

Futures Account Statements Help Guide

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HOW TO READ YOUR DAILY ACCOUNT STATEMENT

Our statement format has five main sections:

1. Confirmation	A listing of all futures and options transactions made as of the date indicated.
2. Purchase & Sale	A listing of offsetting transactions and the resulting profit/loss information.
3. Journal Entries	A listing of all cash transactions affecting the account's ledger balance.
4. Open Positions	A listing of all open positions with trade prices, current settlement prices and unrealized profits or losses, as well as any securities on deposit and their market value.
5. Account Summary	A summary of financial totals by individual currency, as well as their value in US Dollars.

These five sections overlay a framework of descriptive columns:

A. TRADE SETTL	Trade date of the transaction.
B. AT	Account Type. Denotes regulated, unregulated or secured account type.
C. BUY	Denotes quantity bought.
D. SELL	Denotes quantity sold.
E. DESCRIPTION	In Journal Entries, this indicates the description of the transaction. In adjustments, this indicates the adjustment description, but in other sections this indicates the description of the futures or options contract.
F. EX	When used, this denotes the exchange where the contract was traded.
G. PRICE LEGEND	Price per unit of the futures or options contract.
H. CC	The underlying currency code.
I. DEBIT(DR)/CREDIT	In Open Positions, this indicates the unrealized P&L. In other sections, this indicates the total debit or credit to the account balance. Note how debits show DR after the amounts.

1. CONFIRMATION

This section contains a listing of all the contracts bought or sold as of the date indicated, which usually matches the statement date. It shows all the pertinent information under the columns A-I described above. The column headers begin with "A" on the left (TRADE SETTL) and end with "I" (DEBIT(DR)/CREDIT) on the right. The symbol "*" at the right of some values denotes the totals. The information is grouped by contract, showing the subtotals below each contract group (i.e., COMMISSION, EXCHANGE & CLEARING FEE, etc.).

HOW TO READ YOUR DAILY ACCOUNT STATEMENT

1. CONFIRMATION (Continued)

A	B	C	D	E	F	G	H	I	
TRADE	SETTL	AT	BUY	SELL	CONTRACT DESCRIPTION	EX	TRADE PRICE	CC	DEBIT (DR)/CREDIT
9/11/4	F1			20	SEP 14 EMINI S&P 500	16	1987.00	US	
9/11/4	F1		20		ELECTRONIC TRADE SEP 14 EMINI S&P 500	16	1989.00	US	
9/11/4	F1		20		ELECTRONIC TRADE SEP 14 EMINI S&P 500	16	1992.75	US	
9/11/4	F1			20	ELECTRONIC TRADE SEP 14 EMINI S&P 500	16	1992.75	US	
	F1		40*	40*					COMMISSION US 24.00DR
	F1								EXCHANGE & CLEARING FEE US 55.80DR
	F1								NFA FEE US .72DR
	F1								TOTAL COMMISSION & FEES US 79.80DR

2. PURCHASE & SALE

This section contains a listing of all offsetting transactions and the resulting profit or loss information as of the date indicated, which usually matches the statement date. The information is grouped by contract, showing a subtotal below each contract group (i.e., GROSS PROFIT/LOSS FROM TRADES).

TRADE	SETTL	AT	BUY	SELL	CONTRACT DESCRIPTION	EX	TRADE PRICE	CC	DEBIT (DR)/CREDIT
9/11/4	F1			20	SEP 14 EMINI S&P 500	16	1987.00	US	
9/11/4	F1		20		SEP 14 EMINI S&P 500	16	1989.00	US	
9/11/4	F1		20		SEP 14 EMINI S&P 500	16	1992.75	US	
9/11/4	F1			20	SEP 14 EMINI S&P 500	16	1992.75	US	
	F1		40*	40*	GROSS PROFIT/LOSS FROM TRADES				US 1,500.00DR

Additionally, trade-related adjustments may be found at the end of this section.

ADJUSTMENT	DESCRIPTION	EX LEGEND	CC	DEBIT (DR)/CREDIT
F1	Commission Rebate TD 09-22-14 01		US	.00
	2105432101S-201411			
			COMMISSION US	19.80
			TOTAL COMMISSION & FEES US	19.80
MU	Commission Rebate TD 09-22-14 27		EU	.00
	2105432127BM201412			
			COMMISSION US	6.60
			TOTAL COMMISSION & FEES US	6.60

HOW TO READ YOUR DAILY ACCOUNT STATEMENT

3. JOURNAL ENTRIES

Journal Entries show all financial transactions affecting the balance of the account, including all receipts and/or disbursements related to cash margin deposits, securities, cash adjustments, etc.

THE FOLLOWING JOURNAL ENTRIES HAVE BEEN POSTED TO YOUR ACCOUNT.

TRADE	SETTL	AT	JOURNAL DESCRIPTION	CC	DEBIT(DR)/CREDIT
9/03/4	F1		TRADESTATION: NYSE 09/14	US	1.00DR
9/03/4	F1		TRADESTATION: GLOBEX VALUE BUN	US	20.00DR
9/03/4	F1		TRADESTATION: NASD 09/14	US	1.00DR

4. OPEN POSITIONS

All positions that remain open and not offset are shown. These are active positions reflected in the same format as in the CONFIRMATION and PURCHASE & SALE sections of the account statement. The debit/credit column provides unrealized profit or loss as of the statement date. Options positions are presented at gross market value as are the corresponding delta and futures equivalent values. The highest-priced traded contract, whether a long or short position, will be carried forward from one session to the next. The lowest-priced buys and sells from the prior trading session are matched up, leaving the highest-priced remaining contract to be carried forward. This methodology has no effect on the net worth of the account, but may affect the unrealized profit/loss for the next session.

* * * * * O P E N P O S I T I O N S * * * * *									
TRADE	SETTL	AT	LONG	SHORT	CONTRACT DESCRIPTION	EX	PRICE	CC	DEBIT(DR)/CREDIT
8/21/4	F1		1		SEP 14 CBT T-BONDS	01	140-03	US	31.25DR
			1*				140-02		31.25DR
8/13/4	F1		1		SEP 14 IMM AUST \$	16	92.640	US	240.00
			1*				92.880		240.00

HOW TO READ YOUR DAILY ACCOUNT STATEMENT

5. ACCOUNT SUMMARY

Finally, the account summary section provides an outline of key financial aspects of your account for all applicable US Dollar and foreign currency segments. Additionally, the summary includes all segment values notionally converted to the base currency of your account and then totaled, in order to provide an aggregated view of your account.

The account summary sections are:

BEGINNING BALANCE	Account balance at the close of business the previous day.
COMMISSIONS	Commissions paid to the brokerage for trades placed.
CLEARING FEES	Total fees charged by clearing houses for servicing trades placed.
EXCHANGE FEES	Total exchange fees charged for trades placed.
NFA FEES	Total assessment fees charged by the NFA for trades placed.
TOTAL COMMISSIONS & FEES	Total of all commissions and fees from posted trades.
GROSS P/L	Total profit or loss from trades placed.
NET P/L FROM TRADES	Value of profit or loss less the total of all commissions and fees.
END BALANCE	Beginning balance +/- net P/L from trades.
OPEN TRADE EQUITY	Potential profit or loss of total current futures positions liquidated at current settlement prices.
TOTAL EQUITY	Account balance +/- open trade equity.
LIQUIDATION VALUE	Account value if all positions were liquidated at current settlement prices.
TOTAL ACCOUNT MARKET VALUE	Total market value of all positions in the account.
INIT MARGIN REQ	Current initial margin requirements for positions held.
MAINT MARGIN REQ	Current maintenance margin requirements for positions held.
MARGIN EXCESS/DEFICIT	Cash balance above or below initial margin requirement.
CURRENCY CONVERSION RATE	Conversion rate to US Dollars.
CONVERTED ACCOUNT VALUE AT MARKET	Account market value in US Dollars for foreign balances.

	US\$--SEGREGATED(F1)	JAPANESE YEN REG	* CONVERTED TO USD *
BEGINNING BALANCE	14.98DR	0	14.98DR
COMMISSIONS	56.40DR	6DR	56.47DR
CLEARING FEES	39.95DR	8DR	40.05DR
EXCHANGE FEES	11.71DR	0	11.71DR
NFA FEES	.52DR	0	.52DR
TOTAL COMMISSIONS & FEES	108.58DR	14DR	108.75DR
GROSS P/L	895.00	0	895.00
NET PROFIT/LOSS FROM TRADES	786.42	14DR	786.25
END BALANCE	771.44	14DR	771.27
OPEN TRADE EQUITY	5,627.63DR	208,750	2,980.17DR
TOTAL EQUITY	4,856.19DR	208,735	2,208.90DR
LIQ VALUE	4,856.19DR	208,735	2,208.90DR
TOTAL ACCOUNT MARKET VALUE	5,755.35DR	260,919	2,761.12DR
INIT MARGIN REQ	27,767.00	382,250	32,614.87
MAINT MARGIN REQ	25,242.00	347,500	29,649.15
MARGIN EXCESS/DEFICIT	32,623.19DR	173,514DR	34,823.77DR
CURRENCY CONVERSION RATE TO US	1.0000000	.01268246	1.0000000
CONVERTED ACCOUNT VALUE AT MKT	4,856.19DR	2,647.28	2,208.90DR

HOW TO READ YOUR MONTHLY ACCOUNT STATEMENT

Our statement sections are:

- 1. Your Activity This Month** A listing of all transactions made during the month, with all pertinent information listed underneath the columns (A-J) described above.
- 2. Positions in Your Account** A listing of all open positions with trade prices, current settlement prices and unrealized profits or losses. Securities on deposit and market value are also shown.
- 3. Account Balances** A summary of financial totals by individual currency, as well as their value in US Dollars.

These three sections overlay a framework of descriptive columns:

- A. DATE** Trade date of the transaction.
- B. AT** Account Type. Denotes regulated, unregulated or secured.
- C. LONG BUY** Quantity bought.
- D. SHRT/SELL** Quantity sold.
- E. DESCRIPTION** Description of the transaction, adjustments, or futures or options contract.
- F. EX** Exchange where the contract was traded.
- G. PRICE LEGEND** Price per unit of the futures or options contract.
- H. CC** The underlying currency code.
- I. DEBIT** Total debit to the account balance.
- J. CREDIT** Total credit to the account balance.

1. YOUR ACTIVITY THIS MONTH

A listing of all future and option transactions made during the month.

A	B	C	D	E	F	G	H	I	J
DATE	AT	LONG/BUY	SHRT/SELL	DESCRIPTION	EX	PRICE/LEGND	CC	DEBIT	CREDIT
7/01/4	F1	8	8	NOV 14 SOYBEANS ELECTRONIC TRADE	01	P&L	US		14,937.50
7/01/4	F1	8	1	NOV 14 SOYBEANS ELECTRONIC TRADE	01	FEE/COMM	US	28.53	
7/01/4	F1			Commission Rebate TD 07-01-14 2104173101YM201409		ADJUSTMENT	US		2.40
7/01/4	F1	9	9	SEP 14 CBT \$5 MN DOW	01	P&L	US		4,140.00

HOW TO READ YOUR MONTHLY ACCOUNT STATEMENT

2. POSITIONS IN YOUR ACCOUNT

A listing of all open positions with trade prices, current settlement prices and unrealized profits or losses, as well as securities on deposit and their market value.

* * * * * P O S I T I O N S I N Y O U R A C C O U N T * * * * *										
DATE	AT	LONG/BUY	SHRT/SELL	DESCRIPTION	EX	PRICE/LEGND	CC	DEBIT	CREDIT	
7/31/4	MU		1	SEP 14 EURX DAX INDEX	27	9376.00	EU		1,062.50	
7/31/4	MU		4	SEP 14 EURX DAX INDEX	27	9467.50	EU	4,900.00		

3. ACCOUNT BALANCES

Summaries of all relevant financial totals by individual currency and converted to US Dollar value.

The account balances sections are:

BEGINNING BALANCE	Account balance at the close of business the previous day.
THIS MONTH'S ACTIVITY	Summary of all account activity reported throughout the month.
ENDING BALANCE	Account balance after all transactions at the end of the month.
NET FUTURES PROFIT OR LOSS	Potential profit or loss in the month from futures purchases and sales.
NET OPTION PREMIUM	Net amount paid in the month from purchasing and selling options.
FUTURES OPEN TRADE EQUITY	Account value if all futures positions were liquidated at current settlement prices.
SECURITIES MARKET VALUE	Market value of securities on deposit.
OPTIONS MARKET VALUE	Value of the current option positions in the account, excluding non-standard options.
ACCOUNT VALUE AT MARKET	Total market value of all positions in the account.
CURRENCY CONVERSION RATE TO US	Conversion rate to US Dollars.
CONVERTED MARKET VALUE	Account market value in US Dollars for foreign balances.

	US\$-SEGREGATED (F1)	*NON REGULATED SGD*	*SECURED BRL*	*SEGREGATED TRL*
BEGINNING BALANCE	.00	.00	.00	0
THIS MONTH'S ACTIVITY	39,071.09-	30.00-	105.00-	7,515-
ENDING BALANCE	39,071.09-	30.00-	105.00-	7,515-
NET FUTURES PROFIT OR LOSS	1,295.99-	30.00-	105.00-	7,515-
NET OPTION PREMIUM	27,775.60-	.00	.00	0
FUTURES OPEN TRADE EQUITY	2,845.49-	.00	.00	0
SECURITIES MARKET VALUE	8,800.00	.00	.00	0
OPTIONS MARKET VALUE	9,150.00	.00	.00	0
ACCOUNT VALUE AT MARKET	32,766.58-	30.00-	105.00-	7,515-
CURRENCY CONVERSION RATE TO US	1.0000000	1.60686000	.93602284	.01108819
CONVERTED MARKET VALUE	32,766.58-	48.20-	98.28-	83-

HOW TO READ YOUR 1099

DESCRIPTION

Your 1099 shows the profit or loss realized on futures contracts as well as the net option valuation at the end of the year in US Dollars.

DEC 31, 2014

S210 RS5 4XXXX

SUBSTITUTE 1099 STATEMENT

TAX ID XXX-XX-XXXX

PAYER 65-XXXXXX

JOHN Q. PUBLIC
ATTN BILL WILLIAMS
13XXX SILVER VALLEY RD
MONROE CA 9XXXX

1099B PROCEEDS: BROKER TRANS

1099-B PROCEEDS FROM BROKER & BARTER EXCHANGE TRANSACTIONS -OMB.1545-0715
-REGULATED FUTURES CONTRACTS-

	Converted Amt.
9. -- Profit/(Loss) Realized on Futures Contracts in USD for 2014	258,230.71
*** Total Reported for Line 9 in USD for 2013	258,230.71
12. Aggregate Profit or (Loss) from lines 9, 10 and 11 . . .	258,230.71

* * * END OF 1099-B STATEMENT (REGULATED FUTURES CONTRACTS) * * *

EXCHANGES LEGEND (EX)

Code	Short Name	Description
01	CBOT	Chicago Board of Trade
02	CME	Chicago Mercantile Exchange
03	MESL	Merchants Exchange of St. Louis
04	COMEX	Commodity Exchange, Inc.
05	LIFFE	London Int'l Financial Futures Exchange
06	ICEUS	ICE Futures US
07	NYMEX	New York Mercantile Exchange
08	KCBOT	Kansas City Board of Trade
09	MGEX	Minneapolis Grain Exchange
10	MX	Montreal Exchange
11	WCE/ICECA	ICE Futures Canada (Formerly Winnipeg Exchange)
12	LME	London Metal Exchange
13	ICEUS	ICE Futures US
14	LIFFE	London Int'l Financial Futures Exchange
16	CME	Chicago Mercantile Exchange
17	SGX	Singapore Exchange Derivatives Trading Ltd.
18	ASX	Australian Securities Exchange
19	ICE	International Petroleum Exchange/ICE Exchange
20	MISC	Miscellaneous Exchanges
22	OSE	Osaka Securities Exchange
23	TFX	TIFFE Exchange
24	TSE	Tokyo Stock Exchange
25	MATIF	Euronext Paris (MATIF)
27	EUREX	EUREX Exchange
28	AEX	Euronext Amsterdam (Formerly Amsterdam Exchange)
30	MONEP	Euronext Paris (MONEP)
32	MEFFR	MEFF Renta Exchange
33	HKEX	Hong Kong Futures Exchange
34	NZX	New Zealand Futures Exchange
45	BSE	Euronext Brussels
49	KLSE	Bursa Malaysia/Kuala Lumpur Stock Exchange
55	TOCOM	Tokyo Commodity Exchange
7B	CFE	CBOE Futures Exchange
7C	EUREX	Eurex United States
9C	CME	Chicago Mercantile Exchange

ACCOUNT TYPES (AT)

Type	Currency	Description
A1	AUD	Australian Dollar Segregated
B1	GBP	British Pound Segregated
C1	CAD	Canadian Dollar Segregated
C2	CNY	Chinese Renminbi Segregated
C3	CNH	Chinese Renminbi HK Segregated
CY	CNY	Chinese Renminbi Secured
D1	DKK	Deustch Mark Reg./Segregated
DA	DKK	Danish Krona Secured
F1	USD	US Dollar Segregated
F2	USD	US Dollar Non-regulated
F3	USD	US Dollar Secured
F7	MXP	Mexican Pesos Secured
FA	AUD	Australian Dollar Secured
FB	GBP	British Pound Secured
FC	CAD	Canadian Dollar Secured
FD	DEM	Deustch Mark Segregated
FE	ECU	ECU Segregated
FF	FRF	French Francs Segregated
FG	SGD	Singapore Dollar Secured
FH	HKD	Hong Kong Dollar Secured
FI	ITL	Italian Lira Segregated
FJ	JPY	Japanese Yen-TSE Secured
FK	SEK	Swedish Krone Secured
FL	SAR	Russian Rubles Secured
FM	MYR	Malaysian Ringgit Secured
FN	NZD	New Zealand Dollars Secured
FO	JPY	OSE Japanese Yen
FP	ESP	Spanish Pesetas Segregated
FQ	TAS	Austrian Schillings Segregated
FR	KOW	Korean Won Secured
FS	CHF	Swiss Franc Secured
FT	JPY	JPY-Secured TOCOM
FU	HUF	Hungarian Forints Secured
FV	BEF	Belgian Francs Segregated
FX	ZAR	SO African Rand Secured

Type	Currency	Description
FY	NLG	Netherlands Guilder Segregated
FZ	CZK	Czech Koruna Secured
G1	SGD	Singapore Dollar Segregated
H1	HKD	Hong Kong Dollars Segregated
HY	CNH	Chinese Renminbi HK Secured
I1	ITL	Italian Lira Segregated
I6	INR	Indonesian Rupiah
J1	JYP	Japanese Yen Segregated
K1	SEK	Reg. Swedish Krone Segregated
M1	MYR	Malaysian Ringgit Segregated
MS	EMU	EMU Segregated
MU	EMU	EMU Secured
N1	NZD	New Zealand Dollars Segregated
R1	FRF	FR Franc Regulated
S1	CHF	Swiss Francs Segregated
T1	TRL	Turkish Lira Segregated
TL	TRL	Turkish Lira Secured
TN	TRY	New Turkish Lira Secured
TR	TRY	New Turkish Lira Segregated
U1	HUF	Hungarian Forints Reg./Segregated
W1	NOK	Norwegian Krona Segregated
X1	ZAR	S. African Rand Segregated
Z1	CZK	Czech Koruna Reg./Segregated

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