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Return of Private Foundation
or Section 4947(a)(1) Trust Treated as Private Foundation

Department of the Treasury
Internal Revenue Service

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▶ Information about Form 990-PF and its separate instructions is at www.irs.gov/form990pf.

Open to Public Inspection

For calendar year 2016 or tax year beginning , 2016, and ending , 20

Name of foundation APPI INC		A Employer identification number 47-2648745
Number and street (or P O box number if mail is not delivered to street address) 23909 Berdon Street	Room/suite	B Telephone number (see instructions) 818-884-8865
City or town, state or province, country, and ZIP or foreign postal code Woodland Hills, CA, USA 91367		C If exemption application is pending, check here ▶ <input type="checkbox"/>
G Check all that apply: <input checked="" type="checkbox"/> Initial return <input type="checkbox"/> Initial return of a former public charity <input type="checkbox"/> Final return <input type="checkbox"/> Amended return <input type="checkbox"/> Address change <input type="checkbox"/> Name change		D 1. Foreign organizations, check here ▶ <input type="checkbox"/> 2. Foreign organizations meeting the 85% test, check here and attach computation ▶ <input type="checkbox"/>
H Check type of organization: <input checked="" type="checkbox"/> Section 501(c)(3) exempt private foundation <input type="checkbox"/> Section 4947(a)(1) nonexempt charitable trust <input type="checkbox"/> Other taxable private foundation		E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ <input type="checkbox"/>
I Fair market value of all assets at end of year (from Part II, col. (c), line 16) ▶ \$ 22424	J Accounting method: <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other (specify) _____ <i>(Part I, column (d) must be on cash basis)</i>	F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ <input type="checkbox"/>

Part I Analysis of Revenue and Expenses <i>(The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a) (see instructions).)</i>		(a) Revenue and expenses per books	(b) Net investment income	(c) Adjusted net income	(d) Disbursements for charitable purposes (cash basis only)
Revenue	1 Contributions, gifts, grants, etc., received (attach schedule)	0			
	2 Check ▶ <input type="checkbox"/> if the foundation is not required to attach Sch. B				
	3 Interest on savings and temporary cash investments				
	4 Dividends and interest from securities				
	5a Gross rents				
	b Net rental income or (loss)				
	6a Net gain or (loss) from sale of assets not on line 10				
	b Gross sales price for all assets on line 6a				
	7 Capital gain net income (from Part IV, line 2)		17,683		
	8 Net short-term capital gain			17683	
	9 Income modifications				
	10a Gross sales less returns and allowances				
b Less: Cost of goods sold					
c Gross profit or (loss) (attach schedule)	17683				
11 Other income (attach schedule)					
12 Total. Add lines 1 through 11	17683	17683	17683		
Operating and Administrative Expenses	13 Compensation of officers, directors, trustees, etc.	0	0	0	
	14 Other employee salaries and wages				
	15 Pension plans, employee benefits				
	16a Legal fees (attach schedule)				
	b Accounting fees (attach schedule)				
	c Other professional fees (attach schedule)	9119	9119	9119	
	17 Interest	462	462	462	
	18 Taxes (attach schedule) (see instructions)				
	19 Depreciation (attach schedule) and depletion				
	20 Occupancy				
	21 Travel, conferences, and meetings				
	22 Printing and publications				
	23 Other expenses (attach schedule)				
	24 Total operating and administrative expenses. Add lines 13 through 23	9581	9581	9581	
	25 Contributions, gifts, grants paid				1750
26 Total expenses and disbursements. Add lines 24 and 25	9581	9581	9581	1750	
27 Subtract line 26 from line 12:					
a Excess of revenue over expenses and disbursements	8102				
b Net investment income (if negative, enter -0-)		8102			
c Adjusted net income (if negative, enter -0-)			8102		

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Part II Balance Sheets		Attached schedules and amounts in the description column should be for end-of-year amounts only (See instructions.)	Beginning of year	End of year	
			(a) Book Value	(b) Book Value	(c) Fair Market Value
Assets	1	Cash—non-interest-bearing	0	20956	20956
	2	Savings and temporary cash investments	0	1468	1468
	3	Accounts receivable ▶			
		Less: allowance for doubtful accounts ▶			
	4	Pledges receivable ▶			
		Less: allowance for doubtful accounts ▶			
	5	Grants receivable			
	6	Receivables due from officers, directors, trustees, and other disqualified persons (attach schedule) (see instructions)			
	7	Other notes and loans receivable (attach schedule) ▶			
		Less: allowance for doubtful accounts ▶			
	8	Inventories for sale or use			
	9	Prepaid expenses and deferred charges			
	10a	Investments—U.S. and state government obligations (attach schedule)			
	b	Investments—corporate stock (attach schedule)			
	c	Investments—corporate bonds (attach schedule)			
	11	Investments—land, buildings, and equipment: basis ▶			
	Less: accumulated depreciation (attach schedule) ▶				
12	Investments—mortgage loans				
13	Investments—other (attach schedule)				
14	Land, buildings, and equipment: basis ▶				
	Less: accumulated depreciation (attach schedule) ▶				
15	Other assets (describe ▶)				
16	Total assets (to be completed by all filers—see the instructions. Also, see page 1, item I)	0	22424	22424	
Liabilities	17	Accounts payable and accrued expenses	0	8145	
	18	Grants payable			
	19	Deferred revenue			
	20	Loans from officers, directors, trustees, and other disqualified persons	0	0	
	21	Mortgages and other notes payable (attach schedule)	0	0	
	22	Other liabilities (describe ▶)			
	23	Total liabilities (add lines 17 through 22)	0	8145	
Net Assets or Fund Balances	Foundations that follow SFAS 117, check here ▶ <input type="checkbox"/> and complete lines 24 through 26 and lines 30 and 31.				
	24	Unrestricted			
	25	Temporarily restricted			
	26	Permanently restricted			
	Foundations that do not follow SFAS 117, check here ▶ <input checked="" type="checkbox"/> and complete lines 27 through 31.				
	27	Capital stock, trust principal, or current funds	0	7000	
	28	Paid-in or capital surplus, or land, bldg., and equipment fund	0	0	
	29	Retained earnings, accumulated income, endowment, or other funds	0	6352	
30	Total net assets or fund balances (see instructions)	0	13352		
31	Total liabilities and net assets/fund balances (see instructions)	0	22424		

Part III Analysis of Changes in Net Assets or Fund Balances			
1	Total net assets or fund balances at beginning of year—Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return)	1	0
2	Enter amount from Part I, line 27a	2	8102
3	Other increases not included in line 2 (itemize) ▶ <u>\$7000 initial funding</u>	3	7000
4	Add lines 1, 2, and 3	4	15102
5	Decreases not included in line 2 (itemize) ▶ <u>\$1750 free contest prize disbursements</u>	5	1750
6	Total net assets or fund balances at end of year (line 4 minus line 5)—Part II, column (b), line 30	6	13352

Part IV Capital Gains and Losses for Tax on Investment Income

(a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse, or common stock, 200 shs MLC Co)	(b) How acquired P—Purchase D—Donation	(c) Date acquired (mo., day, yr.)	(d) Date sold (mo., day, yr.)
1a All Investment Income is from Interactive Brokers Account.			
b See "IB Attachment" for details.			
c			
d			
e			
(e) Gross sales price	(f) Depreciation allowed (or allowable)	(g) Cost or other basis plus expense of sale	(h) Gain or (loss) (e) plus (f) minus (g)
a			17,683
b			
c			
d			
e			
Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69			(i) Gains (Col (h) gain minus col (k), but not less than -0-) or Losses (from col (h))
(i) FMV as of 12/31/69	(j) Adjusted basis as of 12/31/69	(k) Excess of col (i) over col (j), if any	
a			
b			
c			
d			
e			
2 Capital gain net income or (net capital loss)	{ If gain, also enter in Part I, line 7 If (loss), enter -0- in Part I, line 7 }		17,683
3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c) (see instructions). If (loss), enter -0- in Part I, line 8			3

Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income.)

If section 4940(d)(2) applies, leave this part blank.

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? Yes No
If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

1 Enter the appropriate amount in each column for each year; see the instructions before making any entries.

(a) Base period years Calendar year (or tax year beginning in)	(b) Adjusted qualifying distributions	(c) Net value of noncharitable-use assets	(d) Distribution ratio (col (b) divided by col (c))
2015	0	0	0
2014			
2013			
2012			
2011			

2 Total of line 1, column (d)	2	
3 Average distribution ratio for the 5-year base period—divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years	3	
4 Enter the net value of noncharitable-use assets for 2016 from Part X, line 5	4	
5 Multiply line 4 by line 3	5	
6 Enter 1% of net investment income (1% of Part I, line 27b)	6	
7 Add lines 5 and 6	7	
8 Enter qualifying distributions from Part XII, line 4 If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.	8	

Part VI Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948—see instructions)

1a	Exempt operating foundations described in section 4940(d)(2), check here <input type="checkbox"/> and enter "N/A" on line 1. Date of ruling or determination letter: _____ (attach copy of letter if necessary—see instructions)			
b	Domestic foundations that meet the section 4940(e) requirements in Part V, check here <input type="checkbox"/> and enter 1% of Part I, line 27b	1		162
c	All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b).			
2	Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	2		
3	Add lines 1 and 2	3		162
4	Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-)	4		0
5	Tax based on investment income. Subtract line 4 from line 3. If zero or less, enter -0-	5		162
6	Credits/Payments:			
a	2016 estimated tax payments and 2015 overpayment credited to 2016	6a		
b	Exempt foreign organizations—tax withheld at source	6b		
c	Tax paid with application for extension of time to file (Form 8868)	6c		
d	Backup withholding erroneously withheld	6d		
7	Total credits and payments. Add lines 6a through 6d	7		
8	Enter any penalty for underpayment of estimated tax. Check here <input type="checkbox"/> if Form 2220 is attached	8		
9	Tax due. If the total of lines 5 and 8 is more than line 7, enter amount owed	9		162
10	Overpayment. If line 7 is more than the total of lines 5 and 8, enter the amount overpaid	10		
11	Enter the amount of line 10 to be: Credited to 2017 estimated tax <input type="checkbox"/> Refunded <input type="checkbox"/>	11		

Part VII-A Statements Regarding Activities

	Yes	No
1a During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign?		✓
b Did it spend more than \$100 during the year (either directly or indirectly) for political purposes (see Instructions for the definition)? <i>If the answer is "Yes" to 1a or 1b, attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities.</i>		✓
c Did the foundation file Form 1120-POL for this year?		✓
d Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year: (1) On the foundation. ▶ \$ <u>0</u> (2) On foundation managers. ▶ \$ <u>0</u>		
e Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ \$ <u>0</u>		
2 Has the foundation engaged in any activities that have not previously been reported to the IRS? <i>If "Yes," attach a detailed description of the activities.</i>		✓
3 Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? <i>If "Yes," attach a conformed copy of the changes</i>		✓
4a Did the foundation have unrelated business gross income of \$1,000 or more during the year?		✓
b If "Yes," has it filed a tax return on Form 990-T for this year?		
5 Was there a liquidation, termination, dissolution, or substantial contraction during the year? <i>If "Yes," attach the statement required by General Instruction T.</i>		✓
6 Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either: • By language in the governing instrument, or • By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument?	✓	
7 Did the foundation have at least \$5,000 in assets at any time during the year? <i>If "Yes," complete Part II, col. (c), and Part XV</i>	✓	
8a Enter the states to which the foundation reports or with which it is registered (see instructions) ▶ California		
b If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by <i>General Instruction G</i> ? <i>If "No," attach explanation</i>	✓	
9 Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2016 or the taxable year beginning in 2016 (see instructions for Part XIV)? <i>If "Yes," complete Part XIV</i>		✓
10 Did any persons become substantial contributors during the tax year? <i>If "Yes," attach a schedule listing their names and addresses</i>		✓

Part VII-A Statements Regarding Activities (continued)

		Yes	No
11	At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions)		✓
12	Did the foundation make a distribution to a donor advised fund over which the foundation or a disqualified person had advisory privileges? If "Yes," attach statement (see instructions)		✓
13	Did the foundation comply with the public inspection requirements for its annual returns and exemption application? Website address ► http://martyrosenblatt.wix.com/appi	✓	
14	The books are in care of ► <u>Jane Rosenblatt</u> Telephone no. ► <u>818-884-8865</u> Located at ► <u>23909 Berdon St., Woodland Hills CA</u> ZIP+4 ► <u>91367</u>		
15	Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of Form 1041—Check here. and enter the amount of tax-exempt interest received or accrued during the year		<input type="checkbox"/>
		15	
16	At any time during calendar year 2016, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? See the instructions for exceptions and filing requirements for FinCEN Form 114. If "Yes," enter the name of the foreign country ►		✓
		16	

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required

File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.

		Yes	No
1a	During the year did the foundation (either directly or indirectly):		
(1)	Engage in the sale or exchange, or leasing of property with a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2)	Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3)	Furnish goods, services, or facilities to (or accept them from) a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4)	Pay compensation to, or pay or reimburse the expenses of, a disqualified person? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(5)	Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(6)	Agree to pay money or property to a government official? (Exception. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If any answer is "Yes" to 1a(1)–(6), did any of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see instructions)? Organizations relying on a current notice regarding disaster assistance check here ► <input type="checkbox"/>	1b	
c	Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2016?	1c	✓
2	Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)):		
a	At the end of tax year 2016, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2016? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," list the years ► 20____, 20____, 20____, 20____		
b	Are there any years listed in 2a for which the foundation is not applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to all years listed, answer "No" and attach statement—see instructions.)	2b	✓
c	If the provisions of section 4942(a)(2) are being applied to any of the years listed in 2a, list the years here. ► 20____, 20____, 20____, 20____		
3a	Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
b	If "Yes," did it have excess business holdings in 2016 as a result of (1) any purchase by the foundation or disqualified persons after May 26, 1969; (2) the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or (3) the lapse of the 10-, 15-, or 20-year first phase holding period? (<i>Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2016.</i>)	3b	
4a	Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes?	4a	✓
b	Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2016?	4b	✓

Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required (continued)

5a During the year did the foundation pay or incur any amount to:

(1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? Yes No

(2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? Yes No

(3) Provide a grant to an individual for travel, study, or other similar purposes? Yes No

(4) Provide a grant to an organization other than a charitable, etc., organization described in section 4945(d)(4)(A)? (see instructions) Yes No

(5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? Yes No

b If any answer is "Yes" to 5a(1)–(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? Yes No

Organizations relying on a current notice regarding disaster assistance check here

c If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? Yes No

If "Yes," attach the statement required by Regulations section 53.4945–5(d).

6a Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? Yes No

b Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? Yes No

If "Yes" to 6b, file Form 8870.

7a At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? Yes No

b If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? Yes No

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

1 List all officers, directors, trustees, foundation managers and their compensation (see instructions).

(a) Name and address	(b) Title, and average hours per week devoted to position	(c) Compensation (If not paid, enter -0-)	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
Martin Rosenblatt 23909 Berdon St., Woodland Hills, CA	President, 20	0		
Jane Rosenblatt 23909 Berdon St., Woodland Hills, CA	Secretary, 10	0		

2 Compensation of five highest-paid employees (other than those included on line 1—see instructions). If none, enter "NONE."

(a) Name and address of each employee paid more than \$50,000	(b) Title, and average hours per week devoted to position	(c) Compensation	(d) Contributions to employee benefit plans and deferred compensation	(e) Expense account, other allowances
NONE				
Total number of other employees paid over \$50,000				NONE

Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors (continued)

3 Five highest-paid independent contractors for professional services (see instructions). If none, enter "NONE."		
(a) Name and address of each person paid more than \$50,000	(b) Type of service	(c) Compensation
NONE		
Total number of others receiving over \$50,000 for professional services		NONE

Part IX-A Summary of Direct Charitable Activities

List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc	Expenses
1 Weekly Webinars are provided free of charge to all interested in personal consciousness studies. These webinars can be found at: http://www.appliedprecog.com/free-past-webinars These are usually taught by Martin Rosenblatt who is currently not taking any compensation.	0
2 Free precognition contest. First prize = \$1000, second prize = \$500, and third prize = \$250. Prizes were awarded to: Henry Gilroy, Christine Umholtz, Joyce Wahlberg, respectively.	1750
3	
4	

Part IX-B Summary of Program-Related Investments (see instructions)

Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2	Amount
1 NONE	
2	
All other program-related investments See instructions.	
3	
Total. Add lines 1 through 3	

Part X Minimum Investment Return (All domestic foundations must complete this part. Foreign foundations, see instructions.)

1	Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes:		
a	Average monthly fair market value of securities	1a	
b	Average of monthly cash balances	1b	9856
c	Fair market value of all other assets (see instructions)	1c	
d	Total (add lines 1a, b, and c)	1d	9856
e	Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation)	1e	
2	Acquisition indebtedness applicable to line 1 assets	2	
3	Subtract line 2 from line 1d	3	9856
4	Cash deemed held for charitable activities. Enter 1½% of line 3 (for greater amount, see instructions)	4	148
5	Net value of noncharitable-use assets. Subtract line 4 from line 3. Enter here and on Part V, line 4	5	9708
6	Minimum investment return. Enter 5% of line 5	6	485

Part XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here and do not complete this part.)

1	Minimum investment return from Part X, line 6	1	485
2a	Tax on investment income for 2016 from Part VI, line 5	2a	162
b	Income tax for 2016. (This does not include the tax from Part VI.)	2b	0
c	Add lines 2a and 2b	2c	162
3	Distributable amount before adjustments. Subtract line 2c from line 1	3	323
4	Recoveries of amounts treated as qualifying distributions	4	0
5	Add lines 3 and 4	5	323
6	Deduction from distributable amount (see instructions)	6	0
7	Distributable amount as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1	7	323

Part XII Qualifying Distributions (see instructions)

1	Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes:		
a	Expenses, contributions, gifts, etc.—total from Part I, column (d), line 26	1a	1750
b	Program-related investments—total from Part IX-B	1b	
2	Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes	2	
3	Amounts set aside for specific charitable projects that satisfy the:		
a	Suitability test (prior IRS approval required)	3a	
b	Cash distribution test (attach the required schedule)	3b	
4	Qualifying distributions. Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4	4	1750
5	Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b (see instructions)	5	0
6	Adjusted qualifying distributions. Subtract line 5 from line 4	6	1750

Note: The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

Part XIII Undistributed Income (see instructions)

	(a) Corpus	(b) Years prior to 2015	(c) 2015	(d) 2016
1 Distributable amount for 2016 from Part XI, line 7				323
2 Undistributed income, if any, as of the end of 2016:				
a Enter amount for 2015 only			0	
b Total for prior years: 20____, 20____, 20____		0		
3 Excess distributions carryover, if any, to 2016:				
a From 2011				
b From 2012				
c From 2013				
d From 2014				
e From 2015				
f Total of lines 3a through e				
4 Qualifying distributions for 2016 from Part XII, line 4: ► \$ <u>1750</u>				
a Applied to 2015, but not more than line 2a				
b Applied to undistributed income of prior years (Election required—see instructions)				
c Treated as distributions out of corpus (Election required—see instructions)				
d Applied to 2016 distributable amount				1750
e Remaining amount distributed out of corpus	1427			
5 Excess distributions carryover applied to 2016 (If an amount appears in column (d), the same amount must be shown in column (a).)	0			0
6 Enter the net total of each column as indicated below:				
a Corpus. Add lines 3f, 4c, and 4e. Subtract line 5	1427			
b Prior years' undistributed income. Subtract line 4b from line 2b		0		
c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed		0		
d Subtract line 6c from line 6b. Taxable amount—see instructions		0		
e Undistributed income for 2015. Subtract line 4a from line 2a. Taxable amount—see instructions			0	
f Undistributed income for 2016. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2017				0
7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) (Election may be required—see instructions)	0			
8 Excess distributions carryover from 2011 not applied on line 5 or line 7 (see instructions)	0			
9 Excess distributions carryover to 2017. Subtract lines 7 and 8 from line 6a	0			
10 Analysis of line 9:				
a Excess from 2012	0			
b Excess from 2013	0			
c Excess from 2014	0			
d Excess from 2015	0			
e Excess from 2016	1427			

Part XIV Private Operating Foundations (see instructions and Part VII-A, question 9)

1a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2016, enter the date of the ruling

b Check box to indicate whether the foundation is a private operating foundation described in section 4942(j)(3) or 4942(j)(5)

	Tax year	Prior 3 years			(e) Total
	(a) 2016	(b) 2015	(c) 2014	(d) 2013	
2a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed					
b 85% of line 2a					
c Qualifying distributions from Part XII, line 4 for each year listed					
d Amounts included in line 2c not used directly for active conduct of exempt activities					
e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c					
3 Complete 3a, b, or c for the alternative test relied upon.					
a "Assets" alternative test—enter:					
(1) Value of all assets					
(2) Value of assets qualifying under section 4942(j)(3)(B)(i)					
b "Endowment" alternative test—enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed					
c "Support" alternative test—enter:					
(1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties)					
(2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii)					
(3) Largest amount of support from an exempt organization					
(4) Gross investment income					

Part XV Supplementary Information (Complete this part only if the foundation had \$5,000 or more in assets at any time during the year—see instructions.)

1 Information Regarding Foundation Managers:
a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than \$5,000). (See section 507(d)(2).)
 NONE

b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest.
 NONE

2 Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:
 Check here if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

a The name, address, and telephone number or e-mail address of the person to whom applications should be addressed:

b The form in which applications should be submitted and information and materials they should include:

c Any submission deadlines:

d Any restrictions or limitations on awards, such as by geographical areas, chantable fields, kinds of institutions, or other factors:

Part XV **Supplementary Information** *(continued)*

3 Grants and Contributions Paid During the Year or Approved for Future Payment

Recipient Name and address (home or business)	If recipient is an individual, show any relationship to any foundation manager or substantial contributor	Foundation status of recipient	Purpose of grant or contribution	Amount
a Paid during the year				
Henry Gilroy, 15652 Hillview Lane, Granada Hills CA 91344	NONE	NONE	1st Place in Free Contest	1000
CHRISTINE UMHOLTZ, 15652 Hillview Lane, Granada Hills CA 91344	NONE	NONE	2nd Place in Free Contest	500
JOYCE WAHLBERG, 56 Nathan Rd #2, Waltham MA 02453	NONE	NONE	3rd Place in Free Contest	250
Total				3a 1750
b Approved for future payment				
Total				3b



APPI INC, 990-PF, EIN 47-2648745

Part I 16C

John Herlosky	\$	5,900	102-46-8560
Elisa Lagana	\$	1,908	569-67-0450
Debra Katz	\$	656	360-72-2749
Chris Georges	\$	656	084-54-0854
Total	\$	9,119	

"IB Attachment"
Part IV level 2

APPI INC
E#17,683

2016 47-26487
EIN=47-2648745 45



Activity Statement

January 1, 2016 - December 31, 2016

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

Account Information

Net Asset Value

	December 31, 2015	December 31, 2016			Change	Change in NAV	Total	
	Total	Long	Short	Total				
Cash	7,273.75	20,956.30	0.00	20,956.30	13,682.55	Starting Value	7,261.79	
Interest Accruals	-11.96	0.00	0.00	0.00	11.96	Mark-to-Market	19,254.39	
Total	7,261.79	20,956.30	0.00	20,956.30	13,694.52	Deposits & Withdrawals	-4,000.00	
Time Weighted Rate of Return					238.24%	Interest	-461.84	
							Change in Interest Accruals	14.77
							Other Fees	-6.00
							Commissions	-1,104.00
							Other FX Translations	-2.81
							Ending Value	20,956.30

Mark-to-Market Performance Summary

Symbol	Quantity		Price		Position	Mark-to-Market P/L			Total	Code
	Prior	Current	Prior	Current		Transaction	Commissions	Other		
Equity and Index Options										
SPY 19FEB16 190.0 P	0	0	--	--	0.00	-17.00	-16.28	0.00	-33.28	
SPY 19FEB16 191.0 C	0	0	--	--	0.00	271.00	-4.54	0.00	266.46	
SPY 26FEB16 192.0 P	0	0	--	--	0.00	121.00	-19.12	0.00	101.88	
SPY 11MAR16 193.0 C	0	0	--	--	0.00	528.00	-9.77	0.00	518.23	
SPY 18MAR16 198.0 P	0	0	--	--	0.00	-857.00	-28.35	0.00	-885.35	
SPY 01APR16 202.0 C	0	0	--	--	0.00	132.00	-9.42	0.00	122.58	
SPY 15APR16 206.0 C	0	0	--	--	0.00	-120.00	-10.24	0.00	-130.24	
Total					0.00	58.00	-97.72	0.00	-39.72	
Futures										
ADH7	0	0	--	--	-840.00	-840.00	-59.04	0.00	-1,739.04	
ADU6	0	0	--	--	680.00	910.00	-59.04	0.00	1,530.96	
ADZ6	0	0	--	--	1,410.00	7,210.00	-324.72	0.00	8,295.28	
BPZ6	0	0	--	--	0.00	-37.50	-4.92	0.00	-42.42	
DXZ6	0	0	--	--	0.00	50.00	-4.42	0.00	45.58	
ESZ6	0	0	--	--	-2,190.00	-297.50	-4.06	0.00	-2,491.56	
GCG7	0	0	--	--	680.00	-120.00	-13.86	0.00	546.14	
GCZ6	0	0	--	--	0.00	-550.00	-9.24	0.00	-559.24	
Total					-260.00	6,325.00	-479.30	0.00	5,585.70	
Forex										
AUD	-771.90	-10.85	0.72859	0.7216	17,566.18	0.00	0.00	0.00	17,566.18	

CAD	0.00	0.00	--	0.74446	0.24	-20.89	-6.00	0.00	-26.65
EUR	-18.20	0.00	1.0858	1.0519	-0.58	0.00	0.00	0.00	-0.58
USD	7,855.91	20,964.13	1.0000	1.0000	0.00	-4,413.56	-520.98	0.00	-4,934.54
Total					17,565.84	-4,434.45	-526.98	0.00	12,604.41
Total (All Assets)					17,305.84	1,948.55	-1,104.00	0.00	18,150.39
Broker Interest Paid and Received									-461.84
Other Fees									6.00
Total P/L for Statement Period									17,682.55

Realized & Unrealized Performance Summary

Symbol	Cost Adj.	Realized					Unrealized					Total	Code	
		S/T Profit	S/T Loss	L/T Profit	L/T Loss	Total	S/T Profit	S/T Loss	L/T Profit	L/T Loss	Total			
Equity and Index Options														
SPY														
19FEB16	0.00	218.93	-252.22	0.00	0.00	-33.28	0.00	0.00	0.00	0.00	0.00	0.00	-33.28	
190.0 P														
SPY														
19FEB16	0.00	266.46	0.00	0.00	0.00	266.46	0.00	0.00	0.00	0.00	0.00	0.00	266.46	
191.0 C														
SPY														
26FEB16	0.00	101.88	0.00	0.00	0.00	101.88	0.00	0.00	0.00	0.00	0.00	0.00	101.88	
192.0 P														
SPY														
11MAR16	0.00	518.23	0.00	0.00	0.00	518.23	0.00	0.00	0.00	0.00	0.00	0.00	518.23	
193.0 C														
SPY														
18MAR16	0.00	0.00	-885.35	0.00	0.00	-885.35	0.00	0.00	0.00	0.00	0.00	0.00	-885.35	
198.0 P														
SPY														
01APR16	0.00	122.58	0.00	0.00	0.00	122.58	0.00	0.00	0.00	0.00	0.00	0.00	122.58	
202.0 C														
SPY														
15APR16	0.00	0.00	-130.24	0.00	0.00	-130.24	0.00	0.00	0.00	0.00	0.00	0.00	-130.24	
206.0 C														
Total	0.00	1,228.09	-1,267.81	0.00	0.00	-39.72	0.00	0.00	0.00	0.00	0.00	0.00	-39.72	
Futures														
ADH7	0.00	1,040.32	-2,779.36	0.00	0.00	-1,739.04	0.00	0.00	0.00	0.00	0.00	0.00	-1,739.04	
ADU6	0.00	2,100.80	-569.84	0.00	0.00	1,530.96	0.00	0.00	0.00	0.00	0.00	0.00	1,530.96	
ADZ6	0.00	12,248.76	-3,953.48	0.00	0.00	8,295.28	0.00	0.00	0.00	0.00	0.00	0.00	8,295.28	
BPZ6	0.00	0.00	-42.42	0.00	0.00	-42.42	0.00	0.00	0.00	0.00	0.00	0.00	-42.42	
DXZ6	0.00	45.58	0.00	0.00	0.00	45.58	0.00	0.00	0.00	0.00	0.00	0.00	45.58	
ESZ6	0.00	0.00	-2,491.56	0.00	0.00	-2,491.56	0.00	0.00	0.00	0.00	0.00	0.00	-2,491.56	
GCG7	0.00	1,160.76	-614.62	0.00	0.00	546.14	0.00	0.00	0.00	0.00	0.00	0.00	546.14	
GCZ6	0.00	0.00	-559.24	0.00	0.00	-559.24	0.00	0.00	0.00	0.00	0.00	0.00	-559.24	
Total	0.00	16,596.22	-11,010.52	0.00	0.00	5,585.70	0.00	0.00	0.00	0.00	0.00	0.00	5,585.70	
Forex														
AUD	0.00	18,925.47	-6,311.57	0.00	0.00	12,613.89	0.44	0.00	0.00	0.00	0.44	0.44	12,614.33	
CAD	0.00	0.00	-5.76	0.00	0.00	-5.76	0.00	0.00	0.00	0.00	0.00	0.00	-5.76	
EUR	0.00	0.00	-2.43	0.00	0.00	-2.43	0.00	0.00	0.00	0.00	0.00	0.00	-2.43	
Total	0.00	18,925.48	-6,319.77	0.00	0.00	12,605.70	0.44	0.00	0.00	0.00	0.44	0.44	12,606.14	
Total (All Assets)	0.00	36,749.78	-18,598.10	0.00	0.00	18,151.68	0.44	0.00	0.00	0.00	0.44	0.44	18,152.13	

Cash Report

	Total	Securities	Futures
Base Currency Summary			
Starting Cash	7,273.75	1,060.29	6,213.46
Commissions	-1,104.00	-624.70	-479.30
Withdrawals	-4,000.00	-4,000.00	0.00
Internal Transfers	0.00	-7,781.99	7,781.99
Broker Interest Paid and Received	-461.84	-461.84	0.00
Cash Settling MTM	6,065.00	0.00	6,065.00
Net Trades (Sales)	15,124,402.46	15,124,402.46	0.00
Net Trades (Purchase)	-15,128,778.91	-15,128,778.91	0.00
Other Fees	-6.00	-6.00	0.00
Cash FX Translation Gain/Loss	17,565.84	17,565.84	0.00
Ending Cash	20,956.30	1,375.15	19,581.15
Ending Settled Cash	20,956.30	1,375.15	19,581.15
AUD			
Starting Cash	-771.90	-771.90	0.00
Broker Interest Paid and Received	-357.69	-357.69	0.00
Net Trades (Sales)	10,143,312.74	10,143,312.74	0.00
Net Trades (Purchase)	-10,142,194.00	-10,142,194.00	0.00
Ending Cash	-10.85	-10.85	0.00
Ending Settled Cash	-10.85	-10.85	0.00
CAD			
Starting Cash	0.00	0.00	0.00
Net Trades (Sales)	24,887.50	24,887.50	0.00
Net Trades (Purchase)	-24,887.50	-24,887.50	0.00
Ending Cash	0.00	0.00	0.00
Ending Settled Cash	0.00	0.00	0.00
EUR			
Starting Cash	-18.20	-18.20	0.00
Net Trades (Sales)	18.20	18.20	0.00
Ending Cash	0.00	0.00	0.00
Ending Settled Cash	0.00	0.00	0.00
USD			
Starting Cash	7,855.91	1,642.45	6,213.46
Commissions	-1,104.00	-624.70	-479.30
Withdrawals	-4,000.00	-4,000.00	0.00
Internal Transfers	0.00	-7,781.99	7,781.99
Broker Interest Paid and Received	-192.96	-192.96	0.00
Cash Settling MTM	6,065.00	0.00	6,065.00
Net Trades (Sales)	7,560,708.64	7,560,708.64	0.00
Net Trades (Purchase)	-7,548,362.46	-7,548,362.46	0.00
Other Fees	-6.00	-6.00	0.00
Ending Cash	20,964.13	1,382.98	19,581.15
Ending Settled Cash	20,964.13	1,382.98	19,581.15

Forex Balances

Description	Quantity	Cost Price	Cost Basis in USD	Close Price	Value in USD	Unrealized P/L in USD	Code
Forex							
USD							

AUD	-10.85	0.7622675	8.27	0.7216	-7.83	0.44
USD	20,964.13	0.0000	0.00	1.0000	20,964.13	0.00
Total			8.27		20,956.30	0.44

Trades

Symbol	Date/Time	Quantity	T. Price	C. Price	Proceeds	Comm/Fee	Basis	Realized P/L	MTM P/L	Code
Equity and Index Options										
USD										
SPY	2016-02-19FEB16 04, 191 0 C 09 33 35	1	3.3200	3.2950	-332.00	-0.72	332.72	0.00	-2.50	O
SPY	2016-02-19FEB16 04, 191 0 C 09 34 56	1	3.2500	3.2950	-325.00	-0.72	325.72	0.00	4.50	O
SPY	2016-02-19FEB16 04, 191 0 C 10 00 00	2	3.3200	3.2950	-664.00	-1.38	665.38	0.00	-5.00	O
SPY	2016-02-19FEB16 04, 191 0 C 10.33 22	-4	3.9800	3.2950	1,592.00	-1.72	-1,323.82	266.46	274.00	C
Total SPY 160219C00191000		0			271.00	-4.54	0.00	266.46	271.00	
SPY	2016-02-19FEB16 03, 190.0 P 14 21 08	1	3.8600	2.6700	-386.00	-0.75	386.75	0.00	-119.00	O
SPY	2016-02-19FEB16 03, 190 0 P 14 21:33	1	3.7500	2.6700	-375.00	-0.72	375.72	0.00	-108.00	O
SPY	2016-02-19FEB16 03, 190 0 P 14 23 46	1	3.5000	2.6700	-350.00	-1.09	351.09	0.00	-83.00	O
SPY	2016-02-19FEB16 03, 190 0 P 14 35 28	-3	2.9800	2.6700	894.00	-2.39	-1,113.56	-221.95	93.00	C
SPY	2016-02-19FEB16 04, 190.0 P 10 42 02	1	2.2600	2.5800	-226.00	-1.09	227.09	0.00	32.00	O
SPY	2016-02-19FEB16 04, 190 0 P 10 42 32	2	2.2800	2.5800	-456.00	-1.58	457.58	0.00	60.00	O,P
SPY	2016-02-19FEB16 04, 190.0 P 11 47 05	3	3.1000	2.5800	-930.00	-3.87	933.87	0.00	-156.00	O
SPY	2016-02-19FEB16 04, 190.0 P 11 47 34	-6	3.0200	2.5800	1,812.00	-4.79	-1,618.54	188.67	264.00	C,P
Total SPY 160219P00190000		0			-17.00	-16.28	0.00	-33.28	-17.00	
SPY	2016-02-26FEB16 18, 192.0 P 10 00 00	11	1.9100	1.9748	-2,101.00	-13.55	2,114.55	0.00	71.28	O,P
SPY	2016-02-26FEB16 18, 192.0 P 16 00 00	-11	2.0200	1.9748	2,222.00	-5.56	-2,114.55	101.88	49.72	C,P
Total SPY 160226P00192000		0			121.00	-19.12	0.00	101.88	121.00	
SPY	2016-02-11MAR16 25, 193 0 C 10 00 00	8	3.2400	4.3600	-2,592.00	-6.32	2,598.32	0.00	896.00	O,P

SPY	2016-02-11	MAR16 25, 193 0 C	14 15 18	-8	3.9000	4 3600	3,120.00	-3.45	-2,598.32	518.23	-368.00	C
Total SPY				0			528.00	-9.77	0.00	518.23	528.00	
SPY	2016-03-18	MAR16 03, 198.0 P	09 39 35	1	2.8000	2.2550	-280.00	-1.08	281.08	0.00	-54.50	O
SPY	2016-03-18	MAR16 03, 198.0 P	09 40 16	2	2.7800	2 2550	-556.00	-1.56	557.56	0.00	-105.00	O
SPY	2016-03-18	MAR16 03, 198.0 P	10 00 04	12	2.8300	2.2550	-3,396.00	-9.38	3,405.38	0.00	-690.00	O
SPY	2016-03-18	MAR16 03, 198 0 P	15 50:03	-15	2.2500	2.2550	3,375.00	-16.32	-4,244.02	-885.35	-7.50	C,P
Total SPY				0			-857.00	-28.35	0.00	-885.35	-857.00	
SPY	2016-03-01	APR16 24, 202 0 C	10 00 00	6	1.7900	2.1950	-1,074.00	-4.69	1,078.69	0.00	243.00	O,P
SPY	2016-03-01	APR16 24, 202 0 C	15:49 32	-6	2.0100	2.1950	1,206.00	-4.73	-1,078.69	122.58	-111.00	C,P
Total SPY				0			132.00	-9.42	0.00	122.58	132.00	
SPY	2016-03-15	APR16 31, 206.0 C	10 00 02	5	1.8700	1 7550	-935.00	-3.91	938.91	0.00	-57.50	O,P
SPY	2016-03-15	APR16 31, 206 0 C	16 00 01	-5	1.6300	1.7550	815.00	-6.33	-938.91	-130.24	-62.50	C
Total SPY				0			-120.00	-10.24	0.00	-130.24	-120.00	
Total							58.00	-97.72	0.00	-39.72	58.00	
Symbol	Date/Time	Quantity	T. Price	C. Price	Notional Value	Comm/Fee	Basis	Realized P/L	MTM P/L	Code		
Futures												
USD												
ADH7	2016-12-15,		11 00.00	-3	0.7335	0 7350	220,050.00	-7.38	-220,042.62	0.00	-450.00	O,P
ADH7	2016-12-16,	3	09 19 23	0.7305	0.7278	-219,150.00	-7.38	220,042.62	885.24	-810.00	C	
ADH7	2016-12-20,	1	11 00 00	0.7227	0.7238	-72,270.00	-2.46	72,272.46	0.00	110.00	O	
ADH7	2016-12-20,	-1	16 54 59	0.7243	0.7238	72,430.00	-2.46	-72,272.46	155.08	50.00	C	
ADH7	2016-12-21,	1	10 06 30	0.7238	0.7231	-72,380.00	-2.46	72,382.46	0.00	-70.00	O	
ADH7	2016-12-21,	3	11 00 00	0.7236	0.7231	-217,080.00	-7.38	217,087.38	0.00	-150.00	O,P	
ADH7		-4		0.7206	0.7195	288,240.00	-9.84	-289,469.84	-1,239.68	440.00	C	

	2016-12-22,									
	03 28.48									
ADH7	2016-12-22,	3	0.7212	0.7195	-216,360.00	-7.38	216,367.38	0.00	-510.00	O,P
	11.00 00									
ADH7	2016-12-22,	1	0.7210	0.7195	-72,100.00	-2.46	72,102.46	0.00	-150.00	O
	11 03 40									
ADH7	2016-12-23,	-3	0.7181	0.7156	215,430.00	-7.38	-216,367.38	-944.76	750.00	C
	07 20 02									
ADH7	2016-12-23,	-1	0.7151	0.7156	71,510.00	-2.46	-72,102.46	-594.92	-50.00	C
	09 09 50									
Total ADH7		0			-1,680.00	-59.04	0.00	-1,739.04	-840.00	
ADU6	2016-08-10,	-1	0.7721	0.7701	77,210.00	-2.46	-77,207.54	0.00	200.00	O
	10 34.47									
ADU6	2016-08-10,	-2	0.7714	0.7701	154,280.00	-4.92	-154,275.08	0.00	260.00	O
	11 00:00									
ADU6	2016-08-11,	3	0.7711	0.7697	-231,330.00	-7.38	231,482.62	145.24	-420.00	C,P
	11:14 04									
ADU6	2016-09-01,	2	0.7547	0.7552	-150,940.00	-4.92	150,944.92	0.00	100.00	O
	11 05 53									
ADU6	2016-09-02,	-2	0.7582	0.7564	151,640.00	-4.92	-150,944.92	690.16	360.00	C,P
	08 30 03									
ADU6	2016-09-06,	-1	0.7650	0.7680	76,500.00	-2.46	-76,497.54	0.00	-300.00	O
	10 06 56									
ADU6	2016-09-06,	-1	0.7673	0.7680	76,730.00	-2.46	-76,727.54	0.00	-70.00	O
	11:00 00									
ADU6	2016-09-06,	2	0.7666	0.7680	-153,320.00	-4.92	153,225.08	-99.84	280.00	C
	11 25.57									
ADU6	2016-09-07,	2	0.7673	0.7670	-153,460.00	-4.92	153,464.92	0.00	-60.00	O,P
	11 00 00									
ADU6	2016-09-08,	-2	0.7713	0.7641	154,260.00	-4.92	-153,464.92	790.16	1,440.00	C,P
	03 12 28									
ADU6	2016-09-08,	1	0.7685	0.7641	-76,850.00	-2.46	76,852.46	0.00	-440.00	O
	11 00:00									
ADU6	2016-09-08,	-1	0.7645	0.7641	76,450.00	-2.46	-76,852.46	-404.92	40.00	C
	12 58:33									
ADU6	2016-09-14,	2	0.7467	0.7470	-149,340.00	-4.92	149,344.92	0.00	60.00	O
	11:00:00									
ADU6	2016-09-15,	-2	0.7488	0.7515	149,760.00	-4.92	-149,344.92	410.16	-540.00	C,P
	10 50 00									
Total ADU6		0			1,590.00	-59.04	0.00	1,530.96	910.00	
ADZ6		-2	0.7484	0.7498	149,680.00	-4.92	-149,675.08	0.00	-280.00	O

	2016-09-15, 11 00 00									
ADZ6	2016-09-16, 10.50 00	2	0.7472	0.7462	-149,440.00	-4.92	149,675.08	230.16	-200.00	C,P
ADZ6	2016-09-28, 11 00 00	3	0.7638	0.7674	-229,140.00	-7.38	229,147.38	0.00	1,080.00	O,P
ADZ6	2016-09-28, 16 51 19	-3	0.7678	0.7674	230,340.00	-7.38	-229,147.38	1,185.24	120.00	C
ADZ6	2016-09-29, 11 00 00	-3	0.7652	0.7630	229,560.00	-7.38	-229,552.62	0.00	660.00	O,P
ADZ6	2016-09-29, 13 54 02	3	0.7612	0.7630	-228,360.00	-7.38	229,552.62	1,185.24	540.00	C,P
ADZ6	2016-10-04, 11.00 00	1	0.7638	0.7605	-76,380.00	-2.46	76,382.46	0.00	-330.00	O
ADZ6	2016-10-04, 12 49 30	-1	0.7596	0.7605	75,960.00	-2.46	-76,382.46	-424.92	-90.00	C
ADZ6	2016-10-05, 11 00 00	1	0.7587	0.7610	-75,870.00	-2.46	75,872.46	0.00	230.00	O
ADZ6	2016-10-06, 10 50 00	-1	0.7554	0.7565	75,540.00	-2.46	-75,872.46	-334.92	-110.00	C
ADZ6	2016-10-11, 11 00 00	-1	0.7534	0.7531	75,340.00	-2.46	-75,337.54	0.00	30.00	O
ADZ6	2016-10-11, 21 19.06	1	0.7554	0.7551	-75,540.00	-2.46	75,337.54	-204.92	-30.00	C
ADZ6	2016-10-12, 11 00 00	-2	0.7559	0.7551	151,180.00	-4.92	-151,175.08	0.00	160.00	O
ADZ6	2016-10-12, 20 50 04	1	0.7519	0.7565	-75,190.00	-2.46	75,587.54	395.08	460.00	C
ADZ6	2016-10-12, 21 08 34	1	0.7516	0.7565	-75,160.00	-2.46	75,587.54	425.08	490.00	C
ADZ6	2016-10-13, 11 00 00	-1	0.7538	0.7565	75,380.00	-2.46	-75,377.54	0.00	-270.00	O
ADZ6	2016-10-13, 21:14 36	1	0.7579	0.7599	-75,790.00	-2.46	75,377.54	-414.92	200.00	C
ADZ6	2016-10-18, 11 00:00	-1	0.7647	0.7654	76,470.00	-2.46	-76,467.54	0.00	-70.00	O
ADZ6	2016-10-19, 10 50.41	1	0.7668	0.7704	-76,680.00	-2.46	76,467.54	-214.92	360.00	C
ADZ6	2016-10-19, 11 04.10	1	0.7688	0.7704	-76,880.00	-2.46	76,882.46	0.00	160.00	O
ADZ6		-1	0.7701	0.7704	77,010.00	-2.46	-76,882.46	125.08	-30.00	C

	2016-10-19, 12 00.10									
ADZ6	2016-10-20, 11 00 00	-2	0.7620	0.7615	152,400.00	-4.92	-152,395.08	0.00	100.00	O,P
ADZ6	2016-10-21, 11 15 00	2	0.7580	0.7592	-151,600.00	-4.92	152,395.08	790.16	240.00	C
ADZ6	2016-10-25, 11 00 00	-1	0.7622	0.7634	76,220.00	-2.46	-76,217.54	0.00	-120.00	O
ADZ6	2016-10-25, 11 33 05	1	0.7642	0.7634	-76,420.00	-2.46	76,217.54	-204.92	-80.00	C
ADZ6	2016-10-26, 10 40 44	-1	0.7650	0.7629	76,500.00	-2.46	-76,497.54	0.00	210.00	O
ADZ6	2016-10-26, 10 47 23	-1	0.7650	0.7629	76,500.00	-2.46	-76,497.54	0.00	210.00	O
ADZ6	2016-10-26, 11 00:00	-6	0.7654	0.7629	459,240.00	-14.76	-459,225.24	0.00	1,500.00	O,P
ADZ6	2016-10-26, 22 59 07	8	0.7619875	0.7577	-609,590.00	-19.68	612,220.32	2,610.64	-3,430.00	C,P
ADZ6	2016-10-27, 11 00 00	-4	0.7589	0.7577	303,560.00	-9.84	-303,550.16	0.00	480.00	O,P
ADZ6	2016-10-28, 08 30 32	4	0.7549	0.7588	-301,960.00	-9.84	303,550.16	1,580.32	1,560.00	C,P
ADZ6	2016-11-01, 11 00 00	-1	0.7651	0.7639	76,510.00	-2.46	-76,507.54	0.00	120.00	O
ADZ6	2016-11-01, 12 17 15	1	0.7641	0.7639	-76,410.00	-2.46	76,507.54	95.08	-20.00	C
ADZ6	2016-11-02, 10 34 35	-1	0.7659	0.7646	76,590.00	-2.46	-76,587.54	0.00	130.00	O
ADZ6	2016-11-02, 11 00 00	-6	0.7662	0.7646	459,720.00	-14.76	-459,705.24	0.00	960.00	O,P
ADZ6	2016-11-03, 10 50 00	7	0.7671	0.7678	-536,970.00	-17.22	536,292.78	-694.44	490.00	C,P
ADZ6	2016-11-03, 11 00 00	-4	0.7667	0.7678	306,680.00	-9.84	-306,670.16	0.00	-440.00	O,P
ADZ6	2016-11-04, 13 46 58	4	0.7666	0.7668	-306,640.00	-9.84	306,670.16	20.32	80.00	C
ADZ6	2016-11-08, 11 00 00	1	0.7709	0.7745	-77,090.00	-2.46	77,092.46	0.00	360.00	O
ADZ6	2016-11-08, 11 34 29	-1	0.7729	0.7745	77,290.00	-2.46	-77,092.46	195.08	-160.00	C
ADZ6		1	0.7462	0.7485	-74,620.00	-2.46	74,622.46	0.00	230.00	O

	2016-11-29, 11:00 00									
ADZ6	2016-11-29, 14:42.40	-1	0.7482	0.7485	74,820.00	-2.46	-74,622.46	195.08	-30.00	C
ADZ6	2016-11-30, 10:50 44	2	0.7401	0.7386	-148,020.00	-4.92	148,024.92	0.00	-300.00	O
ADZ6	2016-11-30, 11:00 00	2	0.7383	0.7386	-147,660.00	-4.92	147,664.92	0.00	60.00	O,P
ADZ6	2016-12-01, 10:50 00	-4	0.7392	0.7410	295,680.00	-9.84	-295,689.84	-19.68	-720.00	C
ADZ6	2016-12-01, 11:00 00	-3	0.7400	0.7410	222,000.00	-7.38	-221,992.62	0.00	-300.00	O,P
ADZ6	2016-12-02, 09:15:35	3	0.7441	0.7442	-223,230.00	-7.38	221,992.62	-1,244.76	30.00	C,P
ADZ6	2016-12-06, 11:07 38	-1	0.7454	0.7455	74,540.00	-2.46	-74,537.54	0.00	-10.00	O
ADZ6	2016-12-06, 11:08 53	1	0.7456	0.7455	-74,560.00	-2.46	74,537.54	-24.92	-10.00	C
ADZ6	2016-12-06, 11:10 03	-1	0.7455	0.7455	74,550.00	-2.46	-74,547.54	0.00	0.00	O
ADZ6	2016-12-06, 19:30.02	1	0.7434	0.7473	-74,340.00	-2.46	74,547.54	205.08	390.00	C
ADZ6	2016-12-07, 11:00:00	-4	0.7480	0.7473	299,200.00	-9.84	-299,190.16	0.00	280.00	O
ADZ6	2016-12-08, 08:42 14	4	0.7450	0.7458	-298,000.00	-9.84	299,190.16	1,180.32	320.00	C
ADZ6	2016-12-08, 11:00 00	5	0.7438	0.7458	-371,900.00	-12.30	371,912.30	0.00	1,000.00	O,P
ADZ6	2016-12-08, 23:07 51	-5	0.7454	0.7452	372,700.00	-12.30	-371,912.30	775.40	100.00	C,P
ADZ6	2016-12-14, 11:00 00	-3	0.7516	0.7422	225,480.00	-7.38	-225,472.62	0.00	2,820.00	O,P
ADZ6	2016-12-14, 14.00 00	3	0.7486	0.7422	-224,580.00	-7.38	225,472.62	885.24	-1,920.00	C,P
Total ADZ6		0			8,620.00	-324.72	0.00	8,295.28	7,210.00	
BPZ6	2016-12-06, 11:00 58	-1	1.2710	1.2681	79,437.50	-2.46	-79,435.04	0.00	181.25	O
BPZ6	2016-12-06, 11:09 32	1	1.2716	1.2681	-79,475.00	-2.46	79,435.04	-42.42	-218.75	C
Total BPZ6		0			-37.50	-4.92	0.00	-42.42	-37.50	
DXZ6		1	100.8700	101.1130	-100,870.00	-2.21	100,872.21	0.00	243.00	O

	2016-11-21, 08:38.38									
DXZ6	2016-11-21, 08:46:13	-1	100.9200	101.1130	100,920.00	-2.21	-100,872.21	45.58	-193.00	C
Total DXZ6		0			50.00	-4.42	0.00	45.58	50.00	
ESZ6	2016-11-21, 09:00:35	-1	2,186.5000	2,192.9000	109,325.00	-2.03	-109,322.97	0.00	-320.00	O
ESZ6	2016-12-07, 15:08:46	1	2,236.2500	2,236.7000	-111,812.50	-2.03	109,322.97	-2,491.56	22.50	C
Total ESZ6		0			-2,487.50	-4.06	0.00	-2,491.56	-297.50	
GCG7	2016-12-05, 20:26:44	-1	1,174.9000	1,170.1000	117,490.00	-2.31	-117,487.69	0.00	480.00	O
GCG7	2016-12-07, 09:20:02	1	1,181.0000	1,177.5000	-118,100.00	-2.31	117,487.69	-614.62	-350.00	C
GCG7	2016-12-07, 09:21:35	-1	1,180.1000	1,177.5000	118,010.00	-2.31	-118,007.69	0.00	260.00	O
GCG7	2016-12-08, 10:37:52	1	1,172.9000	1,172.4000	-117,290.00	-2.31	118,007.69	715.38	-50.00	C
GCG7	2016-12-19, 09:18:37	-1	1,140.8000	1,142.7000	114,080.00	-2.31	-114,077.69	0.00	-190.00	O
GCG7	2016-12-20, 01:11:53	1	1,136.3000	1,133.6000	-113,630.00	-2.31	114,077.69	445.38	-270.00	C
Total GCG7		0			560.00	-13.86	0.00	546.14	-120.00	
GCZ6	2016-11-21, 08:20:00	1	1,214.5000	1,209.8000	-121,450.00	-2.31	121,452.31	0.00	-470.00	O
GCZ6	2016-11-21, 13:30:00	-1	1,209.5000	1,209.8000	120,950.00	-2.31	-121,452.31	-504.62	-30.00	C
GCZ6	2016-12-05, 20:01:59	-1	1,172.0000	1,167.6000	117,200.00	-2.31	-117,197.69	0.00	440.00	O
GCZ6	2016-12-05, 20:26:39	1	1,172.5000	1,167.6000	-117,250.00	-2.31	117,197.69	-54.62	-490.00	C
Total GCZ6		0			-550.00	-9.24	0.00	-559.24	-550.00	
Total					6,065.00	-479.30	0.00	5,585.70	6,325.00	
Symbol	Date/Time	Quantity	T. Price	C. Price	Proceeds	Comm in USD		MTM in USD	Code	
Forex										
CAD										
AUD.CAD	2016-07-12, 10:11:35	-25,000	0.99441	0.0000	24,860.25	-2.00			4.60	
AUD.CAD	2016-07-12, 10:18:51	25,000	0.9955	0.0000	-24,887.50	-2.00			-25.49	
Total AUD.CAD		0			-27.25	-4.00			-20.89	
USD.CAD		-20	1.31955	0.0000	26.39	-2.00			0.00	

	2016-10-04, 14 48 36							
USD.CAD	2016-10-06, 18 06 50	-0.6499	1.3217	0.0000	0.86	0.00		0.00
Total USD.CAD		-20.6499			27.25	-2.00		0.00
Total					0.00	-6.00		-20.89
Total in USD					-0.24	-6.00		-20.89
USD								
AUD.USD	2016-01-20, 12 24.15	-75,000	0.68526	0.0000	51,394.50	-2.00		-411.75
AUD.USD	2016-01-20, 13 44 30	75,000	0.68928	0.0000	-51,696.00	-2.00		110.25
AUD.USD	2016-02-03, 11 00 00	70,000	0.71093	0.0000	-49,765.10	-2.00		414.40
AUD.USD	2016-02-03, 12.55.23	-70,000	0.7150	0.0000	50,050.00	-2.00		-129.50
AUD USD	2016-02-24, 11 00 00	60,000	0.71753	0.0000	-43,051.80	-2.00		123.60
AUD.USD	2016-02-25, 08 19 42	-60,000	0.7215	0.0000	43,290.00	-2.00		-126.00
AUD USD	2016-03-24, 15 50 51	777	0.75316	0.0000	-585.21	-2.00		-0.26
AUD USD	2016-03-28, 18 01 55	0.71	0.75453	0.0000	-0.54	0.00		0.00
AUD.USD	2016-03-30, 11 00:57	-100,000	0.76941	0.0000	76,941.00	-2.00		228.00
AUD.USD	2016-03-30, 12 17 56	100,000	0.76715	0.0000	-76,715.00	-2.00		-2.00
AUD.USD	2016-03-30, 13 25 22	100,000	0.7654	0.0000	-76,540.00	-2.00		173.00
AUD.USD	2016-03-30, 14 33 29	-100,000	0.76666	0.0000	76,666.00	-2.00		-47.00
AUD USD	2016-04-06, 11 00 00	115,000	0.7561	0.0000	-86,951.50	-2.00		441.60
AUD.USD	2016-04-06, 11 49.54	-115,000	0.76077	0.0000	87,488.55	-2.00		95.45
AUD USD	2016-04-08, 18 01 59	2.03	0.75561	0.0000	-1.53	0.00		0.00
AUD USD	2016-04-11, 09 47 53	25,000	0.75979	0.0000	-18,994.75	-2.00		-4.50
AUD.USD		25,000	0.76023	0.0000	-19,005.75	-2.00		-15.50

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	2016-04-11, 09 50 17							
AUD.USD	2016-04-11, 11 00 00	25,000	0.7603	0.0000	-19,007.50	-2.00		-17.25
AUD.USD	2016-04-12, 00 04 23	-75,000	0.7640	0.0000	57,300.00	-2.00		-327.75
AUD USD	2016-04-13, 11 00 00	-60,000	0.76383	0.0000	45,829.80	-2.00		-87.60
AUD USD	2016-04-14, 04 50 07	60,000	0.76788	0.0000	-46,072.80	-2.00		97.80
AUD.USD	2016-04-14, 11 02 27	25,000	0.77044	0.0000	-19,261.00	-2.00		-23.25
AUD.USD	2016-04-15, 11.00 00	-25,000	0.77034	0.0000	19,258.50	-2.00		-49.25
AUD.USD	2016-04-20, 09 55 39	25,000	0.7808	0.0000	-19,520.00	-2.00		-35.50
AUD USD	2016-04-20, 10 16 23	25,000	0.7804	0.0000	-19,510.00	-2.00		-25.50
AUD USD	2016-04-20, 10 30 58	25,000	0.7800	0.0000	-19,500.00	-2.00		-15.50
AUD USD	2016-04-21, 04 10 32	-75,000	0.7825	0.0000	58,687.50	-2.00		649.50
AUD.USD	2016-04-21, 10 25 29	-25,000	0.77725	0.0000	19,431.25	-2.00		85.25
AUD.USD	2016-04-21, 11 00 00	-25,000	0.77688	0.0000	19,422.00	-2.00		76.00
AUD USD	2016-04-21, 11 22:58	50,000	0.77629	0.0000	-38,814.50	-2.00		-122.50
AUD USD	2016-04-21, 15 19 04	-100,000	0.77436	0.0000	77,436.00	-2.00		52.00
AUD USD	2016-04-21, 17 45 00	-100,000	0.77385	0.0000	77,385.00	-2.00		286.00
AUD USD	2016-04-21, 18 03 31	-100,000	0.7740	0.0000	77,400.00	-2.00		301.00
AUD.USD	2016-04-21, 19 37 10	300,000	0.77517	0.0000	-232,551.00	-4.65		-1,254.00
AUD.USD	2016-04-25, 10 12 29	25,000	0.77127	0.0000	-19,281.75	-2.00		5.25
AUD USD	2016-04-25, 10 17 22	-25,000	0.77153	0.0000	19,288.25	-2.00		1.25
AUD USD		100,000	0.77267	0.0000	-77,267.00	-2.00		-119.00

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	2016-04-25, 11.00.00						
AUD.USD	2016-04-26, 11 00 00	-100,000	0.77419	0.0000	77,419.00	-2.00	-60.00
AUD.USD	2016-04-27, 11 15 27	150,000	0.7578	0.0000	-113,670.00	-2.27	184.50
AUD.USD	2016-04-28, 00 42 38	-150,000	0.76181	0.0000	114,271.50	-2.29	-117.00
AUD.USD	2016-05-04, 11 00 00	50,000	0.74715	0.0000	-37,357.50	-2.00	-74.00
AUD.USD	2016-05-05, 02 50 57	-50,000	0.75122	0.0000	37,561.00	-2.00	235.50
AUD.USD	2016-05-05, 11 00 00	100,000	0.74705	0.0000	-74,705.00	-2.00	-54.00
AUD.USD	2016-05-05, 21 30:58	-100,000	0.74308	0.0000	74,308.00	-2.00	628.00
AUD.USD	2016-05-11, 11 00 00	50,000	0.7386	0.0000	-36,930.00	-2.00	-53.50
AUD.USD	2016-05-11, 21 36 23	-50,000	0.73457	0.0000	36,728.50	-2.00	106.00
AUD.USD	2016-05-12, 10 00 53	-25,000	0.73529	0.0000	18,382.25	-2.00	71.00
AUD.USD	2016-05-12, 10 38 11	-25,000	0.7348	0.0000	18,370.00	-2.00	58.75
AUD.USD	2016-05-12, 11 00 00	-50,000	0.7344	0.0000	36,720.00	-2.00	97.50
AUD.USD	2016-05-12, 12 14 14	100,000	0.73179	0.0000	-73,179.00	-2.00	66.00
AUD.USD	2016-05-18, 10 36 22	-50,000	0.72709	0.0000	36,354.50	-2.00	207.50
AUD.USD	2016-05-18, 10 54 44	-25,000	0.72721	0.0000	18,180.25	-2.00	106.75
AUD.USD	2016-05-18, 11 00 00	-50,000	0.72719	0.0000	36,359.50	-2.00	212.50
AUD.USD	2016-05-18, 14 19 00	125,000	0.7232	0.0000	-90,400.00	-2.00	-32.50
AUD.USD	2016-05-19, 10 38.11	-10,000	0.72148	0.0000	7,214.80	-2.00	-12.70
AUD.USD	2016-05-19, 11 00 53	-37,750	0.72001	0.0000	27,180.38	-2.00	-103.44
AUD.USD		47,750	0.72388	0.0000	-34,565.27	-2.00	-75.92

	2016-05-19, 20.20 34							
AUD USD	2016-05-23, 10 01.01	-50,000	0.72142	0.0000	36,071.00	-2.00		-48.50
AUD USD	2016-05-23, 10 03 13	25,000	0.72178	0.0000	-18,044.50	-2.00		15.25
AUD.USD	2016-05-23, 10 03 24	-100,000	0.72175	0.0000	72,175.00	-2.00		-64.00
AUD USD	2016-05-23, 10 39 22	-100,000	0.72175	0.0000	72,175.00	-2.00		-64.00
AUD.USD	2016-05-23, 11 00 00	-25,000	0.72034	0.0000	18,008.50	-2.00		-51.25
AUD.USD	2016-05-23, 11:03 12	250,000	0.72058	0.0000	-180,145.00	-3.60		452.50
AUD.USD	2016-05-23, 11 04 06	-60,000	0.72096	0.0000	43,257.60	-2.00		-85.80
AUD.USD	2016-05-23, 11 06 56	-100,000	0.72134	0.0000	72,134.00	-2.00		-105.00
AUD USD	2016-05-23, 11 16 52	160,000	0.72175	0.0000	-115,480.00	-2.31		102.40
AUD.USD	2016-05-25, 10 30 29	-25,000	0.71916	0.0000	17,979.00	-2.00		-16.50
AUD.USD	2016-05-25, 10 33 31	-50,000	0.71856	0.0000	35,928.00	-2.00		-63.00
AUD.USD	2016-05-25, 11 00:00	-75,000	0.71855	0.0000	53,891.25	-2.00		-95.25
AUD.USD	2016-05-25, 13 44 28	-50	0.71963	0.0000	35.98	-2.00		0.00
AUD.USD	2016-05-25, 13 45 21	-99,950	0.71964	0.0000	71,928.02	-2.00		-17.99
AUD.USD	2016-05-25, 13 51 09	50,000	0.71958	0.0000	-35,979.00	-2.00		12.00
AUD.USD	2016-05-26, 06 26 57	200,000	0.72262	0.0000	-144,524.00	-2.89		-10.00
AUD.USD	2016-05-26, 10 05:41	-25,000	0.72246	0.0000	18,061.50	-2.00		-2.75
AUD.USD	2016-05-26, 10 30.23	-25,000	0.7235	0.0000	18,087.50	-2.00		23.25
AUD USD	2016-05-26, 10 44 01	-100,000	0.72321	0.0000	72,321.00	-2.00		64.00
AUD USD		-150,000	0.72178	0.0000	108,267.00	-2.17		-118.50

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	2016-05-26, 11 00 00						
AUD.USD	2016-05-27, 08 30 19	300,000	0.7220	0.0000	-216,600.00	-4.33	-1,125.00
AUD.USD	2016-05-27, 09 24 07	-100,000	0.72006	0.0000	72,006.00	-2.00	181.00
AUD.USD	2016-05-27, 09 24 22	-100,000	0.71999	0.0000	71,999.00	-2.00	174.00
AUD.USD	2016-05-27, 09 24 52	-100,000	0.72009	0.0000	72,009.00	-2.00	184.00
AUD.USD	2016-05-27, 09 25:17	-81,484	0.72011	0.0000	58,677.44	-2.00	151.56
AUD.USD	2016-05-27, 10 41 01	-25,000	0.71899	0.0000	17,974.75	-2.00	18.50
AUD USD	2016-05-27, 10 59 15	406,484	0.71911	0.0000	-292,306.71	-5.85	-349.58
AUD USD	2016-05-27, 10 59 18	100,000	0.71911	0.0000	-71,911.00	-2.00	-86.00
AUD USD	2016-05-27, 10 59 19	100,000	0.71911	0.0000	-71,911.00	-2.00	-86.00
AUD.USD	2016-05-27, 10 59 20	100,000	0.7191	0.0000	-71,910.00	-2.00	-85.00
AUD.USD	2016-05-27, 11 00 01	100,000	0.7191	0.0000	-71,910.00	-2.00	-85.00
AUD USD	2016-05-27, 11 01 32	-400,000	0.71887	0.0000	287,548.00	-5.75	248.00
AUD.USD	2016-05-27, 11 01 50	-100,000	0.71896	0.0000	71,896.00	-2.00	71.00
AUD USD	2016-05-27, 11 02 27	-100,000	0.71907	0.0000	71,907.00	-2.00	82.00
AUD USD	2016-05-27, 11 02.47	-100,000	0.71909	0.0000	71,909.00	-2.00	84.00
AUD USD	2016-05-27, 11 22:34	-100,000	0.71911	0.0000	71,911.00	-2.00	86.00
AUD.USD	2016-05-27, 11 24 37	400,000	0.71953	0.0000	-287,812.00	-5.76	-512.00
AUD USD	2016-05-27, 11 34:19	-100,000	0.71976	0.0000	71,976.00	-2.00	151.00
AUD.USD	2016-05-27, 11 37 25	-100,000	0.7199	0.0000	71,990.00	-2.00	165.00
AUD.USD		-100,000	0.7205	0.0000	72,050.00	-2.00	225.00

	2016-05-27, 11 49 38						
AUD.USD	2016-05-27, 13 24.41	-80,960	0.72066	0.0000	58,344.63	-2.00	195.11
AUD.USD	2016-05-27, 13 37 06	80,960	0.71859	0.0000	-58,177.05	-2.00	-27.53
AUD USD	2016-05-27, 13 38 56	100,000	0.7182	0.0000	-71,820.00	-2.00	5.00
AUD.USD	2016-05-27, 13 39 16	100,000	0.71821	0.0000	-71,821.00	-2.00	4.00
AUD.USD	2016-05-27, 13.39 36	100,000	0.71817	0.0000	-71,817.00	-2.00	8.00
AUD.USD	2016-05-30, 10 36 02	25,000	0.71826	0.0000	-17,956.50	-2.00	0.50
AUD.USD	2016-05-30, 10 42:32	25,000	0.7180	0.0000	-17,950.00	-2.00	7.00
AUD.USD	2016-05-30, 21 37.25	-50,000	0.72222	0.0000	36,111.00	-2.00	-56.00
AUD.USD	2016-06-01, 09 55 27	-25,000	0.72387	0.0000	18,096.75	-2.00	-46.50
AUD USD	2016-06-01, 09 57 24	-25,000	0.7241	0.0000	18,102.50	-2.00	-40.75
AUD USD	2016-06-01, 10 07.41	-25,000	0.72349	0.0000	18,087.25	-2.00	-56.00
AUD.USD	2016-06-01, 10 09 40	-25,000	0.7237	0.0000	18,092.50	-2.00	-50.75
AUD.USD	2016-06-01, 10 23 23	-25,000	0.72361	0.0000	18,090.25	-2.00	-53.00
AUD.USD	2016-06-01, 10 28 25	-25,000	0.7238	0.0000	18,095.00	-2.00	-48.25
AUD.USD	2016-06-01, 11 00 00	-100,000	0.72468	0.0000	72,468.00	-2.00	-105.00
AUD.USD	2016-06-01, 11.10 44	-50,000	0.72504	0.0000	36,252.00	-2.00	-34.50
AUD USD	2016-06-02, 08 40:16	300,000	0.7202	0.0000	-216,060.00	-4.32	813.00
AUD USD	2016-06-02, 10 21 28	50,000	0.72252	0.0000	-36,126.00	-2.00	19.50
AUD.USD	2016-06-02, 10 26 32	50,000	0.7224	0.0000	-36,120.00	-2.00	25.50
AUD USD		50,000	0.7223	0.0000	-36,115.00	-2.00	30.50

	2016-06-02, 10:29:25						
AUD.USD	2016-06-02, 10:30:14	50,000	0.72219	0.0000	-36,109.50	-2.00	36.00
AUD.USD	2016-06-02, 10:44:08	50,000	0.72215	0.0000	-36,107.50	-2.00	38.00
AUD.USD	2016-06-02, 10:44:18	50,000	0.72205	0.0000	-36,102.50	-2.00	43.00
AUD.USD	2016-06-02, 11:00:00	100,000	0.72306	0.0000	-72,306.00	-2.00	-15.00
AUD.USD	2016-06-03, 08:30:01	-400,000	0.72683	0.0000	290,732.00	-5.81	-3,960.00
AUD.USD	2016-06-08, 09:59:52	-100,000	0.7476	0.0000	74,760.00	-2.00	45.00
AUD.USD	2016-06-08, 10:03:51	-25,000	0.74757	0.0000	18,689.25	-2.00	10.50
AUD.USD	2016-06-08, 10:06:00	-25,000	0.74782	0.0000	18,695.50	-2.00	16.75
AUD.USD	2016-06-09, 04:19:48	150,000	0.7436	0.0000	-111,540.00	-2.23	-66.00
AUD.USD	2016-06-26, 21:02:30	60,000	0.74168	0.0000	-44,500.80	-2.00	-526.20
AUD.USD	2016-07-01, 09:43:37	-60,000	0.7502	0.0000	45,012.00	-2.00	14.40
AUD.USD	2016-07-11, 10:00:05	-25,000	0.75434	0.0000	18,858.50	-2.00	29.75
AUD.USD	2016-07-11, 10:40:14	-25,000	0.75332	0.0000	18,833.00	-2.00	4.25
AUD.USD	2016-07-11, 11:00:00	-100,000	0.75406	0.0000	75,406.00	-2.00	91.00
AUD.USD	2016-07-11, 21:17:20	-40,000	0.7550	0.0000	30,200.00	-2.00	-290.80
AUD.USD	2016-07-11, 22:24:08	190,000	0.75806	0.0000	-144,031.40	-2.88	799.90
AUD.USD	2016-07-12, 10:18:13	-25,000	0.76253	0.0000	19,063.25	-2.00	6.50
AUD.USD	2016-07-12, 10:20:10	25,000	0.7624	0.0000	-19,060.00	-2.00	-3.25
AUD.USD	2016-07-13, 10:10:09	25,000	0.76156	0.0000	-19,039.00	-2.00	-20.00
AUD.USD		100,000	0.76168	0.0000	-76,168.00	-2.00	-92.00

	2016-07-13, 10 10.41						
AUD.USD	2016-07-13, 11:00 00	75,000	0.76261	0.0000	-57,195.75	-2.00	-138.75
AUD USD	2016-07-13, 14 17 27	25,000	0.7614	0.0000	-19,035.00	-2.00	-16.00
AUD.USD	2016-07-13, 18 21 53	25,000	0.7601	0.0000	-19,002.50	-2.00	76.50
AUD.USD	2016-07-14, 09 35 48	-250,000	0.76286	0.0000	190,715.00	-3.81	-75.00
AUD.USD	2016-07-14, 09 42 02	-50,000	0.76276	0.0000	38,138.00	-2.00	-20.00
AUD.USD	2016-07-14, 09 44 23	-50,000	0.76229	0.0000	38,114.50	-2.00	-43.50
AUD USD	2016-07-14, 09:45 20	-100,000	0.76185	0.0000	76,185.00	-2.00	-131.00
AUD USD	2016-07-14, 09 56 15	-25,000	0.76219	0.0000	19,054.75	-2.00	-24.25
AUD.USD	2016-07-14, 09.57 14	-25,000	0.76225	0.0000	19,056.25	-2.00	-22.75
AUD.USD	2016-07-14, 10 05.15	-50,000	0.7625	0.0000	38,125.00	-2.00	-33.00
AUD.USD	2016-07-14, 10 38-34	-50,000	0.7631	0.0000	38,155.00	-2.00	-3.00
AUD.USD	2016-07-14, 11:00 00	-50,000	0.76331	0.0000	38,165.50	-2.00	7.50
AUD USD	2016-07-14, 22 28 33	-50,000	0.7650	0.0000	38,250.00	-2.00	372.50
AUD.USD	2016-07-14, 22 34 14	400,000	0.76733	0.0000	-306,932.00	-6.14	-3,912.00
AUD.USD	2016-07-14, 22 37 28	-100,000	0.76649	0.0000	76,649.00	-2.00	894.00
AUD.USD	2016-07-14, 22 38 02	-100,000	0.76645	0.0000	76,645.00	-2.00	890.00
AUD.USD	2016-07-14, 22 38:21	-100,000	0.76645	0.0000	76,645.00	-2.00	890.00
AUD.USD	2016-07-14, 22:38 45	-100,000	0.76647	0.0000	76,647.00	-2.00	892.00
AUD USD	2016-07-14, 23.55 32	100,000	0.76475	0.0000	-76,475.00	-2.00	-720.00
AUD.USD		100,000	0.76467	0.0000	-76,467.00	-2.00	-712.00

	2016-07-14, 23 55:38						
AUD USD	2016-07-14, 23 55 46	100,000	0.76453	0.0000	-76,453.00	-2.00	-698.00
AUD.USD	2016-07-15, 00 09:01	50,000	0.7645	0.0000	-38,225.00	-2.00	-347.50
AUD USD	2016-07-15, 00 11 15	100,000	0.76463	0.0000	-76,463.00	-2.00	-708.00
AUD.USD	2016-07-18, 09 26 00	-50,000	0.75833	0.0000	37,916.50	-2.00	-41.00
AUD USD	2016-07-18, 10 01 04	-50,000	0.75881	0.0000	37,940.50	-2.00	-17.00
AUD.USD	2016-07-18, 11:00 00	-75,000	0.75825	0.0000	56,868.75	-2.00	-67.50
AUD.USD	2016-07-18, 11 52:56	-25,000	0.7596	0.0000	18,990.00	-2.00	11.25
AUD.USD	2016-07-18, 20 21 23	50,000	0.75431	0.0000	-37,715.50	-2.00	-195.50
AUD USD	2016-07-18, 20 29 06	50,000	0.7550	0.0000	-37,750.00	-2.00	-230.00
AUD.USD	2016-07-18, 20 31 53	100,000	0.75495	0.0000	-75,495.00	-2.00	-455.00
AUD.USD	2016-07-20, 09 53:08	100,000	0.74671	0.0000	-74,671.00	-2.00	110.00
AUD.USD	2016-07-20, 10 47 16	-100,000	0.74868	0.0000	74,868.00	-2.00	87.00
AUD USD	2016-07-20, 11.00 03	200,000	0.74868	0.0000	-149,736.00	-2.99	-174.00
AUD USD	2016-07-20, 11 09 37	25,000	0.7485	0.0000	-18,712.50	-2.00	-17.25
AUD.USD	2016-07-21, 05 24 58	-225,000	0.7510	0.0000	168,975.00	-3.38	346.50
AUD.USD	2016-07-21, 11 00 00	10,000	0.74984	0.0000	-7,498.40	-2.00	-3.80
AUD.USD	2016-07-22, 10 15 22	-10,000	0.74596	0.0000	7,459.60	-2.00	-4.00
AUD USD	2016-07-26, 10 02 06	25,000	0.75303	0.0000	-18,825.75	-2.00	-69.25
AUD.USD	2016-07-26, 10 07 43	25,000	0.7525	0.0000	-18,812.50	-2.00	-56.00
AUD.USD		25,000	0.75205	0.0000	-18,801.25	-2.00	-44.75

	2016-07-26, 10 24 55								
AUD.USD	2016-07-26, 11 00.00	25,000	0.75132	0.0000	-18,783.00	-2.00		-26.50	
AUD.USD	2016-07-26, 21 29 59	-100,000	0.7547	0.0000	75,470.00	-2.00		553.00	
AUD.USD	2016-07-27, 10 12 13	-25,000	0.74709	0.0000	18,677.25	-2.00		-52.00	
AUD.USD	2016-07-27, 10 16 37	-25,000	0.7472	0.0000	18,680.00	-2.00		-49.25	
AUD.USD	2016-07-27, 10 19 19	-25,000	0.7474	0.0000	18,685.00	-2.00		-44.25	
AUD.USD	2016-07-27, 10.20.57	-50,000	0.74742	0.0000	37,371.00	-2.00		-87.50	
AUD.USD	2016-07-27, 10 25 29	-75,000	0.74741	0.0000	56,055.75	-2.00		-132.00	
AUD.USD	2016-07-27, 11.00 00	-100,000	0.74671	0.0000	74,671.00	-2.00		-246.00	
AUD.USD	2016-07-27, 14 00 17	300,000	0.7431	0.0000	-222,930.00	-4.46		1,821.00	P
AUD.USD	2016-07-27, 19 35 05	300,000	0.75127	0.0000	-225,381.00	-4.51		-264.00	
AUD.USD	2016-07-27, 19 50 56	-300,000	0.7512	0.0000	225,360.00	-4.51		243.00	P
AUD.USD	2016-07-28, 09.51.44	25,000	0.7526	0.0000	-18,815.00	-2.00		-55.25	
AUD.USD	2016-07-28, 09 53 15	25,000	0.7524	0.0000	-18,810.00	-2.00		-50.25	
AUD.USD	2016-07-28, 10 00 12	50,000	0.75217	0.0000	-37,608.50	-2.00		-89.00	
AUD.USD	2016-07-28, 10 14 23	100,000	0.75179	0.0000	-75,179.00	-2.00		-140.00	
AUD.USD	2016-07-28, 11 00 00	50,000	0.75119	0.0000	-37,559.50	-2.00		-40.00	
AUD.USD	2016-07-28, 11 09 57	20,000	0.75115	0.0000	-15,023.00	-2.00		-15.20	
AUD.USD	2016-07-29, 01 03:33	-270,000	0.75231	0.0000	203,123.70	-4.06		-2,106.00	
AUD.USD	2016-08-02, 11 00 00	60,000	0.76064	0.0000	-45,638.40	-2.00		24.60	
AUD.USD		-200,000	0.76083	0.0000	152,166.00	-3.04		-44.00	

	2016-08-02, 11 08.49						
AUD.USD	2016-08-02, 11 36:00	200,000	0.76104	0.0000	-152,208.00	-3.04	2.00
AUD USD	2016-08-03, 02 24 44	-60,000	0.75855	0.0000	45,513.00	-2.00	-17.40
AUD.USD	2016-08-03, 10 19 38	25,000	0.75769	0.0000	-18,942.25	-2.00	28.75
AUD USD	2016-08-03, 10 30 02	25,000	0.7572	0.0000	-18,930.00	-2.00	41.00
AUD USD	2016-08-03, 11 00 00	50,000	0.75778	0.0000	-37,889.00	-2.00	53.00
AUD.USD	2016-08-03, 20 43:31	-100,000	0.76176	0.0000	76,176.00	-2.00	-108.00
AUD.USD	2016-08-04, 11.00 00	-80,000	0.76244	0.0000	60,995.20	-2.00	-32.00
AUD USD	2016-08-05, 07 10 11	80,000	0.76644	0.0000	-61,315.20	-2.00	-356.00
AUD USD	2016-08-08, 10 11 24	-25,000	0.76706	0.0000	19,176.50	-2.00	49.75
AUD USD	2016-08-08, 11 00 00	-100,000	0.76595	0.0000	76,595.00	-2.00	88.00
AUD.USD	2016-08-08, 23 31 25	125,000	0.76259	0.0000	-95,323.75	-2.00	582.50
AUD.USD	2016-08-09, 11:00:00	47,000	0.7680	0.0000	-36,096.00	-2.00	-35.25
AUD.USD	2016-08-10, 04 36 25	-47,000	0.77202	0.0000	36,284.94	-2.00	79.90
AUD.USD	2016-08-11, 11 00 01	-100,000	0.77164	0.0000	77,164.00	-2.00	167.00
AUD USD	2016-08-11, 11 00.52	-100,000	0.77187	0.0000	77,187.00	-2.00	190.00
AUD.USD	2016-08-11, 20 35.21	200,000	0.76768	0.0000	-153,536.00	-3.07	-528.00
AUD.USD	2016-08-15, 10 09 10	25,000	0.76644	0.0000	-19,161.00	-2.00	25.50
AUD.USD	2016-08-15, 11:00 00	150,000	0.76834	0.0000	-115,251.00	-2.31	-132.00
AUD USD	2016-08-16, 04 04 51	-175,000	0.7721	0.0000	135,117.50	-2.70	451.50
AUD.USD		-25,000	0.76193	0.0000	19,048.25	-2.00	-90.75

	2016-08-17, 09 56 49						
AUD.USD	2016-08-17, 09 58 40	50,000	0.7618	0.0000	-38,090.00	-2.00	188.00
AUD USD	2016-08-17, 11 00 00	150,000	0.76345	0.0000	-114,517.50	-2.29	316.50
AUD USD	2016-08-17, 14.09 32	-175,000	0.76722	0.0000	134,263.50	-2.69	290.50
AUD.USD	2016-08-18, 11 00 00	-175,000	0.76752	0.0000	134,316.00	-2.69	-199.50
AUD USD	2016-08-18, 11 55 07	-25,000	0.76851	0.0000	19,212.75	-2.00	-3.75
AUD.USD	2016-08-18, 22 40 38	200,000	0.76348	0.0000	-152,696.00	-3.05	-158.00
AUD.USD	2016-08-25, 11.13 31	200,000	0.76121	0.0000	-152,242.00	-3.04	108.00
AUD.USD	2016-08-26, 08 43 34	-200,000	0.7649	0.0000	152,980.00	-3.06	1,720.00
AUD.USD	2016-08-30, 11 48 29	-100,000	0.75144	0.0000	75,144.00	-2.00	44.00
AUD USD	2016-08-31, 10 55 00	100,000	0.75034	0.0000	-75,034.00	-2.00	145.00
AUD.USD	2016-08-31, 11 01 21	100,000	0.75162	0.0000	-75,162.00	-2.00	17.00
AUD.USD	2016-08-31, 11 43 41	100,000	0.75145	0.0000	-75,145.00	-2.00	34.00
AUD.USD	2016-09-01, 11 05 17	-200,000	0.75512	0.0000	151,024.00	-3.02	-4.00
AUD USD	2016-09-06, 11 20 34	-25,000	0.76684	0.0000	19,171.00	-2.00	-47.25
AUD.USD	2016-09-07, 10 57 44	25,000	0.76763	0.0000	-19,190.75	-2.00	-8.50
AUD USD	2016-09-08, 08 59 45	261	0.77039	0.0000	-201.07	-2.00	-1.57
AUD.USD	2016-10-04, 14 48 36	78	0.76213	0.0000	-59.45	-2.00	0.00
Total AUD.USD		1,118.74			12,329.18	-518.98	-4,413.56
EUR.USD	2016-03-24, 15 50 51	18	1.11782	0.0000	-20.12	-2.00	0.00
EUR.USD	2016-03-28, 18 01 55	0.2	1.1196	0.0000	-0.22	0.00	0.00

Total EUR.USD	18.2	-20.34	-2.00	0.00
Total		12,308.83	-520.98	-4,413.56

Deposits & Withdrawals

Fees

Interest

Interest Accruals

Financial Instrument Information

Codes

Notes/Legal Notes

Notes

- Most stock exchange transactions settle on the trade date plus three business days. Options, futures, and US open-end mutual fund transactions settle on trade date plus one business day. (Some exchanges and other transaction types may have longer or shorter settlement periods. For instance, stock transactions on XETRA settle on trade date plus two business days.) Ending settled cash reflects the cash that has actually settled.
- Initial and maintenance margin requirements are available within the Account Window of the Trader Workstation.
- Interactive Brokers LLC receives compensation from fund companies in connection with the purchase and holding of fund shares by customers of Interactive Brokers LLC. Such compensation includes, but is not limited to, Rule 12b-1 fees that are paid out of the funds assets. The source and amount of any remuneration received by Interactive Brokers LLC in connection with a transaction will be furnished upon written request of the customer. IB may share a portion of the compensation received from fund companies with your financial advisor or introducing broker.
- Quantities preceded by a "-" sign indicate sell transactions. Other transactions are purchases.
- In case of partial executions, commissions are charged on the total quantity executed on the original order. The commission is displayed on the first partial execution only.
- Each closed lot indicated above with a reference to note (6) was chosen by the end of the trading day to be sold versus the specific opening purchase identified in that row.
- Trade execution times are displayed in Eastern Time.
- Applicable commodity Regulatory Fees for your transactions are available on the IB website at www.interactivebrokers.com/en/accounts/fees/exchangeAndRegulatoryFees.php.
- Borrow Fee Rate represents the cost to borrow stock expressed in percent per annum. It is applied to the cash collateral amount on the stock borrow contract and is separate from any interest earned on credit cash balances. Similarly, Loan Fee Rate represents the benefit to lend stock. A positive rate indicates a cost to the borrower/benefit to the lender and a negative rate indicates a benefit to the borrower/cost to the lender. In general, the fee rates for hard-to-borrow stocks are higher than for normal availability stocks.
- The closing prices on this Activity Statement are indicative and may come from third-party sources. Interactive Brokers does not warrant the accuracy of the prices provided by third-party sources.

Fixed Income Notes

- Call features for bonds or preferred stocks may affect the yield. For zero coupon, compound interest and multiplier securities, there are no periodic payments and securities may be callable below maturity value without notice to holder unless registered. For asset-backed securities, the actual yield may vary depending on the speed at which the underlying note is pre-paid. For additional information regarding bond yield, please contact the IB Help Desk at help@interactivebrokers.com. 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

- Please promptly report any inaccuracy or discrepancy in this statement, or in your account. Contact the IB Customer Service Department in writing using the form available on the IB website. You may also contact IB by phone, but if you report an error by phone, you should re-confirm such oral communication in writing in order to protect your rights, including rights under the Securities Investor Protection Act (SIPA).

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Unless otherwise noted, Interactive Brokers acted as agent in the execution of the above transactions. For those exchanges where IB is not a direct clearing member or custodian, IB may use one of the following clearing agents or sub-custodians Interactive Brokers Australia Pty Limited, Interactive Brokers Canada Inc, Interactive Brokers Hong Kong Limited, Interactive Brokers Securities Japan, Inc.; Interactive Brokers (U.K.) Limited, Timber Hill Europe AG, ABN Amro Clearing Singapore Pte. Ltd.; ABN Amro Clearing Sydney Pty Ltd., BBVA Bancomer, S A.; BNP Securities Services, Milan Branch, BMO Harris Bank N.A., Citibank International plc, Euroclear Bank S.A /N.V.; Shinhan Securities Co., Ltd., Skandinaviska Enskilda Banken AB

3. IB acts as agent or riskless principal in foreign currency exchange transactions. Such transactions are executed against an IB affiliate or a third party, which acts as principal in such transactions and may have a long or short position and may have profited or lost in connection with the transaction. Foreign currency exchange transactions executed by Customer through IB are not regulated or overseen by the SEC or the CFTC
4. Trades marked with the exchange indicator of TMBR were effected by IB as agent through a market making affiliate, which acted as principal in the transaction and may have a long or short position in the security and may have profited or lost in connection with the transaction.
5. All VWAP trades are effected pursuant to an average price formula based on a reference price provided by a third-party data provider. Additional information and reference prices are available upon request. IB, as agent, effects VWAP transactions through a market making affiliate, which acts as principal in such transactions and may have a long or short position in the security and may have profited or lost in connection with the transaction.
6. IB accepts liquidity rebates or other order flow payments from Alternative Trading Systems, market makers and exchanges for certain orders in stocks. IB receives payment for some option orders pursuant to exchange-mandated marketing fee programs or other arrangements. To the extent permissible under exchange rules, IB may direct customer option orders for execution against its market making affiliate Timber Hill LLC, which acts as principal and may earn a profit or incur a loss. The source and nature of any compensation received by IB in connection with any transaction is available upon written request of the customer. For further information, check the IB website and the Order Routing and Payment for Order Flow Disclosure provided when you opened your account and annually or email help@interactivebrokers.com.
7. For security futures trades, if not already indicated on this statement, information about the time of any transaction, the identity of the counterparty to the transaction, and whether IB is acting as agent or principal, as agent for the counterparty, as agent for both parties to the contract, or as principal, and if acting as principal, whether the transaction was a block transaction or an exchange for physicals transaction, will be available upon written request of the customer.
8. Customer is requested to promptly advise 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 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 SECHK, 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