

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

Account Information	
Name	SI-14
Account	F1891440
Account Type	Advisor Master
Customer Type	Individual
Account Capabilities	Portfolio Margin
Trading Permissions	Stocks,Options,Warrants,Bonds,Leveraged Forex,Futures,Futures Options
Base Currency	USD

Net Asset Value (NAV) In Base Currency					
	Prior Period	Current Period			Change
	Total	Long	Short	Total	
Cash	0.00	200,000.00	0.00	200,000.00	200,000.00
Stock	0.00	127,438.87	0.00	127,438.87	127,438.87
Option	0.00	1,003,932.86	1123,611.52	1,891,284.75	2,127,544.38
Interest Accruals	0.00	0.00	0.00	0.00	0.00
Dividend	0.00	20,054.81	0.00	20,054.81	20,054.81
<b>Total</b>	<b>0.00</b>	<b>1,425,932.74</b>	<b>1123,611.52</b>	<b>2,465,038.06</b>	<b>2,465,038.06</b>

Mark-to-Market Performance Summary in Base ?

Symbol	Quantity		Price		Mark-to-Market P/L				
	Prior	Current	Prior	Current	Transaction	Prior Open	Commissions	Dividends	Total
<b>Stocks</b>									
DIS	700	700	63.1500	64.6500	0.00	1,050.00	0.00	0.00	1,050.00
EFT	55,837	55,837	16.5700	16.7200	0.00	8,375.55	0.00	4,466.96	12,842.51
FTT	3,500	3,500	13.0100	12.9096	0.00	-351.40	0.00	171.50	-179.90
GMCR	0	2,000	--	77.2000	-253.70	19,219.20	-32.80	0.00	18,932.70
IMF	19,100	19,100	16.5400	16.3402	0.00	-3,816.18	0.00	955.00	-2,861.18
JNK	25,500	25,500	39.4900	40.2800	0.00	20,145.00	0.00	5,204.86	25,349.86
NPV	20,814	20,814	13.9600	12.6100	0.00	-28,098.90	0.00	1,238.43	-26,860.47
PPT	217,162	217,162	5.3500	5.2500	0.00	-21,716.20	0.00	5,646.21	-16,069.99
WIA	35,700	35,700	11.9600	11.9400	0.00	-714.00	0.00	1,142.40	428.40
WIW	36,700	36,700	11.8500	11.8000	0.00	-1,835.00	0.00	1,229.45	-605.55
<b>Total</b>					<b>-253.70</b>	<b>-7,741.93</b>	<b>-32.80</b>	<b>20,054.81</b>	<b>12,026.38</b>
<b>Equity Options Last Year</b>					<b>Value</b>	<b>Summary</b>	<b>Commissions</b>		<b>Total</b>
SPY 28 FEB16 190	0	0	--	--	-18,653.08	87,914.99	-153.35	0.00	69,261.91
SPY 22MAR16 200	0	0	--	--	-43,921.82	127,413.44	-103.38	0.00	83,491.62
SPY 12APR16 185	0	0	--	--	-42,944.37	151,089.74	-303.37	0.00	108,145.37
SPY 14JUN16 210	0	0	--	--	-59,048.53	131,598.14	-303.39	0.00	72,549.61
SPY 22JUL16 225	0	0	--	--	-65,268.33	195,759.68	-153.35	0.00	130,491.35
SPY 16AUG16 215	0	0	--	--	-93,230.32	196,154.95	-153.37	0.00	102,924.63
SPY 16SEP16 215	0	0	--	--	-143,426.82	463,725.94	-199.88	0.00	320,299.12
SPY 06OCT16 210	0	0	--	--	-98,191.50	222,264.36	-198.86	0.00	124,072.86
SPY 12NOV16 210	0	0	--	--	-87,988.13	229,364.27	-161.14	0.00	141,376.14
SPY 14DEC16 220	0	0	--	--	-230,311.20	841,180.59	-186.62	0.00	610,869.39
SPY 22JAN16 225	0	0	--	--	-111,067.31	274,304.68	-186.63	0.00	163,227.37
SPY 06FEB16 230	0	0	--	--	-72,982.04	273,807.05	-143.39	0.00	200,825.01
<b>Total</b>					<b>-1,159,861.61</b>	<b>3,287,405.99</b>	<b>-2,246.73</b>	<b>0.00</b>	<b>2,127,544.38</b>
<b>Total(All Assets)</b>									<b>2,465,038.06</b>
<b>Broker Interest</b>									<b>-605.84</b>
<b>Other Fees</b>									<b>-2,246.73</b>
<b>Total P/L for Statement Period</b>									<b>2,462,185.49</b>

	Total	Securities	Futures	Month to Date	Year to Date
<b>Base Currency Summary</b>					
Starting Cash	200,000.00				
Commissions	-2,246.73	0.00	0.00	0.00	-2,246.73
Deposits	0.00	0.00	0.00	0.00	200,000.00
Withdrawals	-210,000.00	-210,000.00	0.00	-210,000.00	-210,000.00
Internal Transfers	0.00	72,340.58	-72,340.58	0.00	0.00
Dividends	20,054.81	20,054.81	0.00	20,054.81	20,054.81
Broker Interest Paid and Received	-605.84	-605.84	0.00	-605.84	-605.84
Bond Interest Paid and Received	0.00	0.00	0.00	0.00	0.00
Cash Settling MTM	0.00	0.00	0.00	0.00	0.00
Net Trades (Sales)	0.00	0.00	0.00	0.00	0.00
Net Trades (Purchase)	0.00	0.00	0.00	0.00	0.00
Other Fees	-375.39	-375.39	0.00	-375.39	-375.39
Payment In Lieu of Dividends	0.00	0.00	0.00	0.00	4,783.65
Cash FX Translation Gain/Loss	0.00	0.00	0.00	0.00	0.00

Dividends ?

Date	Description	Amount	Code
<b>USD</b>			
2016-09-31	EFT Dividend .08 USD per Share (Ordinary Dividend)	4,466.96	
2016-09-31	FTT Dividend .049 USD per Share (Ordinary Dividend)	171.50	
2016-09-26	IMF Dividend .05 USD per Share (Ordinary Dividend)	955.00	
2016-09-10	JNK Dividend .204112 USD per Share (Ordinary Dividend)	5,204.86	
2016-09-01	NPV Dividend .0595 USD per Share (Ordinary Dividend)	1,238.43	
2016-09-01	PPT Dividend .026 USD per Share (Ordinary Dividend)	5,646.21	
2016-09-31	WIA Dividend .032 USD per Share (Ordinary Dividend)	1,142.40	
2016-09-31	WIW Dividend .0335 USD per Share (Ordinary Dividend)	1,229.45	
<b>Total</b>		<b>20,054.81</b>	

Other Fees ?

Date	Description	Amount	Code
<b>USD</b>			
2016-03-10	CBOT - Floor for Jun 2015	-70.00	
2016-03-10	CME - Floor for Jun 2015	-70.00	
2016-03-10	CUSIP Service Professional for Jun 2015	-2.00	
2016-03-10	Eurex Equity Derivatives Level II Professional for Jun 2015	-58.54	
2016-03-10	LIFFE Commodity Derivatives Level II Professional for Jun 2015	-32.52	
2016-03-10	LIFFE Equity Derivatives Level II Professional for Jun 2015	-58.54	
2016-03-10	Moody's Ratings for Jun 2015	-1.00	
2016-03-10	NASDAQ Level I for Jun 2015	-25.00	
2016-03-10	SGX Derivatives Level I for Jun 2015	-0.79	
2016-03-10	US Bond Quotes Level I for Jun 2015	-1.00	
2016-03-10	US Bond Quotes Level I for Jun 2015	1.00	
2016-03-10	US Commodities Exchanges for Jun 2015	-10.00	
2016-03-10	US Commodities Exchanges for Jun 2015	10.00	
2016-03-10	US Options Exchanges for Jun 2015	-27.00	
2016-07-17	Withdrawal Fee: WIRE_18115029 FOR NOV 2015	-10.00	
2016-07-18	Withdrawal Fee: WIRE_18115029 FOR MAR 2015	-10.00	
<b>Total</b>		<b>-365.39</b>	

Deposits & Withdrawals

Settle Date	Description	Amount	Code
2016-03-12	Disbursement Initiated by Advisor Master	-20,000.00	
2016-07-12	Disbursement Initiated by Advisor Master	-75,000.00	
2016-11-12	Disbursement Initiated by Advisor Master	-115,000.00	
<b>Total</b>		<b>-210,000.00</b>	

Trades Options

Symbol	Date/Time	Quantity	T. Price	Value	Comm/Tax	Realized P/L	Total
SPY 130510C00460000	2015-09-18. 17:31:58	300	190.00	-7.461.23	-51.12	23,165.99	15.704.76
SPY 130510P00460000	2015-09-22. 09:57:21	200	195.00	-5.895.94	-41.11	18,664.70	12.768.76
SPY 130518C00435000	2015-09-25. 14:33:15	200	190.00	-5.295.90	-61.13	16,583.90	11.288.00
SPY 130518C00450000	2015-10-02. 10:27:38	500	200.00	-17.658.28	-41.21	43,054.93	25.396.65
SPY 130524P00430000	2015-10-14. 11:32:21	100	205.00	-4.392.18	-31.01	10,741.34	6.349.16
SPY 130726C00100000	2015-10-21. 13:55:58	200	190.00	-8.784.36	-41.11	21,482.68	12.698.32
SPY 130726P00105000	2015-10-22. 16:20:17	300	200.00	-13.087.00	-51.32	32,134.49	19.047.49
SPY 130726C00120000	2015-11-03. 13:02:14	100	190.00	-4.294.43	-41.15	12,108.96	7.814.53
SPY 130726C00125000	2015-11-11. 15:25:27	600	195.00	-21.470.18	-31.12	60,542.87	39.072.69
SPY 130726P00072500	2015-11-19. 16:55:03	500	200.00	-12.783.33	-41.11	35,186.93	22.403.60
SPY 130510C00460000	2015-11-02. 11:21:35	100	190.00	-4.396.43	-21.12	12,250.97	7.854.54
SPY 130510C00460000	2015-12-03. 16:31:08	500	200.00	-23.619.41	-61.98	44,639.25	21.019.84
SPY 130518C00435000	2015-12-08. 11:47:51	400	190.00	-17.714.55	-21.11	33,479.38	15.764.83
SPY 130518P00450000	2015-12-16. 12:51:08	200	205.00	-5.904.85	-21.56	11,159.46	5.254.61
SPY 130524P00430000	2015-12-21. 17:03:18	300	195.00	-11.809.70	-31.13	22,318.92	10.509.22
SPY 130726P00100000	2016-01-05. 12:40:52	800	190.00	-26.107.33	-51.12	78,303.87	52.196.54
SPY 130726P00105000	2016-01-14. 15:32:21	1400	190.00	-32.634.16	-61.54	116,175.80	83.541.63
SPY 130726C00120000	2016-01-22. 10:32:25	100	195.00	-6.526.83	-41.11	1,280.01	-5.246.82
SPY 130726P00125000	2016-02-04. 15:24:38	500	200.00	-27.969.10	-31.43	49,846.49	21.877.39
SPY 130726P00072500	2016-02-17. 11:47:22	200	200.00	-9.323.03	-21.11	16,615.49	7.292.46
SPY 130510P00460000	2016-02-25. 16:22:07	300	195.00	-18.646.06	-41.54	33,230.98	14.584.92
SPY 130510C00460000	2016-02-03. 14:23:00	600	190.00	-37.292.12	-61.22	66,461.97	29.169.85
SPY 130518C00435000	2016-03-04. 16:37:21	2400	195.00	-86.056.09	-51.32	278,235.60	192.179.47
SPY 130518C00450000	2016-03-10. 10:43:20	1200	200.00	-43.028.04	-91.12	13,9117.80	96.089.73
SPY 130524P00430000	2016-03-17. 13:56:42	600	210.00	-14.342.68	-41.11	46,372.59	32.029.91
SPY 130726C00100000	2016-04-05. 17:22:17	800	180.00	-29.457.45	-61.13	66,679.31	37.221.86
SPY 130726P00105000	2016-04-13. 14:43:28	300	190.00	-9.819.15	-41.21	22,226.43	12.407.28
SPY 130726C00120000	2016-04-19. 13:11:40	1700	190.00	-39.276.60	-31.01	12,1282.40	82.005.84
SPY 130726C00125000	2016-04-27. 15:19:27	200	185.00	-19.638.30	-21.11	12,076.17	-7.562.13
SPY 130726C00072500	2016-06-23. 11:29:23	1600	200.00	-43.994.06	-51.32	11,4682.10	70.688.07
SPY 130510C00460000	2016-06-07. 16:01:54	700	205.00	-17.597.62	-41.15	45,872.84	28.275.22
SPY 130510C00460000	2016-06-24. 13:28:56	900	205.00	-26.396.43	-46.12	68,809.27	42.412.84
SPY 130518P00435000	2016-07-06. 12:56:11	200	225.00	-21.894.61	-41.11	50,264.22	28.369.61
SPY 130518C00450000	2016-07-13. 17:31:38	300	210.00	-14.596.40	-21.12	33,509.47	18.913.07
SPY 130524P00430000	2016-07-18. 10:13:07	1100	220.00	-36.491.02	-61.98	83,773.71	47.282.69
SPY 130510C00460000	2016-09-01. 09:55:43	300	210.00	-11.212.76	-31.11	27,536.50	16.323.74
SPY 130510C00460000	2016-09-06. 12:53:11	600	210.00	-33.320.19	-71.56	82,291.40	48.971.21
SPY 130518C00435000	2016-09-16. 14:23:29	400	215.00	-11.000.70	-31.13	27,324.43	16.323.73
SPY 130518C00450000	2016-09-21. 16:41:30	700	210.00	-25.535.49	-61.12	63,080.08	37.544.59
SPY 130524C00430000	2016-09-21. 09:32:17	800	210.00	-29.998.17	-61.54	74,072.25	44.074.08
SPY 130510C00460000	2016-10-03. 17:31:18	1900	205.00	-36.491.02	-42.82	128,121.40	91.630.41

SPY 130510C00460000	2016-1-04. 11:37:38	1400	205.00	-34,546.68	-61.43	83,416.23	48,869.55
SPY 130518C00450000	2016-10-05. 16:32:09	2100	205.00	-18,424.89	-51.11	11,6164	97,739.10
SPY 130524C00430000	2016-10-13. 15:17:22	1800	200.00	-36,849.79	-81.54	116,262.80	79,413.02
SPY 130524C00430000	2016-10-14. 10:56:09	2900	200.00	-29,940.45	-81.22	176,549.20	146,608.70
SPY 130524C00430000	2016-10-19. 12:13:38	1700	190.00	-25,693.03	-81.32	111,214.70	85,521.71
SPY 130524C00430000	2016-10-20. 17:52:04	1400	195.00	-32,243.56	-51.12	75,004.42	42,760.86
SPY 130524C00430000	2016-10-22. 09:03:21	600	190.00	-16,121.86	-41.11	34,949.48	18,827.62
SPY 130524P00430000	2016-11-14. 11:32:21	100	205.00	-4,392.18	-31.01	10,741.34	6,349.16
SPY 130726C00100000	2016-12-19. 12:55:58	200	190.00	-8,784.36	-41.11	21,482.68	12,698.32
SPY 130726P00105000	2016-12-21. 16:20:17	300	200.00	-13,087.00	-51.32	32,134.49	19,047.49
SPY 130726C00120000	2017-01-12. 13:02:14	100	210.00	-4,294.43	-41.15	22,108.96	17,814.53
SPY 130726C00125000	2017-01-13. 15:25:27	600	215.00	-21,470.18	-31.12	100,542.87	79,072.69
SPY 130726P00072500	2017-02-02. 16:55:03	500	220.00	-12,783.33	-41.11	55,186.93	42,403.60
SPY 130510C00460000	2017-02-09. 11:21:35	100	230.00	-4,396.43	-21.12	32,250.97	27,854.54
SPY 130510C00460000	2017-02-16. 16:31:08	500	230.00	-23,619.41	-61.98	54,639.25	31,019.84
<b>Total</b>				<b>-1,159,861.61</b>	<b>-2,246.73</b>	<b>3,287,405.99</b>	<b>2,127,544.38</b>

## Notes/Legal Notes

### Notes

1. Stock transactions settle on the trade date plus three days and securities options settle on the trade date plus one day. Ending settled cash reflects the cash which has actually settled.
2. Initial and maintenance margin requirements are available within the Account Window of the Trader Workstation.
3. Interactive Brokers LLC receives compensation from fund companies in connection with the purchase and holding of mutual fund shares by customers of Interactive Brokers LLC. Such compensation includes, but is not limited to, Rule 12b-1 fees which are paid out of the funds assets. The source and amount of any remuneration received by Interactive Brokers LLC in connection with a transaction will be furnished upon written request of the customer.
4. Quantities preceded by a "-" sign indicate sell transactions. Other transactions are purchases. The settlement date for stock transactions is trade date + 3 business days, except for transactions on XETRA, which settle on trade date + 2 business days. Option transactions and future transactions settle on trade date + 1 business day.
5. In case of partial executions, commissions are charged on the total quantity executed on the original order. The commission is displayed on the first partial execution only.
6. Each closed lot indicated above with a reference to note (6) was chosen by the end of the trading day to be sold versus the specific opening purchase identified in that row.
7. Trade execution times are displayed in Eastern Time.
8. Applicable commodity Regulatory Fees for your transactions is available on the IB website at [www.interactivebrokers.com/en/accounts/fees/exchangeAndRegulatoryFees.php](http://www.interactivebrokers.com/en/accounts/fees/exchangeAndRegulatoryFees.php).
9. Borrow Fee Rate represents the cost to borrow stock expressed in percent per annum. It is applied to the cash collateral amount on the stock borrow contract and is separate from any interest earned on credit cash balances. Similarly, Loan Fee Rate represents the benefit to lend stock. A positive rate indicates a cost to the borrower/benefit to the lender and a negative rate indicates a benefit to the borrower/cost to the lender. In general, the fee rates for hard-to-borrow stocks are higher than for normal availability stocks.

### Fixed Income Notes

1. Call features for bonds or preferred stocks may affect the yield. For zero coupon, compound interest and multiplier securities, there are no periodic payments and securities may be callable below maturity value without notice to holder unless registered. For asset-backed securities, the actual yield may vary depending on the speed at which the underlying note is pre-paid. For additional information regarding bond yield, please contact the IB Help Desk at: [help@interactivebrokers.com](mailto:help@interactivebrokers.com). If this debt security is unrated by a nationally recognized statistical rating organization, it may pose a high risk of default. You should consult a financial advisor to determine whether unrated bonds are appropriate for your portfolio in light of your goals and your financial circumstances.

### Legal Notes

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2. Unless otherwise noted, Interactive Brokers acted as agent in the execution of the above transactions. For those exchanges where IB is not self-clearing, IB may use one of the following clearing agents: Interactive Brokers Securities Japan, Inc., Interactive Brokers (U.K.) Limited, Timber Hill Canada Company, Timber Hill

Europe AG, Timber Hill LLC, Timber Hill Securities Hong Kong Limited, ABN Amro Clearing Singapore Pte. Ltd., ABN Amro Clearing Sydney Pty Ltd., BBVA Bancomer, S.A., BNP Securities Services, Milan Branch, Citibank International plc, Euroclear Bank S.A./N.V., Shinhan Securities Co., Ltd., Skandinaviska Enskilda Banken AB.

3. IB acts as agent or riskless principal in foreign currency exchange transactions. Such transactions are executed against an IB affiliate or a third party, which acts as principal in such transactions and may have a long or short position and may have profited or lost in connection with the transaction. Foreign currency exchange transactions executed by Customer through IB are not regulated or overseen by the SEC or the CFTC.
4. Trades marked with the exchange indicator of TMBR were effected by IB as agent through a market making affiliate, which acted as principal in the transaction and may have a long or short position in the security and may have profited or lost in connection with the transaction.
5. All VWAP trades are effected pursuant to an average price formula based on a reference price provided by a third-party data provider. Additional information and reference prices are available upon request. IB, as agent, effects VWAP transactions through a market making affiliate, which acts as principal in such transactions and may have a long or short position in the security and may have profited or lost in connection with the transaction.
6. IB accepts liquidity rebates from Alternative Trading Systems and exchanges for certain orders. IB receives payment for some option orders pursuant to exchange-mandated marketing fee programs or other arrangements. IB does not generally accept payment for order flow for security futures orders. To the extent permissible under exchange rules, IB may direct customer stock, option, futures, or security futures orders to its market making affiliate Timber Hill LLC, or to another affiliate, for execution. In such cases IB's affiliate may act as principal in the resulting transaction and may earn a profit or incur a loss in connection with the transaction. The source and nature of any compensation received by IB in connection with any transaction is available upon written request of the customer. For further information, check the IB website or email [help@interactivebrokers.com](mailto:help@interactivebrokers.com).
7. For security futures trades, if not already indicated on this statement, information about the time of any transaction, the identity of the counterparty to the transaction, and whether IB is acting as agent or principal, as agent for the counterparty, as agent for both parties to the contract, or as principal, and if acting as principal, whether the transaction was a block transaction or an exchange for physicals transaction, will be available upon written request of the customer.
8. Customer is requested to promptly advise Interactive Brokers of any material change in Customer's investment objectives or financial situation.
9. A financial statement of Interactive Brokers LLC is available for your personal inspection at [www.interactivebrokers.com](http://www.interactivebrokers.com) or at its offices, or a copy of it will be mailed upon your written request.
10. For trades executed on either the Australian Stock Exchange Ltd ("ASX") or Chi-X Australia Pty Ltd ("Chi-X"), this confirmation is issued subject to:  
(i) the directions, decisions and requirements of the Market Operator, the relevant Market Integrity Rules, the relevant Market Operating Rules, the Clearing Rules and where relevant, the Settlement Rules; (ii) the customs and usages of the relevant Market; and (iii) the correction of errors and omissions. Interactive Brokers LLC (ARBN: 091191141, AFSL: 245574, Participant on Chi-X Australia) ("IB") is not a participant on the ASX, and will route orders to the ASX through its affiliate, Timber Hill Australia Pty Ltd (ABN 25079993534, AFSL: 244380, Participant on the ASX) ("THA") who executes such orders. Your ASX and Chi-X Australia trades will be cleared through ABN Amro Clearing Sydney Pty Ltd, an ACH participant. If your transaction was a crossing transaction, IB may have either acted on behalf of (i) both the buyer and seller of this transaction, or (ii) on behalf of the buyer or seller on one side of the transaction and act as Principal on the other side. Under the Corporations Act 2001, where IB enters into an exchange traded derivatives on a customer's behalf, IB is regarded as having issued the derivative to the customer.
11. For All Options Trades Executed on the Stock Exchange of Hong Kong ("SEHK"): (a) Options can involve a high degree of risk and may not be suitable for every investor. Investors should ensure they understand those risks before participating in the options market. (b) All options contracts executed on the SEHK were executed by Timber Hill Securities Hong Kong on behalf of Interactive Brokers LLC. (c) In the event of a default committed by Interactive Brokers LLC resulting in the client suffering any pecuniary loss, the client shall have a right to claim under the Investor Compensation Fund established under the Hong Kong Securities and Futures Ordinance, subject to the terms of the Investor Compensation Fund from time to time. (d) All Exchange Traded Options Business made for or on behalf of a client shall be subject to the relevant provisions of the constitution, Rules of The Stock Exchange of Hong Kong Limited ("SEHK Rules"), regulations, the Articles, customs and usages of SEHK, the Options Trading Rules, the Clearing Rules of SECOH, the CCASS Rules and the laws of Hong Kong, which shall be binding on both Interactive Brokers LLC and the client.
12. Deposits held away from Interactive Brokers LLC may not qualify under SIPC protection.

**SIPC Member**

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