.80	-58.62
PUT NETFLIX INC COM 280.00 Security Identifier: 99QAQARQI	11/18/19	10/18/19	Covered	First In First Out / EXPIRE OPTION	5.000	0.00	6,427.19	-6,427.19
PUT APPLE INC COM O 97.50 Security Identifier: 99QAQAZOC	09/09/19	08/22/19	Covered	First In First Out / EXPIRE OPT SHT	-31.000	2,407.77	0.00	2,407.77
PUT APPLE INC COM O 00.00 Security Identifier: 99QAQAZOD	09/09/19	08/22/19	Covered	First In First Out / EXPIRE OPT SHT	-31.000	3,182.76	0.00	3,182.76
PUT APPLE INC COM 1 50.00 Security Identifier: 99QAQCA9D	11/18/19	11/08/19	Covered	First In First Out / EXPIRE OPT SHT	-31.000	1,415.76	0.00	1,415.76

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Schedule of Realized Gains and Losses (continued)

Description	Date Disposed	Date Acquired	Designation	Disposition Method / Transaction	Quantity	Proceeds	Cost Basis	Realized Gain/Loss
Short Term (continued)								
PUT APPLE INC COM 0 10.00 Security Identifier: 99QAQDP4Z	09/30/19	09/20/19	Covered	First In First Out / EXPIRE OPT SHT	-31.000	1,539.78	0.00	1,539.78
PUT APPLE INC COM 0 12.50 Security Identifier: 99QAQDP40	09/30/19	09/20/19	Covered	First In First Out / EXPIRE OPT SHT	-31.000	2,392.88	0.00	2,392.88
PUT APPLE INC COM 0 02.50 Security Identifier: 99QAQFL31	09/11/19	09/06/19	Covered	First In First Out / BUY	-31.000	3,058.75	847.18	2,211.57
CALL ISHARES INC MSC 43.00 Security Identifier: 99QAQGDJ	11/08/19	10/09/19	Covered	First In First Out / BUY	-270.000	21,317.06	29,530.47	-8,213.41
CALL PETROLEO BRASIL 18.00 Security Identifier: 99QAQG97B	10/24/19	09/16/19	Covered	First In First Out / BUY	-250.000	16,988.10	15,179.20	1,808.90
PUT APPLE INC COM 1 10.00 Security Identifier: 99QAQIID4	09/30/19	09/27/19	Covered	First In First Out / BUY	-31.000	2,314.76	537.18	1,777.58
PUT APPLE INC COM 1 12.50 Security Identifier: 99QAQIID5	09/30/19	09/27/19	Covered	First In First Out / BUY	-31.000	3,399.74	751.08	2,648.66
PUT APPLE INC COM 1 15.00 Security Identifier: 99QAQJNOO	10/14/19	10/04/19	Covered	First In First Out / EXPIRE OPT SHT	-31.000	2,252.75	0.00	2,252.75
PUT APPLE INC COM 1 27.50 Security Identifier: 99QAQKT5S	10/28/19	10/18/19	Covered	First In First Out / EXPIRE OPT SHT	-31.000	1,322.77	0.00	1,322.77
PUT APPLE INC COM 1 30.00 Security Identifier: 99QAQKT5T	10/28/19	10/18/19	Covered	First In First Out / EXPIRE OPT SHT	-31.000	1,942.75	0.00	1,942.75

Schedule of Realized Gains and Losses (continued)

Description	Date Disposed	Date Acquired	Designation	Disposition Method / Transaction	Quantity	Proceeds	Cost Basis	Realized Gain/Loss
Short Term (continued)								
PUT APPLE INC COM 1 27.50 Security Identifier: 99QAQOEI9	10/21/19	10/11/19	Covered	First In First Out / EXPIRE OPT SHT	-31.000	2,624.74	0.00	2,624.74
PUT APPLE INC COM 1 60.00 Security Identifier: 99QAQSCDW	11/20/19	11/15/19	Covered	First In First Out / BUY	-31.000	2,717.74	5,404.20	-2,686.46
PUT APPLE INC COM 1 57.50 Security Identifier: 99QAQUNOA	11/20/19	11/15/19	Covered	First In First Out / BUY	-31.000	1,694.76	3,358.20	-1,663.44
PUT APPLE INC COM 1 52.50 Security Identifier: 99QAQUZDM	11/18/19	11/08/19	Covered	First In First Out / EXPIRE OPT SHT	-31.000	2,097.75	0.00	2,097.75
PUT APPLE INC COM 1 60.00 Security Identifier: 99QAQYXAD	12/16/19	12/06/19	Covered	First In First Out / EXPIRE OPT SHT	-31.000	1,694.76	0.00	1,694.76
CALL NETFLIX INC COM 312.50 Security Identifier: 99QAQZJAJ	12/16/19	12/06/19	Covered	First In First Out / EXPIRE OPT SHT	-5.000	872.78	0.00	872.78
Total Short Term						2,940,198.73	3,056,528.01	-116,329.28
Total Short and Long Term						2,940,198.73	3,056,528.01	-116,329.28

Generally, securities acquired before 2011, in retirement accounts or held by Non-U.S. entities are not subject to the cost basis reporting rules set forth in the Internal Revenue Code of 1986, as amended by the Emergency Economic Stabilization Act of 2008, and are marked as "noncovered". Securities marked as "covered", were identified as securities potentially subject to the cost basis reporting rules and may be reported to the IRS on form 1099-B for the applicable tax year in which the securities are disposed.

Note: In the event where we cannot easily determine the taxability of an account, we may mark the account as noncovered. However, if the account does not receive a 1099B, the cost basis will not be reported to the IRS.

This Schedule may not reflect all cost basis adjustments necessary for tax reporting purposes, especially for noncovered securities. Adjustments to cost basis may have been made for prior income received and subsequently reclassified by the issuer as a return of capital. In addition, corporate action events may require adjustments to your original cost basis. Return of capital information and cost basis information, as it relates to corporate actions, has been obtained from sources we believe to be reliable.

Adjustments to cost basis can be made after year-end, in particular, for return of capital adjustments, but may also include adjustments for corporate action events. Therefore there may be differences in cost basis reflected on your monthly client brokerage statement at year end versus any subsequent reports, including your 1099-B or online displays you may have available to you.



BTG PACTUAL US CAPITAL LLC
601 LEXINGTON AVENUE
NEW YORK NY 10022-4611
TEL: (646) 924-2505

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GLOBAL RAMOS INVESTMENTS LTD.

Schedule of Realized Gains and Losses (continued)

When you report your cost basis on your tax return, it should be verified using all of your own records. In particular, there may be other adjustments which you need to make, but are not required to be made by Pershing as it relates to H.R. 1424. You should consult with your tax advisor in order to properly report your gain or loss for tax purposes. Pershing shall not be responsible for and makes no representations or warranties with respect to the accuracy of any information that you report to the IRS or other taxing authorities, and, accordingly, disclaims any and all liability that may arise with respect to your use and reliance on the information provided herein for such reporting.

Please refer to the Your Account Information Section in your brokerage account report for your account's existing tax-lot disposition method. The disposition method is the method which you have selected to use in the disposal of each tax lot of the securities held in your account. If you do not select a method, your account will be defaulted to First In, First Out (FIFO). Your account's selected tax lot method will be used to determine the cost basis for calculating gain and/or loss, unless another method was selected at the time of the security disposal, and this may be reported on the IRS Form 1099-B.

Client Service Information

Your Account Executive: 118

BRUNO SALGADO
BTG PACTUAL US CAP
601 LEXINGTON AVE
NEW YORK NY 10022

Your Account Information

TAX LOT DEFAULT DISPOSITION METHOD

Default Method for Mutual Funds:	First In First Out
Default Method for Stocks in a Dividend Reinvestment Plan:	First In First Out
Default Method for all Other Securities:	First In First Out

BOND AMORTIZATION ELECTIONS

Amortize premium on taxable bonds based on Constant Yield Method:	Yes
Accrual market discount method for all other bond types:	Constant Yield Method
Include market discount in income annually:	No



Your Account Information *(continued)*

ELECTRONIC DELIVERY

Your electronic delivery selections for account communications are listed below:

Electronic Delivery

Enrollment	Communication
✓	Statements and Reports
✓	Trade Confirmations
✗	Tax Documents
✓	Notifications
✗	Prospectus
✓	Proxy/Shareholder Communications*

Please log in to your account or contact your Account Executive to make any changes to your electronic delivery preferences.

E-mail notifications are delivered to the following e-mail address(es):

c#####@hotmail.com

*c#####@hotmail.com is on file for these documents

The above e-mail address is partially masked for your security. Please log in to your account to review the full e-mail address.

Activity Summary *(All amounts shown are in base currency)*

	Credits Year-to-Date	Debits Year-to-Date	Net Year-to-Date
Securities			
Securities Bought	0.00	-3,463,579.73	-3,463,579.73
Securities Sold	3,266,308.95	0.00	3,266,308.95
Securities Withdrawn	0.00	-601,800.00	-601,800.00
Total Securities	\$3,266,308.95	-\$4,065,379.73	-\$799,070.78
Dividends and Interest	\$35,730.49	-\$10,473.73	\$25,256.76
Fees	\$0.00	-\$335.44	-\$335.44
Taxes Withheld	\$0.00	-\$2,957.69	-\$2,957.69
Totals	\$3,302,039.44	-\$4,079,146.59	-\$777,107.15

Transactions in Date Sequence

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
01/17/19	01/15/19	SOLD JPM	JP MORGAN CHASE & CO COM ISIN#US46625H1005 AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	-1,000.000	99.4670		99,363.70	USD
01/17/19	01/15/19	PURCHASED SBUX	STARBUCKS CORP COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	1,547.000	64.5995		-100,037.43	USD

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Transactions in Date Sequence *(continued)*

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
01/18/19	01/16/19	PURCHASED JPM	JP MORGAN CHASE & CO COM ISIN#US46625H1005 AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	1,000.000	103.3800		-103,482.00	USD
01/18/19	01/17/19	SOLD SHORT 99QA00D4E	PUT 100 NETFLIX INC COM EXP 01-18-19@322.500 OPTION ROOT= NFLX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-10.000	4.0700		3,967.60	USD
01/18/19	01/17/19	PURCHASED 99QA00D4K	PUT 100 NETFLIX INC COM EXP 01-18-19@352.500 OPTION ROOT= NFLX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	10.000	14.5600		-14,662.34	USD
01/18/19	01/17/19	PURCHASED 99QA004GJ	CALL 100 NETFLIX INC COM EXP 02-08-19@352.500 OPTION ROOT= NFLX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	10.000	21.8460		-21,948.34	USD
01/18/19	01/17/19	SOLD SHORT 99QA01W3X	CALL 100 NETFLIX INC COM EXP 02-08-19@377.500 OPTION ROOT= NFLX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-20.000	10.8220		21,541.02	USD
01/22/19	01/17/19	PURCHASED NFLX	NETFLIX INC COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	1,000.000	353.5898		-353,691.80	USD
01/22/19	01/18/19	SOLD 99QA00D4K	PUT 100 NETFLIX INC COM EXP 01-18-19@352.500 OPTION ROOT= NFLX CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-10.000	10.5500		10,447.52	USD
01/22/19		YOUR OPTION EXPIRED 99QA00D4E	PUT 100 NETFLIX INC COM EXP 01-18-19@322.500 OPTION ROOT= NFLX NFLX CLOSING TRANSACTION	10.000			0.00	USD
01/24/19	01/22/19	PURCHASED QID	PROSHARES TR ULTRASHORT QQQ ETF NEW AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	2,350.000	42.7000		-100,447.00	USD
01/25/19	01/24/19	SOLD SHORT 99QA0TOQR	CALL 100 STARBUCKS CORP COM EXP 02-01-19@67.000 OPTION ROOT= SBUX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-32.000	0.8300		2,492.86	USD
01/25/19	01/24/19	PURCHASED 99QA01MNI	PUT 100 STARBUCKS CORP COM EXP 01-25-19@65.500 OPTION ROOT= SBUX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	16.000	1.5200		-2,534.55	USD

Transactions in Date Sequence *(continued)*

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
01/25/19	01/24/19	PURCHASED 99QA010VE	CALL 100 STARBUCKS CORP COM EXP 02-01-19@65.500 OPTION ROOT= SBUX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	16.000	1.5100		-2,518.55	USD
01/28/19	01/24/19	PURCHASED SBUX	STARBUCKS CORP COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	53.000	65.3000		-3,562.90	USD
01/28/19	01/25/19	PURCHASED 99QAOTT2Z	PUT 100 VALE S A ADR ISIN#US91912E1055 EXP 02-01-19@13.500 OPTION ROOT= VALE OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	180.000	0.3300		-6,848.17	USD
01/28/19		YOUR OPTION EXPIRED 99QA01MNI	SBUX 01252019 P 65.5 CREDIT ACCOUNT	-16.000			0.00	USD
01/29/19	01/25/19	PURCHASED VALE	VALE S A ADR ISIN#US91912E1055 AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	18,000.000	13.8499		-249,840.20	USD
01/29/19	01/28/19	PURCHASED 99QAOTT2U	PUT 100 VALE S A ADR ISIN#US91912E1055 EXP 02-01-19@11.000 OPTION ROOT= VALE OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	201.000	0.2874		-6,388.63	USD
01/29/19	01/28/19	SOLD 99QAOTT2Z	PUT 100 VALE S A ADR ISIN#US91912E1055 EXP 02-01-19@13.500 OPTION ROOT= VALE CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-180.000	1.8400		32,571.39	USD
01/30/19	01/28/19	PURCHASED VALE	VALE S A ADR ISIN#US91912E1055 AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	2,100.000	11.7000		-24,672.00	USD
02/01/19	01/31/19	PURCHASED 99QANWIKJ	PUT 100 APPLE INC COM EXP 02-15-19@160.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	31.000	1.2100		-3,854.06	USD
02/04/19	02/01/19	PURCHASED 99QAOPIFQ	PUT 100 TWITTER INC COM EXP 02-15-19@33.000 OPTION ROOT= TWTR OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	54.000	2.1000		-11,506.06	USD
02/04/19		YOUR OPTION ASSIGNED 99QAOTOQR	CALL 100 STARBUCKS CORP COM EXP 02-01-19@67.000 OPTION ROOT= SBUX SBUX-QR CLOSING TRANSACTION	32.000			0.00	USD
02/04/19		YOUR OPTION EXPIRED 99QAOTT2U	VALE 02012019 P 11 C REDIT ACCOUNT	-201.000			0.00	USD
02/04/19		YOUR OPTION EXERCISED 99QA010VE	CALL 100 STARBUCKS CORP COM EXP 02-01-19@65.500 OPTION ROOT= SBUX SBUX-VE CLOSING TRANSACTION	-16.000			0.00	USD
02/05/19	02/01/19	PURCHASED SBUX	STARBUCKS CORP COM ACCT OPT EXERCISED	1,600.000	65.5000		-104,802.00	USD

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Transactions in Date Sequence *(continued)*

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
02/05/19	02/01/19	SOLD SBUX	STARBUCKS CORP COM ACCT OPT ASSIGNED	-3,200.000	67.0000		214,395.21	USD
02/06/19	02/05/19	SOLD 99QANWIKJ	PUT 100 APPLE INC COM EXP 02-15-19@160.000 OPTION ROOT= AAPL CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.1900		485.81	USD
02/06/19	02/05/19	PURCHASED 99QAOY4AQ	PUT 100 APPLE INC COM EXP 02-22-19@167.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	31.000	1.5000		-4,753.18	USD
02/08/19	02/07/19	PURCHASED 99QAO5J69	PUT 100 VALE S A ADR ISIN#US91912E1055 EXP 03-08-19@11.000 OPTION ROOT= VALE OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	180.000	0.4400		-8,468.88	USD
02/11/19		YOUR OPTION EXPIRED 99QAO04GJ	NFLX 02082019 C 352. 5 CREDIT ACCOUNT	-10.000			0.00	USD
02/11/19		YOUR OPTION EXPIRED 99QAO1W3X	NFLX 02082019 C 377. 5 CORPORATE ACTIONS -	20.000			0.00	USD
02/14/19		CASH DIVIDEND RECEIVED AAPL	2347 SHRS APPLE INC COM RD 02/11 PD 02/14/19				1,713.31	USD
02/14/19		NON-RESIDENT ALIEN TAX AAPL	NRA TAX WITHHELD ON 2347 SHRS APPLE INC COM RD 02/11 PD 02/14/19				-513.99	USD
02/19/19	02/15/19	SOLD 99QAOPIFQ	PUT 100 TWITTER INC COM EXP 02-15-19@33.000 OPTION ROOT= TWTR CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-54.000	1.8300		9,607.81	USD
02/20/19	02/19/19	INT. CHARGED ON DEBIT BALANCES USD999997	MARGIN INTEREST FOR 27 DEBIT DAYS AV BAL 293264.09 RATE 4.500 01-24-19 TO 02-19-19 DEBIT BAL 02-19-19 WAS 301695.80				-989.77	USD
02/25/19	02/22/19	PURCHASED 99QAO4UZF	PUT 100 APPLE INC COM EXP 03-08-19@170.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	30.000	1.5000		-4,603.16	USD
02/25/19		YOUR OPTION EXPIRED 99QAOY4AQ	AAPL 02222019 P 167. 5 CREDIT ACCOUNT	-31.000			0.00	USD

Transactions in Date Sequence *(continued)*

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
02/26/19	02/22/19	PURCHASED MJ	ETF MANAGERS TR ETFMG ALTERNATIVE HARVEST ETF AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	800.000	36.5000		-29,302.00	USD
02/27/19	02/25/19	PURCHASED AAPL	APPLE INC COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	768.000	174.8165		-134,361.07	USD
03/11/19	03/08/19	PURCHASED 99QA051VC	PUT 100 APPLE INC COM EXP 03-22-19@170.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	30.000	2.3700		-7,213.16	USD
03/11/19		YOUR OPTION EXPIRED 99QA04UZF	AAPL 03082019 P 170 CREDIT ACCOUNT	-30.000			0.00	USD
03/11/19		YOUR OPTION EXPIRED 99QA05J69	VALE 03082019 P 11 CREDIT ACCOUNT	-180.000			0.00	USD
03/18/19	03/14/19	PURCHASED BRZU	DIREXION SHS ETF TR DIREXION DAILY BRAZIL BULL 3X SHS NEW AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	450.000	33.3800		-15,123.00	USD
03/20/19	03/19/19	INT. CHARGED ON DEBIT BALANCES USD999997	MARGIN INTEREST FOR 28 DEBIT DAYS AV BAL 444105.69 RATE 4.500 02-20-19 TO 03-19-19 DEBIT BAL 03-19-19 WAS 487197.96				-1,554.41	USD
03/20/19	03/19/19	PURCHASED 99QAPBHM3	PUT 100 APPLE INC COM EXP 04-05-19@187.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	31.000	3.1000		-9,713.20	USD
03/22/19	03/20/19	PURCHASED BRZU	DIREXION SHS ETF TR DIREXION DAILY BRAZIL BULL 3X SHS NEW AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	150.000	35.3200		-5,400.00	USD
03/25/19	03/21/19	PURCHASED BRZU	DIREXION SHS ETF TR DIREXION DAILY BRAZIL BULL 3X SHS NEW AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	200.000	32.7500		-6,652.00	USD
03/25/19		YOUR OPTION EXPIRED 99QA051VC	AAPL 03222019 P 170 CREDIT ACCOUNT	-30.000			0.00	USD
03/27/19		DIVIDEND/INTEREST RECLASSIFICATION QID	DIV ADJ ON 2350 PROSHARES TR ULTRASHORT QQQ ETF NEW RD03/21/19PD03/27/19				-280.12	USD
03/27/19		CASH DIVIDEND RECEIVED QID	2350 SHRS PROSHARES TR ULTRASHORT QQQ ETF NEW RD 03/21 PD 03/27/19				280.13	USD
03/27/19		NON-RESIDENT ALIEN TAX QID	NRA TAX WITHHELD ON 2350 SHRS PROSHARES TR ULTRASHORT QQQ ETF NEW RD 03/21 PD 03/27/19				-84.04	USD
03/27/19		SUBSTITUTE PAYMENT QID	SUB PAY ON 2350 PROSHARES TR ULTRASHORT QQQ ETF NEW RD03/21/19PD03/27/19				280.12	USD

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GLOBAL RAMOS INVESTMENTS LTD.

Transactions in Date Sequence *(continued)*

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
03/29/19		DIVIDEND/INTEREST RECLASSIFICATION MJ	DIV ADJ ON 800 ETF MANAGERS TR ETFMG ALTERNATIVE HARVEST ETF RD03/27/19PD03/29/19				-96.00	USD
03/29/19		CASH DIVIDEND RECEIVED MJ	800 SHRS ETF MANAGERS TR ETFMG ALTERNATIVE HARVEST ETF RD 03/27 PD 03/29/19				96.00	USD
03/29/19		NON-RESIDENT ALIEN TAX MJ	NRA TAX WITHHELD ON 800 SHRS ETF MANAGERS TR ETFMG ALTERNATIVE HARVEST ETF RD 03/27 PD 03/29/19				-28.80	USD
03/29/19		SUBSTITUTE PAYMENT MJ	SUB PAY ON 800 ETF MANAGERS TR ETFMG ALTERNATIVE HARVEST ETF RD03/27/19PD03/29/19				96.00	USD
04/02/19	04/01/19	SOLD SHORT 99QAPCUIT	CALL 100 APPLE INC COM EXP 04-12-19@197.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.4800		1,384.78	USD
04/02/19	04/01/19	SOLD SHORT 99QAPDBP4	CALL 100 NETFLIX INC COM EXP 04-12-19@380.000 OPTION ROOT= NFLX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-10.000	1.8100		1,707.58	USD
04/02/19	04/01/19	SOLD SHORT 99QAPDIIM	CALL 100 TWITTER INC COM EXP 04-12-19@35.000 OPTION ROOT= TWTR OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-54.000	0.2000		913.88	USD
04/08/19	04/04/19	PURCHASED SH	PROSHARES TR SHORT S&P 500 NEW AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	9,000.000	27.2800		-245,792.00	USD
04/08/19		YOUR OPTION EXPIRED 99QAPBHM3	AAPL 04052019 P 187. 5 CREDIT ACCOUNT	-31.000			0.00	USD
04/09/19	04/08/19	PURCHASED 99QAPCUIT	CALL 100 APPLE INC COM EXP 04-12-19@197.500 OPTION ROOT= AAPL CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	31.000	3.2500		-10,178.20	USD
04/09/19	04/08/19	SOLD SHORT 99QAPCUIW	CALL 100 APPLE INC COM EXP 04-12-19@205.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.4223		1,205.91	USD
04/15/19	04/12/19	SOLD SHORT 99QAPEI7Y	CALL 100 NETFLIX INC COM EXP 04-26-19@380.000 OPTION ROOT= NFLX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-10.000	4.8000		4,697.54	USD

Transactions in Date Sequence *(continued)*

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
04/15/19		YOUR OPTION EXPIRED 99QAPCUIW	AAPL 04122019 C 205 CORPORATE ACTIONS -	31.000			0.00	USD
04/15/19		YOUR OPTION EXPIRED 99QAPDBP4	NFLX 04122019 C 380 CORPORATE ACTIONS -	10.000			0.00	USD
04/15/19		YOUR OPTION EXPIRED 99QAPDIIM	TWTR 04122019 C 35 C ORPORATE ACTIONS -	54.000			0.00	USD
04/16/19	04/12/19	PURCHASED PBR	PETROLEO BRASILEIRO SA PETROBRAS SPONSORED ADR AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	13,000.000	15.4161		-200,801.30	USD
04/17/19	04/16/19	PURCHASED 99QAPEI7Y	CALL 100 NETFLIX INC COM EXP 04-26-19@380.000 OPTION ROOT= NFLX CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	10.000	7.5000		-7,602.39	USD
04/17/19	04/16/19	PURCHASED 99QAPEI8W	PUT 100 NETFLIX INC COM EXP 04-26-19@360.000 OPTION ROOT= NFLX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	10.000	12.8500		-12,952.39	USD
04/22/19	04/19/19	INT. CHARGED ON DEBIT BALANCES USD999997	MARGIN INTEREST FOR 31 DEBIT DAYS AV BAL 666283.15 RATE 4.500 03-20-19 TO 04-19-19 DEBIT BAL 04-19-19 WAS 1032600.87				-2,581.87	USD
04/25/19	04/23/19	SOLD TWTR	TWITTER INC COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	-3,000.000	39.1813		117,439.46	USD
04/26/19	04/24/19	PURCHASED TSLA	TESLA INC COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	400.000	258.9063		-103,664.52	USD
04/29/19	04/25/19	PURCHASED AMZN	AMAZON COM INC AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	60.000	1,909.7000		-114,684.00	USD
04/29/19		YOUR OPTION EXPIRED 99QAPEI8W	NFLX 04262019 P 360 CREDIT ACCOUNT	-10.000			0.00	USD
05/01/19	04/30/19	PURCHASED 99QAPJCJ7	PUT 100 APPLE INC COM EXP 05-10-19@190.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	31.000	2.1000		-6,613.20	USD
05/02/19	04/30/19	SOLD AMZN	AMAZON COM INC AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	-60.000	1,917.4620		114,943.33	USD
05/02/19	04/30/19	SOLD NFLX	NETFLIX INC COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	-500.000	372.2075		185,997.89	USD
05/02/19	04/30/19	SOLD TSLA	TESLA INC COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	-400.000	239.0575		95,519.02	USD
05/02/19	04/30/19	SOLD TWTR	TWITTER INC COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	-2,470.000	40.2178		99,233.91	USD

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Transactions in Date Sequence *(continued)*

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
05/03/19	05/02/19	PURCHASED 99QAPKHRV	PUT 100 APPLE INC COM EXP 05-24-19@207.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	31.000	2.7400		-8,597.20	USD
05/03/19	05/02/19	PURCHASED 99QAPKOHG	PUT 100 NETFLIX INC COM EXP 05-24-19@377.500 OPTION ROOT= NFLX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	5.000	9.0500		-4,627.19	USD
05/06/19	05/02/19	PURCHASED GOOGL	ALPHABET INC CL A AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	42.000	1,164.0100		-48,990.42	USD
05/07/19	05/06/19	PURCHASED 99QAPKHRU	PUT 100 APPLE INC COM EXP 05-24-19@205.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	31.000	2.9700		-9,310.20	USD
05/07/19	05/06/19	SOLD 99QAPKHRV	PUT 100 APPLE INC COM EXP 05-24-19@207.500 OPTION ROOT= AAPL CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	4.0000		12,296.54	USD
05/08/19	05/06/19	PURCHASED AAPL	APPLE INC COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	20.000	208.2100		-4,266.20	USD
05/08/19	05/06/19	PURCHASED BRZU	DIREXION SHS ETF TR DIREXION DAILY BRAZIL BULL 3X SHS NEW AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	2,600.000	26.5000		-69,032.00	USD
05/08/19	05/07/19	PURCHASED 99QAPKHS	PUT 100 APPLE INC COM EXP 05-24-19@200.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	31.000	4.6000		-14,363.20	USD
05/08/19	05/07/19	SOLD 99QAPKHRU	PUT 100 APPLE INC COM EXP 05-24-19@205.000 OPTION ROOT= AAPL CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	7.0600		21,782.34	USD
05/09/19	05/07/19	PURCHASED AAPL	APPLE INC COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	62.000	201.4100		-12,589.42	USD
05/09/19	05/07/19	PURCHASED SFTBY	SOFTBANK CORP ADR ISIN#US83404D1090 AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	400.000	51.2700		-20,610.00	USD

Transactions in Date Sequence *(continued)*

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
05/13/19	05/10/19	SOLD 99QAPKHRS	PUT 100 APPLE INC COM EXP 05-24-19@200.000 OPTION ROOT= AAPL CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	8.5500		26,401.25	USD
05/13/19	05/10/19	PURCHASED 99QAPLQBC	PUT 100 APPLE INC COM EXP 05-31-19@192.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	31.000	5.1000		-15,913.20	USD
05/13/19		YOUR OPTION EXPIRED 99QAPJCJ7	AAPL 05102019 P 190 CREDIT ACCOUNT	-31.000			0.00	USD
05/14/19	05/10/19	PURCHASED AAPL	APPLE INC COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	65.000	193.7300		-12,694.45	USD
05/14/19	05/13/19	PURCHASED 99QAPLQBA	PUT 100 APPLE INC COM EXP 05-31-19@187.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	31.000	5.7500		-17,928.20	USD
05/14/19	05/13/19	SOLD 99QAPLQBC	PUT 100 APPLE INC COM EXP 05-31-19@192.500 OPTION ROOT= AAPL CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	8.1500		25,161.27	USD
05/15/19	05/13/19	PURCHASED AAPL	APPLE INC COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	50.000	187.4000		-9,472.00	USD
05/16/19		CASH DIVIDEND RECEIVED AAPL	3197 SHRS APPLE INC COM RD 05/13 PD 05/16/19				2,461.69	USD
05/16/19		NON-RESIDENT ALIEN TAX AAPL	NRA TAX WITHHELD ON 3197 SHRS APPLE INC COM RD 05/13 PD 05/16/19				-738.51	USD
05/20/19	05/17/19	PURCHASED 99QAPIP6K	CALL 100 CBOE VOLATILITY INDEX - VX OPTION EXP 09-18-19@18.000 OPTION ROOT= VIX OPENING TRANSACTION EXCHANGE LISTED OPTION	70.000	2.2000		-15,614.72	USD
05/20/19	05/19/19	INT. CHARGED ON DEBIT BALANCES USD999997	MARGIN INTEREST FOR 30 DEBIT DAYS AV BAL 902984.33 RATE 4.500 04-20-19 TO 05-19-19 DEBIT BAL 05-19-19 WAS 832669.95				-3,386.22	USD
05/23/19		FOREIGN BOND INTEREST 71647NAQ2	70000 PETROBRAS GLOBAL FIN BV GTD GLOBAL NT ISIN#US71647NAQ25 8.750% 05/23/26 B/E DTD 05/23/16 RD 05/22 PD 05/23/19				3,062.50	USD
05/28/19	05/24/19	SOLD 99QAPKOHG	PUT 100 NETFLIX INC COM EXP 05-24-19@377.500 OPTION ROOT= NFLX CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-5.000	21.5500		10,672.58	USD
05/28/19	05/24/19	PURCHASED 99QAPS50Y	PUT 100 NETFLIX INC COM EXP 06-14-19@352.500 OPTION ROOT= NFLX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	5.000	9.3500		-4,777.19	USD

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Transactions in Date Sequence (continued)

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
06/03/19		YOUR OPTION EXERCISED 99QAPLOBA	PUT 100 APPLE INC COM EXP 05-31-19@187.500 OPTION ROOT= AAPL AAPL-BA CLOSING TRANSACTION	-31.000			0.00	USD
06/04/19	05/31/19	SOLD AAPL	APPLE INC COM ACCT OPT EXERCISED	-3,100.000	187.5000		581,235.96	USD
06/04/19		YOUR SHORT POSITION HAS BEEN COVERED PER YOUR REQUEST FB	FACEBOOK INC CL A COVER SHORT POSITION TRANSFER TO SHORT	-3,000.000			0.00	USD
06/04/19		YOUR SHORT POSITION HAS BEEN COVERED PER YOUR REQUEST FB	FACEBOOK INC CL A COVER SHORT POSITION TRANSFER FROM MARGI N	3,000.000			0.00	USD
06/12/19	06/11/19	SOLD SHORT 99QAPT50A	PUT 100 APPLE INC COM EXP 06-21-19@187.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	1.4200		4,298.70	USD
06/12/19		FOREIGN BOND INTEREST P5R6DPAA8	600000 ITAU UNIBANCO HOLDING S A ISIN#USP5R6DPAA84 6.125% 12/12/88 B/E DTD 12/12/17 CLB RD 06/11 PD 06/12/19				18,375.00	USD
06/17/19	06/14/19	SOLD 99QAPS50Y	PUT 100 NETFLIX INC COM EXP 06-14-19@352.500 OPTION ROOT= NFLX CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-5.000	12.6000		6,197.67	USD
06/17/19	06/14/19	PURCHASED 99QAPWTGG	PUT 100 DIREXION SHS ETF TR DIREXION DAILY BRAZIL BULL 3X SHS NEW EXP 07-05-19@29.000 OPTION ROOT= BRZU OPENING TRANSACTION EXCHANGE LISTED	34.000	2.7450		-9,438.32	USD
06/17/19	06/14/19	PURCHASED 99QAPW56O	PUT 100 NETFLIX INC COM EXP 07-05-19@340.000 OPTION ROOT= NFLX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	5.000	11.2000		-5,702.19	USD
06/17/19	06/14/19	PURCHASED 99QAPW7ZO	PUT 100 PETROLEO BRASILEIRO SA PETROBRAS SPONSORED ADR EXP 07-05-19@15.000 OPTION ROOT= PBR OPENING TRANSACTION EXCHANGE LISTED	130.000	0.3800		-5,337.04	USD

Transactions in Date Sequence *(continued)*

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
06/17/19	06/14/19	PURCHASED 99QAPXELA	PUT 100 VALE S A ADR ISIN#US91912E1055 EXP 07-05-19@13.000 OPTION ROOT= VALE OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	201.000	0.3800		-8,250.80	USD
06/20/19	06/19/19	INT. CHARGED ON DEBIT BALANCES USD999997	MARGIN INTEREST FOR 16 DEBIT DAYS AV BAL 792659.54 RATE 4.500 05-20-19 TO 06-04-19				-1,585.34	USD
06/24/19	06/21/19	SOLD SHORT 99QAPSOJO	PUT 100 APPLE INC COM EXP 06-28-19@190.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.3500		981.77	USD
06/24/19		YOUR OPTION EXPIRED 99QAPT50A	PUT 100 APPLE INC COM EXP 06-21-19@187.500 OPTION ROOT= AAPL AAPL CLOSING TRANSACTION	31.000			0.00	USD
07/01/19		YOUR OPTION EXPIRED 99QAPSOJO	AAPL 06282019 P 190 CORPORATE ACTIONS -	31.000			0.00	USD
07/02/19		CASH DIVIDEND RECEIVED BRZU	3400 SHRS DIREXION SHS ETF TR DIREXION DAILY BRAZIL BULL 3X SHS NEW RD 06/26 PD 07/02/19				668.37	USD
07/02/19		NON-RESIDENT ALIEN TAX BRZU	NRA TAX WITHHELD ON 3400 SHRS DIREXION SHS ETF TR DIREXION DAILY BRAZIL BULL 3X SHS NEW RD 06/26 PD 07/02/19				-200.51	USD
07/02/19		CASH DIVIDEND RECEIVED QID	2350 SHRS PROSHARES TR ULTRASHORT QQQ ETF NEW RD 06/26 PD 07/02/19				486.36	USD
07/02/19		NON-RESIDENT ALIEN TAX QID	NRA TAX WITHHELD ON 2350 SHRS PROSHARES TR ULTRASHORT QQQ ETF NEW RD 06/26 PD 07/02/19				-145.91	USD
07/02/19		CASH DIVIDEND RECEIVED SH	9000 SHRS PROSHARES TR SHORT S&P 500 NEW RD 06/26 PD 07/02/19				1,138.46	USD
07/02/19		NON-RESIDENT ALIEN TAX SH	NRA TAX WITHHELD ON 9000 SHRS PROSHARES TR SHORT S&P 500 NEW RD 06/26 PD 07/02/19				-341.54	USD
07/03/19		CASH DIVIDEND RECEIVED MJ	800 SHRS ETF MANAGERS TR ETFMG ALTERNATIVE HARVEST ETF RD 07/01 PD 07/03/19				144.00	USD
07/03/19		NON-RESIDENT ALIEN TAX MJ	NRA TAX WITHHELD ON 800 SHRS ETF MANAGERS TR ETFMG ALTERNATIVE HARVEST ETF RD 07/01 PD 07/03/19				-43.20	USD
07/08/19		YOUR OPTION EXPIRED 99QAPWTGG	BRZU 07052019 P 29 CREDIT ACCOUNT	-34.000			0.00	USD
07/08/19		YOUR OPTION EXPIRED 99QAPW56O	NFLX 07052019 P 340 CREDIT ACCOUNT	-5.000			0.00	USD
07/08/19		YOUR OPTION EXPIRED 99QAPW7ZO	PBR 07052019 P 15 CREDIT ACCOUNT	-130.000			0.00	USD

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Transactions in Date Sequence *(continued)*

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
07/08/19		YOUR OPTION EXPIRED 99QAPXELA	VALE 07052019 P 13 C CREDIT ACCOUNT	-201.000			0.00	USD
07/09/19	07/08/19	SOLD SHORT 99QAPXX9F	PUT 100 APPLE INC COM EXP 07-12-19@197.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	1.2300		3,709.72	USD
07/11/19	07/10/19	SOLD SHORT 99QAOM2R9	PUT 100 APPLE INC COM EXP 07-19-19@200.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	1.3100		3,957.71	USD
07/11/19	07/10/19	PURCHASED 99QAPXX9F	PUT 100 APPLE INC COM EXP 07-12-19@197.500 OPTION ROOT= AAPL CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	31.000	0.1400		-537.20	USD
07/12/19	07/10/19	PURCHASED CHWY	CHEWY INC CL A AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	500.000	33.1634		-16,683.70	USD
07/12/19	07/10/19	PURCHASED MJ	ETF MANAGERS TR ETFMG ALTERNATIVE HARVEST ETF AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	600.000	31.2200		-18,834.00	USD
07/12/19	07/11/19	SOLD SHORT 99QAPIYES	PUT 100 APPLE INC COM EXP 07-19-19@197.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.7600		2,252.75	USD
07/15/19		STOCK SPLIT RECEIVED SFTBY	400 SHRS SOFTBANK CORP ADR ISIN#US83404D1090 RD 07/03 PD 07/15/19	400.000			0.00	USD
07/16/19		FOREIGN SECURITY DIVIDEND RECEIVED PBR	13000 SHRS PETROLEO BRASILEIRO SA PETROBRAS SPONSORED ADR RD 05/23 PD 07/15/19				677.83	USD
07/16/19		FEE ON FOREIGN DIVIDEND WITHHELD AT THE SOURCE PBR	13000 SHRS PETROLEO BRASILEIRO SA PETROBRAS SPONSORED ADR RD 05/23 PD 07/15/19				-69.13	USD
07/16/19		FOREIGN TAX WITHHELD AT THE SOURCE PBR	13000 SHRS PETROLEO BRASILEIRO SA PETROBRAS SPONSORED ADR RD 05/23 PD 07/15/19				-101.69	USD
07/19/19	07/18/19	PURCHASED 99QAOM2R9	PUT 100 APPLE INC COM EXP 07-19-19@200.000 OPTION ROOT= AAPL CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	31.000	0.1300		-506.20	USD

Transactions in Date Sequence *(continued)*

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
07/19/19	07/18/19	SOLD SHORT 99QAPY6MC	PUT 100 APPLE INC COM EXP 07-26-19@197.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.4600		1,322.77	USD
07/19/19	07/18/19	SOLD SHORT 99QAPY6MD	PUT 100 APPLE INC COM EXP 07-26-19@200.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.7400		2,190.75	USD
07/19/19	07/18/19	PURCHASED 99QAPIYES	PUT 100 APPLE INC COM EXP 07-19-19@197.500 OPTION ROOT= AAPL CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	31.000	0.0800		-351.20	USD
07/29/19		YOUR OPTION EXPIRED 99QAPY6MC	AAPL 07262019 P 197.5 CORPORATE ACTIONS -	31.000			0.00	USD
07/29/19		YOUR OPTION EXPIRED 99QAPY6MD	AAPL 07262019 P 200 CORPORATE ACTIONS -	31.000			0.00	USD
07/31/19	07/29/19	SOLD SHORT 99QAP4PWL	PUT 100 APPLE INC COM EXP 08-09-19@187.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-62.000	0.5618		3,292.67	USD
07/31/19	07/30/19	PURCHASED 99QAPOIT3	CALL 100 APPLE INC COM EXP 08-02-19@210.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	10.000	4.5300		-4,632.39	USD
08/01/19	07/31/19	SOLD 99QAPOIT3	CALL 100 APPLE INC COM EXP 08-02-19@210.000 OPTION ROOT= AAPL CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-10.000	9.0500		8,947.42	USD
08/02/19	08/01/19	SOLD 99QAPIP6K	CALL 100 CBOE VOLATILITY INDEX - VX OPTION EXP 09-18-19@18.000 OPTION ROOT= VIX CLOSING TRANSACTION EXCHANGE LISTED OPTION	-70.000	2.2000		15,185.35	USD
08/06/19	08/02/19	SOLD GOOGL	ALPHABET INC CL A AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	-42.000	1,202.6910		50,409.97	USD
08/06/19	08/02/19	SOLD SH	PROSHARES TR SHORT S&P 500 NEW AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	-9,000.000	26.7400		240,383.01	USD
08/06/19	08/02/19	SOLD SFTBY	SOFTBANK CORP ADR ISIN#US83404D1090 AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	-400.000	25.5500		10,117.78	USD
08/12/19	08/09/19	SOLD SHORT 99QAP5033	PUT 100 APPLE INC COM EXP 08-23-19@185.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.8300		2,469.77	USD
08/12/19	08/09/19	SOLD SHORT 99QAP5034	PUT 100 APPLE INC COM EXP 08-23-19@187.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	1.0400		3,120.76	USD

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Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
08/12/19		YOUR OPTION EXPIRED 99QAP4PWL	AAPL 08092019 P 187. 5 CORPORATE ACTIONS -	62.000			0.00	USD
08/14/19	08/13/19	SOLD SHORT 99QALTCSH	CALL 100 PETROLEO BRASILEIRO SA PETROBRAS SPONSORED ADR EXP 01-17-20@17.000 OPTION ROOT= PBR OPENING TRANSACTION EXCHANGE LISTED	-260.000	0.4300		10,387.91	USD
08/14/19	08/13/19	SOLD SHORT 99QA03LM2	CALL 100 NETFLIX INC COM EXP 09-20-19@375.000 OPTION ROOT= NFLX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-10.000	0.5300		427.60	USD
08/14/19	08/13/19	PURCHASED 99QAP4NIX	PUT 100 PETROLEO BRASILEIRO SA PETROBRAS SPONSORED ADR EXP 09-20-19@13.000 OPTION ROOT= PBR OPENING TRANSACTION EXCHANGE LISTED	130.000	0.2900		-4,166.93	USD
08/14/19	08/13/19	PURCHASED 99QAP7LZX	PUT 100 VALE S A ADR ISIN#US91912E1055 EXP 08-30-19@11.500 OPTION ROOT= VALE OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	21.000	0.2900		-711.80	USD
08/15/19		CASH DIVIDEND RECEIVED AAPL	212 SHRS APPLE INC COM RD 08/12 PD 08/15/19				163.24	USD
08/15/19		NON-RESIDENT ALIEN TAX AAPL	NRA TAX WITHHELD ON 212 SHRS APPLE INC COM RD 08/12 PD 08/15/19				-48.97	USD
08/16/19	08/14/19	PURCHASED BRZU	DIREXION SHS ETF TR DIREXION DAILY BRAZIL BULL 3X SHS NEW AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	1,085.000	27.6200		-30,069.70	USD
08/16/19	08/15/19	PURCHASED 99QA03LOR	PUT 100 NETFLIX INC COM EXP 09-20-19@300.000 OPTION ROOT= NFLX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	5.000	16.1500		-8,177.19	USD
08/19/19	08/16/19	PURCHASED 99QAOWQR3	PUT 100 INVESCO QQQ TR UNIT SER 1 EXP 09-20-19 @160 OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE TRANSACTION	125.000	0.3900		-5,256.74	USD
08/19/19	08/16/19	PURCHASED 99QAPM4OM	CALL 100 CBOE VOLATILITY INDEX - VX OPTION EXP 10-16-19@24.000 OPTION ROOT= VIX OPENING TRANSACTION EXCHANGE LISTED OPTION	80.000	1.6500		-13,445.03	USD

Transactions in Date Sequence *(continued)*

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
08/19/19		SECURITY DELIVERED P5R6DPAA8	ITAU UNIBANCO HOLDING S A ISIN#USP5R6DPAA84 6.125% 12/12/88 B/E DTD 12/12/17 CLB 8457 SAFRA SECURITIES LLC A/C 17265032	-600,000.000			-601,800.00	USD
08/23/19	08/22/19	SOLD SHORT 99QAQAZOC	PUT 100 APPLE INC COM EXP 09-06-19@197.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.8100		2,407.77	USD
08/23/19	08/22/19	SOLD SHORT 99QAQAZOD	PUT 100 APPLE INC COM EXP 09-06-19@200.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	1.0600		3,182.76	USD
08/26/19		YOUR OPTION EXPIRED 99QAP5033	AAPL 08232019 P 185 CORPORATE ACTIONS -	31.000			0.00	USD
08/26/19		YOUR OPTION EXPIRED 99QAP5034	AAPL 08232019 P 187.5 CORPORATE ACTIONS -	31.000			0.00	USD
09/03/19	08/30/19	PURCHASED 99QAO4F2M	PUT 100 VALE S A ADR ISIN#US91912E1055 EXP 09-20-19@11.000 OPTION ROOT= VALE OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	21.000	0.3800		-900.80	USD
09/03/19	08/30/19	SOLD 99QAP7LZX	PUT 100 VALE S A ADR ISIN#US91912E1055 EXP 08-30-19@11.500 OPTION ROOT= VALE CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-21.000	0.3600		653.18	USD
09/09/19	09/06/19	SOLD SHORT 99QAPE4C5	PUT 100 APPLE INC COM EXP 09-20-19@200.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.7500		2,221.77	USD
09/09/19	09/06/19	SOLD SHORT 99QAQFL31	PUT 100 APPLE INC COM EXP 09-20-19@202.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	1.0200		3,058.75	USD
09/09/19		YOUR OPTION EXPIRED 99QAQAZOC	AAPL 09062019 P 197.5 CORPORATE ACTIONS -	31.000			0.00	USD
09/09/19		YOUR OPTION EXPIRED 99QAQAZOD	AAPL 09062019 P 200 CORPORATE ACTIONS -	31.000			0.00	USD
09/12/19	09/11/19	PURCHASED 99QAPE4C5	PUT 100 APPLE INC COM EXP 09-20-19@200.000 OPTION ROOT= AAPL CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	31.000	0.1800		-661.18	USD
09/12/19	09/11/19	PURCHASED 99QAQFL31	PUT 100 APPLE INC COM EXP 09-20-19@202.500 OPTION ROOT= AAPL CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	31.000	0.2400		-847.18	USD

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Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
09/17/19	09/16/19	SOLD SHORT 99QAQG97B	CALL 100 PETROLEO BRASILEIRO SA PETROBRAS SPONSORED ADR EXP 04-17-20@18.000 OPTION ROOT= PBR OPENING TRANSACTION EXCHANGE LISTED	-250.000	0.7100		16,988.10	USD
09/23/19	09/20/19	SOLD 99QA03LOR	PUT 100 NETFLIX INC COM EXP 09-20-19@300.000 OPTION ROOT= NFLX CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-5.000	32.2000		15,997.47	USD
09/23/19	09/20/19	PURCHASED 99QAPIXAP	PUT 100 NETFLIX INC COM EXP 10-18-19@280.000 OPTION ROOT= NFLX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	5.000	21.8500		-11,027.19	USD
09/23/19	09/20/19	PURCHASED 99QAP3PBY	PUT 100 INVESCO QQQ TR UNIT SER 1 EXP 10-18-19 @171 OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE TRANSACTION	125.000	0.3400		-4,631.76	USD
09/23/19	09/20/19	SOLD SHORT 99QAQDP4Z	PUT 100 APPLE INC COM EXP 09-27-19@210.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.5300		1,539.78	USD
09/23/19	09/20/19	SOLD SHORT 99QAQDP40	PUT 100 APPLE INC COM EXP 09-27-19@212.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.8052		2,392.88	USD
09/23/19		YOUR OPTION EXPIRED 99QAOWQR3	PUT 100 INVESCO QQQ TR UNIT SER 1 EXP 09-20-19 @160 QQQ CLOSING TRANSACTION	-125.000			0.00	USD
09/23/19		YOUR OPTION EXPIRED 99QA03LM2	CALL 100 NETFLIX INC COM EXP 09-20-19@375.000 OPTION ROOT= NFLX NFLX CLOSING TRANSACTION	10.000			0.00	USD
09/23/19		YOUR OPTION EXPIRED 99QA04F2M	PUT 100 VALE S A ADR ISIN#US91912E1055 EXP 09-20-19@11.000 OPTION ROOT= VALE VALE CLOSING TRANSACTION	-21.000			0.00	USD
09/23/19		YOUR OPTION EXPIRED 99QAP4NIX	PUT 100 PETROLEO BRASILEIRO SA PETROBRAS SPONSORED ADR EXP 09-20-19@13.000 OPTION ROOT= PBR PBR CLOSING TRANSACTION	-130.000			0.00	USD
09/24/19	09/20/19	PURCHASED NFLX	NETFLIX INC COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	30.000	269.2100		-8,178.30	USD
09/24/19		AGENT SERVICING FEE PBR	PETROLEO BRASILEIRO SA PETROBRAS SPONSORED ADR RD 09/19 PD 09/24/19 13000 SHS-SVC FEE T140026112				-130.00	USD

Transactions in Date Sequence *(continued)*

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
09/25/19		CASH DIVIDEND RECEIVED MJ	1400 SHRS ETF MANAGERS TR ETFMG ALTERNATIVE HARVEST ETF RD 09/23 PD 09/25/19				392.00	USD
09/25/19		NON-RESIDENT ALIEN TAX MJ	NRA TAX WITHHELD ON 1400 SHRS ETF MANAGERS TR ETFMG ALTERNATIVE HARVEST ETF RD 09/23 PD 09/25/19				-117.60	USD
09/30/19	09/26/19	SOLD SHORT DIS	DISNEY WALT CO DISNEY COM SHORT SALE AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	-760.000	131.3500		99,721.93	USD
09/30/19	09/27/19	SOLD SHORT 99QAQIID4	PUT 100 APPLE INC COM EXP 10-04-19@210.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.7800		2,314.76	USD
09/30/19	09/27/19	SOLD SHORT 99QAQIID5	PUT 100 APPLE INC COM EXP 10-04-19@212.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	1.1300		3,399.74	USD
09/30/19		YOUR OPTION EXPIRED 99QAQDP4Z	AAPL 09272019 P 210 CORPORATE ACTIONS -	31.000			0.00	USD
09/30/19		YOUR OPTION EXPIRED 99QAQDP40	AAPL 09272019 P 212. 5 CORPORATE ACTIONS -	31.000			0.00	USD
10/01/19	09/27/19	PURCHASED BAC	BANK OF AMERICA CORPORATION COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	3,350.000	29.6200		-99,329.50	USD
10/01/19	09/30/19	PURCHASED 99QAQIID4	PUT 100 APPLE INC COM EXP 10-04-19@210.000 OPTION ROOT= AAPL CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	31.000	0.1400		-537.18	USD
10/01/19	09/30/19	PURCHASED 99QAQIID5	PUT 100 APPLE INC COM EXP 10-04-19@212.500 OPTION ROOT= AAPL CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	31.000	0.2090		-751.08	USD
10/02/19		CASH DIVIDEND RECEIVED QID	2350 SHRS PROSHARES TR ULTRASHORT QQQ ETF NEW RD 09/26 PD 10/02/19				387.88	USD
10/02/19		NON-RESIDENT ALIEN TAX QID	NRA TAX WITHHELD ON 2350 SHRS PROSHARES TR ULTRASHORT QQQ ETF NEW RD 09/26 PD 10/02/19				-116.36	USD
10/03/19	10/01/19	SOLD BAC	BANK OF AMERICA CORPORATION COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	-3,350.000	28.7600		96,241.50	USD
10/07/19	10/04/19	SOLD SHORT 99QAQJNOO	PUT 100 APPLE INC COM EXP 10-11-19@215.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.7600		2,252.75	USD
10/09/19	10/07/19	PURCHASED DIS	DISNEY WALT CO DISNEY COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	760.000	130.6634		-99,406.18	USD

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Transactions in Date Sequence *(continued)*

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
10/10/19	10/09/19	SOLD SHORT 99QAQGLJ	CALL 100 ISHARES INC MSCI BRAZIL ETF EXP 11-15-19@43.000 OPTION ROOT= EWZ OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-270.000	0.8200		21,317.06	USD
10/14/19		YOUR OPTION EXPIRED 99QAQJNOO	AAPL 10112019 P 215 CORPORATE ACTIONS -	31.000			0.00	USD
10/15/19	10/11/19	SOLD SHORT 99QAQ8SSB	PUT 100 APPLE INC COM EXP 10-18-19@225.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.6200		1,818.76	USD
10/15/19	10/11/19	SOLD SHORT 99QAQOEI9	PUT 100 APPLE INC COM EXP 10-18-19@227.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.8800		2,624.74	USD
10/15/19		FOREIGN SECURITY DIVIDEND RECEIVED PBR	13000 SHRS PETROLEO BRASILEIRO SA PETROBRAS SPONSORED ADR RD 08/14 PD 10/15/19				1,273.38	USD
10/15/19		FEE ON FOREIGN DIVIDEND WITHHELD AT THE SOURCE PBR	13000 SHRS PETROLEO BRASILEIRO SA PETROBRAS SPONSORED ADR RD 08/14 PD 10/15/19				-129.88	USD
10/15/19		FOREIGN TAX WITHHELD AT THE SOURCE PBR	13000 SHRS PETROLEO BRASILEIRO SA PETROBRAS SPONSORED ADR RD 08/14 PD 10/15/19				-191.01	USD
10/17/19		YOUR OPTION EXPIRED 99QAPM4OM	VIX 10162019 C 24 CR EDIT ACCOUNT	-80.000			0.00	USD
10/21/19	10/18/19	SOLD 99QAPIXAP	PUT 100 NETFLIX INC COM EXP 10-18-19@280.000 OPTION ROOT= NFLX CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-5.000	4.2500		2,022.76	USD
10/21/19	10/18/19	PURCHASED 99QAQARQI	PUT 100 NETFLIX INC COM EXP 11-15-19@280.000 OPTION ROOT= NFLX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	5.000	12.6500		-6,427.19	USD
10/21/19	10/18/19	SOLD SHORT 99QAQKT5S	PUT 100 APPLE INC COM EXP 10-25-19@227.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.4600		1,322.77	USD

Transactions in Date Sequence *(continued)*

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
10/21/19	10/18/19	SOLD SHORT 99QAQKT5T	PUT 100 APPLE INC COM EXP 10-25-19@230.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.6600		1,942.75	USD
10/21/19		YOUR OPTION EXPIRED 99QAQ8SSB	PUT 100 APPLE INC COM EXP 10-18-19@225.000 OPTION ROOT= AAPL AAPL CLOSING TRANSACTION	31.000			0.00	USD
10/21/19		YOUR OPTION EXPIRED 99QAP3PBY	PUT 100 INVESCO QQQ TR UNIT SER 1 EXP 10-18-19 @171 QQQ CLOSING TRANSACTION	-125.000			0.00	USD
10/21/19		YOUR OPTION EXPIRED 99QAQOEI9	PUT 100 APPLE INC COM EXP 10-18-19@227.500 OPTION ROOT= AAPL AAPL CLOSING TRANSACTION	31.000			0.00	USD
10/22/19	10/18/19	PURCHASED T	AT&T INC COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	2,631.000	38.0000		-100,080.00	USD
10/25/19	10/24/19	PURCHASED 99QALTCSH	CALL 100 PETROLEO BRASILEIRO SA PETROBRAS SPONSORED ADR EXP 01-17-20@17.000 OPTION ROOT= PBR CLOSING TRANSACTION EXCHANGE LISTED	260.000	0.4180		-11,660.09	USD
10/25/19	10/24/19	PURCHASED 99QAQG97B	CALL 100 PETROLEO BRASILEIRO SA PETROBRAS SPONSORED ADR EXP 04-17-20@18.000 OPTION ROOT= PBR CLOSING TRANSACTION EXCHANGE LISTED	250.000	0.5767		-15,179.20	USD
10/28/19	10/24/19	SOLD T	AT&T INC COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	-2,631.000	37.1806		97,686.58	USD
10/28/19		YOUR OPTION EXPIRED 99QAQKT5S	AAPL 10252019 P 227. 5 CORPORATE ACTIONS -	31.000			0.00	USD
10/28/19		YOUR OPTION EXPIRED 99QAQKT5T	AAPL 10252019 P 230 CORPORATE ACTIONS -	31.000			0.00	USD
11/01/19	10/30/19	PURCHASED MSFT	MICROSOFT CORP COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	690.000	144.5400		-99,834.60	USD
11/12/19	11/08/19	SOLD SHORT 99QAQCA9D	PUT 100 APPLE INC COM EXP 11-15-19@250.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.4900		1,415.76	USD
11/12/19	11/08/19	PURCHASED 99QAQGDJL	CALL 100 ISHARES INC MSCI BRAZIL ETF EXP 11-15-19@43.000 OPTION ROOT= EWZ CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	270.000	1.0632		-29,530.47	USD
11/12/19	11/08/19	SOLD SHORT 99QAQUZDM	PUT 100 APPLE INC COM EXP 11-15-19@252.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.7100		2,097.75	USD
11/12/19	11/11/19	SOLD SHORT 99QALTCSH	CALL 100 PETROLEO BRASILEIRO SA PETROBRAS SPONSORED ADR EXP 01-17-20@17.000 OPTION ROOT= PBR OPENING TRANSACTION EXCHANGE LISTED	-255.000	0.4987		11,939.69	USD

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Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
11/12/19	11/11/19	SOLD SHORT 99QAL64XP	CALL 100 ISHARES INC MSCI BRAZIL CAPPED ETF EXP 01-17-20@46.000 OPTION ROOT= EWZ OPENING TRANSACTION EXCHANGE LISTED OPTION	-132.000	0.7100		8,968.68	USD
11/12/19	11/11/19	SOLD SHORT 99QAL7BT9	CALL 100 VALE S A ADR ISIN#US91912E1055 EXP 01-17-20@12.000 OPTION ROOT= VALE OPENING TRANSACTION EXCHANGE LISTED OPTION	-231.000	0.4500		9,690.82	USD
11/14/19	11/13/19	PURCHASED 99QAPIR3F	CALL 100 CBOE VOLATILITY INDEX - VX OPTION EXP 12-18-19@15.000 OPTION ROOT= VIX OPENING TRANSACTION EXCHANGE LISTED OPTION	80.000	2.1000		-17,045.10	USD
11/14/19		CASH DIVIDEND RECEIVED AAPL	212 SHRS APPLE INC COM RD 11/11 PD 11/14/19				163.24	USD
11/14/19		NON-RESIDENT ALIEN TAX AAPL	NRA TAX WITHHELD ON 212 SHRS APPLE INC COM RD 11/11 PD 11/14/19				-48.97	USD
11/18/19	11/15/19	SOLD SHORT 99QAQSCDW	PUT 100 APPLE INC COM EXP 11-22-19@260.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.9100		2,717.74	USD
11/18/19	11/15/19	SOLD SHORT 99QAQUNOA	PUT 100 APPLE INC COM EXP 11-22-19@257.500 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.5800		1,694.76	USD
11/18/19		YOUR OPTION EXPIRED 99QAQARQI	PUT 100 NETFLIX INC COM EXP 11-15-19@280.000 OPTION ROOT= NFLX NFLX CLOSING TRANSACTION	-5.000			0.00	USD
11/18/19		YOUR OPTION EXPIRED 99QAQCA9D	PUT 100 APPLE INC COM EXP 11-15-19@250.000 OPTION ROOT= AAPL AAPL CLOSING TRANSACTION	31.000			0.00	USD
11/18/19		YOUR OPTION EXPIRED 99QAQUZDM	PUT 100 APPLE INC COM EXP 11-15-19@252.500 OPTION ROOT= AAPL AAPL CLOSING TRANSACTION	31.000			0.00	USD
11/19/19	11/15/19	SOLD MSFT	MICROSOFT CORP COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	-690.000	148.2943		102,218.95	USD
11/21/19	11/20/19	CORRECTED PURCHASE 99QAPOOVF	PUT 100 NETFLIX INC COM EXP 12-20-19@305.000 OPTION ROOT= NFLX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	5.000	10.7000		-5,452.19	USD

Transactions in Date Sequence *(continued)*

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
11/21/19	11/20/19	PURCHASED 99QAQSCDW	PUT 100 APPLE INC COM EXP 11-22-19@260.000 OPTION ROOT= AAPL CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	31.000	1.7100		-5,404.20	USD
11/21/19	11/20/19	PURCHASED 99QAQUNOA	PUT 100 APPLE INC COM EXP 11-22-19@257.500 OPTION ROOT= AAPL CLOSING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	31.000	1.0500		-3,358.20	USD
11/22/19	11/20/19	PURCHASED NVDA	NVIDIA CORP COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	470.000	212.2100		-99,840.70	USD
11/22/19	11/20/19	PURCHASED ROKU	ROKU INC COM CL A AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	630.000	157.9680		-99,621.84	USD
11/25/19		FOREIGN BOND INTEREST 71647NAQ2	70000 PETROBRAS GLOBAL FIN BV GTD GLOBAL NT ISIN#US71647NAQ25 8.750% 05/23/26 B/E DTD 05/23/16 RD 11/22 PD 11/23/19				3,062.50	USD
11/27/19	11/25/19	PURCHASED NKE	NIKE INC CL B AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	1,065.000	93.6525		-99,841.91	USD
11/27/19	11/25/19	SOLD NVDA	NVIDIA CORP COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	-470.000	220.4700		103,516.75	USD
12/02/19	11/27/19	SOLD ROKU	ROKU INC COM CL A AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	-330.000	163.0150		53,691.83	USD
12/04/19	12/02/19	SOLD ROKU	ROKU INC COM CL A AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	-300.000	140.0764		41,920.05	USD
12/05/19	12/03/19	SOLD NKE	NIKE INC CL B AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	-1,065.000	91.6409		97,493.53	USD
12/09/19	12/06/19	SOLD SHORT 99QAQYXAD	PUT 100 APPLE INC COM EXP 12-13-19@260.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.5800		1,694.76	USD
12/09/19	12/06/19	SOLD SHORT 99QAQZJAJ	CALL 100 NETFLIX INC COM EXP 12-13-19@312.500 OPTION ROOT= NFLX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-5.000	1.9500		872.78	USD
12/13/19	12/11/19	PURCHASED BAC	BANK OF AMERICA CORPORATION COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	2,960.000	33.7400		-99,972.40	USD
12/16/19	12/12/19	SOLD BAC	BANK OF AMERICA CORPORATION COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	-2,960.000	34.6850		102,563.47	USD
12/16/19		YOUR OPTION EXPIRED 99QAQYXAD	AAPL 12132019 P 260 CORPORATE ACTIONS -	31.000			0.00	USD
12/16/19		YOUR OPTION EXPIRED 99QAQZJAJ	NFLX 12132019 C 312.5 CORPORATE ACTIONS -	5.000			0.00	USD

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Transactions in Date Sequence *(continued)*

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
12/19/19	12/17/19	PURCHASED TGT	TARGET CORP COM AVERAGE UNIT PRICE TRANSACTION YOUR BROKER ACTED AS AGENT	780.000	128.3300		-100,199.40	USD
12/19/19		YOUR OPTION EXPIRED 99QAP1R3F	VIX 12182019 C 15 CR EDIT ACCOUNT	-80.000			0.00	USD
12/23/19		FOREIGN SECURITY DIVIDEND RECEIVED SFTBY	400 SHRS SOFTBANK CORP ADR ISIN#US83404D1090 RD 09/27 PD 12/23/19				40.51	USD
12/23/19		FEE ON FOREIGN DIVIDEND WITHHELD AT THE SOURCE SFTBY	400 SHRS SOFTBANK CORP ADR ISIN#US83404D1090 RD 09/27 PD 12/23/19				-0.83	USD
12/23/19		FEE ON FOREIGN DIVIDEND WITHHELD AT THE SOURCE SFTBY	400 SHRS SOFTBANK CORP ADR ISIN#US83404D1090 RD 09/27 PD 12/23/19				-5.60	USD
12/23/19		FOREIGN TAX WITHHELD AT THE SOURCE SFTBY	400 SHRS SOFTBANK CORP ADR ISIN#US83404D1090 RD 09/27 PD 12/23/19				-6.20	USD
12/23/19		YOUR OPTION EXPIRED 99QAPOOVF	PUT 100 NETFLIX INC COM EXP 12-20-19@305.000 OPTION ROOT= NFLX NFLX CLOSING TRANSACTION	-5.000			0.00	USD
12/24/19	12/23/19	CORRECTED PURCHASE 99QARBLOP	PUT 100 NETFLIX INC COM EXP 01-17-20@332.500 OPTION ROOT= NFLX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	5.000	8.4000		-4,302.19	USD
12/26/19	12/24/19	SOLD SHORT 99QAQ4GOE	PUT 100 APPLE INC COM EXP 01-03-20@270.000 OPTION ROOT= AAPL OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-31.000	0.3500		981.77	USD
12/26/19	12/24/19	SOLD SHORT 99QAQ4ZTB	CALL 100 NETFLIX INC COM EXP 01-03-20@350.000 OPTION ROOT= NFLX OPENING TRANSACTION EXCHANGE LISTED OPTION AVERAGE UNIT PRICE	-5.000	0.8700		332.80	USD
12/27/19		YOUR OPTION ASSIGNED 99QAL7BT9	CALL 100 VALE S A ADR ISIN#US91912E1055 EXP 01-17-20@12.000 OPTION ROOT= VALE VALE-T9 CLOSING TRANSACTION	231.000			0.00	USD
12/30/19	12/26/19	SOLD VALE	VALE S A ADR ISIN#US91912E1055 ACCT OPT ASSIGNED	-23,100.000	12.0000		276,268.26	USD

Transactions in Date Sequence *(continued)*

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
12/31/19		CASH DIVIDEND RECEIVED BRZU	4485 SHRS DIREXION SHS ETF TR DIREXION DAILY BRAZIL BULL 3X SHS NEW RD 12/24 PD 12/31/19				767.97	USD
12/31/19		NON-RESIDENT ALIEN TAX BRZU	NRA TAX WITHHELD ON 4485 SHRS DIREXION SHS ETF TR DIREXION DAILY BRAZIL BULL 3X SHS NEW RD 12/24 PD 12/31/19				-230.39	USD
Total Value of Transactions						\$0.00	-\$777,107.15	USD

The price and quantity displayed may have been rounded.

Portfolio Holdings

Opening Date	Quantity	Account Number	Activity Ending	Closing Balance	Income This Year	30-Day Yield	Current Yield
CASH, MONEY FUNDS AND BANK DEPOSITS 46.00% of Portfolio							
Cash Balance				3,062.50			
Margin Balance				735,380.40			
TOTAL CASH, MONEY FUNDS AND BANK DEPOSITS				\$738,442.90	\$0.00		

Date Acquired	Quantity	Unit Cost	Current Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
FIXED INCOME 6.00% of Portfolio (In Maturity Date Sequence)								
Corporate Bonds								
PETROBRAS GLOBAL FIN BV GTD GLOBAL NT ISIN#US71647NAQ25			Security Identifier: 71647NAQ2					
8.750% 05/23/26 B/E DTD 05/23/16 30/360 Moody Rating Ba2 S & P								
Rating BB-								
04/11/18	70,000.000	116.1390	81,297.06	128.4000	89,880.00	8,582.94	6,125.00	6.81%
			Original Cost Basis: \$83,685.00					
Total Corporate Bonds			\$81,297.06		\$89,880.00	\$8,582.94	\$6,125.00	
	70,000.000							
TOTAL FIXED INCOME			\$81,297.06		\$89,880.00	\$8,582.94	\$6,125.00	
	70,000.000							

Date Acquired	Quantity	Unit Cost	Current Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
EQUITIES 32.00% of Portfolio								
Common Stocks								
APPLE INC COM			Security Identifier: AAPL					
Dividend Option: Cash			CUSIP: 037833100					
212.00 of these shares are in your margin account								
02/25/19	15.000	174.9490	2,624.24	293.6500	4,404.75	1,780.51	46.20	1.04%

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Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Current Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
EQUITIES (continued)								
Common Stocks (continued)								
APPLE INCCOM (continued)								
05/06/19	20.000	213.3100	4,266.20	293.6500	5,873.00	1,606.80	61.60	1.04%
05/07/19	62.000	203.0550	12,589.42	293.6500	18,206.30	5,616.88	190.96	1.04%
05/10/19	65.000	195.2990	12,694.45	293.6500	19,087.25	6,392.80	200.20	1.04%
05/13/19	50.000	189.4400	9,472.00	293.6500	14,682.50	5,210.50	154.00	1.04%
Total Covered	212.000		41,646.31		62,253.80	20,607.49	652.96	
Total	212.000		\$41,646.31		\$62,253.80	\$20,607.49	\$652.96	
CHEWY INC CL A								
Dividend Option: Cash			Security Identifier: CHWY					
500.00 of these shares are in your margin account			CUSIP: 16679L109					
07/10/19	500.000	33.3670	16,683.70	29.0000	14,500.00	-2,183.70		
NETFLIX INC COM								
Dividend Option: Cash			Security Identifier: NFLX					
530.00 of these shares are in your margin account			CUSIP: 64110L106					
01/17/19	500.000	353.6920	176,845.90	323.5700	161,785.00	-15,060.90		
09/20/19	30.000	272.6100	8,178.30	323.5700	9,707.10	1,528.80		
Total Covered	530.000		185,024.20		171,492.10	-13,532.10		
Total	530.000		\$185,024.20		\$171,492.10	-\$13,532.10		
PETROLEO BRASILEIRO SA PETROBRAS SPONSORED ADR								
Dividend Option: Cash			Security Identifier: PBR					
13,000.00 of these shares are in your margin account			CUSIP: 71654V408					
04/12/19	13,000.000	15.4460	200,801.30	15.9400	207,220.00	6,418.70	2,800.95	1.35%
SOFTBANK CORP ADR ISIN#US83404D1090								
Dividend Option: Cash			Security Identifier: SFTBY					
400.00 of these shares are in your margin account			CUSIP: 83404D109					
05/07/19	400.000	25.7630	10,305.00	21.5400	8,616.00	-1,689.00	42.08	0.48%
TARGET CORP COM								
Dividend Option: Cash			Security Identifier: TGT					
780.00 of these shares are in your margin account			CUSIP: 87612E106					
12/17/19	780.000	128.4610	100,199.40	128.2100	100,003.80	-195.60	2,059.20	2.05%

Portfolio Holdings (continued)

Date Acquired	Quantity	Unit Cost	Current Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
EQUITIES (continued)								
Common Stocks (continued)								
VALE S A ADR ISIN#US91912E1055			Security Identifier: VALE					
Dividend Option: Cash			CUSIP: 91912E105					
-3,000.00 of these shares are in your margin account								
12/26/19*	-3,000.000	12.3790	-37,137.54	13.2000	-39,600.00	-2,462.46	-1,584.00	4.00%
Total Common Stocks			\$517,522.37		\$524,485.70	\$6,963.33	\$3,971.19	
Options								
PUT 100 APPLE INC COM EXP 01-03-20@270.000 OPTION ROOT= AAPL			Option Identifier: 99QAQ4GOE					
-31.00 of these contracts are a short position			Underlying Security Identifier: AAPL					
			Underlying Security Price: 293.65					
12/24/19*	-31.000	0.3170	-981.77	0.0600	-186.00	795.77		
CALL 100 NETFLIX INC COM EXP 01-03-20@350.000 OPTION ROOT= NFLX			Option Identifier: 99QAQ4ZTB					
-5.00 of these contracts are a short position			Underlying Security Identifier: NFLX					
			Underlying Security Price: 323.57					
12/24/19*	-5.000	0.6660	-332.80	0.0400	-20.00	312.80		
CALL 100 PETROLEO BRASILEIRO SA PETROBRAS SPONSORED ADR EXP 01-17-20@17.000 OPTION ROOT= PBR			Option Identifier: 99QALTCSH					
-255.00 of these contracts are a short position			Underlying Security Identifier: PBR					
			Underlying Security Price: 15.94					
11/11/19*	-255.000	0.4680	-11,939.69	0.0800	-2,040.00	9,899.69		
CALL 100 ISHARES INC MSCI BRAZIL ETF EXP 01-17-20@46.000 OPTION ROOT= EWZ			Option Identifier: 99QAL64XP					
-132.00 of these contracts are a short position			Underlying Security Identifier: EWZ					
			Underlying Security Price: 47.45					
11/11/19*	-132.000	0.6790	-8,968.68	2.0400	-26,928.00	-17,959.32		
PUT 100 NETFLIX INC COM EXP 01-17-20@332.500 OPTION ROOT= NFLX			Option Identifier: 99QARBLQP					
5.00 of these contracts are in your margin account			Underlying Security Identifier: NFLX					
			Underlying Security Price: 323.57					
12/23/19	5.000	8.6040	4,302.19	13.2500	6,625.00	2,322.81		
Total Options			-\$17,920.75		-\$22,549.00	-\$4,628.25		
TOTAL EQUITIES			\$499,601.62		\$501,936.70	\$2,335.08	\$3,971.19	
Date Acquired	Quantity	Unit Cost	Current Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
EXCHANGE-TRADED PRODUCTS 16.00% of Portfolio								
DIREXION SHS ETF TR DIREXION DAILY BRAZIL BULL 3X SHS NEW			Security Identifier: BRZU					
Dividend Option: Cash; Capital Gains Option: Cash			CUSIP: 25490K315					
4,485.00 of these shares are in your margin account								
03/14/19	450.000	33.6070	15,123.00	38.8000	17,460.00	2,337.00	165.51	0.94%
03/20/19	150.000	36.0000	5,400.00	38.8000	5,820.00	420.00	55.17	0.94%
03/21/19	200.000	33.2600	6,652.00	38.8000	7,760.00	1,108.00	73.56	0.94%
05/06/19	2,600.000	26.5510	69,032.00	38.8000	100,880.00	31,848.00	956.30	0.94%
08/14/19	1,085.000	27.7140	30,069.70	38.8000	42,098.00	12,028.30	399.08	0.94%

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GLOBAL RAMOS INVESTMENTS LTD.

Portfolio Holdings *(continued)*

Date Acquired	Quantity	Unit Cost	Current Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
EXCHANGE-TRADED PRODUCTS <i>(continued)</i>								
DIREXION SHS ETF TRDIREXION DAILY <i>(continued)</i>								
Total Covered	4,485.000		126,276.70		174,018.00	47,741.30	1,649.62	
Total	4,485.000		\$126,276.70		\$174,018.00	\$47,741.30	\$1,649.62	
ETF MANAGERS TR ETFMG ALTERNATIVE HARVEST ETF			Security Identifier: MJ CUSIP: 26924G508					
Dividend Option: Cash; Capital Gains Option: Cash								
1,400.00 of these shares are in your margin account								
02/22/19	800.000	36.6280	29,302.00	17.1200	13,696.00	-15,606.00	720.00	5.25%
07/10/19	600.000	31.3900	18,834.00	17.1200	10,272.00	-8,562.00	540.00	5.25%
Total Covered	1,400.000		48,136.00		23,968.00	-24,168.00	1,260.00	
Total	1,400.000		\$48,136.00		\$23,968.00	-\$24,168.00	\$1,260.00	
PROSHARES TR ULTRASHORT QQQ ETF NEW			Security Identifier: QID CUSIP: 74347B243					
Dividend Option: Cash; Capital Gains Option: Cash								
2,350.00 of these shares are in your margin account								
01/22/19	2,350.000	42.7430	100,447.00	23.5000	55,225.00	-45,222.00	1,400.26	2.53%
TOTAL EXCHANGE-TRADED PRODUCTS			\$274,859.70		\$253,211.00	-\$21,648.70	\$4,309.88	
			Current Cost Basis		Market Value	Unrealized Gain/Loss	Estimated Annual Income	
Total Portfolio Holdings			\$1,594,201.28		\$1,583,470.60	-\$10,730.68	\$14,406.07	

* Noncovered under the cost basis rules as defined below.

Generally, securities acquired before 2011, in retirement accounts or held by Non-U.S. entities are not subject to the cost basis reporting rules set forth in the Internal Revenue Code of 1986, as amended by the Emergency Economic Stabilization Act of 2008, and are marked as "noncovered". Securities marked as "covered", were identified as securities potentially subject to the cost basis reporting rules and may be reported to the IRS on form 1099-B for the applicable tax year in which the securities are disposed.

Note: In the event where we cannot easily determine the taxability of an account, we may mark the account as noncovered. However, if the account does not receive a 1099B, the cost basis will not be reported to the IRS.

Cost Basis on fixed income securities may be adjusted for amortization, accretion, original issue discount adjustments, or principal paydowns. The calculation is based upon the taxpayer election, type of fixed income security, and certain attributes, obtained from sources believed to be reliable. In the event, one or more of these attributes is changed, there may be a temporary incorrect adjusted cost basis reflected until the cost basis system is amended to reflect this change. These calculations will not be performed under certain circumstances, including those involving foreign bonds, bonds sold short or bonds issued with less than one year to maturity. This information is meant as a general guide and you should consult your tax advisor in the preparation of your tax returns.

Pricing

This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the report period. The market prices, unless otherwise noted, have been obtained from independent vendor services, which we believe to be reliable. Market prices do not constitute a bid or an offer, and may differ from the actual sale price. Securities for which a price is not available are marked "N/A" and are omitted from the Total.

THE AS OF PRICE DATE ONLY APPEARS WHEN THE PRICE DATE DOES NOT EQUAL THE REPORT DATE.

Estimated Annual Figures

The estimated annual income (EAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or guarantee of future results. These figures are computed using information from providers believed to be reliable; however, no assurance can be made as to the accuracy. Since interest and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal may be included in the figures for certain securities, thereby overstating them. Refer to www.pershing.com/disclosures for specific details as to formulas used to calculate the figures.

Reinvestment

The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your report may have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow.

Option Disclosure

Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional information regarding this procedure is available upon written request to your introducing firm.

Foreign Currency Transactions

Pershing will execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

Proxy Vote

Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

Ratings

This report may contain credit rating information obtained from Standard & Poor's. Reproducing and distributing any information received from Standard & Poor's is not permitted without prior written authorization from Standard & Poor's. Standard & Poor's does not guarantee the accuracy, completeness, timeliness or availability of any information. Standard & Poor's is not responsible for any errors or omissions, regardless of the cause, or for the results of using such content. Standard & Poor's makes no express or implied warranties including warranties of merchantability or fitness for a particular purpose. Standard & Poor's shall not be legally responsible for any fees, costs, expenses or losses in connection with the use of their content. Credit ratings are opinions and not reports of facts; are not recommendations to purchase, hold or sell securities; and do not address suitability for investment purpose. Credit ratings should not be relied upon as investment advice.

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GLOBAL RAMOS INVESTMENTS LTD.

Important Information and Disclosures

The Role of Pershing

- Pershing carries your account as clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you.
- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.
- Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents; the acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those transactions, where applicable; the rendering of investment advice, if any, to you and in general, for the ongoing relationship that it has with you.
- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial organization's contact information can be found on the first page of this report.
- For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the Disclosure Statement, please contact your financial institution.
- Pershing is a member of the Securities Investor Protection Corporation (SIPC®). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: www.pershing.com/about/strength-and-stability.
- This report will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after receipt of this report, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your rights, including your rights under the Securities Investor Protection Act.
- Your financial organization's contact information can be found on the first page of this report. Pershing's contact information is as follows: **Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330.** Errors and Omissions excepted.

Important Arbitration Disclosures

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

Important Arbitration Agreement

Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until: (I) the class certification is denied; (II) the class is decertified; or

Important Information and Disclosures *(continued)*

Important Arbitration Agreement *(continued)*

(III) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein. The laws of the State of New York govern.

Pershing's contact information is as follows: **Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330.**