



## Public Disclosure Form



|             |                         |                                        |        |                 |          |                |   |
|-------------|-------------------------|----------------------------------------|--------|-----------------|----------|----------------|---|
| Derivatives | Other types of products | Unsolicited client facilitation - Sale | 26,517 | 5 February 2020 | \$7.4568 | \$197,731.9656 | 0 |
|-------------|-------------------------|----------------------------------------|--------|-----------------|----------|----------------|---|

|  |  |             |                         |                                            |        |                  |          |                |   |
|--|--|-------------|-------------------------|--------------------------------------------|--------|------------------|----------|----------------|---|
|  |  | Derivatives | Other types of products | Unsolicited client facilitation - Sale     | 43,994 | 4 September 2018 | \$7.2864 | \$320,556.2818 | 0 |
|  |  | Derivatives | Other types of products | Unsolicited client facilitation - Purchase | 1      | 1 August 2019    | \$7.2864 | \$7.2864       | 0 |