



Investment Detail - Options

| Options | Quantity | Market Price | Market Value | % of Account Assets | Unrealized Gain or (Loss) |
|---|----------|--------------|--------------------------------|---------------------|---------------------------|
| CALL DIREXION SHARES E T \$14.5 EXP 03/29/18 SYMBOL: JNUG 03/29/2018 14.50 C | 176.0000 | 0.01000 | 176.00 Cost Basis: 5,583.07 | <1% | (5,407.07) |
| CALL DIREXION SHARES E T \$15 EXP 04/06/18 SYMBOL: JNUG 04/06/2018 15.00 C | 50.0000 | 0.09000 | 450.00 1,586.37 | 2% | (1,136.37) |
| CALL DIREXION SHARES E T \$16 EXP 04/06/18 SYMBOL: JNUG 04/06/2018 16.00 C | 500.0000 | 0.04000 | 2,000.00 8,337.75 | 8% | (6,337.75) |
| CALL DIREXION SHARES E T \$17 EXP 04/13/18 SYMBOL: JNUG 04/13/2018 17.00 C | 30.0000 | 0.07000 | 210.00 864.92 | <1% | (654.92) |
| CALL ISHR SILVER TR \$16 EXP 04/06/18 SYMBOL: SLV 04/06/2018 16.00 C | 431.0000 | 0.02500 | 1,077.50 2,877.88 | 4% | (1,800.38) |
| CALL ISHR SILVER TR \$16 EXP 04/20/18 SYMBOL: SLV 04/20/2018 16.00 C | 200.0000 | 0.09500 | 1,900.00 2,438.08 | 8% | (538.08) |
| CALL PROSHARES TRUST II \$20.5 EXP 03/29/18 SYMBOL: UVXY 03/29/2018 20.50 C | 60.0000 | 0.01000 | 60.00 4,484.88 | <1% | (4,424.88) |
| CALL PROSHARES TRUST II \$21 EXP 03/29/18 SYMBOL: UVXY 03/29/2018 21.00 C | 150.0000 | 0.01000 | 150.00 11,954.80 | <1% | (11,804.80) |

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



Investment Detail - Options (continued)

| | Quantity | Market Price | Market Value | % of Account Assets | Unrealized Gain or (Loss) |
|---------------------------------|----------------------------|----------------|-------------------|---------------------|---------------------------|
| Options (continued) | | | <i>Cost Basis</i> | | |
| CALL SPDR GOLD TR | 600.0000 | 0.01000 | 600.00 | 2% | (7,409.26) |
| \$127 EXP 03/29/18 | | | 8,009.26 | | |
| SYMBOL: GLD 03/29/2018 127.00 C | | | | | |
| CALL SPDR GOLD TR | 300.0000 | 0.01500 | 450.00 | 2% | (8,154.63) |
| \$128 EXP 03/29/18 | | | 8,604.63 | | |
| SYMBOL: GLD 03/29/2018 128.00 C | | | | | |
| CALL SPDR GOLD TR | 300.0000 | 0.09500 | 2,850.00 | 11% | (2,894.60) |
| \$128.5 EXP 04/06/18 | | | 5,744.60 | | |
| SYMBOL: GLD 04/06/2018 128.50 C | | | | | |
| CALL SPDR GOLD TR | 450.0000 | 0.01000 | 450.00 | 2% | (6,149.37) |
| \$129 EXP 03/29/18 | | | 6,599.37 | | |
| SYMBOL: GLD 03/29/2018 129.00 C | | | | | |
| CALL SPDR GOLD TR | 300.0000 | 0.16000 | 4,800.00 | 19% | (3,204.63) |
| \$129.5 EXP 04/13/18 | | | 8,004.63 | | |
| SYMBOL: GLD 04/13/2018 129.50 C | | | | | |
| CALL SPDR GOLD TR | 75.0000 | 0.35500 | 2,662.50 | 11% | (1,292.39) |
| \$130 EXP 04/27/18 | | | 3,954.89 | | |
| SYMBOL: GLD 04/27/2018 130.00 C | | | | | |
| CALL SPDR GOLD TR | 100.0000 | 0.08500 | 850.00 | 3% | (2,921.51) |
| \$131 EXP 04/13/18 | | | 3,771.51 | | |
| SYMBOL: GLD 04/13/2018 131.00 C | | | | | |
| CALL SPDR GOLD TR | 75.0000^S | 0.23000 | (1,725.00) | | 4,070.11 |
| \$131.5 EXP 04/27/18 | | | (5,795.11) | | |
| SYMBOL: GLD 04/27/2018 131.50 C | | | | | |

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



Realized Gain or (Loss) (continued)

| Short Term (continued) | Quantity/Par | Acquired/ Opened | Sold/ Closed | Total Proceeds | Cost Basis | Realized Gain or (Loss) |
|---|--------------|---------------------|-----------------|------------------|------------------|----------------------------|
| CALL DIREXION SHARES E T\$17 04/20/18: JNUG 04/20/2018 17.00 C | 37.0000 | 04/16/18 | 04/20/18 | 0.00 | 372.48 | (372.48) |
| Total Short Term | | | | 47,718.11 | 91,865.17 | (44,147.06) |
| Total Realized Gain or (Loss) | | | | 47,718.11 | 91,865.17 | (44,147.06) |

Schwab has provided accurate realized gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. If all data for a given investment is not available, the investment will not be listed here.
 Option Customers: Realized gain/loss of underlying securities is adjusted to reflect the premiums of assigned or exercised options. Please consult IRS publication 550, Investment Income and Expenses, for additional information on Options.

Transaction Detail - Purchases & Sales

Options Activity

| Settle Date | Trade Date | Transaction | Description | Quantity | Unit Price | Total Amount |
|-------------|------------|-------------|--|------------|------------|--------------|
| 03/29/18 | 03/29/18 | Expired | CALL SPDR GOLD TR \$127 EXP 03/29/18: GLD 03/29/2018 127.00 C | (600.0000) | | |
| 03/29/18 | 03/29/18 | Expired | CALL SPDR GOLD TR \$128 EXP 03/29/18: GLD 03/29/2018 128.00 C | (300.0000) | | |
| 03/29/18 | 03/29/18 | Expired | CALL SPDR GOLD TR \$129 EXP 03/29/18: GLD 03/29/2018 129.00 C | (450.0000) | | |
| 03/29/18 | 03/29/18 | Expired | CALL DIREXION SHARES E T \$14.5 EXP 03/29/18: JNUG 03/29/2018 14.50 C | (176.0000) | | |
| 03/29/18 | 03/29/18 | Expired | CALL PROSHARES TRUST II \$20.5 EXP 03/29/18: UVXY 03/29/2018 20.50 C | (60.0000) | | |
| 03/29/18 | 03/29/18 | Expired | CALL PROSHARES TRUST II \$21 EXP 03/29/18: UVXY 03/29/2018 21.00 C | (150.0000) | | |

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.





Realized Gain or (Loss) (continued)

| Short Term (continued) | Quantity/Par | Acquired/ Opened | Sold/ Closed | Total Proceeds | Cost Basis | Realized Gain or (Loss) |
|---|-----------------------|---------------------|-----------------|-------------------|-------------------|----------------------------|
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 6.0000 ^S | 03/26/18 | 03/26/18 | 265.90 | 282.52 | (16.62) |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 10.0000 ^S | 03/26/18 | 03/26/18 | 443.16 | 470.86 | (27.70) |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 11.0000 ^S | 03/26/18 | 03/26/18 | 487.49 | 517.94 | (30.45) |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 11.0000 ^S | 03/26/18 | 03/26/18 | 487.49 | 517.94 | (30.45) |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 20.0000 ^S | 03/26/18 | 03/26/18 | 886.34 | 921.73 | (35.39) |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 50.0000 ^S | 03/26/18 | 03/26/18 | 2,215.84 | 1,889.04 | 326.80 |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 85.0000 ^S | 03/26/18 | 03/26/18 | 3,766.93 | 2,863.68 | 903.25 |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 100.0000 ^S | 03/26/18 | 03/26/18 | 4,449.67 | 4,153.66 | 296.01 |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 165.0000 ^S | 03/26/18 | 03/26/18 | 7,320.08 | 9,519.78 | 0.00 |
| CALL SPDR GOLD TR \$128 EXP 03/29/18: GLD 03/29/2018 128.00 C | 100.0000 ^S | 03/28/18 | 03/28/18 | 7,228.32 | 2,871.87 | 4,356.45 |
| PUT TD AMERITRADE HLDGS \$59.5 EXP 03/29/18: AMTD 03/29/2018 59.50 P | 15.0000 | 03/21/18 | 03/28/18 | 3,509.98 | 612.96 | 2,897.02 |
| Total Short Term | | | | 340,637.83 | 219,363.24 | 123,976.86 |
| Total Realized Gain or (Loss) | | | | 340,637.83 | 219,363.24 | 123,976.86 |

Schwab has provided accurate realized gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. If all data for a given investment is not available, the investment will not be listed here.

Option Customers: Realized gain/loss of underlying securities is adjusted to reflect the premiums of assigned or exercised options. Please consult IRS publication 550, Investment Income and Expenses, for additional information on Options.



Date Prepared: February 8, 2019

YEAR-END SUMMARY INFORMATION IS NOT PROVIDED TO THE IRS.

The information in this and all subsequent sections is not provided to the IRS by Charles Schwab. It is provided to you as additional tax reporting information you may need to complete your tax return.

Realized Gain or (Loss) Summary

Total Realized Gain or (Loss)

| Description | Total Proceeds | (-)Cost Basis | (+)Wash Sale Loss Disallowed | (=)Realized Gain or (Loss) |
|---|----------------------|----------------------|---------------------------------|-------------------------------|
| Total Short-Term Realized Gain or (Loss) <i>(Cost basis is reported to the IRS. Report on Form 8949, Part I, with Box A checked.)</i> | \$ 370,571.80 | \$ 340,079.47 | \$ 2,702.27 | \$ 33,194.60 |
| Total Short-Term Realized Gain or (Loss) <i>(Cost basis is available but not reported to the IRS. Report on Form 8949, Part I, with Box B checked.)</i> | \$ 17,784.14 | \$ 16,384.95 | -- | \$ 1,399.19 |
| Total Short-Term Realized Gain or (Loss) | \$ 388,355.94 | \$ 356,464.42 | \$ 2,702.27 | \$ 34,593.79 |
| TOTAL REALIZED GAIN OR (LOSS) | \$ 388,355.94 | \$ 356,464.42 | \$ 2,702.27 | \$ 34,593.79 |



Schwab One® Account of

Account Number
2043-5612

Statement Period
March 1-31, 2018

Realized Gain or (Loss) (continued)

| Short Term (continued) | Quantity/Par | Acquired/ Opened | Sold/ Closed | Total Proceeds | Cost Basis | Realized Gain or (Loss) |
|--|----------------------|---------------------|-----------------|----------------|------------|----------------------------|
| CALL SPDR GOLD TR \$127 EXP 03/23/18: GLD 03/23/2018 127.00 C | 10.0000 | 03/22/18 | 03/23/18 | 762.32 | 76.76 | 685.56 |
| CALL SPDR GOLD TR \$127 EXP 03/23/18: GLD 03/23/2018 127.00 C | 15.0000 | 03/22/18 | 03/23/18 | 1,143.48 | 115.13 | 1,028.35 |
| CALL SPDR GOLD TR \$127 EXP 03/23/18: GLD 03/23/2018 127.00 C | 24.0000 | 03/22/18 | 03/23/18 | 1,829.59 | 184.21 | 1,645.38 |
| CALL SPDR GOLD TR \$127 EXP 03/23/18: GLD 03/23/2018 127.00 C | 40.0000 | 03/22/18 | 03/23/18 | 3,049.31 | 307.02 | 2,742.29 |
| CALL SPDR GOLD TR \$127 EXP 03/23/18: GLD 03/23/2018 127.00 C | 90.0000 | 03/22/18 | 03/23/18 | 7,494.97 | 690.79 | 6,804.18 |
| CALL SPDR GOLD TR \$127 EXP 03/23/18: GLD 03/23/2018 127.00 C | 110.0000 | 03/22/18 | 03/23/18 | 9,051.62 | 844.31 | 8,207.31 |
| CALL SPDR GOLD TR \$127 EXP 03/23/18: GLD 03/23/2018 127.00 C | 181.0000 | 03/22/18 | 03/23/18 | 13,798.15 | 1,389.27 | 12,408.88 |
| CALL SPDR GOLD TR \$127 EXP 03/29/18: GLD 03/29/2018 127.00 C | 30.0000 ^S | 03/23/18 | 03/23/18 | 905.06 | 1,224.92 | (319.86) |
| CALL SPDR GOLD TR \$128 EXP 03/23/18: GLD 03/23/2018 128.00 C | 150.0000 | 03/23/18 | 03/23/18 | 645.18 | 2,204.80 | (1,559.62) |
| CALL SPDR GOLD TR \$128 EXP 03/29/18: GLD 03/29/2018 128.00 C | 50.0000 ^S | 03/23/18 | 03/23/18 | 1,107.80 | 938.24 | 169.92 |
| CALL SPDR GOLD TR \$135 EXP 04/27/18: GLD 04/27/2018 135.00 C | 4.0000 | 03/22/18 | 03/23/18 | 117.20 | 54.73 | 62.47 |
| CALL SPDR GOLD TR \$135 EXP 04/27/18: GLD 04/27/2018 135.00 C | 5.0000 | 03/22/18 | 03/23/18 | 146.51 | 68.41 | 78.10 |
| CALL SPDR GOLD TR \$135 EXP 04/27/18: GLD 04/27/2018 135.00 C | 5.0000 | 03/22/18 | 03/23/18 | 146.51 | 68.41 | 78.10 |
| CALL SPDR GOLD TR \$135 EXP 04/27/18: GLD 04/27/2018 135.00 C | 5.0000 | 03/22/18 | 03/23/18 | 146.51 | 68.41 | 78.10 |
| CALL SPDR GOLD TR \$135 EXP 04/27/18: GLD 04/27/2018 135.00 C | 5.0000 | 03/22/18 | 03/23/18 | 146.51 | 68.41 | 78.10 |

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Schwab One® Account of

Account Number
2043-5612

TAX YEAR 2018
FORM 1099 COMPOSITE

Taxpayer ID Number: ***-**-2812

Date Prepared: February 8, 2019

Proceeds from Broker Transactions — 2018 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with Box A checked.

| 1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol | ** | 1b-Date acquired | 1c-Date sold or disposed | 1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated) | 1e-Cost or other basis | 1f-Accrued Market Discount | 1g-Wash Sale Loss Disallowed | Realized Gain or (Loss) | 4-Federal Income tax withheld |
|--|----------------|---------------------|--------------------------------|--|---------------------------|-------------------------------|---------------------------------|----------------------------|----------------------------------|
| 150 CALL SPDR GOLD TR GLD 03/23/2018 128.00 C | \$128 EX SC | 03/23/18 | 03/23/18 | \$ 645.18 | \$ 2,204.80 | -- | \$ -- | (1,559.62) \$ | 0.00 |
| Security Subtotal | | | | \$ 645.18 | \$ 2,204.80 | -- | \$ -- | (1,559.62) \$ | 0.00 |
| 1s CALL SPDR GOLD TR GLD 03/29/2018 128.00 C | \$128 EXP BC | 03/23/18 | 03/23/18 | \$ 18.40 | \$ 18.76 | -- | \$ 0.36 | 0.00 \$ | 0.00 |
| 49s CALL SPDR GOLD TR GLD 03/29/2018 128.00 C | \$128 EX BC | 03/23/18 | 03/23/18 | \$ 1,089.40 | \$ 919.48 | -- | \$ -- | 169.92 \$ | 0.00 |
| 1s CALL SPDR GOLD TR GLD 03/29/2018 128.00 C | \$128 EXP BC | 03/28/18 | 03/28/18 | \$ 72.28 | \$ 29.08 | -- | \$ -- | 43.20 \$ | 0.00 |
| 99s CALL SPDR GOLD TR GLD 03/29/2018 128.00 C | \$128 EX BC | 03/28/18 | 03/28/18 | \$ 7,156.04 | \$ 2,842.79 | -- | \$ -- | 4,313.25 \$ | 0.00 |
| 300 CALL SPDR GOLD TR GLD 03/29/2018 128.00 C | \$128 EX X | 03/27/18 | 03/29/18 | \$ 0.00 | \$ 8,604.63 | -- | \$ -- | (8,604.63) \$ | 0.00 |
| Security Subtotal | | | | \$ 8,336.12 | \$ 12,414.74 | -- | \$ 0.36 | (4,078.26) \$ | 0.00 |
| 1 CALL SPDR GOLD TR GLD 04/06/2018 128.50 C | \$128.5 EXP SC | 03/28/18 | 04/02/18 | \$ 28.30 | \$ 18.70 | -- | \$ -- | 9.60 \$ | 0.00 |
| 99 CALL SPDR GOLD TR GLD 04/06/2018 128.50 C | \$128.5 EXP SC | 03/28/18 | 04/02/18 | \$ 2,800.12 | \$ 1,850.88 | -- | \$ -- | 949.24 \$ | 0.00 |

FATCA Filing Requirement

Please see the "Notes for Your Form 1099-B" section for additional explanation of this Form 1099-B report.

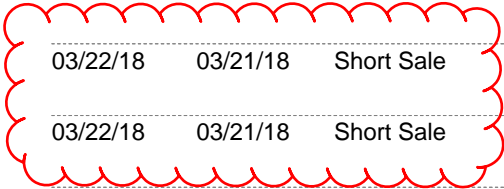
This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.



Transaction Detail - Purchases & Sales (continued)

Options Activity (continued)

| Settle Date | Trade Date | Transaction | Description | Quantity | Unit Price | Total Amount |
|-------------|------------|-------------|--|-----------|------------|--------------|
| 03/22/18 | 03/21/18 | Short Sale | CALL SPDR GOLD TR \$126.5 EXP 03/23/18: GLD 03/23/2018 126.50 C | (1.0000) | 0.2200 | 21.21 |
| 03/22/18 | 03/21/18 | Short Sale | CALL SPDR GOLD TR \$126.5 EXP 03/23/18: GLD 03/23/2018 126.50 C | (33.0000) | 0.2200 | 699.34 |
| 03/22/18 | 03/21/18 | Short Sale | CALL SPDR GOLD TR \$126.5 EXP 03/23/18: GLD 03/23/2018 126.50 C | (1.0000) | 0.2200 | 21.21 |
| 03/22/18 | 03/21/18 | Cover Short | CALL SPDR GOLD TR \$126.5 EXP 03/23/18: GLD 03/23/2018 126.50 C | 35.0000 | 0.2700 | (973.25) |
| 03/22/18 | 03/21/18 | Sold | CALL SPDR GOLD TR \$126 EXP 03/29/18: GLD 03/29/2018 126.00 C | (16.0000) | 0.7300 | 1,153.36 |
| 03/22/18 | 03/21/18 | Sold | CALL SPDR GOLD TR \$126 EXP 03/29/18: GLD 03/29/2018 126.00 C | (4.0000) | 0.7300 | 288.33 |
| 03/22/18 | 03/21/18 | Short Sale | CALL SPDR GOLD TR \$127 EXP 03/29/18: GLD 03/29/2018 127.00 C | (30.0000) | 0.3100 | 905.06 |
| 03/22/18 | 03/21/18 | Short Sale | CALL SPDR GOLD TR \$128 EXP 03/29/18: GLD 03/29/2018 128.00 C | (1.0000) | 0.2400 | 18.40 |
| 03/22/18 | 03/21/18 | Short Sale | CALL SPDR GOLD TR \$128 EXP 03/29/18: GLD 03/29/2018 128.00 C | (49.0000) | 0.2300 | 1,089.40 |
| 03/22/18 | 03/21/18 | Bought | CALL DIREXION SHARES E T \$14 EXP 03/23/18: JNUG 03/23/2018 14.00 C | 40.0000 | 0.1700 | (711.58) |
| 03/22/18 | 03/21/18 | Sold | CALL DIREXION SHARES E T \$14 EXP 03/23/18: JNUG 03/23/2018 14.00 C | (40.0000) | 0.2700 | 1,048.40 |
| 03/22/18 | 03/21/18 | Bought | CALL DIREXION SHARES E T \$15 EXP 04/06/18: JNUG 04/06/2018 15.00 C | 80.0000 | 0.3100 | (2,538.19) |
| 03/22/18 | 03/21/18 | Sold | CALL DIREXION SHARES E T \$15 EXP 04/06/18: JNUG 04/06/2018 15.00 C | (30.0000) | 0.3900 | 1,145.05 |



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Schwab One® Account of



Account Number
2043-5612

Statement Period
March 1-31, 2018

Transaction Detail - Purchases & Sales (continued)

Options Activity (continued)

| Settle Date | Trade Date | Transaction | Description | Quantity | Unit Price | Total Amount |
|-------------|------------|-------------|---|----------|------------|--------------|
| 03/23/18 | 03/22/18 | Sold | PUT TD AMERITRADE HLDGS \$60.5 EXP 03/23/18: AMTD 03/23/2018 60.50 P | (4.0000) | 1.1000 | 436.82 |
| 03/23/18 | 03/22/18 | Sold | PUT TD AMERITRADE HLDGS \$60.5 EXP 03/23/18: AMTD 03/23/2018 60.50 P | (5.0000) | 1.1000 | 546.05 |
| 03/23/18 | 03/22/18 | Sold | PUT TD AMERITRADE HLDGS \$59.5 EXP 03/29/18: AMTD 03/29/2018 59.50 P | (5.0000) | 1.1800 | 584.18 |
| 03/23/18 | 03/22/18 | Sold | PUT TD AMERITRADE HLDGS \$59.5 EXP 03/29/18: AMTD 03/29/2018 59.50 P | (5.0000) | 1.1800 | 584.19 |
| 03/23/18 | 03/22/18 | Bought | CALL SPDR GOLD TR \$126 EXP 03/23/18: GLD 03/23/2018 126.00 C | 100.0000 | 0.2900 | (2,971.51) |
| 03/23/18 | 03/22/18 | Bought | CALL SPDR GOLD TR \$127 EXP 03/23/18: GLD 03/23/2018 127.00 C | 500.0000 | 0.0700 | (3,837.75) |
| 03/23/18 | 03/22/18 | Cover Short | CALL SPDR GOLD TR \$127 EXP 03/29/18: GLD 03/29/2018 127.00 C | 30.0000 | 0.4000 | (1,224.92) |
| 03/23/18 | 03/22/18 | Bought | CALL SPDR GOLD TR \$127 EXP 03/29/18: GLD 03/29/2018 127.00 C | 68.0000 | 0.4100 | (2,836.64) |
| 03/23/18 | 03/22/18 | Bought | CALL SPDR GOLD TR \$127 EXP 03/29/18: GLD 03/29/2018 127.00 C | 32.0000 | 0.4100 | (1,334.87) |
| 03/23/18 | 03/22/18 | Cover Short | CALL SPDR GOLD TR \$128 EXP 03/29/18: GLD 03/29/2018 128.00 C | 50.0000 | 0.1800 | (938.24) |
| 03/23/18 | 03/22/18 | Bought | CALL SPDR GOLD TR \$130 EXP 04/27/18: GLD 04/27/2018 130.00 C | 75.0000 | 0.5200 | (3,954.89) |
| 03/23/18 | 03/22/18 | Bought | CALL SPDR GOLD TR \$135 EXP 04/27/18: GLD 04/27/2018 135.00 C | 300.0000 | 0.1300 | (4,104.63) |
| 03/23/18 | 03/22/18 | Bought | CALL DIREXION SHARES E T \$14 EXP 03/23/18: JNUG 03/23/2018 14.00 C | 100.0000 | 0.1400 | (1,471.51) |

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Summary



Transfer



Deposit

Personal Value
Day Change

\$0.00
N/A

Data is currently unavailable.

Some of your accounts are missing historical data.

CLOSE

* This account value does not contribute to the Personal Value chart. For details, see "What is Personal Value?"

Disclosures & Footnotes

Brokerage Products: Not FDIC Insured • No Bank Guarantee • May Lose Value



Realized Gain or (Loss) (continued)

| Short Term (continued) | Quantity/Par | Acquired/ Opened | Sold/ Closed | Total Proceeds | Cost Basis | Realized Gain or (Loss) |
|---|-----------------------|---------------------|-----------------|----------------|------------|----------------------------|
| CALL SPDR GOLD TR \$135 EXP 04/27/18: GLD 04/27/2018 135.00 C | 7.0000 | 03/22/18 | 03/23/18 | 205.11 | 95.77 | 109.34 |
| CALL SPDR GOLD TR \$135 EXP 04/27/18: GLD 04/27/2018 135.00 C | 8.0000 | 03/22/18 | 03/23/18 | 234.40 | 109.46 | 124.94 |
| CALL SPDR GOLD TR \$135 EXP 04/27/18: GLD 04/27/2018 135.00 C | 25.0000 | 03/22/18 | 03/23/18 | 757.48 | 342.05 | 415.43 |
| CALL SPDR GOLD TR \$135 EXP 04/27/18: GLD 04/27/2018 135.00 C | 86.0000 | 03/22/18 | 03/23/18 | 2,519.85 | 1,176.66 | 1,343.19 |
| CALL PROSHARES TRUST II \$18 EXP 03/23/18: UVXY 03/23/2018 18.00 C | 100.0000 ^S | 03/26/18 | 03/26/18 | 10,628.24 | 5,671.51 | 4,956.73 |
| CALL PROSHARES TRUST II \$18.5 EXP 03/23/18: UVXY 03/23/2018 18.50 C | 1.0000 ^S | 03/26/18 | 03/26/18 | 74.19 | 32.79 | 41.40 |
| CALL PROSHARES TRUST II \$18.5 EXP 03/23/18: UVXY 03/23/2018 18.50 C | 1.0000 ^S | 03/26/18 | 03/26/18 | 74.19 | 32.79 | 41.40 |
| CALL PROSHARES TRUST II \$18.5 EXP 03/23/18: UVXY 03/23/2018 18.50 C | 7.0000 ^S | 03/26/18 | 03/26/18 | 519.34 | 229.65 | 289.69 |
| CALL PROSHARES TRUST II \$18.5 EXP 03/23/18: UVXY 03/23/2018 18.50 C | 11.0000 ^S | 03/26/18 | 03/26/18 | 816.10 | 360.88 | 455.22 |
| CALL PROSHARES TRUST II \$18.5 EXP 03/23/18: UVXY 03/23/2018 18.50 C | 15.0000 ^S | 03/26/18 | 03/26/18 | 1,112.87 | 492.11 | 620.76 |
| CALL PROSHARES TRUST II \$19 EXP 03/23/18: UVXY 03/23/2018 19.00 C | 98.0000 ^S | 03/26/18 | 03/26/18 | 7,274.69 | 11,830.18 | (4,555.49) |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 1.0000 ^S | 03/26/18 | 03/26/18 | 44.32 | 45.08 | (0.76) |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 1.0000 ^S | 03/26/18 | 03/26/18 | 39.40 | 47.07 | 0.00 |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 2.0000 ^S | 03/26/18 | 03/26/18 | 88.63 | 94.17 | (5.54) |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 3.0000 ^S | 03/26/18 | 03/26/18 | 132.95 | 138.24 | (5.29) |

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



Realized Gain or (Loss) (continued)

| Short Term (continued) | Quantity/Par | Acquired/ Opened | Sold/ Closed | Total Proceeds | Cost Basis | Realized Gain or (Loss) |
|---|-----------------------|---------------------|-----------------|-------------------|-------------------|----------------------------|
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 6.0000 ^S | 03/26/18 | 03/26/18 | 265.90 | 282.52 | (16.62) |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 10.0000 ^S | 03/26/18 | 03/26/18 | 443.16 | 470.86 | (27.70) |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 11.0000 ^S | 03/26/18 | 03/26/18 | 487.49 | 517.94 | (30.45) |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 11.0000 ^S | 03/26/18 | 03/26/18 | 487.49 | 517.94 | (30.45) |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 20.0000 ^S | 03/26/18 | 03/26/18 | 886.34 | 921.73 | (35.39) |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 50.0000 ^S | 03/26/18 | 03/26/18 | 2,215.84 | 1,889.04 | 326.80 |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 85.0000 ^S | 03/26/18 | 03/26/18 | 3,766.93 | 2,863.68 | 903.25 |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 100.0000 ^S | 03/26/18 | 03/26/18 | 4,449.67 | 4,153.66 | 296.01 |
| CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 165.0000 ^S | 03/26/18 | 03/26/18 | 7,320.08 | 9,519.78 | 0.00 |
| CALL SPDR GOLD TR \$128 EXP 03/29/18: GLD 03/29/2018 128.00 C | 100.0000 ^S | 03/28/18 | 03/28/18 | 7,228.32 | 2,871.87 | 4,356.45 |
| PUT TD AMERITRADE HLDGS \$59.5 EXP 03/29/18: AMTD 03/29/2018 59.50 P | 15.0000 | 03/21/18 | 03/28/18 | 3,509.98 | 612.96 | 2,897.02 |
| Total Short Term | | | | 340,637.83 | 219,363.24 | 123,976.86 |

| | | | | | | |
|--------------------------------------|--|--|--|-------------------|-------------------|-------------------|
| Total Realized Gain or (Loss) | | | | 340,637.83 | 219,363.24 | 123,976.86 |
|--------------------------------------|--|--|--|-------------------|-------------------|-------------------|

Schwab has provided accurate realized gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. If all data for a given investment is not available, the investment will not be listed here.
Option Customers: Realized gain/loss of underlying securities is adjusted to reflect the premiums of assigned or exercised options. Please consult IRS publication 550, Investment Income and Expenses, for additional information on Options.



Individual



GAIN/LOSS

BALANCES

HISTORY

TILE VIEW

| | |
|---------------|------------------------------|
| Account Value | \$102,481.91 |
| Day Change | +\$11,801.97 (12.43%) |

View Statements & Reports >

Filter: All Transactions >
Up to 24 months

March 26, 2018

| | |
|--------------------|--------------------|
| Sweep from Futures | |
| TRF BTWN SCH ACCTS | \$23,355.97 |

| | |
|------------------------|---|
| SLV 03/23/2018 16.00 C | |
| EXPIRED | > |
| Qty: 200.0 | |

| | |
|-------------------------|---|
| JNUG 03/23/2018 15.00 C | |
| EXPIRED | > |
| Qty: 600.0 | |

March 23, 2018

| | |
|-----------------------------|---------------------|
| Tfr FIRST NATIONAL BAN, ... | |
| MONEYLINK TRANSFER | -\$75,000.00 |



Realized Gain or (Loss) (continued)

| Short Term (continued) | Quantity/Par | Acquired/ Opened | Sold/ Closed | Total Proceeds | Cost Basis | Realized Gain or (Loss) |
|---|----------------------|---------------------|-----------------|----------------|------------|----------------------------|
| CALL SPDR GOLD TR \$126 EXP 03/29/18: GLD 03/29/2018 126.00 C | 4.0000 | 03/19/18 | 03/21/18 | 288.33 | 138.86 | 149.47 |
| CALL SPDR GOLD TR \$126 EXP 03/29/18: GLD 03/29/2018 126.00 C | 16.0000 | 03/19/18 | 03/21/18 | 1,153.36 | 555.44 | 597.92 |
| CALL PROSHARES TRUST II \$15.5 EXP 03/23/18: UVXY 03/23/2018 15.50 C | 75.0000 | multiple | 03/22/18 | 10,819.86 | 5,002.02 | 5,817.84 |
| CALL PROSHARES TRUST II \$15.5 EXP 03/23/18: UVXY 03/23/2018 15.50 C | 53.0000 | 03/21/18 | 03/22/18 | 14,269.45 | 2,121.00 | 12,148.45 |
| CALL PROSHARES TRUST II \$16 EXP 03/23/18: UVXY 03/23/2018 16.00 C | 20.0000 | 03/19/18 | 03/22/18 | 4,981.61 | 994.30 | 3,987.31 |
| CALL PROSHARES TRUST II \$16 EXP 03/23/18: UVXY 03/23/2018 16.00 C | 60.0000 | 03/19/18 | 03/22/18 | 7,154.95 | 2,982.91 | 4,172.04 |
| CALL SPDR GOLD TR \$126.5 EXP 03/23/18: GLD 03/23/2018 126.50 C | 35.0000 ^S | 03/22/18 | 03/22/18 | 741.76 | 973.25 | (231.49) |
| PUT TD AMERITRADE HLDGS \$59.5 EXP 03/29/18: AMTD 03/29/2018 59.50 P | 5.0000 | 03/21/18 | 03/22/18 | 584.19 | 204.32 | 379.87 |
| PUT TD AMERITRADE HLDGS \$59.5 EXP 03/29/18: AMTD 03/29/2018 59.50 P | 5.0000 | 03/21/18 | 03/22/18 | 584.18 | 204.32 | 379.86 |
| PUT TD AMERITRADE HLDGS \$60.5 EXP 03/23/18: AMTD 03/23/2018 60.50 P | 4.0000 | 03/21/18 | 03/22/18 | 436.82 | 143.16 | 293.66 |
| PUT TD AMERITRADE HLDGS \$60.5 EXP 03/23/18: AMTD 03/23/2018 60.50 P | 5.0000 | 03/21/18 | 03/22/18 | 546.05 | 178.95 | 367.10 |
| PUT TD AMERITRADE HLDGS \$60.5 EXP 03/23/18: AMTD 03/23/2018 60.50 P | 31.0000 | 03/21/18 | 03/22/18 | 3,385.45 | 1,109.47 | 2,275.98 |
| CALL DIREXION SHARES E T\$14 EXP 03/23/18: JNUG 03/23/2018 14.00 C | 100.0000 | 03/22/18 | 03/23/18 | 6,928.33 | 1,471.51 | 5,456.82 |
| CALL DIREXION SHARES E T\$14.5 EXP 03/23/18: JNUG 03/23/2018 14.50 C | 150.0000 | 03/23/18 | 03/23/18 | 4,395.10 | 4,754.80 | (359.70) |
| CALL DIREXION SHARES E T\$15 EXP 03/23/18: JNUG 03/23/2018 15.00 C | 600.0000 | 03/23/18 | 03/23/18 | 0.00 | 4,909.31 | (4,909.31) |

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



Realized Gain or (Loss) (continued)

| Short Term (continued) | Quantity/Par | Acquired/ Opened | Sold/ Closed | Total Proceeds | Cost Basis | Realized Gain or (Loss) |
|---|----------------------|---------------------|-----------------|----------------|------------|----------------------------|
| CALL ISHR SILVER TR \$16 EXP 03/23/18 : SLV 03/23/2018 16.00 C | 200.0000 | multiple | 03/23/18 | 0.00 | 1,543.02 | (1,543.02) |
| CALL PROSHARES TRUST II \$16 EXP 03/23/18: UVXY 03/23/2018 16.00 C | 41.0000 | multiple | 03/23/18 | 11,037.50 | 1,916.22 | 9,121.28 |
| CALL PROSHARES TRUST II \$16.5 EXP 03/23/18: UVXY 03/23/2018 16.50 C | 45.0000 ^S | 03/23/18 | 03/23/18 | 1,315.07 | 8,359.90 | (7,044.83) |
| CALL PROSHARES TRUST II \$17 EXP 03/23/18: UVXY 03/23/2018 17.00 C | 1.0000 | 03/21/18 | 03/23/18 | 299.21 | 33.80 | 265.41 |
| CALL PROSHARES TRUST II \$17 EXP 03/23/18: UVXY 03/23/2018 17.00 C | 1.0000 | 03/21/18 | 03/23/18 | 299.21 | 33.80 | 265.41 |
| CALL PROSHARES TRUST II \$17 EXP 03/23/18: UVXY 03/23/2018 17.00 C | 7.0000 | 03/21/18 | 03/23/18 | 2,094.38 | 236.57 | 1,857.81 |
| CALL PROSHARES TRUST II \$17 EXP 03/23/18: UVXY 03/23/2018 17.00 C | 29.0000 | 03/21/18 | 03/23/18 | 8,676.72 | 980.09 | 7,696.63 |
| CALL PROSHARES TRUST II \$17.5 EXP 03/23/18: UVXY 03/23/2018 17.50 C | 60.0000 | 03/21/18 | 03/23/18 | 13,154.82 | 1,124.88 | 12,029.94 |
| CALL SPDR GOLD TR \$125 EXP 03/23/18: GLD 03/23/2018 125.00 C | 15.0000 | 03/19/18 | 03/23/18 | 4,034.97 | 730.73 | 3,304.24 |
| CALL SPDR GOLD TR \$126 EXP 03/23/18: GLD 03/23/2018 126.00 C | 100.0000 | 03/22/18 | 03/23/18 | 16,928.10 | 2,971.51 | 13,956.59 |
| CALL SPDR GOLD TR \$126 EXP 03/29/18: GLD 03/29/2018 126.00 C | 28.0000 | 03/19/18 | 03/23/18 | 5,579.49 | 972.02 | 4,607.47 |
| CALL SPDR GOLD TR \$126 EXP 03/29/18: GLD 03/29/2018 126.00 C | 52.0000 | 03/19/18 | 03/23/18 | 10,361.94 | 1,805.19 | 8,556.75 |
| CALL SPDR GOLD TR \$127 EXP 03/23/18: GLD 03/23/2018 127.00 C | 10.0000 | 03/22/18 | 03/23/18 | 762.32 | 76.75 | 685.57 |
| CALL SPDR GOLD TR \$127 EXP 03/23/18: GLD 03/23/2018 127.00 C | 10.0000 | 03/22/18 | 03/23/18 | 762.32 | 76.75 | 685.57 |
| CALL SPDR GOLD TR \$127 EXP 03/23/18: GLD 03/23/2018 127.00 C | 10.0000 | 03/22/18 | 03/23/18 | 762.32 | 76.76 | 685.56 |

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



Schwab One® Account of

Account Number
2043-5612Statement Period
March 1-31, 2018

Investment Detail - Options (continued)

| | Quantity | Market Price | Market Value | % of Account Assets | Unrealized Gain or (Loss) |
|---------------------------------|-------------------|--------------------------|-------------------|---------------------|---------------------------|
| Options (continued) | | | <i>Cost Basis</i> | | |
| CALL SPDR GOLD TR | 450.0000 | 0.07500 | 3,375.00 | 14% | (5,479.48) |
| \$134 EXP 04/20/18 | | | 8,854.48 | | |
| SYMBOL: GLD 04/20/2018 134.00 C | | | | | |
| CALL SPDR GOLD TR | 150.0000 | 0.09000 | 1,350.00 | 5% | (702.32) |
| \$135 EXP 04/27/18 | | | 2,052.32 | | |
| SYMBOL: GLD 04/27/2018 135.00 C | | | | | |
| Total Options | 4,247.0000 | | 21,686.00 | 94% | (66,242.33) |
| | | Total Cost Basis: | 87,928.33 | | |

| | |
|--------------------------------|------------------|
| Total Investment Detail | 23,149.83 |
| Total Account Value | 23,149.83 |
| Total Cost Basis | 87,928.33 |

Realized Gain or (Loss)

| Short Term | Quantity/Par | Acquired/Opened | Sold/Closed | Total Proceeds | Cost Basis | Realized Gain or (Loss) |
|---|--------------|-----------------|-------------|----------------|------------|-------------------------|
| VELOCITY SHS DAILY 2X SHORT TERM ETN : TVIX | 3,000.0000 | 02/27/18 | 02/27/18 | 22,083.54 | 21,034.85 | 1,048.69 |
| DAILY JR GOLD MINERS NEW FEB 2017: JNUG | 2,190.0000 | 02/27/18 | 02/28/18 | 28,738.14 | 28,870.70 | (132.56) |
| DAILY JR GOLD MINERS NEW FEB 2017: JNUG | 2,300.0000 | 02/27/18 | 02/28/18 | 30,223.94 | 30,377.86 | 340.62 |

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.

COMMISSION FEES [Source: Schwab Internal Records - Detailed Data]

Grand Total: \$ 8,038.05

| | | | | | | | | | | | |
|---------------------|----------|---------|-----------|-----------|-----------|-----------|-------------|-------------|-------------|-------------|-----------|
| Daily Totals | \$ 44.55 | \$ 9.90 | \$ 231.05 | \$ 327.15 | \$ 257.05 | \$ 672.45 | \$ 1,728.95 | \$ 1,662.99 | \$ 1,079.86 | \$ 1,274.60 | \$ 749.50 |
|---------------------|----------|---------|-----------|-----------|-----------|-----------|-------------|-------------|-------------|-------------|-----------|

| | <u>27-Feb</u> | <u>28-Feb</u> | <u>6-Mar</u> | <u>7-Mar</u> | <u>19-Mar</u> | <u>20-Mar</u> | <u>22-Mar</u> | <u>23-Mar</u> | <u>23-Mar (cont.)</u> | <u>27-Mar</u> | <u>28-Mar</u> |
|----|---------------|---------------|--------------|--------------|---------------|---------------|---------------|---------------|-----------------------|---------------|---------------|
| \$ | 4.95 | \$ 4.95 | \$ 4.95 | \$ 4.95 | \$ 69.95 | \$ 3.59 | \$ 22.38 | \$ 19.93 | \$ 5.46 | \$ 199.95 | \$ 329.95 |
| \$ | 4.95 | \$ 4.95 | \$ 18.89 | \$ 4.95 | \$ 69.95 | \$ 14.36 | \$ 47.57 | \$ 37.02 | \$ 2.73 | \$ 42.64 | \$ 14.70 |
| \$ | 4.95 | | \$ 51.06 | \$ 39.38 | \$ 69.95 | \$ 30.95 | \$ 6.75 | \$ 135.71 | \$ 3.41 | \$ 23.33 | \$ 92.70 |
| \$ | 4.95 | | \$ 86.20 | \$ 12.89 | \$ 47.20 | \$ 37.45 | \$ 67.47 | \$ 18.00 | \$ 3.41 | \$ 8.00 | \$ 44.88 |
| \$ | 3.46 | | \$ 0.70 | \$ 1.43 | | \$ 27.70 | \$ 56.68 | \$ 7.50 | \$ 58.74 | \$ 21.33 | \$ 67.32 |
| \$ | 0.99 | | \$ 69.25 | \$ 14.93 | | \$ 30.95 | \$ 4.05 | \$ 7.50 | \$ 3.41 | \$ 26.66 | \$ 21.33 |
| \$ | 0.50 | | | \$ 17.64 | | \$ 30.95 | \$ 3.86 | \$ 11.25 | \$ 69.95 | \$ 24.66 | \$ 1.33 |
| \$ | 0.49 | | | \$ 18.31 | | \$ 69.95 | \$ 3.10 | \$ 7.50 | \$ 69.95 | \$ 4.00 | \$ 11.33 |
| \$ | 0.99 | | | \$ 33.91 | | \$ 43.95 | \$ 23.99 | \$ 7.50 | \$ 0.68 | \$ 20.00 | \$ 89.98 |
| \$ | 3.47 | | | \$ 33.91 | | \$ 14.04 | \$ 329.95 | \$ 29.99 | \$ 13.50 | \$ 13.33 | \$ 12.66 |
| \$ | 4.95 | | | \$ 16.08 | | \$ 15.61 | \$ 69.95 | \$ 63.45 | \$ 6.75 | \$ 16.00 | \$ 8.00 |
| \$ | 4.95 | | | \$ 20.99 | | \$ 18.60 | \$ 69.95 | \$ 76.45 | \$ 1.35 | \$ 92.70 | \$ 15.33 |
| \$ | 4.95 | | | \$ 32.88 | | \$ 0.77 | \$ 17.95 | \$ 102.45 | \$ 7.42 | \$ 2.94 | \$ 23.33 |
| | | | | \$ 37.45 | | \$ 1.55 | \$ 43.95 | \$ 102.45 | \$ 2.02 | \$ 11.76 | \$ 16.66 |
| | | | | \$ 37.45 | | \$ 16.25 | \$ 39.40 | \$ 14.70 | \$ 4.05 | \$ 297.45 | |
| | | | | | | \$ 12.38 | \$ 53.70 | \$ 69.95 | \$ 7.42 | \$ 329.95 | |
| | | | | | | \$ 19.90 | \$ 5.72 | \$ 102.45 | \$ 33.74 | \$ 69.95 | |
| | | | | | | \$ 21.20 | \$ 5.73 | \$ 102.45 | \$ 57.35 | \$ 69.95 | |
| | | | | | | \$ 24.45 | \$ 21.85 | \$ 13.33 | \$ 0.67 | | |
| | | | | | | \$ 56.95 | \$ 102.45 | \$ 17.33 | \$ 12.00 | | |
| | | | | | | \$ 24.45 | \$ 11.93 | \$ 104.64 | \$ 187.30 | | |
| | | | | | | \$ 24.45 | \$ 58.87 | \$ 64.65 | \$ 5.60 | | |
| | | | | | | \$ 36.80 | \$ 23.81 | \$ 54.65 | \$ 112.20 | | |
| | | | | | | \$ 5.60 | \$ 23.81 | \$ 145.30 | \$ 14.70 | | |
| | | | | | | \$ 27.70 | \$ 67.47 | \$ 69.95 | \$ 102.45 | | |
| | | | | | | \$ 0.79 | \$ 23.81 | \$ 43.95 | \$ 69.95 | | |
| | | | | | | \$ 26.12 | \$ 19.84 | \$ 22.63 | \$ 68.65 | | |
| | | | | | | \$ 0.79 | \$ 31.75 | \$ 5.46 | \$ 34.64 | | |
| | | | | | | \$ 34.20 | \$ 23.81 | \$ 0.78 | \$ 1.51 | | |
| | | | | | | | \$ 53.70 | \$ 0.78 | \$ 37.45 | | |
| | | | | | | | \$ 199.95 | \$ 31.60 | \$ 0.79 | | |
| | | | | | | | \$ 24.45 | \$ 102.45 | \$ 0.79 | | |
| | | | | | | | \$ 37.45 | \$ 43.95 | \$ 5.54 | | |
| | | | | | | | \$ 34.20 | \$ 17.10 | \$ 8.71 | | |
| | | | | | | | \$ 69.95 | \$ 3.41 | \$ 11.87 | | |
| | | | | | | | \$ 27.70 | \$ 4.78 | \$ 53.70 | | |



Schwab One® Account of

[Redacted]

Account Number
2043-5612

TAX YEAR 2018
FORM 1099 COMPOSITE

Taxpayer ID Number: ***-**-2812

Date Prepared: February 8, 2019

Proceeds from Broker Transactions — 2018 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

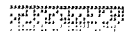
SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with Box A checked.

| 1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number X Symbol | ** | 1b-Date acquired | 1c-Date sold or disposed | 1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated) | 1e-Cost or other basis | 1f-Accrued Market Discount | 1g-Wash Sale Loss Disallowed | Realized Gain or (Loss) | 4-Federal income tax withheld |
|--|------|---------------------|--------------------------------|--|---------------------------|-------------------------------|---------------------------------|----------------------------|----------------------------------|
| 2,300 DIREXION DAILY JUNIOR GOLD MI 25460E851 / JNUG | S | 02/27/18 | 02/28/18 | \$ 30,223.94 | \$ 30,377.86 | -- \$ | \$ 494.54 | 340.62 \$ | 0.00 |
| Security Subtotal | | | | \$ 30,223.94 | \$ 30,377.86 | -- \$ | \$ 494.54 | 340.62 \$ | 0.00 |
| 2 PUT TD AMERITRADE HLDGS \$57 AMTD 03/09/2018 57.00 P | E SC | 03/06/18 | 03/07/18 | \$ 18.54 | \$ 51.41 | -- \$ | -- | (32.87) \$ | 0.00 |
| 18 PUT TD AMERITRADE HLDGS \$57 AMTD 03/09/2018 57.00 P | SC | 03/06/18 | 03/07/18 | \$ 184.82 | \$ 462.70 | -- \$ | -- | (277.88) \$ | 0.00 |
| 55 PUT TD AMERITRADE HLDGS \$57 AMTD 03/09/2018 57.00 P | SC | 03/06/18 | 03/07/18 | \$ 509.74 | \$ 1,413.79 | -- \$ | -- | (904.05) \$ | 0.00 |
| 50 PUT TD AMERITRADE HLDGS \$57 AMTD 03/09/2018 57.00 P | X | 03/06/18 | 03/09/18 | \$ 0.00 | \$ 1,285.26 | -- \$ | -- | (1,285.26) \$ | 0.00 |
| Security Subtotal | | | | \$ 713.10 | \$ 3,213.16 | -- \$ | -- | (2,500.06) \$ | 0.00 |
| 100 PUT TD AMERITRADE HLDGS \$58 AMTD 03/09/2018 58.00 P | X | 03/06/18 | 03/09/18 | \$ 0.00 | \$ 3,990.51 | -- \$ | -- | (3,990.51) \$ | 0.00 |
| Security Subtotal | | | | \$ 0.00 | \$ 3,990.51 | -- \$ | -- | (3,990.51) \$ | 0.00 |
| 5 PUT TD AMERITRADE HLDGS \$59.5 AMTD 03/29/2018 59.50 P | E SC | 03/21/18 | 03/22/18 | \$ 584.18 | \$ 204.32 | -- \$ | -- | 379.86 \$ | 0.00 |
| 5 PUT TD AMERITRADE HLDGS \$59.5 AMTD 03/29/2018 59.50 P | E SC | 03/21/18 | 03/22/18 | \$ 584.19 | \$ 204.32 | -- \$ | -- | 379.87 \$ | 0.00 |

FATCA Filing Requirement

Please see the "Notes for Your Form 1099-B" section for additional explanation of this Form 1099-B report.

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.





Schwab One® Account of
DANA JONES TTEE
JONES CHARITABLE TRUST
 U/A DTD 08/22/1973 FBO R JONES

Account Number
1111-9999

Statement Period
JUNE 1-30, 2018

Realized Gain or (Loss)

| Short Term | Quantity/Par | Acquired/ Opened | Sold/ Closed | Total Proceeds | Cost Basis | Realized Gain or (Loss) |
|--------------------------------------|--------------|---------------------|-----------------|------------------|-------------------------------|---|
| NATIONAL COMPUTERS: NCM | 50.0000 | 05/25/18 | 06/09/18 | 10,533.33 | 9,881.16 | 652.17 |
| Total Short Term | | | | 10,533.33 | 9,881.16 | 652.17 |
| Long Term | Quantity/Par | Acquired/ Opened | Sold/ Closed | Total Proceeds | Cost Basis <i>Adjusted</i> | Realized Gain or (Loss) <i>Adjusted</i> |
| NATIONAL COMPUTERS: NCM | 75.0000 | 09/03/91 | 06/09/18 | 15,800.00 | 12,600.00 | 3,200.00 |
| TREASURY NOTE 7.125% 10: XX4987BBB | 5,000.0000 | 05/15/09 | 06/10/18 | 5,030.00 | 5,148.00 | (118.00) |
| | | | | | 5,104.71 | (74.71) ^b |
| TREASURY NOTE 7.125% 10: XX4987BBB | 5,000.0000 | 05/27/09 | 06/10/18 | 5,031.25 | 5,148.00 | (116.75) |
| | | | | | 5,104.93 | (73.68) ^b |
| Total Long Term | | | | 25,861.25 | 22,896.00 | 2,965.25 |
| | | | | | 22,809.64 | 3,051.61^b |
| Total Realized Gain or (Loss) | | | | 36,394.58 | 32,777.16 | 3,617.42 |
| | | | | | 32,690.80 | 3,703.78^b |

If all data for a given investment is not available, the investment will not be listed here.

OFFICIAL RECORDS ATTACHMENT [B.19]

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.

All investments in this sample are hypothetical and are not intended to reflect the share price of any existing entity. Values and calculations may not be an accurate reflection of the transactions and balances. The names used are fictional and are not intended to reflect any existing individual or company. All examples, figures and disclosures used are for illustrative purposes only and are not intended to be reflective of results that a client should expect to achieve, nor should they be construed as recommendations to buy, sell or continue to hold any investment or investment type.



Schwab One® Account of
DANA JONES TTEE
JONES CHARITABLE TRUST
 U/A DTD 08/22/1973 FBO R JONES

Account Number
1111-9999

Statement Period
JUNE 1-30, 2018

Endnotes for Your Account

| Symbol | Endnote Legend |
|--------|--|
| Δ | Excluding unpriced securities (see Investment Detail). |
| (M) | Denotes a security that is marginable. Some mutual fund or ETF investments may not be immediately marginable. |
| ◇ | Dividends paid on this security will be automatically reinvested. |
| * | You authorize Schwab to debit your account to pay Investment Manager fees per the authorizations you granted in your Account Application. Schwab does not review or monitor these fee payments. Contact your Investment Manager if you have questions. |
| b | When available, Adjusted Cost Basis values are used in Gain or (Loss) calculations. |
| d | Accrued income is the sum of the total accrued interest and/or accrued dividends on positions held in your brokerage account, but the income and/or dividends have not been received into your account and Schwab makes no representation that they will. Accrued amounts are not covered by SIPC account protection until actually received and held in the account. |
| e | Data for this holding has been edited or provided by the account holder. |
| i | Value includes incomplete cost basis. If cost basis is not available for an investment, you may be able to provide updates. Please refer to the first page of this statement for instructions or contact information. |
| S | Short sale. Possible tax modifications of the holding period may be required for covered short positions. The market value of these securities will be expressed as a debit and be netted against any long positions in Total Account Value. |
| X | Bank Sweep deposits are held at FDIC-insured bank(s) ("Banks") that are affiliated with Charles Schwab & Co., Inc. |
| Z | For Bank Sweep and Bank Sweep for Benefit Plans features, interest is paid for a period that differs from the Statement Period. Balances include interest paid by Schwab or one or more of its affiliated banks, as indicated on your statement. These balances do not include interest that may have accrued during the Statement Period after interest is paid. The interest paid may include interest that accrued in the prior Statement Period. |

OFFICIAL RECORDS 92 ATTACHMENT [B.20]

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.

All investments in this sample are hypothetical and are not intended to reflect the share price of any existing entity. Values and calculations may not be an accurate reflection of the transactions and balances. The names used are fictional and are not intended to reflect any existing individual or company. All examples, figures and disclosures used are for illustrative purposes only and are not intended to be reflective of results that a client should expect to achieve, nor should they be construed as recommendations to buy, sell or continue to hold any investment or investment type.

Please refer to export_4_11_EXCEL.csv for the original dataset including all transactions. This portion here includes the the data excerpts presented in the main OFFICIAL RECORDS FLAWS document at #6.

Transaction Data Exported from Schwab Website on April 11, 2018

Realized Gain/Loss - Lot details for XXXX-5612 as of Wed Apr 11 13:30:24 EDT 2018 from 01/01/2018 to 04/11/2018

| Symbol | Name | Closed Date | Opened Date | Quantity | Proceeds Per Share | Cost Per Sh | Proceeds | Cost Basis | Gain/Loss (\$) | Gain/Loss | Long Term | Short Term Gain/L |
|-------------------------|---|-------------|-------------|----------|--------------------|-------------|-------------|-------------|----------------|-----------|-----------|-------------------|
| TVIX | VELOCITY SHS DAILY 2X SH ORT TERM ETN | 2/27/2018 | 2/27/2018 | 1000 | \$7.36 | \$7.02 | \$7,361.18 | \$7,024.95 | \$336.23 | 4.79% | | \$336.23 |
| TVIX | VELOCITY SHS DAILY 2X SH ORT TERM ETN | 2/27/2018 | 2/27/2018 | 1000 | \$7.36 | \$7.00 | \$7,361.18 | \$7,004.95 | \$356.23 | 5.09% | | \$356.23 |
| TVIX | VELOCITY SHS DAILY 2X SHORT TERM ETN | 2/27/2018 | 2/27/2018 | 1000 | \$7.36 | \$7.00 | \$7,361.18 | \$7,004.95 | \$356.23 | 5.09% | | \$356.23 |
| JNUG | DAILY JR GOLD MINERS IND EX BULL 3X SHS NEW FEB 2 017 | 2/28/2018 | 2/27/2018 | 200 | \$13.12 | \$12.95 | \$2,624.49 | \$2,590.99 | \$33.50 | 1.29% | | \$33.50 |
| JNUG | DAILY JR GOLD MINERS IND EX BULL 3X SHS NEW FEB 2 017 | 2/28/2018 | 2/27/2018 | 100 | \$13.12 | \$12.96 | \$1,312.24 | \$1,295.99 | \$16.25 | 1.25% | | \$16.25 |
| JNUG | DAILY JR GOLD MINERS INDEX BULL 3X SHS NEW FEB 2017 | 2/28/2018 | 2/27/2018 | 490 | \$13.14 | \$14.15 | \$6,439.01 | \$6,933.55 | \$0.00 | 0.00% | | \$0.00 |
| JNUG | DAILY JR GOLD MINERS IND EX BULL 3X SHS NEW FEB 2 017 | 2/28/2018 | 2/27/2018 | 810 | \$13.14 | \$12.95 | \$10,644.09 | \$10,489.46 | \$154.63 | 1.47% | | \$154.63 |
| JNUG | DAILY JR GOLD MINERS IND EX BULL 3X SHS NEW FEB 2 017 | 2/28/2018 | 2/27/2018 | 1000 | \$13.14 | \$12.95 | \$13,140.88 | \$12,954.85 | \$185.99 | 1.44% | | \$185.99 |
| UVXY 03/23/2018 16.00 C | CALL PROSHARES TRUST II \$16 EXP 03/23/18 | 3/22/2018 | 3/19/2018 | 20 | \$2.49 | \$0.50 | \$4,981.61 | \$994.30 | \$3,987.31 | 401.02% | | \$3,987.31 |
| UVXY 03/23/2018 16.00 C | CALL PROSHARES TRUST II \$16 EXP 03/23/18 | 3/22/2018 | 3/19/2018 | 60 | \$1.19 | \$0.50 | \$7,154.98 | \$2,982.91 | \$4,172.04 | 139.86% | | \$4,172.04 |
| GLD 03/23/2018 126.50 C | CALL SPDR GOLD TR \$126.5 EXP 03/23/18 | 3/22/2018 | 3/22/2018 | 1 | \$0.21 | \$0.28 | \$21.21 | \$27.81 | (\$6.60) | -31.12% | | (\$6.60) |
| GLD 03/23/2018 126.50 C | CALL SPDR GOLD TR \$126.5 EXP 03/23/18 | 3/22/2018 | 3/22/2018 | 33 | \$0.21 | \$0.28 | \$699.34 | \$917.64 | (\$218.30) | -31.22% | | (\$218.30) |
| GLD 03/23/2018 126.50 C | CALL SPDR GOLD TR \$126.5 EXP 03/23/18 | 3/22/2018 | 3/22/2018 | 1 | \$0.21 | \$0.28 | \$21.21 | \$27.80 | (\$6.59) | -31.07% | | (\$6.59) |
| AMTD 03/23/2018 60.50 P | PUT TD AMERITRADE HLDGS \$60.5 EXP 03/23/18 | 3/22/2018 | 3/21/2018 | 31 | \$1.09 | \$0.36 | \$3,385.45 | \$1,109.47 | \$2,275.98 | 205.14% | | \$2,275.98 |
| SLV 03/23/2018 16.00 C | CALL ISHR SILVER TR \$16 EXP 03/23/18 | 3/23/2018 | 3/7/2018 | 47 | \$0.00 | \$0.12 | \$0.00 | \$550.62 | (\$550.62) | -100.00% | | (\$550.62) |
| SLV 03/23/2018 16.00 C | CALL ISHR SILVER TR \$16 EXP 03/23/18 | 3/23/2018 | 3/7/2018 | 30 | \$0.00 | \$0.12 | \$0.00 | \$351.46 | (\$351.46) | -100.00% | | (\$351.46) |
| JNUG 03/23/2018 15.00 C | CALL DIREXION SHARES E T \$15 EXP 03/23/18 | 3/23/2018 | 3/23/2018 | 26 | \$0.00 | \$0.07 | \$0.00 | \$173.75 | (\$173.75) | -100.00% | | (\$173.75) |
| JNUG 03/23/2018 15.00 C | CALL DIREXION SHARES E T \$15 EXP 03/23/18 | 3/23/2018 | 3/23/2018 | 20 | \$0.00 | \$0.07 | \$0.00 | \$133.65 | (\$133.65) | -100.00% | | (\$133.65) |
| GLD 03/23/2018 127.00 C | CALL SPDR GOLD TR \$127 EXP 03/23/18 | 3/23/2018 | 3/22/2018 | 10 | \$0.76 | \$0.08 | \$762.32 | \$76.76 | \$685.56 | 893.12% | | \$685.56 |
| GLD 03/23/2018 127.00 C | CALL SPDR GOLD TR \$127 EXP 03/23/18 | 3/23/2018 | 3/22/2018 | 181 | \$0.76 | \$0.08 | \$13,798.15 | \$1,389.27 | \$12,408.88 | 893.19% | | \$12,408.88 |
| GLD 03/29/2018 127.00 C | CALL SPDR GOLD TR \$127 EXP 03/29/18 | 3/23/2018 | 3/23/2018 | 30 | \$0.30 | \$0.41 | \$905.06 | \$1,224.92 | (\$319.86) | -35.34% | | (\$319.86) |
| GLD 03/23/2018 127.00 C | CALL SPDR GOLD TR \$127 EXP 03/23/18 | 3/23/2018 | 3/22/2018 | 10 | \$0.76 | \$0.08 | \$762.32 | \$76.75 | \$685.57 | 893.25% | | \$685.57 |
| GLD 03/23/2018 127.00 C | CALL SPDR GOLD TR \$127 EXP 03/23/18 | 3/23/2018 | 3/22/2018 | 24 | \$0.76 | \$0.08 | \$1,829.99 | \$184.21 | \$1,645.38 | 893.21% | | \$1,645.38 |
| UVXY 03/23/2018 16.50 C | CALL PROSHARES TRUST II \$16.5 EXP 03/23/18 | 3/23/2018 | 3/23/2018 | 45 | \$0.29 | \$1.86 | \$1,315.07 | \$8,359.90 | (\$7,044.83) | -535.70% | | (\$7,044.83) |
| GLD 04/27/2018 135.00 C | CALL SPDR GOLD TR \$135 EXP 04/27/18 | 3/23/2018 | 3/22/2018 | 5 | \$0.29 | \$0.14 | \$146.51 | \$68.41 | \$78.10 | 114.16% | | \$78.10 |
| GLD 04/27/2018 135.00 C | CALL SPDR GOLD TR \$135 EXP 04/27/18 | 3/23/2018 | 3/22/2018 | 25 | \$0.30 | \$0.14 | \$757.44 | \$342.05 | \$415.43 | 121.45% | | \$415.43 |
| GLD 03/29/2018 128.00 C | CALL SPDR GOLD TR \$128 E XP 03/29/18 | 3/23/2018 | 3/23/2018 | 1 | \$0.18 | \$0.19 | \$18.40 | \$18.76 | \$0.00 | 0.00% | | \$0.00 |
| GLD 03/23/2018 127.50 C | CALL SPDR GOLD TR \$127.5 EXP 03/23/18 | 3/26/2018 | 3/26/2018 | 15 | \$0.45 | \$0.58 | \$675.04 | \$865.43 | \$0.00 | 0.00% | | \$0.00 |
| GLD 03/23/2018 127.50 C | CALL SPDR GOLD TR \$127.5 EXP 03/23/18 | 3/26/2018 | 3/26/2018 | 150 | \$0.44 | \$0.58 | \$6,645.04 | \$8,654.35 | \$0.00 | 0.00% | | \$0.00 |
| GLD 03/23/2018 127.50 C | CALL SPDR GOLD TR \$127.5 EXP 03/23/18 | 3/26/2018 | 3/26/2018 | 1 | \$0.39 | \$0.47 | \$39.40 | \$47.07 | \$0.00 | 0.00% | | \$0.00 |
| GLD 03/23/2018 127.50 C | CALL SPDR GOLD TR \$127.5 EXP 03/23/18 | 3/26/2018 | 3/26/2018 | 11 | \$0.44 | \$0.47 | \$487.49 | \$517.94 | (\$30.45) | -6.25% | | (\$30.45) |
| GLD 03/29/2018 128.00 C | CALL SPDR GOLD TR \$128 EXP 03/29/18 | 3/29/2018 | 3/27/2018 | 300 | \$0.00 | \$0.29 | \$0.00 | \$8,604.63 | (\$8,604.63) | -100.00% | | (\$8,604.63) |
| GLD 03/29/2018 129.00 C | CALL SPDR GOLD TR \$129 E XP 03/29/18 | 3/29/2018 | 3/27/2018 | 37 | \$0.00 | \$0.15 | \$0.00 | \$543.24 | (\$543.24) | -100.00% | | (\$543.24) |
| GLD 03/29/2018 129.00 C | CALL SPDR GOLD TR \$129 E XP 03/29/18 | 3/29/2018 | 3/27/2018 | 40 | \$0.00 | \$0.15 | \$0.00 | \$587.29 | (\$587.29) | -100.00% | | (\$587.29) |
| GLD 04/13/2018 129.50 C | CALL SPDR GOLD TR \$129.5 EXP 04/13/18 | 4/2/2018 | 3/28/2018 | 5 | \$0.37 | \$0.27 | \$186.25 | \$133.41 | \$52.88 | 39.64% | | \$52.88 |
| GLD 04/13/2018 129.50 C | CALL SPDR GOLD TR \$129.5 EXP 04/13/18 | 4/2/2018 | 3/28/2018 | 25 | \$0.37 | \$0.27 | \$931.43 | \$667.06 | \$264.37 | 39.63% | | \$264.37 |
| GLD 04/13/2018 129.50 C | CALL SPDR GOLD TR \$129.5 EXP 04/13/18 | 4/3/2018 | 3/28/2018 | 19 | \$0.18 | \$0.27 | \$347.65 | \$506.96 | (\$159.31) | -31.42% | | (\$159.31) |
| GLD 04/13/2018 129.50 C | CALL SPDR GOLD TR \$129.5 EXP 04/13/18 | 4/3/2018 | 3/28/2018 | 50 | \$0.18 | \$0.27 | \$914.85 | \$1,334.11 | (\$419.26) | -31.43% | | (\$419.26) |
| GLD 04/13/2018 129.50 C | CALL SPDR GOLD TR \$129.5 EXP 04/13/18 | 4/3/2018 | 3/28/2018 | 36 | \$0.18 | \$0.27 | \$658.69 | \$960.56 | (\$301.87) | -31.43% | | (\$301.87) |
| GLD 04/13/2018 129.50 C | CALL SPDR GOLD TR \$129.5 EXP 04/13/18 | 4/3/2018 | 3/28/2018 | 12 | \$0.18 | \$0.27 | \$219.57 | \$320.19 | (\$100.62) | -31.43% | | (\$100.62) |
| GLD 04/27/2018 131.50 C | CALL SPDR GOLD TR \$131.5 EXP 04/27/18 | 4/3/2018 | 4/3/2018 | 48 | \$0.77 | \$0.37 | \$3,708.87 | \$1,764.91 | \$1,943.96 | 52.41% | | \$1,943.96 |
| GLD 04/27/2018 130.00 C | CALL SPDR GOLD TR \$130 EXP 04/27/18 | 4/3/2018 | 3/22/2018 | 75 | \$0.36 | \$0.53 | \$2,720.08 | \$3,954.89 | (\$1,234.84) | -31.22% | | (\$1,234.84) |
| GLD 04/13/2018 129.50 C | CALL SPDR GOLD TR \$129.5 EXP 04/13/18 | 4/3/2018 | 3/28/2018 | 18 | \$0.18 | \$0.27 | \$329.55 | \$480.27 | (\$150.92) | -31.42% | | (\$150.92) |
| GLD 04/27/2018 131.50 C | CALL SPDR GOLD TR \$131.5 EXP 04/27/18 | 4/4/2018 | 4/4/2018 | 11 | \$0.77 | \$0.29 | \$849.95 | \$317.34 | \$532.61 | 62.66% | | \$532.61 |
| GLD 04/27/2018 131.50 C | CALL SPDR GOLD TR \$131.5 EXP 04/27/18 | 4/4/2018 | 4/4/2018 | 1 | \$0.77 | \$0.29 | \$77.27 | \$28.83 | \$48.44 | 62.69% | | \$48.44 |
| GLD 04/27/2018 131.50 C | CALL SPDR GOLD TR \$131.5 EXP 04/27/18 | 4/4/2018 | 4/4/2018 | 10 | \$0.77 | \$0.29 | \$772.68 | \$288.49 | \$484.19 | 62.66% | | \$484.19 |
| GLD 04/27/2018 131.50 C | CALL SPDR GOLD TR \$131.5 EXP 04/27/18 | 4/4/2018 | 4/4/2018 | 5 | \$0.77 | \$0.29 | \$386.34 | \$144.25 | \$242.09 | 62.66% | | \$242.09 |
| UVXY 04/06/2018 23.50 C | CALL PROSHARES TRUST II \$23.5 EXP 04/06/18 | 4/6/2018 | 4/3/2018 | 1 | \$0.00 | \$0.43 | \$0.00 | \$42.77 | (\$42.77) | -100.00% | | (\$42.77) |
| JNUG 04/06/2018 15.00 C | CALL DIREXION SHARES E T \$15 EXP 04/06/18 | 4/6/2018 | 4/2/2018 | 70 | \$0.00 | \$0.21 | \$0.00 | \$1,451.55 | (\$1,451.55) | -100.00% | | (\$1,451.55) |
| JNUG 04/06/2018 15.00 C | CALL DIREXION SHARES E T \$15 EXP 04/06/18 | 4/6/2018 | 4/2/2018 | 50 | \$0.00 | \$0.22 | \$0.00 | \$1,088.24 | (\$1,088.24) | -100.00% | | (\$1,088.24) |

Please refer to export_4_11_EXCEL.csv for the original dataset including all transactions. This portion here includes the the data excerpts presented in the main OFFICIAL RECORDS FLAWS document at #6.

Please refer to export_4_11_EXCEL.csv for the original dataset including all transactions. This portion here includes the the data excerpts presented in the main OFFICIAL RECORDS FLAWS document at #6.

Transaction Data Exported from Schwab Website on April 11, 2018

| Term | Unadjusted Cost Basis | Wash Sale? | Disallowed Loss | Transaction Closed Date | Transaction Cost Basis | Total Transaction Gain | Total Trans | LT Transaction Gain/Loss (\$) | LT Transaction Gain/Loss (%) | ST Transaction Gain/Loss (\$) | ST Transact |
|-------|-----------------------|------------|-----------------|-------------------------|------------------------|------------------------|-------------|-------------------------------|------------------------------|-------------------------------|-------------|
| Short | \$7,024.95 | No | | | \$21,034.85 | \$1,048.69 | 4.99% | | | | 4.99% |
| Short | \$7,004.95 | No | | | \$21,034.85 | \$1,048.69 | 4.99% | | | | 4.99% |
| Short | \$7,004.95 | No | | | \$21,034.85 | \$1,048.69 | 4.99% | | | | 4.99% |
| Short | \$2,590.99 | No | | | \$28,376.16 | \$361.98 | 1.28% | | | | 1.28% |
| Short | \$1,295.99 | No | | | \$28,376.16 | \$361.98 | 1.28% | | | | 1.28% |
| Short | \$6,933.55 | Yes | \$494.54 | | \$30,377.86 | (\$153.92) | -0.51% | | | | -0.51% |
| Short | \$10,489.46 | No | | | \$30,377.86 | (\$153.92) | -0.51% | | | | -0.51% |
| Short | \$12,954.85 | No | | | \$30,377.86 | (\$153.92) | -0.51% | | | | -0.51% |
| Short | \$994.30 | No | | | | | | | | | |
| Short | \$2,982.91 | No | | | | | | | | | |
| Short | \$27.81 | No | | 3/21/2018 | \$973.25 | (\$231.49) | -31.21% | | | | -31.21% |
| Short | \$917.64 | No | | 3/21/2018 | \$973.25 | (\$231.49) | -31.21% | | | | -31.21% |
| Short | \$27.80 | No | | 3/21/2018 | \$973.25 | (\$231.49) | -31.21% | | | | -31.21% |
| Short | \$1,109.47 | No | | | | | | | | | |
| Short | \$550.62 | No | | | \$1,543.02 | (\$1,543.02) | -100.00% | | | | -100.00% |
| Short | \$351.46 | No | | | \$1,543.02 | (\$1,543.02) | -100.00% | | | | -100.00% |
| Short | \$173.75 | No | | | \$4,909.31 | (\$4,909.31) | -100.00% | | | | -100.00% |
| Short | \$133.65 | No | | | \$4,909.31 | (\$4,909.31) | -100.00% | | | | -100.00% |
| Short | \$76.76 | No | | | | | | | | | |
| Short | \$1,389.27 | No | | | | | | | | | |
| Short | \$1,224.92 | No | | 3/22/2018 | | | | | | | |
| Short | \$76.75 | No | | | | | | | | | |
| Short | \$184.21 | No | | | | | | | | | |
| Short | \$8,359.90 | No | | 3/22/2018 | | | | | | | |
| Short | \$68.41 | No | | | | | | | | | |
| Short | \$342.05 | No | | | | | | | | | |
| Short | \$18.76 | Yes | \$0.36 | 3/22/2018 | \$938.24 | \$169.56 | 15.31% | | | | 15.31% |
| Short | \$865.43 | Yes | \$190.39 | 3/23/2018 | \$9,519.78 | (\$2,199.70) | -30.05% | | | | -30.05% |
| Short | \$8,654.35 | Yes | \$2,009.31 | 3/23/2018 | \$9,519.78 | (\$2,199.70) | -30.05% | | | | -30.05% |
| Short | \$47.07 | Yes | \$7.67 | 3/23/2018 | \$33.67 | \$5.73 | 14.54% | | | | 14.54% |
| Short | \$517.94 | No | | 3/23/2018 | \$370.59 | \$116.90 | 23.98% | | | | 23.98% |
| Short | \$8,604.63 | No | | | | | | | | | |
| Short | \$543.24 | No | | | \$6,599.37 | (\$6,599.37) | -100.00% | | | | -100.00% |
| Short | \$587.29 | No | | | \$6,599.37 | (\$6,599.37) | -100.00% | | | | -100.00% |
| Short | \$133.41 | No | | | \$1,734.35 | \$687.37 | 39.63% | | | | 39.63% |
| Short | \$667.06 | No | | | \$1,734.35 | \$687.37 | 39.63% | | | | 39.63% |
| Short | \$506.96 | No | | | \$2,641.53 | (\$830.11) | -31.43% | | | | -31.43% |
| Short | \$1,334.11 | No | | | \$2,641.53 | (\$830.11) | -31.43% | | | | -31.43% |
| Short | \$960.56 | No | | | | | | | | | |
| Short | \$320.19 | No | | | \$2,641.53 | (\$830.11) | -31.43% | | | | -31.43% |
| Short | \$1,764.91 | No | | 4/2/2018 | | | | | | | |
| Short | \$3,954.89 | No | | | | | | | | | |
| Short | \$480.27 | No | | | \$2,641.53 | (\$830.11) | -31.43% | | | | -31.43% |
| Short | \$317.34 | No | | 4/3/2018 | | | | | | | |
| Short | \$28.83 | No | | 4/3/2018 | | | | | | | |
| Short | \$288.49 | No | | 4/3/2018 | | | | | | | |
| Short | \$144.25 | No | | 4/3/2018 | | | | | | | |
| Short | \$42.77 | No | | | \$2,022.01 | (\$2,022.01) | -100.00% | | | | -100.00% |
| Short | \$1,451.55 | No | | | \$4,126.16 | (\$4,126.16) | -100.00% | | | | -100.00% |
| Short | \$1,088.24 | No | | | \$4,126.16 | (\$4,126.16) | -100.00% | | | | -100.00% |

Please refer to export_4_11_EXCEL.csv for the original dataset including all transactions. This portion here includes the the data excerpts presented in the main OFFICIAL RECORDS FLAWS document at #6.



Transaction Detail - Purchases & Sales (continued)

Options Activity (continued)

| Settle Date | Trade Date | Transaction | Description | Quantity | Unit Price | Total Amount |
|-------------|------------|-------------|--|------------|------------|--------------|
| 03/26/18 | 03/23/18 | Cover Short | CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 1.0000 | 0.3100 | (31.68) |
| 03/26/18 | 03/23/18 | Cover Short | CALL SPDR GOLD TR \$127.5 EXP 03/23/18: GLD 03/23/2018 127.50 C | 100.0000 | 0.3000 | (3,071.51) |
| 03/26/18 | 03/23/18 | Bought | CALL SPDR GOLD TR \$128 EXP 03/23/18: GLD 03/23/2018 128.00 C | 150.0000 | 0.1400 | (2,204.80) |
| 03/26/18 | 03/23/18 | Sold | CALL SPDR GOLD TR \$128 EXP 03/23/18: GLD 03/23/2018 128.00 C | (150.0000) | 0.0500 | 645.18 |
| 03/26/18 | 03/23/18 | Sold | CALL SPDR GOLD TR \$126 EXP 03/29/18: GLD 03/29/2018 126.00 C | (52.0000) | 2.0000 | 10,361.94 |
| 03/26/18 | 03/23/18 | Sold | CALL SPDR GOLD TR \$126 EXP 03/29/18: GLD 03/29/2018 126.00 C | (28.0000) | 2.0000 | 5,579.49 |
| 03/26/18 | 03/23/18 | Short Sale | CALL SPDR GOLD TR \$128 EXP 03/29/18: GLD 03/29/2018 128.00 C | (100.0000) | 0.7300 | 7,228.32 |
| 03/26/18 | 03/23/18 | Short Sale | CALL SPDR GOLD TR \$131.5 EXP 04/27/18: GLD 04/27/2018 131.50 C | (75.0000) | 0.7800 | 5,795.11 |
| 03/26/18 | 03/23/18 | Sold | CALL SPDR GOLD TR \$135 EXP 04/27/18: GLD 04/27/2018 135.00 C | (5.0000) | 0.3000 | 146.51 |
| 03/26/18 | 03/23/18 | Sold | CALL SPDR GOLD TR \$135 EXP 04/27/18: GLD 04/27/2018 135.00 C | (86.0000) | 0.3000 | 2,519.85 |
| 03/26/18 | 03/23/18 | Sold | CALL SPDR GOLD TR \$135 EXP 04/27/18: GLD 04/27/2018 135.00 C | (5.0000) | 0.3000 | 146.51 |
| 03/26/18 | 03/23/18 | Sold | CALL SPDR GOLD TR \$135 EXP 04/27/18: GLD 04/27/2018 135.00 C | (5.0000) | 0.3000 | 146.51 |
| 03/26/18 | 03/23/18 | Sold | CALL SPDR GOLD TR \$135 EXP 04/27/18: GLD 04/27/2018 135.00 C | (4.0000) | 0.3000 | 117.20 |

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



Schwab One® Account of



Account Number
2043-5612

Statement Period
April 1-30, 2018

Transaction Detail - Purchases & Sales (continued)

Options Activity (continued)

| Settle Date | Trade Date | Transaction | Description | Quantity | Unit Price | Total Amount |
|-------------|------------|-------------|--|------------|------------|--------------|
| 04/03/18 | 04/02/18 | Sold | CALL SPDR GOLD TR \$128.5 EXP 04/06/18: GLD 04/06/2018 128.50 C | (99.0000) | 0.2900 | 2,800.12 |
| 04/03/18 | 04/02/18 | Sold | CALL SPDR GOLD TR \$128.5 EXP 04/06/18: GLD 04/06/2018 128.50 C | (1.0000) | 0.2900 | 28.30 |
| 04/03/18 | 04/02/18 | Short Sale | CALL SPDR GOLD TR \$129 EXP 04/06/18: GLD 04/06/2018 129.00 C | (50.0000) | 0.1700 | 811.74 |
| 04/03/18 | 04/02/18 | Sold | CALL SPDR GOLD TR \$129.5 EXP 04/13/18: GLD 04/13/2018 129.50 C | (65.0000) | 0.3800 | 2,421.72 |
| 04/03/18 | 04/02/18 | Short Sale | CALL SPDR GOLD TR \$130.5 EXP 04/13/18: GLD 04/13/2018 130.50 C | (50.0000) | 0.2100 | 1,011.74 |
| 04/03/18 | 04/02/18 | Sold | CALL SPDR GOLD TR \$131 EXP 04/13/18: GLD 04/13/2018 131.00 C | (100.0000) | 0.2000 | 1,928.44 |
| 04/03/18 | 04/02/18 | Short Sale | CALL SPDR GOLD TR \$135 EXP 04/20/18: GLD 04/20/2018 135.00 C | (200.0000) | 0.0800 | 1,461.89 |
| 04/03/18 | 04/02/18 | Cover Short | CALL SPDR GOLD TR \$131.5 EXP 04/27/18: GLD 04/27/2018 131.50 C | 48.0000 | 0.3600 | (1,764.91) |
| 04/03/18 | 04/02/18 | Bought | CALL DIREXION SHARES E T \$14.5 EXP 04/06/18: JNUG 04/06/2018 14.50 C | 1.0000 | 0.3500 | (35.72) |
| 04/03/18 | 04/02/18 | Bought | CALL DIREXION SHARES E T \$14.5 EXP 04/06/18: JNUG 04/06/2018 14.50 C | 7.0000 | 0.3500 | (250.16) |
| 04/03/18 | 04/02/18 | Bought | CALL DIREXION SHARES E T \$14.5 EXP 04/06/18: JNUG 04/06/2018 14.50 C | 20.0000 | 0.3500 | (714.73) |
| 04/03/18 | 04/02/18 | Bought | CALL DIREXION SHARES E T \$14.5 EXP 04/06/18: JNUG 04/06/2018 14.50 C | 1.0000 | 0.3500 | (35.72) |
| 04/03/18 | 04/02/18 | Bought | CALL DIREXION SHARES E T \$14.5 EXP 04/06/18: JNUG 04/06/2018 14.50 C | 7.0000 | 0.3900 | (278.16) |

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Schwab One® Account of



Account Number
2043-5612

Statement Period
April 1-30, 2018

Transaction Detail - Purchases & Sales (continued)

Options Activity (continued)



| Settle Date | Trade Date | Transaction | Description | Quantity | Unit Price | Total Amount |
|-------------|------------|-------------|---|----------|------------|--------------|
| 04/04/18 | 04/03/18 | Cover Short | CALL SPDR GOLD TR \$131.5 EXP 04/27/18: GLD 04/27/2018 131.50 C | 10.0000 | 0.2800 | (288.49) |
| 04/04/18 | 04/03/18 | Cover Short | CALL SPDR GOLD TR \$131.5 EXP 04/27/18: GLD 04/27/2018 131.50 C | 5.0000 | 0.2800 | (144.25) |
| 04/04/18 | 04/03/18 | Cover Short | CALL SPDR GOLD TR \$131.5 EXP 04/27/18: GLD 04/27/2018 131.50 C | 11.0000 | 0.2800 | (317.34) |
| 04/04/18 | 04/03/18 | Cover Short | CALL SPDR GOLD TR \$131.5 EXP 04/27/18: GLD 04/27/2018 131.50 C | 1.0000 | 0.2800 | (28.83) |
| 04/04/18 | 04/03/18 | Bought | CALL PROSHARES TRUST II \$23.5 EXP 04/06/18: UVXY 04/06/2018 23.50 C | 1.0000 | 0.4200 | (42.77) |
| 04/04/18 | 04/03/18 | Bought | CALL PROSHARES TRUST II \$23.5 EXP 04/06/18: UVXY 04/06/2018 23.50 C | 1.0000 | 0.4200 | (42.77) |
| 04/04/18 | 04/03/18 | Bought | CALL PROSHARES TRUST II \$23.5 EXP 04/06/18: UVXY 04/06/2018 23.50 C | 1.0000 | 0.4200 | (42.77) |
| 04/04/18 | 04/03/18 | Bought | CALL PROSHARES TRUST II \$23.5 EXP 04/06/18: UVXY 04/06/2018 23.50 C | 1.0000 | 0.4200 | (42.77) |
| 04/04/18 | 04/03/18 | Bought | CALL PROSHARES TRUST II \$23.5 EXP 04/06/18: UVXY 04/06/2018 23.50 C | 2.0000 | 0.4200 | (85.58) |
| 04/04/18 | 04/03/18 | Bought | CALL PROSHARES TRUST II \$23.5 EXP 04/06/18: UVXY 04/06/2018 23.50 C | 1.0000 | 0.4200 | (42.77) |
| 04/04/18 | 04/03/18 | Bought | CALL PROSHARES TRUST II \$23.5 EXP 04/06/18: UVXY 04/06/2018 23.50 C | 1.0000 | 0.4200 | (42.77) |
| 04/04/18 | 04/03/18 | Bought | CALL PROSHARES TRUST II \$23.5 EXP 04/06/18: UVXY 04/06/2018 23.50 C | 1.0000 | 0.4200 | (42.77) |

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Schwab One® Account of



Account Number
2043-5612

Statement Period
April 1-30, 2018

Realized Gain or (Loss)

| Short Term | | | Quantity/Par | Acquired/ Opened | Sold/ Closed | Total Proceeds | Cost Basis | Realized Gain or (Loss) |
|--------------------------------|---------|-----|----------------------|---------------------|-----------------|----------------|------------|----------------------------|
| CALL SPDR GOLD TR | \$128.5 | EXP | 1.0000 | 03/28/18 | 04/02/18 | 28.30 | 18.70 | 9.60 |
| 04/06/18: GLD 04/06/2018 | 128.50 | C | | | | | | |
| CALL SPDR GOLD TR | \$128.5 | EXP | 99.0000 | 03/28/18 | 04/02/18 | 2,800.12 | 1,850.88 | 949.24 |
| 04/06/18: GLD 04/06/2018 | 128.50 | C | | | | | | |
| CALL SPDR GOLD TR | \$129.5 | EXP | 65.0000 | 03/28/18 | 04/02/18 | 2,421.72 | 1,734.35 | 687.37 |
| 04/13/18: GLD 04/13/2018 | 129.50 | C | | | | | | |
| CALL SPDR GOLD TR | \$131 | EXP | 100.0000 | 03/27/18 | 04/02/18 | 1,928.44 | 3,771.51 | (1,843.07) |
| 04/13/18: GLD 04/13/2018 | 131.00 | C | | | | | | |
| CALL SPDR GOLD TR | \$129.5 | EXP | 36.0000 | 03/28/18 | 04/03/18 | 658.69 | 960.56 | (301.87) |
| 04/13/18: GLD 04/13/2018 | 129.50 | C | | | | | | |
| CALL SPDR GOLD TR | \$129.5 | EXP | 99.0000 | 03/28/18 | 04/03/18 | 1,811.42 | 2,641.53 | (830.11) |
| 04/13/18: GLD 04/13/2018 | 129.50 | C | | | | | | |
| CALL SPDR GOLD TR | \$130 | EXP | 75.0000 | 03/22/18 | 04/03/18 | 2,720.05 | 3,954.89 | (1,234.84) |
| 04/27/18: GLD 04/27/2018 | 130.00 | C | | | | | | |
| CALL SPDR GOLD TR | \$131.5 | EXP | 48.0000 ^S | 04/03/18 | 04/03/18 | 3,708.87 | 1,764.91 | 1,943.96 |
| 04/27/18: GLD 04/27/2018 | 131.50 | C | | | | | | |
| CALL SPDR GOLD TR | \$131.5 | EXP | 1.0000 ^S | 04/04/18 | 04/04/18 | 77.27 | 28.83 | 48.44 |
| 04/27/18: GLD 04/27/2018 | 131.50 | C | | | | | | |
| CALL SPDR GOLD TR | \$131.5 | EXP | 5.0000 ^S | 04/04/18 | 04/04/18 | 386.34 | 144.25 | 242.09 |
| 04/27/18: GLD 04/27/2018 | 131.50 | C | | | | | | |
| CALL SPDR GOLD TR | \$131.5 | EXP | 10.0000 ^S | 04/04/18 | 04/04/18 | 772.68 | 288.49 | 484.19 |
| 04/27/18: GLD 04/27/2018 | 131.50 | C | | | | | | |
| CALL SPDR GOLD TR | \$131.5 | EXP | 11.0000 ^S | 04/04/18 | 04/04/18 | 849.95 | 317.34 | 532.61 |
| 04/27/18: GLD 04/27/2018 | 131.50 | C | | | | | | |
| CALL DIREXION SHARES E T\$14.5 | | EXP | 70.0000 | 04/02/18 | 04/06/18 | 0.00 | 2,733.46 | (2,733.46) |
| 04/06/18: JNUG 04/06/2018 | 14.50 | C | | | | | | |
| CALL DIREXION SHARES E T\$15 | | EXP | 170.0000 | multiple | 04/06/18 | 0.00 | 4,126.16 | (4,126.16) |
| 04/06/18: JNUG 04/06/2018 | 15.00 | C | | | | | | |
| CALL DIREXION SHARES E T\$16 | | EXP | 500.0000 | 03/27/18 | 04/06/18 | 0.00 | 8,337.75 | (8,337.75) |
| 04/06/18: JNUG 04/06/2018 | 16.00 | C | | | | | | |

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



Schwab One® Account of

Account Number
2043-5612

TAX YEAR 2018
FORM 1099 COMPOSITE

Taxpayer ID Number: ***-**-2812

Date Prepared: February 8, 2019

Proceeds from Broker Transactions — 2018 (continued)

Form 1099-B

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

SHORT-TERM TRANSACTIONS FOR WHICH BASIS IS REPORTED TO THE IRS - Report on Form 8949, Part I, with Box A checked.

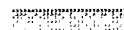
| 1a-Description of property (Example 100 sh. XYZ Co.) CUSIP Number / Symbol | 1b-Date acquired | 1c-Date sold or disposed | 1d-Proceeds 6-Reported to IRS: Gross Proceeds (except where indicated) | 1e-Cost or other basis | 1f-Accrued Market Discount | 1g-Wash Sale Loss Disallowed | Realized Gain or (Loss) | 4-Federal Income tax withheld |
|--|---------------------|--------------------------------|--|---------------------------|-------------------------------|---------------------------------|----------------------------|----------------------------------|
| 75s CALL SPDR GOLD TR GLD 04/27/2018 131.50 C | \$131.5 | EX BC | VARIOUS \$ 5,795.11 | \$ 2,543.82 | | | \$ 3,251.29 | \$ 0.00 |
| Security Subtotal | | | \$ 5,795.11 | \$ 2,543.82 | | | \$ 3,251.29 | \$ 0.00 |
| 100 CALL SPDR GOLD TR GLD 04/20/2018 134.00 C | \$134 | EX SC | 03/27/18 \$ 2,328.43 | 1,967.66 | | | \$ 360.77 | \$ 0.00 |
| 150 CALL SPDR GOLD TR GLD 04/20/2018 134.00 C | \$134 | EX SC | 03/27/18 \$ 945.18 | 2,951.49 | | | (2,006.31) | \$ 0.00 |
| 200 CALL SPDR GOLD TR GLD 04/20/2018 134.00 C | \$134 | EX SC | 03/27/18 \$ 1,261.90 | 3,935.33 | | | (2,673.43) | \$ 0.00 |
| Security Subtotal | | | \$ 4,535.51 | \$ 8,854.48 | | | (4,318.97) | \$ 0.00 |
| 200s CALL SPDR GOLD TR GLD 04/20/2018 135.00 C | \$135 | EX BC | 04/13/18 \$ 1,461.89 | 1,338.07 | | | \$ 123.82 | \$ 0.00 |
| Security Subtotal | | | \$ 1,461.89 | \$ 1,338.07 | | | \$ 123.82 | \$ 0.00 |
| 4 CALL SPDR GOLD TR GLD 04/27/2018 135.00 C | \$135 | EXP 0 SC | 03/22/18 \$ 117.20 | 54.73 | | | \$ 62.47 | \$ 0.00 |
| 5 CALL SPDR GOLD TR GLD 04/27/2018 135.00 C | \$135 | EXP 0 SC | 03/22/18 \$ 146.51 | 68.41 | | | \$ 78.10 | \$ 0.00 |
| 5 CALL SPDR GOLD TR GLD 04/27/2018 135.00 C | \$135 | EXP 0 SC | 03/22/18 \$ 146.51 | 68.41 | | | \$ 78.10 | \$ 0.00 |

FATCA Filing Requirement

Please see the "Notes for Your Form 1099-B" section for additional explanation of this Form 1099-B report.

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

OFFICIAL RECORDS - ATTACHMENT [B.27]



TD AMERITRADE CLEARING INC

Account 788801360

Proceeds from Broker and Barter Exchange Transactions

2016 1099-B* OMB No. 1545-0715

(continued)

02/06/2017

SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 3)

"Gain or loss (-)" is NOT reported to the IRS.

1a- Description of property/CUSIP/Symbol

| 1c- Date sold or disposed | Quantity | 1d- Proceeds & 6- Reported (G)ross or (N)et | 1b- Date acquired | 1e- Cost or other basis | 1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W) | Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z) | Additional information |
|---|------------|---|-------------------|-------------------------|--|---|-------------------------|
| DIREXION SHS JR GOLD MINERS IDX BULL 3X FD / CUSIP: 25490K554 / Symbol: JNUG (cont'd) | | | | | | | |
| 03/31/16 | 6.000 | 432.44 | 03/24/16 | 396.79 | ... | 35.65 | Sale |
| 04/06/16 | 377.000 | 28,783.14 | Various | 27,388.90 | ... | 1,394.24 | Total of 3 transactions |
| 04/06/16 | 15.000 | 1,141.95 | 04/06/16 | 1,152.50 | 10.55 W | 0.00 | Sale |
| 04/07/16 | 105.000 | 8,683.42 | Various | 8,067.50 | ... | 615.92 | Total of 2 transactions |
| 04/08/16 | 38.000 | 3,180.16 | Various | 2,919.66 | ... | 260.50 | Total of 2 transactions |
| 04/13/16 | 250.000 | 28,200.64 | Various | 19,814.22 | ... | 8,386.42 | Sale |
| 04/14/16 | 250.000 | 27,023.82 | Various | 27,659.19 | 1,239.26 W | 603.89 | Sale |
| 04/15/16 | 7.000 | 770.14 | 04/13/16 | 796.46 | 26.32 W | 0.00 | Sale |
| 04/18/16 | 200.000 | 21,905.55 | Various | 22,540.73 | 689.22 W | 54.04 | Sale |
| 04/19/16 | 8.000 | 1,083.18 | 04/14/16 | 912.10 | ... | 171.08 | Sale |
| 04/20/16 | 252.000 | 32,517.08 | Various | 28,690.82 | ... | 3,826.26 | Total of 2 transactions |
| 04/21/16 | 4.000 | 515.59 | 04/20/16 | 498.60 | ... | 16.99 | Sale |
| 04/21/16 | 250.000 | 32,164.30 | Various | 30,880.13 | 27.12 W | 1,311.29 | Sale |
| 04/22/16 | 16.000 | 2,066.50 | Various | 1,994.40 | ... | 72.10 | Total of 2 transactions |
| 04/22/16 | 690.000 | 84,248.80 | Various | 90,495.75 | 6,264.03 W | 17.08 | Total of 7 transactions |
| 04/26/16 | 27.000 | 3,350.82 | Various | 3,573.35 | 222.53 W | 0.00 | Total of 2 transactions |
| 04/27/16 | 983.000 | 127,738.14 | Various | 135,403.69 | 8,102.06 W | 436.51 | Total of 6 transactions |
| 04/28/16 | 97.000 | 14,682.68 | Various | 14,400.90 | ... | 281.78 | Total of 2 transactions |
| 04/28/16 | 188.000 | 28,314.09 | Various | 27,222.83 | 220.61 W | 1,311.87 | Total of 4 transactions |
| 04/29/16 | 100.000 | 17,389.63 | Various | 16,012.78 | ... | 1,376.85 | Sale |
| 04/29/16 | 40.000 | 6,735.46 | 04/28/16 | 6,535.89 | 67.58 W | 267.15 | Sale |
| 05/02/16 | 70.000 | 12,675.83 | 04/29/16 | 11,331.78 | ... | 1,344.05 | Sale |
| 05/02/16 | 70.000 | 11,853.92 | Various | 13,079.72 | 1,302.59 W | 76.79 | Total of 2 transactions |
| 05/03/16 | 150.000 | 24,231.69 | Various | 27,376.10 | 3,144.41 W | 0.00 | Sale |
| 05/04/16 | 161.000 | 21,586.07 | 05/04/16 | 26,267.18 | 4,681.11 W | 0.00 | Sale |
| 05/05/16 | 300.000 | 40,988.96 | Various | 48,767.32 | 7,778.36 W | 0.00 | Total of 2 transactions |
| 05/06/16 | 2.000 | 317.56 | 05/05/16 | 299.63 | ... | 17.93 | Sale |
| 05/06/16 | 206.000 | 32,977.42 | Various | 33,723.61 | 1,114.87 W | 368.68 | Total of 8 transactions |
| 05/10/16 | 325.000 | 43,500.14 | Various | 50,478.09 | 7,402.93 W | 424.98 | Total of 4 transactions |
| 05/11/16 | 156.000 | 23,363.64 | Various | 27,850.62 | 2,643.27 W | -1,843.71 | Total of 2 transactions |
| 06/09/16 | 40.000 | 7,053.28 | 06/08/16 | 7,480.57 | ... | -427.29 | Sale |
| 09/08/16 | 10,700.000 | 248,107.32 | Various | 247,931.08 | ... | 176.24 | Total of 7 transactions |
| 09/09/16 | 877.000 | 19,279.62 | Various | 18,874.54 | ... | 405.08 | Total of 2 transactions |
| 09/09/16 | 17,623.000 | 346,304.40 | Various | 388,846.59 | 42,915.20 W | 373.01 | Total of 7 transactions |
| 09/12/16 | 20,425.000 | 387,422.31 | Various | 440,411.35 | 53,556.60 W | 567.56 | Total of 8 transactions |

* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Remember, taxpayers are ultimately responsible for the accuracy of their tax return(s).

| | | | |
|---------------------|---|------------|-----------|
| 08/16/2016 00:00:01 | TRANSFER TO FUTURES ACCOUNT | -4,282.98 | 0.03 |
| 08/16/2016 15:50:29 | MISCELLANEOUS JOURNAL ENTRY | 0.01 | 0.04 |
| 08/16/2016 20:52:24 | TRANSFER FROM FUTURES ACCOUNT | 1,760.72 | 1,760.76 |
| 08/22/2016 00:00:01 | REMOVAL OF OPTION DUE TO EXPIRATION (ARTX Aug 19 2016 5.0 Call) | 0.00 | 1,760.76 |
| 08/30/2016 09:07:11 | INTRA-ACCOUNT TRANSFER | -0.04 | 1,760.72 |
| 08/30/2016 09:07:11 | INTRA-ACCOUNT TRANSFER | 0.04 | 1,760.76 |
| 08/31/2016 07:14:33 | CLIENT REQUESTED ELECTRONIC FUNDING DISBURSEMENT (FUNDS NOW) | -1,700.00 | 60.76 |
| 08/31/2016 22:53:59 | FREE BALANCE INTEREST ADJUSTMENT | 0.01 | 60.77 |
| 09/07/2016 19:13:29 | CLIENT REQUESTED ELECTRONIC FUNDING RECEIPT (FUNDS NOW) | 80,000.00 | 80,060.77 |
| 09/08/2016 13:44:57 | Bought 1850 JDST @ 20.41 | -37,768.49 | 42,292.28 |
| 09/08/2016 13:44:57 | Bought 650 JDST @ 20.4 | -13,260.00 | 29,032.28 |
| 09/08/2016 13:48:50 | Bought 1000 JDST @ 20.35 | -20,359.99 | 8,672.29 |
| 09/08/2016 16:39:02 | Sold 3500 JDST @ 21.431 | 74,996.87 | 83,669.16 |
| 09/08/2016 16:39:58 | Bought 3300 JNUG @ 23.5357 | -77,677.80 | 5,991.36 |
| 09/08/2016 16:45:42 | Sold 400 JNUG @ 23.59 | 9,425.80 | 15,417.16 |
| 09/08/2016 16:45:42 | Sold 1800 JNUG @ 23.56 | 42,407.08 | 57,824.24 |
| 09/08/2016 16:45:42 | Sold 1100 JNUG @ 23.54 | 25,893.44 | 83,717.68 |
| 09/08/2016 16:46:52 | Bought 3500 JDST @ 21.5892 | -75,572.19 | 8,145.49 |
| 09/08/2016 17:01:04 | Sold 3500 JDST @ 21.63 | 75,693.36 | 83,838.85 |
| 09/08/2016 17:04:08 | Bought 3700 JDST @ 21.6899 | -80,262.62 | 3,576.23 |
| 09/08/2016 17:13:33 | Sold 500 JDST @ 21.99 | 10,984.77 | 14,561.00 |
| 09/08/2016 17:13:33 | Sold 3200 JDST @ 21.97 | 70,302.47 | 84,863.47 |
| 09/08/2016 17:14:13 | Bought 3700 JNUG @ 23.01 | -85,146.99 | -283.52 |
| 09/08/2016 17:28:33 | Sold 3700 JNUG @ 23.021 | 85,165.85 | 84,882.33 |
| 09/08/2016 17:29:02 | Bought 3700 JDST @ 21.82 | -80,743.99 | 4,138.34 |
| 09/08/2016 17:32:29 | Sold 3700 JDST @ 21.9 | 81,018.24 | 85,156.58 |
| 09/08/2016 17:32:58 | Bought 3700 JDST @ 21.979 | -81,332.29 | 3,824.29 |
| 09/08/2016 19:11:14 | Sold 2200 JDST @ 21.9193 | 48,211.42 | 52,035.71 |
| 09/08/2016 19:11:14 | Sold 1000 JDST @ 21.911 | 21,910.52 | 73,946.23 |
| 09/08/2016 19:11:14 | Sold 500 JDST @ 21.91 | 10,954.76 | 84,900.99 |
| 09/08/2016 19:11:55 | Bought 3700 JNUG @ 22.999 | -85,106.29 | -205.30 |
| 09/08/2016 20:22:06 | Sold 600 JNUG @ 23.05 | 13,819.71 | 13,614.41 |
| 09/08/2016 20:22:06 | Sold 400 JNUG @ 23.04 | 9,215.80 | 22,830.21 |
| 09/08/2016 20:22:06 | Sold 2700 JNUG @ 23.03 | 62,179.64 | 85,009.85 |
| 09/08/2016 20:22:30 | Bought 3700 JDST @ 21.9399 | -81,187.62 | 3,822.23 |
| 09/08/2016 20:40:00 | Sold 1700 JDST @ 21.78 | 37,015.20 | 40,837.43 |
| 09/08/2016 20:40:00 | Sold 2000 JDST @ 21.77 | 43,539.05 | 84,376.48 |
| 09/08/2016 20:43:23 | Bought 3500 JDST @ 21.7199 | -76,029.64 | 8,346.84 |
| 09/08/2016 20:46:36 | Bought 100 FXY Sep 9 2016 94.5 Call @ 0.15 | -1,587.34 | 6,759.50 |
| 09/08/2016 20:47:40 | Bought 66 FXE Sep 9 2016 109.5 Put @ 0.19 | -1,315.04 | 5,444.46 |
| 09/08/2016 20:53:23 | Sold 3300 JDST @ 21.9 | 72,258.43 | 77,702.89 |
| 09/08/2016 20:53:23 | Sold 200 JDST @ 21.8901 | 4,377.92 | 82,080.81 |
| 09/08/2016 20:55:19 | Bought 125 UNG Sep 16 2016 8.5 Call @ 0.09 | -1,231.68 | 80,849.13 |
| 09/08/2016 23:53:57 | Bought 3500 JNUG @ 23.09 | -80,824.99 | 24.14 |
| 09/09/2016 14:28:29 | Sold 740 JNUG @ 22.01 | 16,277.05 | 16,301.19 |
| 09/09/2016 14:29:11 | Sold 137 JNUG @ 21.99 | 3,002.57 | 19,303.76 |
| 09/09/2016 14:30:00 | Sold 2623 JNUG @ 22 | 57,694.75 | 76,998.51 |

OFFICIAL RECORDS - ATTACHMENT [B.29]

| | | | |
|---------------------|--|------------|-----------|
| 09/09/2016 14:30:37 | Bought 3000 JDST @ 23.2502 | -69,784.59 | 7,213.92 |
| 09/09/2016 15:11:55 | Sold 100 JDST @ 24.16 | 2,405.96 | 9,619.88 |
| 09/09/2016 15:11:55 | Sold 2900 JDST @ 24.15 | 70,033.47 | 79,653.35 |
| 09/09/2016 15:13:34 | Bought 3500 JNUG @ 20.9095 | -73,193.24 | 6,460.11 |
| 09/09/2016 15:14:19 | Sold 66 FXE Sep 9 2016 109.5 Put @ 0.21 | 1,324.93 | 7,785.04 |
| 09/09/2016 15:18:30 | Sold 100 FXY Sep 9 2016 94.5 Call @ 0.05 | 412.65 | 8,197.69 |
| 09/09/2016 15:19:34 | Sold 3500 JNUG @ 21.341 | 74,681.88 | 82,879.57 |
| 09/09/2016 15:20:00 | Bought 200 JDST @ 23.5299 | -4,715.97 | 78,163.60 |
| 09/09/2016 15:20:00 | Bought 100 JDST @ 23.5269 | -2,352.69 | 75,810.91 |
| 09/09/2016 15:20:00 | Bought 3200 JDST @ 23.5237 | -75,275.84 | 535.07 |
| 09/09/2016 15:22:02 | Sold 300 JDST @ 23.61 | 7,072.86 | 7,607.93 |
| 09/09/2016 15:22:02 | Sold 924 JDST @ 23.58 | 21,787.45 | 29,395.38 |
| 09/09/2016 15:22:02 | Sold 2276 JDST @ 23.57 | 53,644.15 | 83,039.53 |
| 09/09/2016 15:22:34 | Bought 3500 JDST @ 23.75 | -83,134.99 | -95.46 |
| 09/09/2016 15:39:30 | Sold 3500 JDST @ 23.962 | 83,855.18 | 83,759.72 |
| 09/09/2016 15:40:15 | Bought 3500 JNUG @ 21 | -73,509.99 | 10,249.73 |
| 09/09/2016 19:21:15 | Sold 3500 JNUG @ 18.361 | 64,252.11 | 74,501.84 |
| 09/09/2016 19:22:49 | Bought 2800 JDST @ 26.3 | -73,649.99 | 851.85 |
| 09/09/2016 19:24:41 | Sold 2800 JDST @ 26.3 | 73,628.40 | 74,480.25 |
| 09/09/2016 19:25:03 | Bought 500 JNUG @ 18.2999 | -9,159.94 | 65,320.31 |
| 09/09/2016 19:25:03 | Bought 2900 JNUG @ 18.295 | -53,055.50 | 12,264.81 |
| 09/09/2016 19:25:03 | Bought 200 JNUG @ 18.2942 | -3,658.84 | 8,605.97 |
| 09/09/2016 19:25:03 | Bought 400 JNUG @ 18.29 | -7,316.00 | 1,289.97 |
| 09/09/2016 19:34:50 | Sold 4000 JNUG @ 18.5201 | 74,068.80 | 75,358.77 |



*Protect your privacy and the environment.
Switch to eStatements at schwab.com/lesspaper.
Questions? Call 1-800-435-4000
Banking Inquiries: Call 1-800-435-4000*

Account Of

[REDACTED]
[REDACTED]
[REDACTED]

Mail To

[REDACTED]
[REDACTED]
[REDACTED]

For Your Information

Important update:

- This new section of your statement will be regularly updated to include important and helpful account information as soon as it's available.
- Thank you for the opportunity to serve you.

Account Value Summary

| | |
|---------------------------------|---------------------|
| Cash & Sweep Money Market Funds | \$ 28,000.00 |
| Total Investments Long | \$ 0.00 |
| Total Investments Short | \$ 0.00 |
| Net Loan Balance | \$ 0.00 |
| Total Account Value | \$ 28,000.00 |

Change in Account Value

| | |
|--|---------------------|
| Starting Account Value | \$ 0.00 |
| Transactions & Income | \$ 28,000.00 |
| Income Reinvested | \$ 0.00 |
| Change in Value of Investments | \$ 0.00 |
| Ending Account Value | \$ 28,000.00 |
| Year-to-Date Change in Value Since 2/21/18 | \$ 28,000.00 |

Total Funds Available: Cash + Margin

| | |
|-------------------------|---------|
| Available to Withdraw | \$ 0.00 |
| Securities Buying Power | \$ 0.00 |

Rate Summary

| | |
|--|----------------|
| Bank Sweep: Interest rate as of 02/28 ^Z | 0.12% |
| Value Adv Money Fd SWVXX | 1.34% |
| Sch Investor Money Fund | 1.32% |
| Margin Loan Rates Vary by Balance | 6.00% to 8.82% |

Please see "Endnotes For Your Account" section for an explanation of the endnote codes and symbols on this statement.

SIPC has taken the position that it will not cover the balances held in your deposit accounts maintained under programs like our Bank Sweep feature. Please see your Cash Feature Disclosure Statement for more information on insurance coverage.
02/28-00000-NRSM0901-072903 * #

Terms and Conditions

GENERAL INFORMATION AND KEY TERMS:

All references to "Schwab" in this document refer to the broker-dealer Charles Schwab & Co., Inc. Unless otherwise defined herein, capitalized terms have the same meanings as in your Account Agreement.

If you receive any other communication from any source other than Schwab which purports to represent your holdings at Schwab you should verify its content with this statement.

Securities, products, and services are not available in all countries and are subject to country specific restrictions.

AIP (Automatic Investment Plan) Customers: Schwab receives remuneration in connection with certain transactions effected through Schwab. If you participate in a systematic investment program through Schwab, the additional information normally detailed on a trade confirmation will be provided upon request.

Bank Sweep Feature: Schwab acts as your agent and custodian in establishing and maintaining your Bank Sweep feature as a Schwab Cash Feature for your brokerage account. Deposit accounts constitute direct obligations of Charles Schwab Bank and are not obligations of Schwab. Deposit accounts are insured by the FDIC within applicable limits. The balance in the bank deposit accounts can be withdrawn on your order and the proceeds returned to your securities account or remitted to you as provided in your Account Agreement. For information on FDIC insurance and its limits, as well as other important disclosures about the Bank Sweep feature, please refer to the Cash Features Disclosure Statement available online or from a Schwab Representative.

Cash: Any free credit balance owed by us to you payable upon demand which, although accounted for on our books of record, is not segregated and may be used in the conduct of this firm's business.

Dividend Reinvestment Customers: Dividend reinvestment transactions were effected by Schwab acting as a principal for its own account, except for the reinvestment of Schwab dividends, for which an independent broker-dealer acted as the buying agent. The time of these transactions, the exchange upon which these transactions occurred and the name of the person from whom the security was purchased will be furnished upon written request.

Interest: For the Schwab One Interest feature and the Bank Sweep feature, interest is paid for a period that differs from the Statement Period. Balances include interest paid as indicated on your statement by Schwab or Charles Schwab Bank. These balances do not include interest that may have accrued during the Statement Period after interest is paid. The interest paid may include interest that accrued in the prior Statement Period.

For the Schwab One Interest feature, interest accrues daily from the second-to-last business day of the prior month and is posted on the second-to-last business day of the current month.

For the Bank Sweep feature, interest accrues daily from the 16th day of the prior month and is credited/posted on the first business day after the 15th of the current month.

If, on any given day, the interest that Schwab calculates for the Free Credit Balances in the Schwab One Interest feature in your brokerage account is less than \$.005, you will not accrue any interest on that day. For balances held at Charles Schwab Bank in the Bank Sweep feature, interest will accrue even if the amount is less than \$.005.

Latest Price/Price (Investment Detail Section Only): The most recent price evaluation available on the last business day of the statement period, normally the last trade price or bid. Unpriced securities denote that no market evaluation update is currently available. Price evaluations are obtained from outside parties. Schwab shall have no responsibility for the accuracy or timeliness of any such valuations. Pricing of assets not held at Schwab is for informational purposes only.

Margin Account Customers: This is a combined statement of your margin account and special memorandum account maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the separate account as required by Regulation T is available for your inspection.

Non-Publicly Traded Securities: All assets shown on this statement, other than certain direct investments which may be held by a third party, are held in your Account. Values of certain Non-Publicly Traded Securities may be furnished by a third party as provided in Schwab's Account Agreement.

Schwab shall have no responsibility for the accuracy or timeliness of such valuations. The Securities Investor Protection Corporation (SIPC) does not cover many limited partnership interests.

Option Customers: Be aware of the following: 1) Commissions and other charges related to the execution of option transactions have been included in confirmations of such transactions previously furnished to you and will be made available promptly upon request 2) You should advise us promptly of any material changes in your investment objectives or financial situation 3) Exercise assignment notices for option contracts are allocated among customer short positions pursuant to an automated procedure which randomly selects from among all customer short option positions those contracts which are subject to exercise, including positions established on the day of assignment.

Schwab Sweep Money Funds: Includes the primary money market funds into which Free Credit Balances may be automatically invested pursuant to your Account Agreement. Schwab or an affiliate acts and receives compensation as the Investment Advisor, Transfer Agent, Shareholder Service Agent and Distributor for the Schwab Sweep Money Funds. The amount of such compensation is disclosed in the prospectus. The yield information for Schwab Sweep Money Funds is the current 7-day yield as of the statement period. Yields vary. If, on any given day, the accrued daily dividend for your selected sweep money fund as calculated for your account is less than 1/2 of 1 cent (\$.005), your account will not earn a dividend for that day. In addition, if you do not accrue at least 1 daily dividend of \$.01 during a pay period, you will not receive a money market dividend for that period. Schwab and the Schwab Sweep Money Funds investment advisor may be voluntarily reducing a portion of a Schwab Sweep Money Fund's expenses. Without these reductions, yields would have been lower.

Securities Products and Services: Securities products and services are offered by Charles Schwab & Co., Inc., Member SIPC. Securities products and services, including unswept intraday funds and net credit balances held in brokerage accounts are not guaranteed deposits or obligations of Charles Schwab Bank, and are subject to investment risk, are not FDIC insured, may lose value, and are not bank guaranteed. SIPC does not cover balances held at Charles Schwab Bank in the Bank Sweep feature.

Short Positions: Securities sold short will be identified through an "S" in Investment Detail. The market value of these securities will be expressed as a debit and be netted against any long positions in Total Account Value.

IN CASE OF ERRORS OR DISCREPANCIES: If you find an error or discrepancy relating to your brokerage activity (other than an electronic fund transfer) you must notify us promptly, but no later than 10 days after this statement is sent or made available to you. If this statement shows that we have mailed or delivered security certificate(s) that you have not received, notify Schwab immediately. You may call us at 800-435-4000. (Outside the U.S., call +1-415-667-8400.) Any oral communications should be re-confirmed in writing to further protect your rights, including rights under the Securities Investor Protection Act (SIPA). If you do not so notify us, you agree that the statement activity and Account balance are correct for all purposes with respect to those brokerage transactions.

COMPLAINT CONTACT INFORMATION: Complaints about Schwab statements, products or services may be directed to 1-800-435-4000. For clients residing outside of the U.S., call collect +1-415-667-8400. Please send any written complaints to the Client Advocacy Team, 211 Main St., San Francisco, CA 94105, USA.

Address Changes: It is your obligation to keep Schwab informed of any changes in your address, telephone number or other contact information. If you fail to notify Schwab of those changes, you may not receive important notifications about your Account, and trading or other restrictions might be placed on your Account. For assistance, you may contact Schwab at 1-800-435-4000. Clients residing outside of the U.S. may call Schwab collect at +1-415-667-8400.

Additional Information:

A financial statement for your inspection is available at Schwab's offices or a copy will be mailed to you upon written request. Any third party trademarks appearing herein are the property of their respective owners. Schwab and its affiliated banks are subsidiaries of The Charles Schwab Corporation.

(1017-7MAX)

Investment Detail

| Description | Starting Balance | Ending Balance |
|----------------------------|------------------|------------------|
| Cash | | |
| CASH | 0.00 | 28,000.00 |
| Total Account Value | | 28,000.00 |

Transaction Detail

| Settle Date | Trade Date | Transaction | Description | Quantity | Price | Total |
|--|------------|---------------|---|----------|-------|-----------|
| Cash, Bank Sweep, and Money Market Funds Activity | | | | | | |
| 02/27 | 02/27 | MoneyLink Txn | Tfr FIRST NATIONAL BAN, DAVID PITLOR | | | 28,000.00 |

Bank Sweep Activity

| Trans Date | Transaction | Description | Withdrawal | Deposit |
|--|-------------|-------------|-------------|-------------|
| Opening Balance^{X,Z}: 0.00 | | | | |
| Total Activity | | | 0.00 | 0.00 |
| Ending Balance^{X,Z}: 0.00 | | | | |

Bank Sweep: Interest rate as of 02/28/18 was 0.12%. ^Z

Trades Pending Settlement

| Settle Date | Trade Date | Transaction | Description | Symbol | Quantity | Price | Total |
|-------------|------------|-------------|-----------------------|--------|------------|---------|-------------|
| 03/01 | 02/27 | Bought | DAILY JR GOLD MINERS | JNUG | 490.0000 | 14.1400 | (6,933.55) |
| 03/01 | 02/27 | Bought | DAILY JR GOLD MINERS | JNUG | 1,000.0000 | 12.9499 | (12,954.85) |
| 03/01 | 02/27 | Bought | DAILY JR GOLD MINERS | JNUG | 1,000.0000 | 12.9450 | (12,949.95) |
| 03/01 | 02/27 | Bought | DAILY JR GOLD MINERS | JNUG | 700.0000 | 12.9475 | (9,066.72) |
| 03/01 | 02/27 | Bought | DAILY JR GOLD MINERS | JNUG | 200.0000 | 12.9500 | (2,590.99) |
| 03/01 | 02/27 | Bought | DAILY JR GOLD MINERS | JNUG | 100.0000 | 12.9550 | (1,295.99) |
| 03/01 | 02/27 | Bought | DAILY JR GOLD MINERS | JNUG | 100.0000 | 12.9500 | (1,295.50) |
| 03/01 | 02/27 | Bought | DAILY JR GOLD MINERS | JNUG | 200.0000 | 12.9501 | (2,591.01) |
| 03/01 | 02/27 | Bought | DAILY JR GOLD MINERS | JNUG | 700.0000 | 12.9600 | (9,075.46) |
| 03/01 | 02/27 | Bought | VELOCITY SHS DAILY 2X | TVIX | 1,000.0000 | 7.0000 | (7,004.95) |
| 03/01 | 02/27 | Bought | VELOCITY SHS DAILY 2X | TVIX | 1,000.0000 | 7.0200 | (7,024.95) |
| 03/01 | 02/27 | Bought | VELOCITY SHS DAILY 2X | TVIX | 1,000.0000 | 7.0000 | (7,004.95) |
| 03/01 | 02/27 | Sold | VELOCITY SHS DAILY 2X | TVIX | 3,000.0000 | 7.3630 | 22,083.54 |
| 03/02 | 02/28 | Sold | DAILY JR GOLD MINERS | JNUG | 2,300.0000 | 13.1433 | 30,223.94 |
| 03/02 | 02/28 | Sold | DAILY JR GOLD MINERS | JNUG | 2,190.0000 | 13.1250 | 28,738.14 |

Pending transactions are not included in account value.

Please see "Endnotes For Your Account" section for an explanation of the endnote codes and symbols on this statement.

Endnotes For Your Account

Symbol Endnote Legend

- | | |
|---|---|
| X | Bank Sweep deposits are held at FDIC-insured bank(s) ("Banks") that are affiliated with Charles Schwab & Co., Inc. |
| Z | For Bank Sweep and Bank Sweep for Benefit Plans features, interest is paid for a period that differs from the Statement Period. Balances include interest paid as indicated on your statement by Schwab or one or more of its affiliated banks. These balances do not include interest that may have accrued during the Statement Period after interest is paid. The interest paid may include interest that accrued in the prior Statement Period. |

For information on how Schwab pays its representatives, go to <http://www.schwab.com/compensation>.

Please see "Endnotes For Your Account" section for an explanation of the endnote codes and symbols on this statement.



Schwab One® Account of
DANA JONES TTEE
JONES CHARITABLE TRUST
 U/A DTD 08/22/1973 FBO R JONES

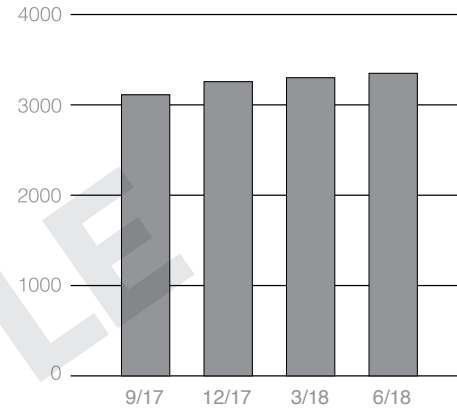
Account Number
1111-9999

Statement Period
JUNE 1-30, 2018

Account Value as of 06/30/2018: \$3,345,834.80

| Change in Account Value | This Period | Year to Date |
|--|-----------------------|-----------------------|
| Starting Value | \$3,295,752.51 | \$3,280,045.42 |
| Credits | 37,997.22 | 73,192.51 |
| Debits | (37,974.82) | (57,974.82) |
| Transfer of Securities (In/Out) | 4,480.00 | 10,580.52 |
| Income Reinvested | (347.97) | (895.65) |
| Change in Value of Investments | 45,927.86 | 40,886.82 |
| Ending Value on 6/30/2018^Δ | \$3,345,834.80 | \$3,345,834.80 |
| Accrued Income ^d | \$5,577.94 | |
| Ending Value with Accrued Income^{dΔ} | \$3,351,412.74 | |
| Total Change in Account Value | \$50,082.29 | \$65,789.38 |
| <i>Total Change with Accrued Income^d</i> | <i>\$55,560.23</i> | |

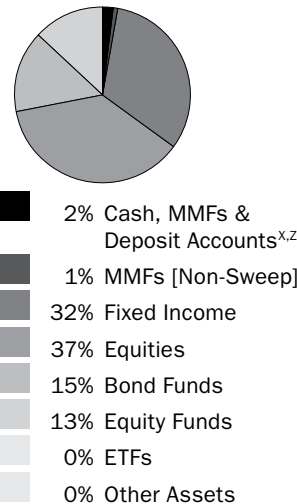
Account Value [in Thousands]



For Your Information:
 This is a dynamic message box that will appear on a client's statement when we have an important message to relay to that client.

| Asset Composition | Market Value | % of Account Assets |
|---|-----------------------|---------------------|
| Cash, Money Market & Deposit Accounts ^{x, z} | \$64,854.08 | 2% |
| Money Market Funds [Non-Sweep] | 45,781.70 | 1% |
| Fixed Income | 1,045,098.93 | 32% |
| Equities | 1,250,379.40 | 37% |
| Bond Funds | 512,015.95 | 15% |
| Equity Funds | 429,334.74 | 13% |
| Exchange-Traded Funds (ETFs) | 1,320.00 | 0% |
| Other Assets | 3,300.00 | 0% |
| Total Assets Long^Δ | 3,352,084.80 | |
| Options Short | (6,250.00) | |
| Total Assets Short | (6,250.00) | |
| Margin Loan Balance | 0.00 | |
| Total Account Value^Δ | \$3,345,834.80 | 100% |

Overview



Advisor Logo

All investments in this sample are hypothetical and are not intended to reflect the share price of any existing entity. Values and calculations may not be an accurate reflection of the transactions and balances. The names used are fictional and are not intended to reflect any existing individual or company. All examples, figures and disclosures used are for illustrative purposes only and are not intended to be reflective of results that a client should expect to achieve, nor should they be construed as recommendations to buy, sell or continue to hold any investment or investment type.



Schwab One® Account of



Account Number
2043-5612

Statement Period
March 1-31, 2018

Cash Transactions Summary

| | This Period | Year to Date |
|--------------------------------------|---------------------|--------------------|
| Starting Cash * | \$ 28,000.00 | \$ 0.00 |
| Deposits and other Cash Credits | 77,935.41 | 105,935.41 |
| Investments Sold | 346,432.94 | 346,432.94 |
| Dividends and Interest | 1.41 | 1.41 |
| Withdrawals and other Debits | (140,467.24) | (140,467.24) |
| Investments Purchased | (310,384.41) | (310,384.41) |
| Fees and Charges | (54.28) | (54.28) |
| Total Cash Transaction Detail | (26,536.17) | 1,463.83 |
| Ending Cash * | \$ 1,463.83 | \$ 1,463.83 |

*Cash (includes any cash debit balance) held in your account plus the value of any cash invested in a sweep money fund.

Investment Detail - Cash

| Cash | Starting Balance | Ending Balance | % of Account Assets |
|-------------------|------------------|-----------------|---------------------|
| Cash | 28,000.00 | 1,463.83 | 6% |
| Total Cash | 28,000.00 | 1,463.83 | 6% |
| Total Cash | | 1,463.83 | 6% |

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.

Individual 2043-5612

Page last updated: 02:37 PM ET, 03/04/2018 Refresh Print

Historical Balances ¹ for 02/27/2018 [Return to Current Balances](#)

Change Date:

The historical balance data reflect the ending values of the date selected.

| | | | |
|----------------------------|--------------|-------------------------|--------------|
| Account Value ⁹ | Day Change | Cash & Cash Investments | Market Value |
| \$29,113.67 | +\$29,113.67 | -\$29,705.33 | \$58,819.00 |

Balance Details

— Cash & Cash Investments

Cash Balance [?](#) - Rates [?](#) -\$29,705.33

Cash & Cash Investments Total **-\$29,705.33**

— Investments

— Securities **\$58,819.00**

— Market Value \$58,819.00

Non-Margin \$0.00

Margin \$58,819.00

[Positions Detail](#)

Investments Total **\$58,819.00**

— Option Details

Option Requirement \$0.00

— Funds Available

— To Trade

Cash & Cash Investments \$0.00

Settled Funds [?](#) \$0.00

Cash + Borrowing \$0.00

SMA [?](#) \$0.00

— To Withdraw

Cash & Cash Investments \$0.00

Borrowing \$0.00

Cash + Borrowing \$0.00

Cash on Hold [?](#) \$28,000.00

— Margin Details & Buying Power

Balance Subject to Interest [?](#) \$0.00

Month to Date Interest Owed \$0.00

Margin Equity \$28,064.98

Equity Percent 47%

Margin Buying Power [Margin Rates](#) [?](#)

(0118-738S)

Brokerage Products: Not FDIC Insured • No Bank Guarantee • May Lose Value

Account: 2043-5612
Today's Date: 02:37 PM ET, 03/04/2018

Schwab Wealth Investment Advisory, Inc. ("SWIA"), and the FDIC-insured Schwab-affiliated banks ("Affiliated Banks") are separate but affiliated companies and subsidiaries of The Charles Schwab Corporation. Securities products and services are offered by Charles Schwab & Co., Inc. (Member SIPC [?](#)) Schwab Intelligent Portfolios™ is offered by SWIA, a registered investment advisor, and Institutional Intelligent Portfolios™, is made available through independent investment advisors and sponsored by SWIA. Deposit products and services are offered by the Affiliated Banks, and lending products and services are offered by Charles Schwab Bank, an Equal Housing Lender.

Bank Sweep deposits are held at one or more FDIC-insured banks that are affiliated with Charles Schwab & Co., Inc. ("Affiliated Banks"). Securities products and services (including unswept or intra-day cash, net credit or debit balances, and money market funds) offered by Charles Schwab & Co., Inc. (member (SIPC [?](#))) are not deposits or obligations of the Affiliated Banks, are subject to investment risk, are not FDIC insured, may lose value, and are not Affiliated Bank-guaranteed. Charles Schwab & Co., Inc. and the Affiliated Banks are separate entities and are all affiliates of The Charles Schwab Corporation.

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— Funds Available

— To Trade

| | |
|---------------------------------|-------------|
| Cash & Cash Investments | \$0.00 |
| Settled Funds ? | \$0.00 |
| Cash + Borrowing | \$0.00 |
| SMA ? | \$28,208.00 |

— To Withdraw

| | |
|--------------------------------|-----------------|
| Cash & Cash Investments | \$0.00 |
| Borrowing | \$0.00 |
| Cash + Borrowing | \$0.00 |
| Cash on Hold ? | \$10,027,999.00 |

— Margin Details & Buying Power ⁴

Cash on Hold



Cash on Hold only displays an amount if your account has any cash placed on hold. A possible reason for cash being placed on hold in a pledged account could be due to trades placed in the account that could change the pledge required amount. You will be notified of any changes in your pledged required amount.

(0814-2394)

nts

Account: 2043-5
 Today's Date: 01:52 AM ET, 03/01/2

affiliated Banks") are separate but
 services are offered by Charles Schwab &
 nt advisor, and Institutional Intelligent
 oosit products and services are offered
 qual Housing Lender.

wab & Co., Inc. ("Affiliated Banks").
 nd money market funds) offered by

OFFICIAL RECORDS - ATTACHMENT [B.38]

, are subject to investment risk, are not
 the Affiliated Banks are separate entities

Accounts > Balances : for XXXX-5612 as of 03/03/18 01:35 AM

Historical Balances ¹ for 02/28/2018 [Return to Current Balances](#) Change Date:

The historical balance data reflect the ending values of the date selected.

| | | | |
|----------------------------|------------|-------------------------|--------------|
| Account Value ⁰ | Day Change | Cash & Cash Investments | Market Value |
| \$29,256.75 | +\$143.08 | \$29,256.75 | \$0.00 |

Balance Details

| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|--|-------------|--|--------------------|---------------------|---------------|--------------|--------|----------------------------------|--|--------------------------|---------------|--------------------|--------|--|-------------------|--|-------------------------|--------|---------------------------------|--------|------------------|--------|-----------------------|-------------|----------------------|--|-------------------------|--------|-----------|--------|------------------|--------|--------------------------------|-----------------|---|--------|-----------------------------|--------|---------------|-------------|----------------|------|---------------------|--------------------------------|
| <p>— Cash & Cash Investments</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">Cash Balance ? - Rates ?</td> <td style="text-align: right;">\$29,256.75</td> </tr> <tr> <td>Cash & Cash Investments Total</td> <td style="text-align: right;">\$29,256.75</td> </tr> </table> <hr/> <p>— Investments</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">— Securities</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td style="padding-left: 20px;">Market Value</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td colspan="2" style="text-align: right; padding-top: 5px;">Positions Detail</td> </tr> <tr> <td>Investments Total</td> <td style="text-align: right;">\$0.00</td> </tr> </table> <hr/> <p>— Option Details</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">Option Requirement</td> <td style="text-align: right;">\$0.00</td> </tr> </table> | Cash Balance ? - Rates ? | \$29,256.75 | Cash & Cash Investments Total | \$29,256.75 | — Securities | \$0.00 | Market Value | \$0.00 | Positions Detail | | Investments Total | \$0.00 | Option Requirement | \$0.00 | <p>— Funds Available</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">— To Trade</td> </tr> <tr> <td style="width: 80%;">Cash & Cash Investments</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td>Settled Funds ?</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td>Cash + Borrowing</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td>SMA ?</td> <td style="text-align: right;">\$28,208.00</td> </tr> <tr> <td colspan="2">— To Withdraw</td> </tr> <tr> <td>Cash & Cash Investments</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td>Borrowing</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td>Cash + Borrowing</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td>Cash on Hold ?</td> <td style="text-align: right;">\$10,027,999.00</td> </tr> </table> <hr/> <p>— Margin Details & Buying Power</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">Balance Subject to Interest ?</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td>Month to Date Interest Owed</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td>Margin Equity</td> <td style="text-align: right;">\$28,208.06</td> </tr> <tr> <td>Equity Percent</td> <td style="text-align: right;">100%</td> </tr> <tr> <td>Margin Buying Power</td> <td style="text-align: right;">Margin Rates ?</td> </tr> </table> | — To Trade | | Cash & Cash Investments | \$0.00 | Settled Funds ? | \$0.00 | Cash + Borrowing | \$0.00 | SMA ? | \$28,208.00 | — To Withdraw | | Cash & Cash Investments | \$0.00 | Borrowing | \$0.00 | Cash + Borrowing | \$0.00 | Cash on Hold ? | \$10,027,999.00 | Balance Subject to Interest ? | \$0.00 | Month to Date Interest Owed | \$0.00 | Margin Equity | \$28,208.06 | Equity Percent | 100% | Margin Buying Power | Margin Rates ? |
| Cash Balance ? - Rates ? | \$29,256.75 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Cash & Cash Investments Total | \$29,256.75 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| — Securities | \$0.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Market Value | \$0.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Positions Detail | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Investments Total | \$0.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Option Requirement | \$0.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| — To Trade | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Cash & Cash Investments | \$0.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Settled Funds ? | \$0.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Cash + Borrowing | \$0.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| SMA ? | \$28,208.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| — To Withdraw | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Cash & Cash Investments | \$0.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Borrowing | \$0.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Cash + Borrowing | \$0.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Cash on Hold ? | \$10,027,999.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Balance Subject to Interest ? | \$0.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Month to Date Interest Owed | \$0.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Margin Equity | \$28,208.06 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Equity Percent | 100% | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Margin Buying Power | Margin Rates ? | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

(0118-738S)

Brokerage Products: Not FDIC Insured • No Bank Guarantee • May Lose Value

Account: XXXX-X612
Today's Date: 01:35 AM ET, 03/03/2018

Schwab Wealth Investment Advisory, Inc. ("SWIA"), and the FDIC-insured Schwab-affiliated banks ("Affiliated Banks") are separate but affiliated companies and subsidiaries of The Charles Schwab Corporation. Securities products and services are offered by Charles Schwab & Co., Inc. (Member SIPC [?](#)) Schwab Intelligent Portfolios™ is offered by SWIA, a registered investment advisor, and Institutional Intelligent Portfolios™ is made available through independent investment advisors and sponsored by SWIA. Deposit products and services are offered by the Affiliated Banks, and lending products and services are offered by Charles Schwab Bank, an Equal Housing Lender.

Bank Sweep deposits are held at one or more FDIC-insured banks that are affiliated with Charles Schwab & Co., Inc. ("Affiliated Banks"). Securities products and services (including unswept or intra-day cash, net credit or debit balances, and money market funds) offered by Charles Schwab & Co., Inc. (member SIPC [?](#)) are not deposits or obligations of the Affiliated Banks, are subject to investment risk, are not FDIC insured, may lose value, and are not Affiliated Bank-guaranteed. Charles Schwab & Co., Inc. and the Affiliated Banks are separate entities and are all affiliates of The Charles Schwab Corporation.

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Important Account Information

1 message

Charles Schwab & Co., Inc. <online.service@schwab.com>
Reply-To: online.service@schwab.com
To: [REDACTED]@gmail.com

Wed, Feb 28, 2018 at 8:01 AM



Important Account Information

February 28, 2018 | your account ending: 612

We're required to limit your trading to funds you currently have available

Because our records show that the trade(s) you placed on 02/27/2018 were not settled in accordance with securities industry regulations, we are required to restrict trading in your account to the funds you have available. This restriction will stay in place for at least 90 calendar days.

What this means for your account.

This restriction does not prevent you from trading, but does require that you have settled funds¹ or securities on hand before placing an order. To determine how much you can trade during this time, please refer to the "Settled Funds Available to Trade" balance, which is displayed when you log in to your account on Schwab.com. You can also talk to a Schwab Client Service Specialist at **800-435-4000** to determine exactly how much buying power is available to you.

Important information about trading without sufficient funds.

When we place orders for accounts without sufficient settled funds or securities on deposit, we are required to monitor the account to make sure it complies with these conditions:

1. You promptly make a full cash payment with settled funds, or deliver previously owned securities into the account within the payment period; **and**

2. You do not sell the securities purchased until full payment with settled funds has been made; **and**
3. You do not make payment with the proceeds from the sale of other securities made after the trade date.

If these conditions are not met, we are required to withdraw your ability to trade without sufficient funds on deposit. This restriction will last for 90 calendar days.

Your next steps.

If you'd like to learn more about trade settlement or think you have received this notice in error, please call a Schwab Client Service Specialist at **800-435-4000**. You can also contact your dedicated service team, if applicable.

Thank you for your understanding in this matter.

We recognize that trading regulations can be confusing. Once again, please contact us if you have questions. We appreciate your business and look forward to continuing to serve your trading and investment needs.

Sincerely,

Margin Services Department
888-254-2036

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[PRIVACY](#)

[CONTACT US](#)

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¹Settled funds include cash deposits, money market funds, margin loan value, and/or sale proceeds that are settled. Typically, sales settle after three business days and when negotiable securities are on deposit.

If you have any questions or concerns, PLEASE DO NOT REPLY TO THIS EMAIL. Please send us an email using the secure email feature on our website, www.schwab.com/secureemail.

For your protection, we are unable to accept instructions to change your email address sent in reply to this message. To update your address using a secure channel, please log in to your account using the link below. www.schwab.com/emailupdate

For your security, Charles Schwab will never request personal information through email.

To review SchwabSafe[®] and The Schwab Security Guarantee, use the following links:
www.schwab.com/schwabsafe
www.schwab.com/guarantee

NOTICE: All email sent to or from the Charles Schwab corporate email system is subject to archival, monitoring and/or review by Schwab personnel.

Charles Schwab & Co., Inc., [211 Main Street, San Francisco, CA 94105](#).

Charles Schwab: Further Follow-Up Requested



Go to Message Center

Delete

Re

From: Schwab Client Service Message #:
 8232838
Account: Individual xxxx-x612
Received: Wednesday, February 28, 2018 11:33 AM ET
Subject: Charles Schwab: Further Follow-Up Requested

If we can help with any other questions please click [HERE](#) to chat with a Financial Service Professional.

Dear Mr. Pitlor,

Please contact the Risk and Credit Loss Prevention Department at 866-706-5487 in regards to the latest transfer into your account. Currently, we have placed a restriction on your latest transfer and it may limit your ability to trade online. As always, you can also contact us at 800-435-4000 regarding this matter and request to be transferred to the appropriate department.

Sincerely,

Risk and Credit Loss Prevention
 Tel. 866-706-5487
 Charles Schwab & Co., Inc.

----- Please do not remove your unique tracking number! -----
 <<#1933856-7294109-8232838#>>



Messages Notification Preferences Corporate Actions

Messages

Upload Document

| Date | Account | Subject | From | Expires |
|------------|----------------------|---|-----------------------|------------|
| 02/28/2018 | Individual 2043-5612 | Charles Schwab: Further Follow-Up Requested | Schwab Client Service | 02/28/2019 |

Delete

Notifications (3 unread)

Update Preferences

| Date | Accounts/Portfolio | Subject | Type | Expires |
|------------|----------------------|--|----------------|------------|
| Today | Individual 2043-5612 | Your MoneyLink® profile to transfer funds to account 2043-5612 from your FIRST NATIONAL BANK account [REDACTED] has been activated | Account Notice | 03/08/2018 |
| Today | Individual 2043-5612 | Your MoneyLink® profile to transfer funds from account 2043-5612 to your FIRST NATIONAL BANK account [REDACTED] has been activated | Account Notice | 03/08/2018 |
| 02/27/2018 | Individual 2043-5612 | Your MoneyLink® transfer for \$ 28000.00 to account 2043-5612 from your FIRST NATIONAL BANK account [REDACTED] has been completed | Account Notice | 03/06/2018 |

Delete

(0213-0025)

Brokerage Products: Not FDIC Insured, No Bank Guarantee, May Lose Value

Schwab Wealth Investment Advisory, Inc. ("SWIA"), and the FDIC-insured Schwab-affiliated banks ("Affiliated Banks") are separate but affiliated companies and subsidiaries of The Charles Schwab Corporation. Securities products and services are offered by Charles Schwab & Co., Inc. (Member SIPC) Schwab Intelligent Portfolios™ is offered by SWIA, a registered investment advisor, and Institutional Intelligent Portfolios™, is made available through independent investment advisors and sponsored by SWIA. Deposit products and services are offered by the Affiliated Banks, and lending products and

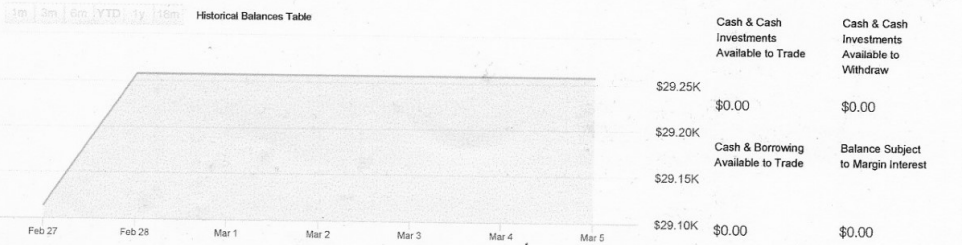
OFFICIAL RECORDS - ATTACHMENT B.43

Individual 2043-5612

Page last updated: 07:22 PM ET, 03/05/2018 Refresh Export Print

Total Accounts Value ¹ \$29,256.75 Day Change ² \$0.00 (0%) Total Cash & Cash Investments ³ \$29,256.75 Market Value \$0.00

My Balances -



Balance Details

| | | | |
|---|---------------------------------|---|---------------------------------------|
| - Cash & Cash Investments | | - Funds Available | |
| Bank Sweep ⁴ - Rates <input type="checkbox"/> | \$29,256.75 | - To Trade | |
| | <small>Details</small> | Cash & Cash Investments | \$0.00 |
| Cash & Cash Investments Total | \$29,256.75 | Settled Funds ⁶ | \$0.00 |
| - Investments | | Cash + Borrowing | \$0.00 |
| - Securities | \$0.00 | SMA ⁷ | \$0.00 |
| Market Value | \$0.00 | - To Withdraw | |
| | <small>Positions Detail</small> | Cash & Cash Investments | \$0.00 |
| Investments Total | \$0.00 | Borrowing | \$0.00 |
| - Option Details | | Cash + Borrowing | \$0.00 |
| Option Requirement | \$0.00 | Cash on Hold ⁸ | \$10,000,005.87 |
| - Charles Schwab Futures ⁵ ⁹ | | - Margin Details & Buying Power ⁶ | |
| DAVID PITLOR 6725-6617 | | Balance Subject to Interest ¹⁰ | \$0.00 |
| Futures Account Value | \$0.00 | Month to Date Interest Owed | \$6.87 |
| Futures Initial Margin Requirement | \$0.00 | Margin Equity | \$0.00 |
| Futures Buying Power | -\$9,970,749.12 | Equity Percent | 0% |
| Futures Total Equity | \$0.00 | Margin Buying Power | Margin Rates <input type="checkbox"/> |

(0118-7385)

We are currently unable to display historical balances. Please try again later. Error Code: 201

Tax Forms: If you have activity that requires reporting, 2017 tax forms and documents downloads are now available. Please visit our tax forms page for more information.

Personal Value \$0.00 Day Change N/A

What is Personal Value?

Go to classic Summary Page last updated 4:20 PM ET, 03/07/2018 Print Refresh

| Accounts | | Investment | | Type | Cash & Cash Investments | Balance/Value |
|------------|--------|---------------------|-------------|-------------|-------------------------|---------------|
| Individual | ...612 | Brokerage + Futures | \$17,824.31 | \$24,836.81 | -\$729.81 (-2.85%) | |
| External | | | | | | |

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Accomplish more with your new summary.

| | | | | | | |
|-------|----------------------------|--------------------------------|---------------------------------|---------------------------------|---------------------------------------|------------------------------|
| Quote | Show Indices Symbol Lookup | DJIA 24,801.36 -82.76 (-0.33%) | NASDAQ 7,396.65 +24.64 (+0.33%) | S&P 500 2,726.80 -1.32 (-0.05%) | Russell 2000 1,574.53 +12.33 (+0.79%) | Time (ET) 4:20:45 PM Refresh |
|-------|----------------------------|--------------------------------|---------------------------------|---------------------------------|---------------------------------------|------------------------------|

OFFICIAL RECORDS - ATTACHMENT [B.44.2]



Individual ▼



[FONDS](#) [GAIN/LOSS](#) [BALANCES](#) [HISTORY](#) [TITLE V](#)

Account Value **\$25,566.62**
Day Change **-\$3,690.13 (-12.61%)**

Cash & Cash Investments

| | |
|---------------------|----------------|
| Total | -\$3.38 |
| Bank Sweep | \$29,256.75 > |
| Cash Balance | -\$16,384.95 |
| Margin ¹ | -\$12,875.18 |

Investments

| | |
|--------------|--------------------|
| Total | \$25,570.00 |
| Securities | \$16,720.00 > |
| Options | \$8,850.00 |

Schwab Futures -

| | |
|----------------------------|----------|
| Futures Account Value | \$0.00 |
| Futures Total Equity | \$0.00 > |
| Initial Margin Requirement | \$0.00 |
| Futures Buying Power | |

Funds Available



Individual



ACCOUNTS GAIN/LOSS BALANCES HISTORY TILE VIEW

| | |
|---------------|-----------------------------|
| Account Value | \$26,469.83 |
| Day Change | +\$7,637.50 (40.56%) |

Cash & Cash Investments

| | |
|--------------|----------|
| Total | -\$22.67 |
| Cash Balance | -\$22.67 |

Investments

| | |
|------------|-------------|
| Total | \$26,492.50 |
| Securities | \$0.00 > |
| Options | \$26,492.50 |

Schwab Futures -

| | |
|----------------------------|----------|
| Futures Account Value | \$0.00 |
| Futures Total Equity | \$0.00 > |
| Initial Margin Requirement | \$0.00 |
| Futures Buying Power | -\$29.54 |

Funds Available

| | |
|------------------|--------|
| To Trade | \$0.00 |
| Cash Investments | \$0.00 |



Note: The following is provided as a summary of our cash availability policies. It does not address all possible situations. For more details and information, please consult the Schwab Bank Deposit Account Agreement. Please feel free to contact us if you have additional questions.

| When your funds are available | |
|---------------------------------------|---|
| Direct deposit | Same business day as deposit. |
| Incoming wire transfer | Next business day. |
| Check deposits | Generally the next business day after we receive your deposit. Exceptions apply. If we place a longer hold, we will notify you. |
| ACH Transfer from Another Institution | Fourth business day after the day of deposit. |
| Schwab Mobile Deposit | May be held longer than checks submitted in person or via the mail. |

Your Ability to Withdraw Funds

Our policy is to make funds from your cash and check deposits available to you on the first Business Day after the day we receive your deposit. Electronic Direct Deposits will be available on the day we receive the deposit, unless we require additional time to review the item to determine if it can be legally processed. Once they are available, you can withdraw the funds in cash and we will use the funds to pay checks that you have written.

For determining the availability of your deposits, every day is a Business Day, except Saturdays, Sundays and federal holidays. If you make a deposit before our deposit cutoff time on a Business Day that we are open, we will consider that day to be the day of your deposit. However, if you make a deposit after our deposit cutoff time, or on a day that we are not open, we will consider that the deposit was made on the next Business Day we are open. Our deposit cutoff time varies based on the method and location of the deposit, but it will never be earlier than 2:00 p.m. local time.

Longer Delays May Apply

In some cases, we will not make all of the funds that you deposit by check available to you on the first Business Day after the day of your deposit. Depending on the type of check that you deposit, funds may not be available until the second Business Day after the day of your deposit. However, the first \$200 of your deposits will be available on the first Business Day. If we are not going to make all of the funds from your deposit available on the first Business Day, we will notify you at the time you make your deposit. We will also tell you when the funds will be available. If your deposit is not made directly to one of our employees, or if we decide to take this action after you have left the premises, we will either mail the notice to you, or send you the notice electronically by the Business Day after we receive your deposit.

If you will need the funds from a deposit right away, you should ask us when the funds will be available. In addition, funds you deposit by check may be delayed for a longer period under the following circumstances:

- We believe a check you deposit will not be paid.
- You deposit checks totaling more than \$5,000 on any one day.
- You redeposit a check that has been returned unpaid.
- You have overdrawn your account repeatedly in the last six months.
- There is an emergency, such as failure of computer or communications equipment.

We will notify you if we delay your ability to withdraw funds for any of these reasons, and we will tell you when the funds will be available. They will generally be available no later than the seventh Business Day after the day of your deposit.

Special Rules for ACH Transfers from Another Financial Institution

If you request and we agree to originate an ACH transfer from another financial institution, to ensure payment in actually and finally collected funds, we will make those funds available to you no later than the fourth Business Day after the day of deposit. Although funds from ACH originations are posted to your account on the day of deposit, they

may not be immediately available for withdrawal. Schwab Bank is not responsible for delays in funds availability caused by other financial institutions.

Special Rules for New Accounts

If you are a new customer, the following special rules will apply during the first 30 days your account is open:

- Funds from electronic Direct Deposits to your account will be available on the day we receive the deposit, unless we require additional time to review the item to determine if it can be legally processed.
- Funds from deposits of cash, wire transfers, and the first \$5,000 of a day's total deposits of cashier's, certified, teller's, traveler's, and federal, state and local government checks will be available on the first Business Day after the day of your deposit if the deposit meets certain conditions. For example, the checks must be payable to you. The excess over \$5,000 will be available on the fifth Business Day after the day of your deposit.
- Funds from all other check deposits will be available on the fifth Business Day after the day of your deposit.

Special Rule for Schwab Mobile Deposit™

Check deposits made remotely using the Schwab Mobile Deposit™ service may be held longer than checks submitted in person or through the mail. If an extended hold is placed, we will send you notice of when the funds will be available.

Please see your **Schwab Bank Deposit Account Agreement** for additional details.

(0614-3880)



Schwab One® Account of



Account Number
2043-5612

Statement Period
April 1-30, 2018

Transaction Detail - Purchases & Sales (continued)

Options Activity (continued)

| Settle Date | Trade Date | Transaction | Description | Quantity | Unit Price | Total Amount |
|------------------------------------|------------|-------------|--|-----------|------------|-------------------|
| 04/20/18 | 04/20/18 | Expired | CALL DIREXION SHARES E T \$17 EXP 04/20/18: JNUG 04/20/2018 17.00 C | (37.0000) | | |
| Total Options Activity | | | | | | (1,454.74) |
| Total Purchases & Sales | | | | | | (1,454.74) |

Transaction Detail - Deposits & Withdrawals

| Transaction Process Date | Date | Activity | Description | Location | Credit/(Debit) |
|---|----------|------------|-----------------------|----------|----------------|
| 04/25/18 | 04/25/18 | Funds Paid | CLIENT REQUEST NETCSH | | (9.09) |
| 04/26/18 | 04/26/18 | Funds Paid | CLIENT REQUEST NETCSH | | (0.02) |
| Total Deposits & Withdrawals | | | | | (9.11) |

The total deposits activity for the statement period was \$0.00. The total withdrawals activity for the statement period was \$9.11.

Transaction Detail - Dividends & Interest (including Money Market Fund dividends reinvested)

| Transaction Process Date | Date | Activity | Description | Credit/(Debit) |
|---------------------------------------|----------|-----------------|-------------------------|----------------|
| 04/25/18 | 04/25/18 | Credit Interest | SCHWAB1 INT 03/28-04/24 | 0.02 |
| Total Dividends & Interest | | | | 0.02 |

03/28 through 04/26: \$0.02 based on .135% average Schwab One® interest rate paid on 2 days in which your account had an average daily balance of \$2,252.63.

Total Transaction Detail (1,463.83)

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



Schwab One® Account of



Account Number
2043-5612

Statement Period
March 1-31, 2018

Transaction Detail - Total

Total Transaction Detail

(26,536.17)

Bank Sweep Activity

| Transaction Date | Transaction | Description | Withdrawal | Deposit | Balance ^{x,z} |
|---------------------------------------|------------------------------|---|------------------|------------------|------------------------|
| Opening Balance ^{x,z} | | | | | 0.00 |
| 03/02/18 | Auto Transfer | BANK CREDIT FROM BROKERAGE ^x | | 29,256.75 | 29,256.75 |
| 03/07/18 | Auto Transfer | BANK TRANSFER TO BROKERAGE | 12,875.18 | | 16,381.57 |
| 03/08/18 | Auto Transfer | BANK TRANSFER TO BROKERAGE | 16,341.40 | | 40.17 |
| 03/12/18 | Auto Transfer | BANK CREDIT FROM BROKERAGE ^x | | 17,784.14 | 17,824.31 |
| 03/15/18 | Interest Paid ^{x,z} | BANK INTEREST | | 0.77 | 17,825.08 |
| 03/15/18 | Auto Transfer | BANK TRANSFER TO BROKERAGE | 0.77 | | 17,824.31 |
| 03/19/18 | Auto Transfer | BANK CREDIT FROM BROKERAGE ^x | | 0.77 | 17,825.08 |
| 03/20/18 | Auto Transfer | BANK TRANSFER TO BROKERAGE | 17,825.08 | | 0.00 |
| 03/22/18 | Auto Transfer | BANK CREDIT FROM BROKERAGE ^x | | 127.04 | 127.04 |
| 03/23/18 | Auto Transfer | BANK CREDIT FROM BROKERAGE ^x | | 14,053.60 | 14,180.64 |
| 03/26/18 | Auto Transfer | BANK CREDIT FROM BROKERAGE ^x | | 14,216.30 | 28,396.94 |
| 03/27/18 | Auto Transfer | BANK CREDIT FROM BROKERAGE ^x | | 23,355.97 | 51,752.91 |
| 03/28/18 | Interest Paid ^{x,z} | BANK INTEREST | | 0.64 | 51,753.55 |
| 03/28/18 | Auto Transfer | BANK TRANSFER TO BROKERAGE | 51,753.55 | | 0.00 |
| Total Activity | | | 98,795.98 | 98,795.98 | |
| Ending Balance ^{x,z} | | | | | 0.00 |

Bank Sweep: Interest Rate as of 03/29/18 was 0.12%. Your interest period was 03/01/18 - 03/27/18. ^z

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



Schwab One® Account of
DANA JONES TTEE
JONES CHARITABLE TRUST
 U/A DTD 08/22/1973 FBO R JONES

Account Number
1111-9999

Statement Period
JUNE 1-30, 2018

Transaction Detail — Dividends & Interest

| Transaction Date | Process Date | Activity | Description | Credit/(Debit) |
|---------------------------------------|--------------|------------------------------|---------------------------------|----------------|
| 06/09/18 | 06/15/18 | Dividend | Schwab Money Market Fund: SXXXX | 85.00 |
| 06/10/18 | 06/10/18 | Cap Gain Rein | Income Fund: YXXXX | 69.28 |
| 06/10/18 | 06/10/18 | Div For Reinvest | Twenty-First Fund: YTENW | 3.21 |
| 06/10/18 | 06/10/18 | Bond Interest | Treasury Note | 356.25 |
| 06/15/18 | 06/15/18 | Bank Interest ^{x,z} | BANK INT XXXXXX-XXXXXX | 278.23 |
| 06/16/18 | 06/18/18 | Div For Reinvest | Value Advantage Fund: VXXXX | 190.48 |
| Total Dividends & Interest | | | | 982.45 |

Transaction Detail — Fees & Charges

| Transaction Date | Process Date | Activity | Description | Credit/(Debit) |
|---------------------------------|--------------|--------------|---------------------|----------------|
| 06/15/18 | 06/15/18 | Advisor Fee* | MGMT FEE TO ADVISOR | (70.15) |
| Total Fees & Charges | | | | (70.15) |

Transaction Detail — Transfers

| Settle Date | Trade Date | Transaction | Description | Quantity | Unit Price | Total Amount |
|------------------------|------------|------------------|-------------|----------|------------|-----------------|
| 06/29/18 | 06/29/18 | Account Transfer | HOTEL CORP | 140.0000 | 32.0000 | 4,480.00 |
| Total Transfers | | | | | | 4,480.00 |

Total Transaction Detail **11,316.70**

All investments in this sample are hypothetical and are not intended to reflect the share price of any existing entity. Values and calculations may not be an accurate reflection of the transactions and balances. The names used are fictional and are not intended to reflect any existing individual or company. All examples, figures and disclosures used are for illustrative purposes only and are not intended to be reflective of results that a client should expect to achieve, nor should they be construed as recommendations to buy, sell or continue to hold any investment or investment type.

OFFICIAL RECORDS ATTACHMENT [B.51]

Schwab has provided accurate gain and loss information wherever possible for most investments. Cost basis data may be incomplete or unavailable for some of your holdings. Please see "Endnotes for Your Account" section for an explanation of the endnote codes and symbols on this statement.



BANK INT 022318-031518 SCHWAB BANK

Transaction Details

| | |
|------------------|---------------|
| Transaction Date | 03/16/18 |
| Action/Type | bank interest |
| Total | \$0.77 |

BUSINESS DATE: 03/22/2018 RESTR: S OPT LVL: 2
PRBAD23C-01 PAGE: 58318

REPORT:

ACCOUNT: * 5612 NAME: 5120 MAYBERRY ST APT 1104

*****ACCOUNT BALANCES*****

001 AC NETWRT: 68,459.64+ 005 DAYTRD BP: 56,214.00+ 010 HOLD ALL\$: 7 012
AVLT1 BAL: 120.17+
013 HSE EX/CL: 14,054.00+ 014 OPT MINEQ: 66,333.00+ 015 IME X/C : 14,054.00+ 017
PENNY BP : 14,173.77+
018 NETMGNBAL: 14,053.60+ 019 MGNBAL ST: 14,053.60+ 025 MRGN BAL : 14,053.60+
026 CASH AVAL: 127.04+
028 CSH BAL S: 127.04+ 030 AVL MGN B: 14,053.60+ 034 BANK BAL : 127.04+ 036
C/MMF HLD: 6.87+
038 C/MMF 2PY: 14,173.77+ 042 TOT AV2PY: 14,173.77+ 044 PRV NWCHG: 41,237.10+
056 CSHHLD TL: 6.87+
077 MF BP CSH: 14,173.77+ 078 MUT FD BP: 14,173.77+ 079 MF NM BP : 14,173.77+
087 MRGN ATT : 14,053.60+
093 ATT CASH : 14,173.77+ 095 EQTY BP : 28,362.08+ 097 NONMGN BP: 14,173.77+
099 US TSY BP: 141,737.70+
101 GOVAG BP : 70,868.85+ 103 MUNI BP : 56,695.08+ 105 NONCNV BP: 47,245.90+
107 CONVBD BP: 28,362.08+
109 LG OPT BP: 14,173.77+ 111 SHT OPTBP: 14,173.77+ 118 SHTBAL ST: 2,701.87+
120 CASH BAL : 127.04+
123 MRGN BAL : 11,351.73+ 125 SHORT BAL: 2,701.87+ 128 TOT AC BL: 14,180.64+
131 MARGIN EQ: 14,053.60+
133 EQTY PCT : 1.00+ 135 EQ W/OPT : 68,332.60+ 137 SMA/FED : 14,054.00+ 139
SCH X/CL : 14,054.00+
141 REG X/CL : 14,054.00+ 143 TOT BAL S: 14,180.64+ 147 TOT BAL E: 127.04+ 164
OPMVL MGN: 66,029.00+
166 OPMVS MGN: 11,750.00- 168 TOTAL MV : 54,279.00+ 185 T1 FC EOD: 127.04+
188 MGINT MTD: 6.87+
199 SCH OPTME: 2,000.00+ 215 CSHBALEOD: 127.04+ 217 CSH BAL S: 127.04+
218 MGN BAL S: 11,351.73+
247 BKOMS STM: 127.04+ 250 T1 FREECR: 127.04+ 254 CASH BAL : 127.04+ 256
REG DTBP : 56,214.00+
292 CSH/CSHEQ: 14,181.00+ 294 CSEP EXCL: 14,181.00+ 304 NY/IM EXC: 14,054.00+
306 DT/OR EXC: 56,722.00+
308 S1TRDT AM: 14,173.77+ 314 REGT AM : 14,054.00+ 316 ASFT-OPN : 14,173.77+
318 ASFT-EOD : 14,173.77+
320 CASH EOD : 127.04+

* FUNDS ON DEPOSIT IN BANK SWEEP ACCOUNTS ("034 BANK BAL") ARE NOT DEPOSITS OR OBLIGATIONS OF CHARLES SCHWAB & CO., INC. AND MAY NOT BE COVERED BY THE SECURITIES INVESTOR PROTECTION CORPORATION (SIPC)

*****ACCOUNT POSITIONS*****

| TY | QTY | LOCATION | SYM/SEC# | DESCRIPTION | PRICE |
|----------|-----------|----------|--------------------|--------------------------|---------|
| 2 | 100.00000 | JNUG | 03/23/2018 14.00 C | CALL DIREXION SHARES E T | |
| 0.12000 | 1,200.00 | | | | |
| | | | \$14 | EXP 03/23/18 | |
| 2 | 176.00000 | JNUG | 03/29/2018 14.50 C | CALL DIREXION SHARES E T | |
| 0.31500 | 5,544.00 | | | | |
| | | | \$14.5 | EXP 03/29/18 | |
| 2 | 50.00000 | JNUG | 04/06/2018 15.00 C | CALL DIREXION SHARES E T | 0.40500 |
| 2,025.00 | | | | | |
| | | | \$15 | EXP 04/06/18 | |
| 2 | 30.00000 | JNUG | 04/13/2018 17.00 C | CALL DIREXION SHARES E T | 0.24000 |
| 720.00 | | | | | |
| | | | \$17 | EXP 04/13/18 | |

BUSINESS DATE: 03/23/2018 RESTR: S OPT LVL: 2
PRBAD23C-01 PAGE: 58333

REPORT:

ACCOUNT: * 5612 NAME: 5120 MAYBERRY ST APT 1104

*****ACCOUNT BALANCES*****

| | | | | | |
|----------------|-------------|----------------|-------------|-----------------|----------------|
| 001 AC NETWRT: | 94,983.44+ | 005 DAYTRD BP: | 56,865.00+ | 010 HOLD ALL\$: | 7 012 |
| AVLT1 BAL: | 14,126.36+ | | | | |
| 013 HSE EX/CL: | 14,216.00+ | 014 OPT MINEQ: | 78,803.00+ | 015 IME X/C : | 14,216.00+ 017 |
| PENNY BP : | 28,342.36+ | | | | |
| 018 NETMGNBAL: | 14,216.30+ | 019 MGNBAL ST: | 14,216.30+ | 025 MRGN BAL : | 14,216.30+ |
| 026 CASH AVAL: | 14,180.64+ | | | | |
| 028 CSH BAL S: | 14,180.64+ | 030 AVL MGN B: | 14,216.30+ | 034 BANK BAL : | 14,180.64+ |
| 036 C/MMF HLD: | 54.28+ | | | | |
| 038 C/MMF 2PY: | 28,342.66+ | 042 TOT AV2PY: | 28,342.66+ | 044 PRV NWCHG: | 26,523.80+ |
| 056 CSHHLD TL: | 54.28+ | | | | |
| 077 MF BP CSH: | 28,342.66+ | 078 MUT FD BP: | 28,342.36+ | 079 MF NM BP : | 28,342.36+ |
| 087 MRGN ATT : | 14,216.30+ | | | | |
| 093 ATT CASH : | 28,342.66+ | 095 EQTY BP : | 56,793.28+ | 097 NONMGN BP: | 28,342.36+ |
| 099 US TSY BP: | 283,426.60+ | | | | |
| 101 GOVAG BP : | 141,713.30+ | 103 MUNI BP : | 113,370.64+ | 105 NONCNV BP: | 94,475.53+ |
| 107 CONVBD BP: | 56,793.28+ | | | | |
| 109 LG OPT BP: | 28,342.36+ | 111 SHT OPTBP: | 28,342.66+ | 118 SHTBAL ST: | 3,022.07+ |
| 120 CASH BAL : | 14,180.64+ | | | | |
| 123 MRGN BAL : | 11,194.23+ | 125 SHORT BAL: | 3,022.07+ | 128 TOT AC BL: | 28,396.94+ |
| 131 MARGIN EQ: | 14,216.30+ | | | | |
| 133 EQTY PCT : | 1.00+ | 135 EQ W/OPT : | 80,802.80+ | 137 SMA/FED : | 14,216.00+ 139 |
| SCH X/CL : | 14,216.00+ | | | | |
| 141 REG X/CL : | 14,216.00+ | 143 TOT BAL S: | 28,396.94+ | 147 TOT BAL E: | 74,587.97- 164 |
| OPMVL MGN: | 80,286.50+ | | | | |
| 166 OPMVS MGN: | 13,700.00- | 168 TOTAL MV : | 66,586.50+ | 176 MRGN BSI : | 74,642.25+ |
| 185 T1 FC EOD: | 14,180.64+ | | | | |
| 188 MGINT MTD: | 54.28+ | 189 MGINT DAY: | 47.41+ | 199 SCH OPTME: | 2,000.00+ 215 |
| CSHBALEOD: | 14,180.64+ | | | | |
| 217 CSH BAL S: | 14,180.64+ | 218 MGN BAL S: | 11,194.23+ | 219 MGN BAL E: | 88,768.61- |
| 247 BKOMS STM: | 14,180.64+ | | | | |
| 250 T1 FREECR: | 14,180.64+ | 254 CASH BAL : | 14,180.64+ | 256 REG DTBP : | 56,865.00+ |
| 292 CSH/CSHEQ: | 28,397.00+ | | | | |
| 294 CSEP EXCL: | 28,397.00+ | 304 NY/IM EXC: | 14,216.00+ | 306 DT/OR EXC: | 113,587.00+ |
| 308 S1TRDT AM: | 28,342.66+ | | | | |
| 314 REGT AM : | 14,216.00+ | 316 ASFT-OPN : | 28,342.36+ | 318 ASFT-EOD : | 28,342.36+ |
| 320 CASH EOD : | 14,180.64+ | | | | |

* FUNDS ON DEPOSIT IN BANK SWEEP ACCOUNTS ("034 BANK BAL") ARE NOT DEPOSITS OR OBLIGATIONS OF CHARLES SCHWAB & CO., INC. AND MAY NOT BE COVERED BY THE SECURITIES INVESTOR PROTECTION CORPORATION (SIPC)

*****ACCOUNT POSITIONS*****

| TY | QTY | LOCATION | SYM/SEC# | DESCRIPTION | PRICE |
|----------|-----------|----------|---------------------|--------------------------|---------|
| 2 | 600.00000 | JNUG | 03/23/2018 15.00 C | CALL DIREXION SHARES E T | |
| 0.01000 | 600.00 | | \$15 EXP 03/23/18 | | |
| 2 | 176.00000 | JNUG | 03/29/2018 14.50 C | CALL DIREXION SHARES E T | |
| 0.58000 | 10,208.00 | | \$14.5 EXP 03/29/18 | | |
| 2 | 50.00000 | JNUG | 04/06/2018 15.00 C | CALL DIREXION SHARES E T | 0.69500 |
| 3,475.00 | | | \$15 EXP 04/06/18 | | |
| 2 | 30.00000 | JNUG | 04/13/2018 17.00 C | CALL DIREXION SHARES E T | 0.42000 |
| 1,260.00 | | | | | |

BUSINESS DATE: 03/26/2018 RESTR: S OPT LVL: 2
PRBAD23C-01 PAGE: 58320

REPORT:

ACCOUNT: * [REDACTED] 5612 NAME: [REDACTED] 5120 MAYBERRY ST APT 1104

*****ACCOUNT BALANCES*****

| | | | | | |
|----------------|-------------|----------------|-------------|-----------------|----------------|
| 001 AC NETWRT: | 98,238.41+ | 005 DAYTRD BP: | 23,355.00+ | 010 HOLD ALL\$: | 7 012 |
| AVLT1 BAL: | 28,342.66+ | | | | |
| 013 HSE EX/CL: | 23,356.00+ | 014 OPT MINEQ: | 67,841.00+ | 015 IME X/C : | 23,356.00+ 017 |
| PENNY BP : | 51,698.63+ | | | | |
| 018 NETMGNBAL: | 23,355.97+ | 019 MGNBAL ST: | 23,355.97+ | 025 MRGN BAL : | 23,355.97+ |
| 026 CASH AVAL: | 28,396.94+ | | | | |
| 028 CSH BAL S: | 28,396.94+ | 030 AVL MGN B: | 23,355.97+ | 034 BANK BAL : | 28,396.94+ |
| 036 C/MMF HLD: | 54.28+ | | | | |
| 038 C/MMF 2PY: | 51,698.63+ | 042 TOT AV2PY: | 51,698.63+ | 044 PRV NWCHG: | 3,254.97+ |
| 056 CSHHLD TL: | 54.28+ | | | | |
| 077 MF BP CSH: | 51,698.63+ | 078 MUT FD BP: | 51,698.63+ | 079 MF NM BP : | 51,698.63+ |
| 087 MRGN ATT : | 23,355.97+ | | | | |
| 093 ATT CASH : | 51,698.63+ | 095 EQTY BP : | 103,505.88+ | 097 NONMGN BP: | 51,698.63+ |
| 099 US TSY BP: | 516,986.30+ | | | | |
| 101 GOVAG BP : | 258,493.15+ | 103 MUNI BP : | 206,794.52+ | 105 NONCNV BP: | 172,328.76+ |
| 107 CONVBD BP: | 103,505.88+ | | | | |
| 109 LG OPT BP: | 51,698.63+ | 111 SHT OPTBP: | 51,698.63+ | 120 CASH BAL : | 28,396.94+ |
| 123 MRGN BAL : | 23,355.97+ | | | | |
| 128 TOT AC BL: | 51,752.91+ | 131 MARGIN EQ: | 23,355.97+ | 133 EQTY PCT : | 1.00+ 135 |
| EQ W/OPT : | 69,841.47+ | | | | |
| 137 SMA/FED : | 23,356.00+ | 139 SCH X/CL : | 23,356.00+ | 141 REG X/CL : | 23,356.00+ 143 |
| TOT BAL S: | 51,752.91+ | | | | |
| 147 TOT BAL E: | 51,752.91+ | 164 OPMVL MGN: | 60,935.50+ | 166 OPMVS MGN: | 14,450.00- |
| 168 TOTAL MV : | 46,485.50+ | | | | |
| 185 T1 FC EOD: | 28,396.94+ | 188 MGINT MTD: | 54.28+ | 199 SCH OPTME: | 2,000.00+ |
| 215 CSHBALEOD: | 28,396.94+ | | | | |
| 217 CSH BAL S: | 28,396.94+ | 218 MGN BAL S: | 23,355.97+ | 219 MGN BAL E: | 23,355.97+ |
| 247 BKOMS STM: | 28,396.94+ | | | | |
| 250 T1 FREECR: | 28,396.94+ | 254 CASH BAL : | 28,396.94+ | 256 REG DTBP : | 23,355.00+ |
| 292 CSH/CSHEQ: | 51,753.00+ | | | | |
| 294 CSEP EXCL: | 51,753.00+ | 304 NY/IM EXC: | 23,356.00+ | 306 DT/OR EXC: | 51,752.00+ |
| 308 S1TRDT AM: | 51,698.63+ | | | | |
| 314 REGT AM : | 23,356.00+ | 316 ASFT-OPN : | 51,698.63+ | 318 ASFT-EOD : | 51,698.63+ |
| 320 CASH EOD : | 28,396.94+ | | | | |

* FUNDS ON DEPOSIT IN BANK SWEEP ACCOUNTS ("034 BANK BAL") ARE NOT DEPOSITS OR OBLIGATIONS OF CHARLES SCHWAB & CO., INC. AND MAY NOT BE COVERED BY THE SECURITIES INVESTOR PROTECTION CORPORATION (SIPC)

*****ACCOUNT POSITIONS*****

| TY | QTY | LOCATION | SYM/SEC# | DESCRIPTION | PRICE |
|----------|-----------|-----------------|----------|--------------------------|---------|
| 2 | 176.00000 | JNUG 03/29/2018 | 14.50 C | CALL DIREXION SHARES E T | |
| 0.52500 | 9,240.00 | | | | |
| | | | \$14.5 | EXP 03/29/18 | |
| 2 | 50.00000 | JNUG 04/06/2018 | 15.00 C | CALL DIREXION SHARES E T | 0.66000 |
| 3,300.00 | | | | | |
| | | | \$15 | EXP 04/06/18 | |
| 2 | 30.00000 | JNUG 04/13/2018 | 17.00 C | CALL DIREXION SHARES E T | 0.37500 |
| 1,125.00 | | | | | |
| | | | \$17 | EXP 04/13/18 | |
| 2 | 200.00000 | SLV 04/20/2018 | 16.00 C | CALL ISHR SILVER TR | 0.19000 |
| 3,800.00 | | | | | |
| | | | \$16 | EXP 04/20/18 | |
| 2 | 431.00000 | SLV 04/06/2018 | 16.00 C | CALL ISHR SILVER TR | 0.10500 |

BUSINESS DATE: 03/27/2018 RESTR: S OPT LVL: 2
PRBAD23C-01 PAGE: 58343

REPORT:

ACCOUNT: * [REDACTED] 5612 NAME: [REDACTED] 5120 MAYBERRY ST APT 1104

*****ACCOUNT BALANCES*****

| | | | | | | |
|----------------|------------|-----------------|-------------|-----------------|------------|-----|
| 001 AC NETWRT: | 38,419.53+ | 010 HOLD ALL\$: | 7 | 012 AVLT1 BAL: | 51,698.63+ | 013 |
| HSE EX/CL: | 90,738.00- | | | | | |
| 014 OPT MINEQ: | 15,333.00- | 018 NETMGNBAL: | 90,737.88- | 019 MGNBAL ST: | 90,737.88- | |
| 025 MRGN BAL : | 90,738.00- | | | | | |
| 026 CASH AVAL: | 51,752.91+ | 028 CSH BAL S: | 51,752.91+ | 030 AVL MGN B: | 90,737.88- | |
| 034 BANK BAL : | 51,752.91+ | | | | | |
| 044 PRV NWCHG: | 59,818.88- | 045 AV 2WIRE : | 999,999.00- | 056 CSHHLD TL: | 54.28+ | |
| 064 TOT FEDCL: | 38,986.00- | | | | | |
| 066 HSE MAINT: | 38,985.00- | 072 MGN CL DU: | 38,986.00- | 074 \$ DUE TOT: | 38,986.00- | 080 |
| TCL DUE Y: | 38,986.00- | | | | | |
| 087 MRGN ATT : | 90,738.00- | 118 SHTBAL ST: | 2,871.51- | 120 CASH BAL : | 51,752.91+ | 123 |
| MRGN BAL : | 87,866.37- | | | | | |
| 125 SHORT BAL: | 2,871.51- | 128 TOT AC BL: | 38,984.97- | 131 MARGIN EQ: | 90,737.88- | 133 |
| EQTY PCT : | 1.00- | | | | | |
| 135 EQ W/OPT : | 13,333.38- | 137 SMA/FED : | 90,739.00- | 139 SCH X/CL : | 90,738.00- | 141 |
| REG X/CL : | 90,738.00- | | | | | |
| 143 TOT BAL S: | 38,984.97- | 147 TOT BAL E: | 54.28+ | 148 NEW T CL : | 38,986.00- | 164 |
| OPMVL MGN: | 81,679.50+ | | | | | |
| 166 OPMVS MGN: | 4,275.00- | 168 TOTAL MV : | 77,404.50+ | 185 T1 FC EOD: | 51,752.91+ | |
| 188 MGINT MTD: | 54.28+ | | | | | |
| 199 SCH OPTME: | 2,000.00+ | 215 CSHBALEOD: | 51,752.91+ | 217 CSH BAL S: | 51,752.91+ | |
| 218 MGN BAL S: | 87,866.37- | | | | | |
| 219 MGN BAL E: | 51,698.63- | 247 BKOMS STM: | 51,752.91+ | 250 T1 FREECR: | 51,752.91+ | |
| 254 CASH BAL : | 51,752.91+ | | | | | |
| 314 REGT AM : | 90,738.00- | 316 ASFT-OPN : | 39,039.25- | 318 ASFT-EOD : | 39,039.25- | 320 |
| CASH EOD : | 51,752.91+ | | | | | |

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*****ACCOUNT POSITIONS*****

| TY | QTY | LOCATION | SYM/SEC# | DESCRIPTION | PRICE |
|----------|-----------|----------|--------------------|--------------------------|---------|
| 2 | 176.00000 | JNUG | 03/29/2018 14.50 C | CALL DIREXION SHARES E T | |
| 0.15500 | 2,728.00 | | | | |
| | | | \$14.5 | EXP 03/29/18 | |
| 2 | 50.00000 | JNUG | 04/06/2018 15.00 C | CALL DIREXION SHARES E T | 0.31500 |
| 1,575.00 | | | | | |
| | | | \$15 | EXP 04/06/18 | |
| 2 | 500.00000 | JNUG | 04/06/2018 16.00 C | CALL DIREXION SHARES E T | |
| 0.15500 | 7,750.00 | | | | |
| | | | \$16 | EXP 04/06/18 | |
| 2 | 30.00000 | JNUG | 04/13/2018 17.00 C | CALL DIREXION SHARES E T | 0.25500 |
| 765.00 | | | | | |
| | | | \$17 | EXP 04/13/18 | |
| 2 | 200.00000 | SLV | 04/20/2018 16.00 C | CALL ISHR SILVER TR | 0.13500 |
| 2,700.00 | | | | | |
| | | | \$16 | EXP 04/20/18 | |
| 2 | 431.00000 | SLV | 04/06/2018 16.00 C | CALL ISHR SILVER TR | 0.06500 |
| 2,801.50 | | | | | |
| | | | \$16 | EXP 04/06/18 | |
| 2 | 150.00000 | UVXY | 03/29/2018 21.00 C | CALL PROSHARES TRUST II | |
| 0.62500 | 9,375.00 | | | | |
| | | | \$21 | EXP 03/29/18 | |

BUSINESS DATE: 03/28/2018
PRBAD23C-01 PAGE: 58373

RESTR: OPT LVL: 2

REPORT:

ACCOUNT: * [REDACTED] 5612 NAME: [REDACTED] 5120 MAYBERRY ST APT 1104 N &

*****ACCOUNT BALANCES*****

| | | | | | |
|----------------|------------|----------------|------------|-----------------|----------------|
| 001 AC NETWRT: | 33,928.92+ | 006 BRKR BAL : | 0.64+ | 010 HOLD ALL\$: | 7 011 |
| BRKRBAL S: | 0.64+ | | | | |
| 012 AVLT1 BAL: | 0.64+ | 013 HSE EX/CL: | 11,036.00- | 014 OPT MINEQ: | 31,928.00+ 018 |
| NETMGNBAL: | 11,036.22- | | | | |
| 019 MGNBAL ST: | 11,036.22- | 025 MRGN BAL : | 11,036.22- | 026 CASH AVAL: | 0.64+ 028 |
| CSH BAL S: | 0.64+ | | | | |
| 030 AVL MGN B: | 11,036.22- | 044 PRV NWCHG: | 4,490.61- | 045 AV 2WIRE : | 999,999.00- |
| 064 TOT FEDCL: | 10,983.00- | | | | |
| 066 HSE MAINT: | 11,035.00- | 072 MGN CL DU: | 11,035.00- | 074 \$ DUE TOT: | 11,035.00- 087 |
| MRGN ATT : | 11,036.22- | | | | |
| 120 CASH BAL : | 0.64+ | 123 MRGN BAL : | 11,036.22- | 128 TOT AC BL: | 11,035.58- 131 |
| MARGIN EQ: | 11,036.22- | | | | |
| 133 EQTY PCT : | 1.00- | 135 EQ W/OPT : | 33,928.28+ | 137 SMA/FED : | 10,984.00- 139 |
| SCH X/CL : | 11,036.00- | | | | |
| 141 REG X/CL : | 11,036.00- | 143 TOT BAL S: | 11,035.58- | 147 TOT BAL E: | 3,041.42+ 164 |
| OPMVL MGN: | 47,177.00+ | | | | |
| 166 OPMVS MGN: | 2,212.50- | 168 TOTAL MV : | 44,964.50+ | 185 T1 FC EOD: | 0.64+ 199 |
| SCH OPTME: | 2,000.00+ | | | | |
| 215 CSHBALEOD: | 0.64+ | 217 CSH BAL S: | 0.64+ | 218 MGN BAL S: | 11,036.22- 219 |
| MGN BAL E: | 3,040.78+ | | | | |
| 250 T1 FREECR: | 0.64+ | 254 CASH BAL : | 0.64+ | 312 IMM DUE : | 11,034.36- 314 |
| REGT AM : | 11,036.00- | | | | |
| 316 ASFT-OPN : | 11,035.58- | 318 ASFT-EOD : | 11,035.58- | 320 CASH EOD : | 0.64+ |

*****ACCOUNT POSITIONS*****

| TY | QTY | LOCATION | SYM/SEC# | DESCRIPTION | PRICE |
|----------|-----------|----------|---------------------|--------------------------|---------|
| 2 | 176.00000 | JNUG | 03/29/2018 14.50 C | CALL DIREXION SHARES E T | |
| 0.01000 | 176.00 | | | | |
| | | | \$14.5 | EXP 03/29/18 | |
| 2 | 50.00000 | JNUG | 04/06/2018 15.00 C | CALL DIREXION SHARES E T | 0.12000 |
| 600.00 | | | | | |
| | | | \$15 | EXP 04/06/18 | |
| 2 | 500.00000 | JNUG | 04/06/2018 16.00 C | CALL DIREXION SHARES E T | |
| 0.05500 | 2,750.00 | | | | |
| | | | \$16 | EXP 04/06/18 | |
| 2 | 30.00000 | JNUG | 04/13/2018 17.00 C | CALL DIREXION SHARES E T | 0.10500 |
| 315.00 | | | | | |
| | | | \$17 | EXP 04/13/18 | |
| 2 | 200.00000 | SLV | 04/20/2018 16.00 C | CALL ISHR SILVER TR | 0.08500 |
| 1,700.00 | | | | | |
| | | | \$16 | EXP 04/20/18 | |
| 2 | 431.00000 | SLV | 04/06/2018 16.00 C | CALL ISHR SILVER TR | 0.03500 |
| 1,508.50 | | | | | |
| | | | \$16 | EXP 04/06/18 | |
| 2 | 150.00000 | UVXY | 03/29/2018 21.00 C | CALL PROSHARES TRUST II | |
| 0.60000 | 9,000.00 | | | | |
| | | | \$21 | EXP 03/29/18 | |
| 2 | 60.00000 | UVXY | 03/29/2018 20.50 C | CALL PROSHARES TRUST II | 0.79000 |
| 4,740.00 | | | | | |
| | | | \$20.5 | EXP 03/29/18 | |
| 2 | 600.00000 | GLD | 03/29/2018 127.00 C | CALL SPDR GOLD TR | 0.05000 |
| 3,000.00 | | | | | |
| | | | \$127 | EXP 03/29/18 | |
| 2 | 300.00000 | GLD | 03/29/2018 128.00 C | CALL SPDR GOLD TR | 0.02500 |
| 750.00 | | | | | |
| | | | \$128 | EXP 03/29/18 | |
| 2 | 450.00000 | GLD | 03/29/2018 129.00 C | CALL SPDR GOLD TR | 0.01000 |

BUSINESS DATE: 03/29/2018
PRBAD23C-01 PAGE: 58389

RESTR: OPT LVL: 2

REPORT:

ACCOUNT: * 5612 NAME: 5120 MAYBERRY ST APT 1104 N &

*****ACCOUNT BALANCES*****

| | | | | | | |
|----------------|-------------|-----------------|-----------|-----------------|------------|-----|
| 001 AC NETWRT: | 23,149.83+ | 010 HOLD ALL\$: | 7 | 013 HSE EX/CL: | 1,464.00+ | 014 |
| OPT MINEQ: | 21,150.00+ | | | | | |
| 015 IME X/C : | 1,464.00+ | 018 NETMGNBAL: | 1,463.83+ | 019 MGNBAL ST: | 1,463.83+ | 025 |
| MRGN BAL : | 1,850.17- | | | | | |
| 030 AVL MGN B: | 1,463.83+ | 042 TOT AV2PY: | 1,463.83+ | 044 PRV NWCHG: | 10,779.09- | |
| 045 AV 2WIRE : | 999,999.00- | | | | | |
| 070 IME CL DU: | 1,850.00- | 072 MGN CL DU: | 1,850.00- | 074 \$ DUE TOT: | 1,850.00- | 087 |
| MRGN ATT : | 1,850.17- | | | | | |
| 123 MRGN BAL : | 1,463.83+ | 128 TOT AC BL: | 1,463.83+ | 131 MARGIN EQ: | 1,463.83+ | 133 |
| EQTY PCT : | 1.00+ | | | | | |
| 135 EQ W/OPT : | 23,149.83+ | 137 SMA/FED : | 1,516.00+ | 139 SCH X/CL : | 1,850.17- | 141 |
| REG X/CL : | 1,850.00- | | | | | |
| 143 TOT BAL S: | 1,463.83+ | 147 TOT BAL E: | 1,463.83+ | 164 OPMVL MGN: | 23,411.00+ | |
| 166 OPMVS MGN: | 1,725.00- | | | | | |
| 168 TOTAL MV : | 21,686.00+ | 199 SCH OPTME: | 2,000.00+ | 218 MGN BAL S: | 1,463.83+ | |
| 219 MGN BAL E: | 1,463.83+ | | | | | |
| 304 NY/IM EXC: | 1,464.00+ | 306 DT/OR EXC: | 5,855.00+ | 308 S1TRDT AM: | 1,463.83+ | 312 |
| IMM DUE : | 1,850.00- | | | | | |
| 314 REGT AM : | 1,464.00+ | 316 ASFT-OPN : | 1,463.83+ | 318 ASFT-EOD : | 1,463.83+ | |

*****ACCOUNT POSITIONS*****

| TY | QTY | LOCATION | SYM/SEC# | DESCRIPTION | PRICE |
|----------|-----------|----------|---------------------|--------------------------|---------|
| 2 | 176.00000 | JNUG | 03/29/2018 14.50 C | CALL DIREXION SHARES E T | |
| 0.01000 | 176.00 | | | | |
| | | | \$14.5 | EXP 03/29/18 | |
| 2 | 50.00000 | JNUG | 04/06/2018 15.00 C | CALL DIREXION SHARES E T | 0.09000 |
| 450.00 | | | | | |
| | | | \$15 | EXP 04/06/18 | |
| 2 | 500.00000 | JNUG | 04/06/2018 16.00 C | CALL DIREXION SHARES E T | |
| 0.04000 | 2,000.00 | | | | |
| | | | \$16 | EXP 04/06/18 | |
| 2 | 30.00000 | JNUG | 04/13/2018 17.00 C | CALL DIREXION SHARES E T | 0.07000 |
| 210.00 | | | | | |
| | | | \$17 | EXP 04/13/18 | |
| 2 | 200.00000 | SLV | 04/20/2018 16.00 C | CALL ISHR SILVER TR | 0.09500 |
| 1,900.00 | | | | | |
| | | | \$16 | EXP 04/20/18 | |
| 2 | 431.00000 | SLV | 04/06/2018 16.00 C | CALL ISHR SILVER TR | 0.02500 |
| 1,077.50 | | | | | |
| | | | \$16 | EXP 04/06/18 | |
| 2 | 150.00000 | UVXY | 03/29/2018 21.00 C | CALL PROSHARES TRUST II | |
| 0.01000 | 150.00 | | | | |
| | | | \$21 | EXP 03/29/18 | |
| 2 | 60.00000 | UVXY | 03/29/2018 20.50 C | CALL PROSHARES TRUST II | 0.01000 |
| 60.00 | | | | | |
| | | | \$20.5 | EXP 03/29/18 | |
| 2 | 600.00000 | GLD | 03/29/2018 127.00 C | CALL SPDR GOLD TR | 0.01000 |
| 600.00 | | | | | |
| | | | \$127 | EXP 03/29/18 | |
| 2 | 300.00000 | GLD | 03/29/2018 128.00 C | CALL SPDR GOLD TR | 0.01500 |
| 450.00 | | | | | |
| | | | \$128 | EXP 03/29/18 | |
| 2 | 450.00000 | GLD | 03/29/2018 129.00 C | CALL SPDR GOLD TR | 0.01000 |
| 450.00 | | | | | |
| | | | \$129 | EXP 03/29/18 | |
| 2 | 450.00000 | GLD | 04/20/2018 134.00 C | CALL SPDR GOLD TR | 0.07500 |
| 3,375.00 | | | | | |

**FINANCIAL INDUSTRY REGULATORY AUTHORITY
LETTER OF ACCEPTANCE, WAIVER, AND CONSENT
NO. 2019061076001**

TO: Department of Enforcement
Financial Industry Regulatory Authority (FINRA)

RE: Barclays Capital Inc. (Respondent)
Member Firm
CRD No. 19714

Pursuant to FINRA Rule 9216, Respondent Barclays Capital Inc. submits this Letter of Acceptance, Waiver, and Consent (AWC) for the purpose of proposing a settlement of the alleged rule violations described below. This AWC is submitted on the condition that, if accepted, FINRA will not bring any future actions against Respondent alleging violations based on the same factual findings described in this AWC.

I.

ACCEPTANCE AND CONSENT

A. Respondent accepts and consents to the following findings by FINRA without admitting or denying them:

BACKGROUND

Barclays Capital became a FINRA member in October 1987. The firm is headquartered in New York, New York and has 16 branches with approximately 3,000 registered representatives. Barclays Capital's business includes options and equities trading on behalf of itself and customers, underwriting, and market-making.

In May 2018, FINRA, Cboe BZX Exchange, Inc., and Miami International Securities Exchange, LLC censured and fined the firm \$400,000 for failing to report options positions to the Large Options Positions Reporting (LOPR) system in over 310,000 instances and inaccurately reporting options positions to the LOPR in 2.7 million instances between January 2010 and December 2015, and imposed an undertaking requiring the firm to correct supervisory and technological deficiencies.

In January 2014, FINRA censured and fined the firm \$750,000 for failing to report positions to the LOPR in over 1.47 million instances, submitting inaccurate reports in over 700,000 instances, exceeding applicable position limits in four options, and failing to establish and maintain a supervisory system reasonably designed to achieve compliance with LOPR requirements and applicable position limits between January 2010 and March 2013.¹

¹ For more information about the firm, including prior regulatory events, visit BrokerCheck® at www.finra.org/brokercheck.

OVERVIEW

From January 2011 through December 2022, Barclays Capital failed to report, or inaccurately reported, over-the-counter options positions to the LOPR in approximately 4.3 million instances in violation of FINRA Rules 2360(b)(5) and 2010. The firm also failed to establish and maintain a supervisory system reasonably designed to achieve compliance with FINRA Rule 2360(b)(5) during the same period in violation of NASD Rule 3010 and FINRA Rules 3110² and 2010.

FACTS AND VIOLATIVE CONDUCT

This matter originated from FINRA's OTC exercise limit review of Barclays Capital and the firm's self-reporting of three of the four reporting issues discussed below.

A. Barclays Capital failed to report, or inaccurately reported, OTC positions to the LOPR.

1. Background — LOPR Reporting

FINRA requires member firms to report large options positions to the LOPR.³ FINRA uses LOPR information to identify holders of large options positions and to surveil for potentially manipulative behavior, including attempts to corner the market in the underlying equity, leverage an option position to affect the price, or move the underlying equity to change the value of a large option position. The accuracy of LOPR reporting is essential to FINRA's surveillance. It is particularly important with respect to the OTC options market because there is no independent source of data for regulators to review OTC options.

FINRA Rule 2360(b)(5) requires member firms to report to the LOPR each customer or firm account that, acting alone or in concert, has established an aggregate position of 200 or more option contracts on the same side of the market covering the same underlying security or index. The report must identify the account holder and the total number of option contracts for each options class comprising the reportable position and must include other information as prescribed by FINRA.

A violation of FINRA Rule 2360(b) also is a violation of FINRA Rule 2010, which requires "[a] member, in the conduct of its business, [to] observe high standards of commercial honor and just and equitable principles of trade."

2. Barclays Capital's LOPR reporting violations

From January 2011 through December 2022, Barclays Capital failed to report, or inaccurately reported, OTC options positions to the LOPR in approximately 4.3 million

² FINRA Rule 3110 superseded NASD Rule 3010 on December 1, 2014.

³ The Options Clearing Corporation hosts the LOPR system and collects and disseminates all LOPR data for the U.S. options exchanges and FINRA.

instances.⁴ These reporting violations stemmed from four separate coding errors, which spanned from four years to approximately eight years.

First, from January 2011 through September 2019, Barclays Capital failed to report OTC positions to the LOPR in approximately 3.6 million instances. In these instances, the firm applied aggregation logic that improperly failed to aggregate positions on the same side of the market covering the same underlying security or index if certain features of the positions, such as the strike price or expiration date, did not match.

Second, from March 2011 through April 2019, Barclays Capital failed to report Exchange Traded Fund (ETF) option positions to the LOPR in approximately 392,000 instances. These failures were caused by Barclays Capital inadvertently applying to reportable ETF option positions a suppression logic that prevented the submission of non-reportable positions.

Third, from January 2014 through October 2021, Barclays Capital failed to report OTC options positions to the LOPR in approximately 24,000 instances. In these instances, coding errors caused positions that were either booked or re-booked after the trade date to be reported with a trade date that was later than the actual trade date. As a result, positions were not reported during the time between the actual trade date and the later, incorrectly reported trade date.

Fourth, from January 2018 to December 2022, Barclays Capital failed to accurately report quantities of certain OTC option positions held in firm accounts in approximately 300,000 instances. These failures stemmed from a systems logic issue that began when Barclays Capital transitioned the LOPR submission process to a new trading software platform.

Therefore, Barclays Capital violated FINRA Rules 2360(b)(5) and 2010.

B. Barclays Capital failed to reasonably supervise LOPR reporting.

FINRA Rule 3110(a), like its predecessor NASD Rule 3010(a), requires a member firm to establish and maintain a system to supervise the activities of each associated person that is reasonably designed to achieve compliance with applicable securities laws and regulations, and with applicable FINRA rules. A violation of NASD Rule 3010 or FINRA Rule 3110 also is a violation of FINRA Rule 2010.

From 2011 through 2022, Barclays Capital failed to establish and maintain a supervisory system reasonably designed to achieve compliance with FINRA Rule 2360(b)(5), as described below. First, from January 2011 through September 2019, the firm's supervisory system and procedures did not include reviews to determine whether the firm properly aggregated all positions as required.

⁴ An "instance" is a single failure to report, or an inaccurate report of, a reportable options position. The number of instances is determined by multiplying a given reportable position by the number of trade dates the position was not reported or reported incorrectly.

Second, from March 2011 through April 2019, the firm only reviewed the positions that it reported, and did not conduct a reasonable supervisory review to ensure that all reportable positions were, in fact, reported.

Third, from January 2014 through October 2021, the firm did not have a reasonably designed supervisory review to determine whether it reported positions with the correct trade date. Lastly, from January 2018 through December 2022, the firm did not have a reasonably designed supervisory review to determine whether it reported accurate quantities of OTC option positions held in firm accounts. As a result of these supervisory failures, Barclays Capital did not detect and correct the flawed aggregation logic, the improper suppression of reportable ETF option positions, and the coding errors concerning the effective dates and reported quantities of certain positions for over ten years.

Therefore, Barclays Capital violated NASD Rule 3010 and FINRA Rules 3110 and 2010.

SANCTIONS CONSIDERATIONS

In determining the appropriate sanctions in this matter, FINRA considered, among other factors, that Barclays Capital: (1) identified, self-reported to FINRA, and remediated the issues described in Section A.2. above concerning its erroneous aggregation logic and positions reported with either incorrect trade dates or incorrect quantities; (2) determined the number of OTC LOPR positions reported with inaccurate quantities going back to January 2018; and (3) implemented numerous enhancements to its supervision, surveillance, and governance structure concerning LOPR.

B. Respondent also consents to the imposition of the following sanctions:

- a censure; and
- a fine of \$2.5 million.

Respondent agrees to pay the monetary sanction upon notice that this AWC has been accepted and that such payment is due and payable. Respondent has submitted an Election of Payment form showing the method by which it proposes to pay the fine imposed.

Respondent specifically and voluntarily waives any right to claim an inability to pay, now or at any time after the execution of this AWC, the monetary sanction imposed in this matter.

The sanctions imposed in this AWC shall be effective on a date set by FINRA.

II.

WAIVER OF PROCEDURAL RIGHTS

Respondent specifically and voluntarily waives the following rights granted under FINRA's Code of Procedure:

- A. To have a complaint issued specifying the allegations against it;
- B. To be notified of the complaint and have the opportunity to answer the allegations in writing;
- C. To defend against the allegations in a disciplinary hearing before a hearing panel, to have a written record of the hearing made, and to have a written decision issued; and
- D. To appeal any such decision to the National Adjudicatory Council (NAC) and then to the U.S. Securities and Exchange Commission and a U.S. Court of Appeals.

Further, Respondent specifically and voluntarily waives any right to claim bias or prejudice of the Chief Legal Officer, the NAC, or any member of the NAC, in connection with such person's or body's participation in discussions regarding the terms and conditions of this AWC, or other consideration of this AWC, including its acceptance or rejection.

Respondent further specifically and voluntarily waives any right to claim that a person violated the ex parte prohibitions of FINRA Rule 9143 or the separation of functions prohibitions of FINRA Rule 9144, in connection with such person's or body's participation in discussions regarding the terms and conditions of this AWC, or other consideration of this AWC, including its acceptance or rejection.

III.

OTHER MATTERS

Respondent understands that:

- A. Submission of this AWC is voluntary and will not resolve this matter unless and until it has been reviewed and accepted by the NAC, a Review Subcommittee of the NAC, or the Office of Disciplinary Affairs (ODA), pursuant to FINRA Rule 9216;
- B. If this AWC is not accepted, its submission will not be used as evidence to prove any of the allegations against Respondent; and
- C. If accepted:

1. this AWC will become part of Respondent's permanent disciplinary record and may be considered in any future action brought by FINRA or any other regulator against Respondent;
2. this AWC will be made available through FINRA's public disclosure program in accordance with FINRA Rule 8313;
3. FINRA may make a public announcement concerning this agreement and its subject matter in accordance with FINRA Rule 8313; and
4. Respondent may not take any action or make or permit to be made any public statement, including in regulatory filings or otherwise, denying, directly or indirectly, any finding in this AWC or create the impression that the AWC is without factual basis. Respondent may not take any position in any proceeding brought by or on behalf of FINRA, or to which FINRA is a party, that is inconsistent with any part of this AWC. Nothing in this provision affects Respondent's right to take legal or factual positions in litigation or other legal proceedings in which FINRA is not a party. Nothing in this provision affects Respondent's testimonial obligations in any litigation or other legal proceedings.

D. Respondent may attach a corrective action statement to this AWC that is a statement of demonstrable corrective steps taken to prevent future misconduct. Respondent understands that it may not deny the charges or make any statement that is inconsistent with the AWC in this statement. This statement does not constitute factual or legal findings by FINRA, nor does it reflect the views of FINRA.

The undersigned, on behalf of Respondent, certifies that a person duly authorized to act on Respondent's behalf has read and understands all of the provisions of this AWC and has been given a full opportunity to ask questions about it; that Respondent has agreed to the AWC's provisions voluntarily; and that no offer, threat, inducement, or promise of any kind, other than the terms set forth in this AWC and the prospect of avoiding the issuance of a complaint, has been made to induce Respondent to submit this AWC.

April 13, 2023

Date

Magda Jimenez Train

Barclays Capital Inc.
Respondent

Print Name: Magda Jimenez Train

Title: Director

Reviewed by:

Michael J. Lohnes

Michael J. Lohnes, Esq.
Counsel for Respondent
Katten Muchin Roseman LLP
525 West Monroe Street
Chicago, Illinois 60661-3693

Accepted by FINRA:

Signed on behalf of the
Director of ODA, by delegated authority

April 18, 2023

Date

Kevin M. McGee

Kevin M. McGee
Senior Counsel
FINRA
Department of Enforcement
15200 Omega Drive, Suite 300
Rockville, Maryland 20850-3241