

PRASAD-GATT SUPERANNUATION FUND  
UAD 06/25/08  
D A PRASAD & K A GATT TTEES  
UNIT 21 159 RIDGECROP DRIVE  
CASTLE HILL NSW 2154  
AUSTRALIA

July 1, 2019 - July 31, 2019  
Account Number: TGT-003197  
Base Currency: AUSTRALIAN DOLLAR (AUD)

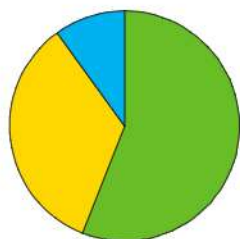
Your Investment Advisor:  
CRAIG MALTZ JONATHAN MITCHELL

### Portfolio at a Glance

	This Period	Year-to-Date
BEGINNING ACCOUNT VALUE	91,402.58	147,709.32
Dividends, Interest and Other Income	7.47	174.49
Fees	-12.41	-39.59
Other Transactions	-1.11	-26.15
Net Change in Portfolio <sup>1</sup>	7,296.67	-49,124.87
<b>ENDING ACCOUNT VALUE</b>	<b>98,693.20</b>	<b>98,693.20</b>
Estimated Annual Income	211.74	

<sup>1</sup> Net Change in Portfolio is the difference between the ending account value and beginning account value after activity.

### Asset Summary



Percent	Asset Type	Prior Year-End	This Period
56%	Cash, Money Funds, and Bank Deposits	98,078.05	55,719.77
34%	Equities	36,913.88	33,164.99
10%	Exchange-Traded Products	12,717.39	9,808.44
100%	Account Total (Pie Chart)	147,709.32	98,693.20

Please review your allocation periodically with your Investment Advisor.

## Portfolio Holdings

### U.S. DOLLARS

Description	Quantity	Opening Balance	Closing Balance	Currency	Accrued Income	30-Day Yield
CASH, MONEY FUNDS, AND BANK DEPOSITS 56.00% of Portfolio						
Cash Balance		48,122.57	38,396.50	USD		
			55,719.77	AUD		
TOTAL CASH, MONEY FUNDS, AND BANK DEPOSITS		48,122.57	38,396.50	USD	0.00	
			55,719.77	AUD	0.00	

Description	Quantity	Market Price	Market Value	Currency	Estimated Yield
EQUITIES 34.00% of Portfolio					
Options					
PUT 100 SPDR S&P 500 ETF TR TR UNIT	3.000	9.8100	2,943.00	USD	
EXP 12-20-19@295.000 OPTION ROOT= SPY			4,270.79	AUD	
Option Identifier: 99QAKUZCZ					
Underlying Security Identifier: SPY					
Underlying Security Price: \$297.43					
PUT 100 FACEBOOK INC CL A	3.000	13.3500	4,005.00	USD	
EXP 12-20-19@195.000 OPTION ROOT= FB			5,811.93	AUD	
Option Identifier: 99QALTGT4					
Underlying Security Identifier: FB					
Underlying Security Price: \$194.23					
PUT 100 UNITED STS OIL FD LP UNITS	50.000	0.6200	3,100.00	USD	
EXP 12-20-19@11.500 OPTION ROOT= USO			4,498.62	AUD	
Option Identifier: 99QAOMVJ9					
Underlying Security Identifier: USO					
Underlying Security Price: \$12.04					
PUT 100 INVESCO QQQ TR UNIT SER 1	8.000	7.5700	6,056.00	USD	
EXP 12-20-19@190.000 OPTION ROOT= QQQ			8,788.27	AUD	
Option Identifier: 99QAPE95M					
Underlying Security Identifier: QQQ					
Underlying Security Price: \$191.10					
PUT 100 INVESCO CURRENCYSHARES	50.000	1.3500	6,750.00	USD	
AUSTRALIAN DLR TR AUSTRALIAN DOLLAR			9,795.38	AUD	
SHS EXP 12-20-19@69.000					
OPTION ROOT= FXA					
Option Identifier: 99QAPN03L					
Underlying Security Identifier: FXA					
Underlying Security Price: \$68.41					
Total Options			22,854.00	USD	
			33,164.99	AUD	

July 1, 2019 - July 31, 2019  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Portfolio Holdings (continued)

### U.S. DOLLARS (continued)

Description	Quantity	Market Price	Market Value	Currency	Estimated Yield	
EQUITIES (continued)						
TOTAL EQUITIES			22,854.00	USD		
			33,164.99	AUD		
Description	Quantity	Market Price	Market Value	Currency	Estimated Annual Income	Estimated Yield
EXCHANGE-TRADED PRODUCTS 10.00% of Portfolio						
DIREXION SHS ETF TR DAILY CSI 300 CHINA	225.000	30.0400	6,759.00	USD	145.91	2.15%
A SH BEAR 1X SHS			9,808.44	AUD	211.74	
Security Identifier: CHAD						
CUSIP: 25459Y116						
TOTAL EXCHANGE-TRADED PRODUCTS			6,759.00	USD	145.91	
			9,808.44	AUD	211.74	
			Market Value	Currency	Accrued Interest	Estimated Annual Income
TOTAL U.S. DOLLARS			68,009.50	USD	0.00	145.91
			98,693.20	AUD	0.00	211.74
			Market Value	Currency	Accrued Interest	Estimated Annual Income
Total Portfolio Holdings - AUSTRALIAN DOLLAR			98,693.20	AUD	0.00	211.74

## Portfolio Holdings Disclosures

### Pricing

This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the statement period. The market prices, unless otherwise noted, have been obtained from independent vendor services, which we believe to be reliable. Market prices do not constitute a bid or an offer, and may differ from the actual sale price. Securities for which a price is not available are marked "N/A" and are omitted from the Total. THE AS OF PRICE DATE ONLY APPEARS WHEN THE PRICE DATE DOES NOT EQUAL THE STATEMENT DATE.

### Estimated Annual Figures

The estimated annual income (EAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or



## Portfolio Holdings Disclosures (continued)

### Estimated Annual Figures (continued)

guarantee of future results. These figures are computed using information from providers believed to be reliable; however, no assurance can be made as to the accuracy. Since interest and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal may be included in the figures for certain securities, thereby overstating them. Refer to [www.pershing.com/disclosures](http://www.pershing.com/disclosures) for specific details as to formulas used to calculate the figures. Accrued interest represents interest earned but not yet received.

### Reinvestment

The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your statement may have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow.

### Option Disclosure

Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional information regarding this procedure is available upon written request to your introducing firm.

### Foreign Currency Transactions

Pershing will execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

### Proxy Vote

Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

## Activity Summary (All amounts shown are in base currency)

	Credits This Period	Debits This Period	Net This Period	Credits Year-to-Date	Debits Year-to-Date	Net Year-to-Date
<b>Securities</b>						
Securities Bought	0.00	-20,762.86	-20,762.86	0.00	-110,444.13	-110,444.13
Securities Sold	6,909.23	0.00	6,909.23	67,709.02	0.00	67,709.02
<b>Total Securities</b>	<b>6,909.23</b>	<b>-20,762.86</b>	<b>-13,853.63</b>	<b>67,709.02</b>	<b>-110,444.13</b>	<b>-42,735.11</b>
<b>Dividends and Interest</b>	<b>7.47</b>	<b>0.00</b>	<b>7.47</b>	<b>174.49</b>	<b>0.00</b>	<b>174.49</b>
<b>Fees</b>	<b>0.00</b>	<b>-12.41</b>	<b>-12.41</b>	<b>0.00</b>	<b>-39.59</b>	<b>-39.59</b>
<b>Taxes Withheld</b>	<b>0.00</b>	<b>-1.11</b>	<b>-1.11</b>	<b>0.00</b>	<b>-26.15</b>	<b>-26.15</b>



July 1, 2019 - July 31, 2019  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Activity Summary (continued)

	Credits This Period	Debits This Period	Net This Period	Credits Year-to-Date	Debits Year-to-Date	Net Year-to-Date
Totals	6,916.70	-20,776.38	-13,859.68	67,883.51	-110,509.87	-42,626.36

## Transactions in Date Sequence

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
07/02/19		CASH DIVIDEND RECEIVED	225 SHRS DIREXION SHS ETF TR DAILY CSI 300 CHINA A SH				5.23	USD
		CHAD	BEAR 1X SHS RD 06/26 PD 07/02/19				7.47	AUD
07/02/19		NON-RESIDENT ALIEN TAX	NRA TAX WITHHELD ON 225 SHRS DIREXION SHS ETF TR				-0.78	USD
		CHAD	DAILY CSI 300 CHINA A SH BEAR 1X SHS RD 06/26 PD 07/02/19				-1.11	AUD
07/08/19	07/05/19	SOLD	CALL 100 APPLE INC COM EXP 07-19-19@195.000 OPTION	-2.000	10.5000		1,974.87	USD
		99QAOM2QT	ROOT= AAPL CLOSING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				2,833.79	AUD
07/08/19	07/05/19	PURCHASED	PUT 100 INVESCO QQQ TR UNIT SER 1 EXP 12-20-19 @190	3.000	7.5000		-2,375.12	USD
		99QAPE95M	OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				-3,408.12	AUD
07/15/19	07/12/19	PURCHASED	PUT 100 FACEBOOK INC CL A EXP 12-20-19@195.000 OPTION	3.000	11.0000		-3,425.12	USD
		99QALTGT4	ROOT= FB OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				-4,874.22	AUD
07/15/19	07/12/19	PURCHASED	PUT 100 INVESCO CURRENCY SHS AUSTRALIAN DLR TR	30.000	0.9000		-2,826.16	USD
		99QAPN03L	AUSTRALIAN DLR SHS EXP 12-20-19 @69 OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED				-4,021.85	AUD
07/17/19	07/16/19	PURCHASED	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP	3.000	8.2500		-2,600.12	USD
		99QAKUZCZ	12-20-19@295.000 OPTION ROOT= SPY OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				-3,711.80	AUD
07/17/19	07/16/19	SOLD	CALL 100 SPDR S&P 500 ETF TR TR UNIT EXP	-2.000	14.9000		2,854.85	USD
		99QAPDUMM	07-19-19@286.000 OPTION ROOT= SPY CLOSING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				4,075.44	AUD

## Transactions in Date Sequence (continued)

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
07/17/19	07/16/19	PURCHASED	PUT 100 INVESCO QQQ TR UNIT SER 1 EXP 12-20-19 @190	5.000	6.4000		-3,325.19	USD
		99QAPE95M	OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				-4,746.87	AUD
07/30/19		ADMINISTRATION FEE	OPTIONS FEE 06/2019 OCC FEE JUNE 06/19				-8.53	USD
		USD999997					-12.41	AUD
Total Value of Transactions						0.00	-9,726.07	USD
Total AUD Equivalent						0.00	-13,859.68	AUD

The price and quantity displayed may have been rounded.

## Client Service Information

Your Investment Advisor: MBM

CRAIG MALTZ JONATHAN MITCHELL  
SHAW AND PARTNERS  
LEVEL 7, CHIFLEY TOWER  
2 CHIFLEY SQUARE SYDNEY NSW 2000  
AUSTRALIA

Client Service Information

Service Hours: Weekdays 08:00 a.m. - 05:30 p.m. (AEST)  
Outside of United States:  
1800636625  
Web Site: WWW.SHAWANDPARTNERS.COM.AU

## Your Account Information

TAX LOT DEFAULT DISPOSITION METHOD

Default Method for Mutual Funds: First In First Out

Default Method for Stocks in a Dividend Reinvestment Plan: First In First Out

Default Method for all Other Securities: First In First Out

BOND AMORTIZATION ELECTIONS

Amortize premium on taxable bonds based on Constant Yield Method: Yes

Accrual market discount method for all other bond types: Constant Yield Method

Include market discount in income annually: No

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Base Currency: AUSTRALIAN DOLLAR (AUD)

## Your Account Information (continued)

### ELECTRONIC DELIVERY

Your electronic delivery selections for account communications are listed below:

#### Electronic Delivery

Enrollment	Communication
<input checked="" type="checkbox"/>	Statements and Reports
<input checked="" type="checkbox"/>	Trade Confirmations
<input checked="" type="checkbox"/>	Tax Documents
<input checked="" type="checkbox"/>	Notifications
<input checked="" type="checkbox"/>	Prospectus
<input checked="" type="checkbox"/>	Proxy/Shareholder Communications*

Please log in to your account or contact your Investment Advisor to make any changes to your electronic delivery preferences.

E-mail notifications are delivered to the following e-mail address(es):

d#####@hotmail.com

\*d#####@hotmail.com is on file for these documents

The above e-mail address is partially masked for your security.

Please log in to your account to review the full e-mail address.

## Messages

Although a money market mutual fund seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money market mutual fund. Shares of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account. Please see the money market mutual fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to SEC Rule 10b-10(b)(1) confirmations are not sent for purchases into money market mutual funds processed on the sweep platform.

## Exchange Rate Table

Currency	AUD Equivalent	Currency per AUD
U.S. DOLLARS	1.4511	0.6891

Exchange rates are based on interbank exchange rates as of 07/31/2019. Exchange rates can vary.

## Global Cash

Currency	Closing Balance	Amount in Base Currency AUD
U.S. DOLLARS	38,396.50	55,719.77
<b>Total Global Cash Balance</b>		<b>55,719.77</b>

## Income and Expense Summary

	Current Period		Year-to-Date	
	Taxable	Non Taxable	Taxable	Non Taxable
Dividend Income				
Other Dividends	7.47	0.00	174.49	0.00
Total Dividends, Interest, Income and Expenses	7.47	0.00	174.49	0.00



## Important Information and Disclosures

### The Role of Pershing

- Pershing carries your account as clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you.
- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.
- Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents; the acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those transactions, where applicable; the rendering of investment advice, if any, to you and in general, for the ongoing relationship that it has with you.
- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial organization's contact information can be found on the first page of this statement.
- For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the Disclosure Statement, please contact your financial institution.
- Pershing is a member of the Securities Investor Protection Corporation (SIPC®). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: [www.pershing.com/about/strength-and-stability](http://www.pershing.com/about/strength-and-stability).
- This statement will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your rights, including your rights under the Securities Investor Protection Act.
- Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330. Errors and Omissions excepted.

### Important Arbitration Disclosures

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

### Important Arbitration Agreement

Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until; (I) the class certification is denied; (II) the class is decertified; or (III) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein. The laws of the State of New York govern.

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330.

PRASAD-GATT SUPERANNUATION FUND  
UAD 06/25/08  
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UNIT 21 159 RIDGECROP DRIVE  
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AUSTRALIA

August 1, 2019 - August 31, 2019  
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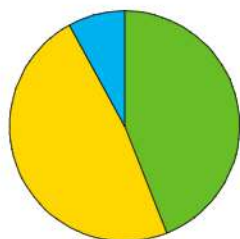
Your Investment Advisor:  
CRAIG MALTZ JONATHAN MITCHELL

### Portfolio at a Glance

	This Period	Year-to-Date
BEGINNING ACCOUNT VALUE	98,693.20	147,709.32
Dividends, Interest and Other Income	0.00	174.49
Fees	0.00	-39.59
Other Transactions	0.00	-26.15
Net Change in Portfolio <sup>1</sup>	26,856.33	-22,268.54
<b>ENDING ACCOUNT VALUE</b>	<b>125,549.53</b>	<b>125,549.53</b>
Estimated Annual Income	216.61	

<sup>1</sup> Net Change in Portfolio is the difference between the ending account value and beginning account value after activity.

### Asset Summary



Percent	Asset Type	Prior Year-End	This Period
44%	Cash, Money Funds, and Bank Deposits	98,078.05	55,422.26
48%	Equities	36,913.88	59,842.61
8%	Exchange-Traded Products	12,717.39	10,284.66
100%	Account Total (Pie Chart)	147,709.32	125,549.53

Please review your allocation periodically with your Investment Advisor.



## Portfolio Holdings

### U.S. DOLLARS

Description	Quantity	Opening Balance	Closing Balance	Currency	Accrued Income	30-Day Yield
<b>CASH, MONEY FUNDS, AND BANK DEPOSITS 44.00% of Portfolio</b>						
Cash Balance		38,396.50	37,332.45	USD		
			55,422.26	AUD		
<b>TOTAL CASH, MONEY FUNDS, AND BANK DEPOSITS</b>		38,396.50	37,332.45	USD	0.00	
			55,422.26	AUD	0.00	
Description	Quantity	Market Price	Market Value	Currency		Estimated Yield
<b>EQUITIES 48.00% of Portfolio</b>						
<b>Options</b>						
CALL 100 SPDR S&P 500 ETF TR UNIT	20.000	12.4900	24,980.00	USD		
EXP 12-20-19@290.000 OPTION ROOT= SPY			37,084.31	AUD		
Option Identifier: 99QAJ9CX2						
Underlying Security Identifier: SPY						
Underlying Security Price: \$292.45						
CALL 100 INVESCO QQQ TR UNIT SER 1	15.000	10.2200	15,330.00	USD		
EXP 12-20-19@185.000 OPTION ROOT= QQQ			22,758.30	AUD		
Option Identifier: 99QAPFEZD						
Underlying Security Identifier: QQQ						
Underlying Security Price: \$187.47						
<b>Total Options</b>			40,310.00	USD		
			59,842.61	AUD		
<b>TOTAL EQUITIES</b>			40,310.00	USD		
			59,842.61	AUD		
Description	Quantity	Market Price	Market Value	Currency	Estimated Annual Income	Estimated Yield
<b>EXCHANGE-TRADED PRODUCTS 8.00% of Portfolio</b>						
DIREXION SHS ETF TR DAILY CSI 300 CHINA	225.000	30.7900	6,927.75	USD	145.91	2.10%
A SH BEAR 1X SHS			10,284.66	AUD	216.61	
Security Identifier: CHAD						
CUSIP: 25459Y116						
<b>TOTAL EXCHANGE-TRADED PRODUCTS</b>			6,927.75	USD	145.91	
			10,284.66	AUD	216.61	
			Market Value	Currency	Accrued Interest	Estimated Annual Income
<b>TOTAL U.S. DOLLARS</b>				USD	0.00	145.91
			125,549.53	AUD	0.00	216.61



August 1, 2019 - August 31, 2019  
PRASAD-GATT SUPERANNUATION FUND  
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## Portfolio Holdings (continued)

	Market Value	Currency	Accrued Interest	Estimated Annual Income
Total Portfolio Holdings - AUSTRALIAN DOLLAR	125,549.53	AUD	0.00	216.61

## Portfolio Holdings Disclosures

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The estimated annual income (EAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or guarantee of future results. These figures are computed using information from providers believed to be reliable; however, no assurance can be made as to the accuracy. Since interest and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal may be included in the figures for certain securities, thereby overstating them. Refer to [www.pershing.com/disclosures](http://www.pershing.com/disclosures) for specific details as to formulas used to calculate the figures. Accrued interest represents interest earned but not yet received.

### Reinvestment

The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your statement may have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow.

### Option Disclosure

Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional information regarding this procedure is available upon written request to your introducing firm.

### Foreign Currency Transactions

Pershing will execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate

## Portfolio Holdings Disclosures (continued)

### Foreign Currency Transactions (continued)

identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

### Proxy Vote

Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

## Activity Summary (All amounts shown are in base currency)

	Credits This Period	Debits This Period	Net This Period	Credits Year-to-Date	Debits Year-to-Date	Net Year-to-Date
<b>Securities</b>						
Securities Bought	0.00	-70,508.60	-70,508.60	0.00	-180,952.73	-180,952.73
Securities Sold	68,779.08	0.00	68,779.08	136,488.10	0.00	136,488.10
<b>Total Securities</b>	<b>68,779.08</b>	<b>-70,508.60</b>	<b>-1,729.52</b>	<b>136,488.10</b>	<b>-180,952.73</b>	<b>-44,464.63</b>
<b>Dividends and Interest</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>174.49</b>	<b>0.00</b>	<b>174.49</b>
<b>Fees</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>-39.59</b>	<b>-39.59</b>
<b>Taxes Withheld</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>-26.15</b>	<b>-26.15</b>
<b>Totals</b>	<b>68,779.08</b>	<b>-70,508.60</b>	<b>-1,729.52</b>	<b>136,662.59</b>	<b>-181,018.47</b>	<b>-44,355.88</b>

## Transactions in Date Sequence

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
08/02/19	08/01/19	SOLD	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP	-3.000	9.9000		2,844.82	USD
		99QAKUZCZ	12-20-19@295.000 OPTION ROOT= SPY CLOSING				4,187.25	AUD
			TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED					
			OPTION					
08/02/19	08/01/19	SOLD	PUT 100 FACEBOOK INC CL A EXP 12-20-19@195.000 OPTION	-3.000	13.3000		3,864.80	USD
		99QALTGT4	ROOT= FB CLOSING TRANSACTION UNSOLICITED ORDER				5,688.54	AUD
			EXCHANGE LISTED OPTION					
08/02/19	08/01/19	SOLD	PUT 100 INVESCO QQQ TR UNIT SER 1 EXP 12-20-19 @190	-4.000	7.9000		3,034.78	USD
		99QAPE95M	CLOSING TRANSACTION UNSOLICITED ORDER EXCHANGE				4,466.85	AUD
			LISTED OPTION					



August 1, 2019 - August 31, 2019  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Transactions in Date Sequence (continued)

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
08/02/19	08/01/19	SOLD	PUT 100 INVESCO CURRENCY SHS AUSTRALIAN DLR TR	-25.000	1.4900		3,598.97	USD
		99QAPN03L	AUSTRALIAN DLR SHS EXP 12-20-19 @69 CLOSING				5,297.27	AUD
			TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED					
08/07/19	08/06/19	PURCHASED	CALL 100 SPDR S&P 500 ETF TR TR UNIT EXP	3.000	9.5000		-2,975.11	USD
		99QAJ9CX2	12-20-19@290.000 OPTION ROOT= SPY OPENING				-4,404.30	AUD
			TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED					
			OPTION					
08/07/19	08/06/19	SOLD	PUT 100 UNITED STS OIL FD LP UNITS EXP 12-20-19@11.500	-50.000	1.0000		4,872.99	USD
		99QAOMVJ9	OPTION ROOT= USO CLOSING TRANSACTION UNSOLICITED				7,213.89	AUD
			ORDER EXCHANGE LISTED OPTION					
08/07/19	08/06/19	PURCHASED	CALL 100 INVESCO QQQ TR UNIT SER 1 EXP 12-20-19 @185	4.000	8.0000		-3,325.15	USD
		99QAPFEZD	OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE				-4,922.49	AUD
			LISTED OPTION					
08/07/19	08/06/19	SOLD	PUT 100 INVESCO CURRENCY SHS AUSTRALIAN DLR TR	-25.000	2.1000		5,123.94	USD
		99QAPN03L	AUSTRALIAN DLR SHS EXP 12-20-19 @69 CLOSING				7,585.39	AUD
			TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED					
08/08/19	08/07/19	PURCHASED	CALL 100 SPDR S&P 500 ETF TR TR UNIT EXP	6.000	9.2500		-5,675.23	USD
		99QAJ9CX2	12-20-19@290.000 OPTION ROOT= SPY OPENING				-8,349.60	AUD
			TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED					
			OPTION					
08/08/19	08/07/19	SOLD	PUT 100 INVESCO QQQ TR UNIT SER 1 EXP 12-20-19 @190	-4.000	13.8000		5,394.73	USD
		99QAPE95M	CLOSING TRANSACTION UNSOLICITED ORDER EXCHANGE				7,936.92	AUD
			LISTED OPTION					
08/08/19	08/07/19	PURCHASED	CALL 100 INVESCO QQQ TR UNIT SER 1 EXP 12-20-19 @185	8.000	7.4500		-6,085.30	USD
		99QAPFEZD	OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE				-8,952.91	AUD
			LISTED OPTION					
08/09/19	08/08/19	SOLD	CALL 100 SPDR S&P 500 ETF TR TR UNIT EXP	-6.000	11.4800		6,762.62	USD
		99QAJ9CX2	12-20-19@290.000 OPTION ROOT= SPY CLOSING				9,945.02	AUD
			TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED					
			OPTION					



## Transactions in Date Sequence (continued)

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
08/09/19	08/08/19	SOLD 99QAPFEZD	CALL 100 INVESCO QQQ TR UNIT SER 1 EXP 12-20-19 @185 CLOSING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION ALLOCATED ORDER	-8.000	9.4200		7,410.54 10,897.85	USD AUD
08/13/19	08/12/19	SOLD 99QAPFEZD	CALL 100 INVESCO QQQ TR UNIT SER 1 EXP 12-20-19 @185 CLOSING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION	-4.000	9.7500		3,774.76 5,560.10	USD AUD
08/16/19	08/15/19	PURCHASED 99QAJ9CX2	CALL 100 SPDR S&P 500 ETF TR TR UNIT EXP 12-20-19@290.000 OPTION ROOT= SPY OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION	5.000	9.4700		-4,860.19 -7,173.70	USD AUD
08/16/19	08/15/19	PURCHASED 99QAPFEZD	CALL 100 INVESCO QQQ TR UNIT SER 1 EXP 12-20-19 @185 OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION ALLOCATED ORDER	5.000	8.8000		-4,525.19 -6,679.24	USD AUD
08/27/19	08/26/19	PURCHASED 99QAJ9CX2	CALL 100 SPDR S&P 500 ETF TR TR UNIT EXP 12-20-19@290.000 OPTION ROOT= SPY OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION	12.000	9.5000		-11,525.45 -17,046.95	USD AUD
08/27/19	08/26/19	PURCHASED 99QAPFEZD	CALL 100 INVESCO QQQ TR UNIT SER 1 EXP 12-20-19 @185 OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION ALLOCATED ORDER	10.000	8.6500		-8,775.38 -12,979.41	USD AUD

Total Value of Transactions

0.00 -1,064.05 USD

Total AUD Equivalent

0.00 -1,729.52 AUD

The price and quantity displayed may have been rounded.

## Client Service Information

Your Investment Advisor: MBM

CRAIG MALTZ JONATHAN MITCHELL  
SHAW AND PARTNERS  
LEVEL 7, CHIFLEY TOWER  
2 CHIFLEY SQUARE SYDNEY NSW 2000  
AUSTRALIA

Client Service Information

Service Hours: Weekdays 08:00 a.m. - 05:30 p.m. (AEST)  
Outside of United States:  
1800636625  
Web Site: WWW.SHAWANDPARTNERS.COM.AU

August 1, 2019 - August 31, 2019  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Your Account Information

### TAX LOT DEFAULT DISPOSITION METHOD

Default Method for Mutual Funds: First In First Out  
Default Method for Stocks in a Dividend Reinvestment Plan: First In First Out  
Default Method for all Other Securities: First In First Out

### BOND AMORTIZATION ELECTIONS

Amortize premium on taxable bonds based on Constant Yield Method: Yes  
Accrual market discount method for all other bond types: Constant Yield Method  
Include market discount in income annually: No

### ELECTRONIC DELIVERY

Your electronic delivery selections for account communications are listed below:

#### Electronic Delivery

Enrollment	Communication
✓	Statements and Reports
✓	Trade Confirmations
✓	Tax Documents
✓	Notifications
✗	Prospectus
✓	Proxy/Shareholder Communications*

E-mail notifications are delivered to the following e-mail address(es):

d#####@hotmail.com

\*d#####@hotmail.com is on file for these documents

The above e-mail address is partially masked for your security. Please log in to your account to review the full e-mail address.

Please log in to your account or contact your Investment Advisor to make any changes to your electronic delivery preferences.

## Messages

Although a money market mutual fund seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money market mutual fund. Shares of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account. Please see the money market mutual fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to SEC Rule 10b-10(b)(1) confirmations are not sent for purchases into money market mutual funds processed on the sweep platform.

## Exchange Rate Table

Currency	AUD Equivalent	Currency per AUD
U.S. DOLLARS	1.4845	0.6736

Exchange rates are based on interbank exchange rates as of 08/30/2019. Exchange rates can vary.

## Global Cash

Currency	Closing Balance	Amount in Base Currency AUD
U.S. DOLLARS	37,332.45	55,422.26
Total Global Cash Balance		55,422.26



## Income and Expense Summary

	Current Period		Year-to-Date	
	Taxable	Non Taxable	Taxable	Non Taxable
Dividend Income				
Other Dividends	0.00	0.00	174.49	0.00
Total Dividends, Interest, Income and Expenses	0.00	0.00	174.49	0.00

## Important Information and Disclosures

### The Role of Pershing

- Pershing carries your account as clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you.
- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.
- Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents; the acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those transactions, where applicable; the rendering of investment advice, if any, to you and in general, for the ongoing relationship that it has with you.
- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial organization's contact information can be found on the first page of this statement.
- For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the Disclosure Statement, please contact your financial institution.
- Pershing is a member of the Securities Investor Protection Corporation (SIPC®). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: [www.pershing.com/about/strength-and-stability](http://www.pershing.com/about/strength-and-stability).
- This statement will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your rights, including your rights under the Securities Investor Protection Act.
- Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330. Errors and Omissions excepted.

### Important Arbitration Disclosures

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.



August 1, 2019 - August 31, 2019  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Important Information and Disclosures (continued)

### Important Arbitration Agreement

Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until; (I) the class certification is denied; (II) the class is decertified; or (III) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein. The laws of the State of New York govern.

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330.

PRASAD-GATT SUPERANNUATION FUND  
UAD 06/25/08  
D A PRASAD & K A GATT TTEES  
UNIT 21 159 RIDGECROP DRIVE  
CASTLE HILL NSW 2154  
AUSTRALIA

September 1, 2019 - September 30, 2019  
Account Number: TGT-003197  
Base Currency: AUSTRALIAN DOLLAR (AUD)

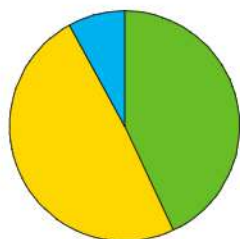
Your Investment Advisor:  
CRAIG MALTZ JONATHAN MITCHELL

### Portfolio at a Glance

	This Period	Year-to-Date
BEGINNING ACCOUNT VALUE	125,549.53	147,709.32
Dividends, Interest and Other Income	0.00	174.49
Fees	0.00	-39.59
Other Transactions	0.00	-26.15
Net Change in Portfolio <sup>1</sup>	8,454.70	-13,813.84
<b>ENDING ACCOUNT VALUE</b>	<b>134,004.23</b>	<b>134,004.23</b>
Estimated Annual Income	339.06	

<sup>1</sup> Net Change in Portfolio is the difference between the ending account value and beginning account value after activity.

### Asset Summary



Percent	Asset Type	Prior Year-End	This Period
43%	Cash, Money Funds, and Bank Deposits	98,078.05	58,141.88
49%	Equities	36,913.88	65,727.41
8%	Exchange-Traded Products	12,717.39	10,134.94
100%	Account Total (Pie Chart)	147,709.32	134,004.23

Please review your allocation periodically with your Investment Advisor.

## Portfolio Holdings

### U.S. DOLLARS

Description	Quantity	Opening Balance	Closing Balance	Currency	Accrued Income	30-Day Yield
<b>CASH, MONEY FUNDS, AND BANK DEPOSITS 43.00% of Portfolio</b>						
Cash Balance		37,332.45	39,205.08	USD		
			58,141.88	AUD		
<b>TOTAL CASH, MONEY FUNDS, AND BANK DEPOSITS</b>		<b>37,332.45</b>	<b>39,205.08</b>	<b>USD</b>	<b>0.00</b>	
			<b>58,141.88</b>	<b>AUD</b>	<b>0.00</b>	
Description	Quantity	Market Price	Market Value	Currency		Estimated Yield
<b>EQUITIES 49.00% of Portfolio</b>						
<b>Options</b>						
CALL 100 SPDR S&P 500 ETF TR UNIT	20.000	14.6600	29,320.00	USD		
EXP 12-20-19@290.000 OPTION ROOT= SPY			43,482.12	AUD		
Option Identifier: 99QAJ9CX2						
Underlying Security Identifier: SPY						
Underlying Security Price: \$296.77						
CALL 100 INVESCO QQQ TR UNIT SER 1	15.000	10.0000	15,000.00	USD		
EXP 12-20-19@185.000 OPTION ROOT= QQQ			22,245.29	AUD		
Option Identifier: 99QAPFEZD						
Underlying Security Identifier: QQQ						
Underlying Security Price: \$188.81						
<b>Total Options</b>			<b>44,320.00</b>	<b>USD</b>		
			<b>65,727.41</b>	<b>AUD</b>		
<b>TOTAL EQUITIES</b>			<b>44,320.00</b>	<b>USD</b>		
			<b>65,727.41</b>	<b>AUD</b>		
Description	Quantity	Market Price	Market Value	Currency	Estimated Annual Income	Estimated Yield
<b>EXCHANGE-TRADED PRODUCTS 8.00% of Portfolio</b>						
DIREXION SHS ETF TR DAILY CSI 300 CHINA	225.000	30.3733	6,833.99	USD	228.63	3.34%
A SH BEAR 1X SHS			10,134.94	AUD	339.06	
Security Identifier: CHAD						
CUSIP: 25459Y116						
<b>TOTAL EXCHANGE-TRADED PRODUCTS</b>			<b>6,833.99</b>	<b>USD</b>	<b>228.63</b>	
			<b>10,134.94</b>	<b>AUD</b>	<b>339.06</b>	
			Market Value	Currency	Accrued Interest	Estimated Annual Income
<b>TOTAL U.S. DOLLARS</b>			<b>90,359.07</b>	<b>USD</b>	<b>0.00</b>	<b>228.63</b>
			<b>134,004.23</b>	<b>AUD</b>	<b>0.00</b>	<b>339.06</b>



September 1, 2019 - September 30, 2019  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Portfolio Holdings (continued)

	Market Value	Currency	Accrued Interest	Estimated Annual Income
Total Portfolio Holdings - AUSTRALIAN DOLLAR	134,004.23	AUD	0.00	339.06

## Portfolio Holdings Disclosures

### Pricing

This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the statement period. The market prices, unless otherwise noted, have been obtained from independent vendor services, which we believe to be reliable. Market prices do not constitute a bid or an offer, and may differ from the actual sale price. Securities for which a price is not available are marked "N/A" and are omitted from the Total.

THE AS OF PRICE DATE ONLY APPEARS WHEN THE PRICE DATE DOES NOT EQUAL THE STATEMENT DATE.

### Estimated Annual Figures

The estimated annual income (EAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or guarantee of future results. These figures are computed using information from providers believed to be reliable; however, no assurance can be made as to the accuracy. Since interest and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal may be included in the figures for certain securities, thereby overstating them. Refer to [www.pershing.com/disclosures](http://www.pershing.com/disclosures) for specific details as to formulas used to calculate the figures. Accrued interest represents interest earned but not yet received.

### Reinvestment

The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your statement may have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow.

### Option Disclosure

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### Foreign Currency Transactions

Pershing will execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate

## Portfolio Holdings Disclosures (continued)

### Foreign Currency Transactions (continued)

identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

### Proxy Vote

Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

## Activity Summary (All amounts shown are in base currency)

	Credits This Period	Debits This Period	Net This Period	Credits Year-to-Date	Debits Year-to-Date	Net Year-to-Date
<b>Securities</b>						
Securities Bought	0.00	-23,174.66	-23,174.66	0.00	-204,127.39	-204,127.39
Securities Sold	26,086.24	0.00	26,086.24	162,574.34	0.00	162,574.34
<b>Total Securities</b>	<b>26,086.24</b>	<b>-23,174.66</b>	<b>2,911.58</b>	<b>162,574.34</b>	<b>-204,127.39</b>	<b>-41,553.05</b>
<b>Dividends and Interest</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>174.49</b>	<b>0.00</b>	<b>174.49</b>
<b>Fees</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>-39.59</b>	<b>-39.59</b>
<b>Taxes Withheld</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>-26.15</b>	<b>-26.15</b>
<b>Totals</b>	<b>26,086.24</b>	<b>-23,174.66</b>	<b>2,911.58</b>	<b>162,748.83</b>	<b>-204,193.13</b>	<b>-41,444.30</b>

## Transactions in Date Sequence

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
09/19/19	09/18/19	PURCHASED 99QAM1R5T	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 03-20-20@300.000 OPTION ROOT= SPY OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION	12.000	13.0000		-15,756.46 -23,174.66	USD AUD
09/26/19	09/25/19	SOLD 99QAM1R5T	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 03-20-20@300.000 OPTION ROOT= SPY CLOSING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION	-12.000	14.8400		17,629.09 26,086.24	USD AUD
<b>Total Value of Transactions</b>						0.00	1,872.63	USD
<b>Total AUD Equivalent</b>						0.00	2,911.58	AUD

The price and quantity displayed may have been rounded.



September 1, 2019 - September 30, 2019  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Client Service Information

Your Investment Advisor: MBM

CRAIG MALTZ JONATHAN MITCHELL  
SHAW AND PARTNERS  
LEVEL 7, CHIFLEY TOWER  
2 CHIFLEY SQUARE SYDNEY NSW 2000  
AUSTRALIA

Client Service Information

Service Hours: Weekdays 08:00 a.m. - 05:30 p.m. (AEST)  
Outside of United States:  
1800636625  
Web Site: WWW.SHAWANDPARTNERS.COM.AU

## Your Account Information

### TAX LOT DEFAULT DISPOSITION METHOD

Default Method for Mutual Funds: First In First Out  
Default Method for Stocks in a Dividend Reinvestment Plan: First In First Out  
Default Method for all Other Securities: First In First Out

### BOND AMORTIZATION ELECTIONS

Amortize premium on taxable bonds based on Constant Yield Method: Yes  
Accrual market discount method for all other bond types: Constant Yield Method  
Include market discount in income annually: No

### ELECTRONIC DELIVERY

Your electronic delivery selections for account communications are listed below:

#### Electronic Delivery

Enrollment	Communication
✓	Statements and Reports
✓	Trade Confirmations
✓	Tax Documents
✓	Notifications
✗	Prospectus
✓	Proxy/Shareholder Communications*

Please log in to your account or contact your Investment Advisor to make any changes to your electronic delivery preferences.

E-mail notifications are delivered to the following e-mail address(es):

d#####@hotmail.com

\*d#####@hotmail.com is on file for these documents

The above e-mail address is partially masked for your security.  
Please log in to your account to review the full e-mail address.

## Messages

Although a money market mutual fund seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money market mutual fund. Shares of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account. Please see the money market mutual fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to SEC



## Messages (continued)

Rule 10b-10(b)(1) confirmations are not sent for purchases into money market mutual funds processed on the sweep platform.

Pursuant to the Securities Exchange Act of 1934, Pershing LLC (Pershing), a BNY Mellon company, provides individual investors with certain financial information on a semi-annual basis. Pershing's June Statement of Financial Condition is now available. On June 30, 2019, Pershing's net capital of \$2.78 billion was 16.46% of aggregate debit balances and exceeded the minimum requirements by \$2.44 billion. Pershing is also required to provide the most recent financial information as of this statement mailing. In accordance with this requirement, note that on July 31, 2019, Pershing's net capital of \$2.80 billion was 17.53% of aggregate debit balances and exceeded the minimum requirement by \$2.48 billion. A copy of the June 30, 2019, Statement of Financial Condition is available at [www.pershing.com/statement-of-financial-condition](http://www.pershing.com/statement-of-financial-condition). You may also request a free, printed copy by calling (888) 860-8510 or (201) 413-4200, option 5.

## Exchange Rate Table

Currency	AUD Equivalent	Currency per AUD
U.S. DOLLARS	1.4830	0.6743

Exchange rates are based on interbank exchange rates as of 09/30/2019. Exchange rates can vary.

## Global Cash

Currency	Closing Balance	Amount in Base Currency AUD
U.S. DOLLARS	39,205.08	58,141.88
Total Global Cash Balance		58,141.88

## Income and Expense Summary

	Current Period		Year-to-Date	
	Taxable	Non Taxable	Taxable	Non Taxable
Dividend Income				
Other Dividends	0.00	0.00	174.49	0.00
Total Dividends, Interest, Income and Expenses	0.00	0.00	174.49	0.00

## Important Information and Disclosures

### The Role of Pershing

- Pershing carries your account as clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you.
- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.
- Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents; the acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those transactions, where applicable; the rendering of investment advice, if any, to you and in general, for the ongoing relationship that it has with you.
- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial organization's contact information can be found on the first page of this statement.
- For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the

September 1, 2019 - September 30, 2019  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Important Information and Disclosures (continued)

### The Role of Pershing (continued)

Disclosure Statement, please contact your financial institution.

- Pershing is a member of the Securities Investor Protection Corporation (SIPC®). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: [www.pershing.com/about/strength-and-stability](http://www.pershing.com/about/strength-and-stability).
- This statement will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your rights, including your rights under the Securities Investor Protection Act.
- Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330. Errors and Omissions excepted.

### Important Arbitration Disclosures

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

### Important Arbitration Agreement

Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until; (I) the class certification is denied; (II) the class is decertified; or (III) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein. The laws of the State of New York govern.

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330.



## TERMS AND CONDITIONS

### TRANSACTIONS

- ALL ORDERS AND TRANSACTIONS SHALL BE SOLELY FOR YOUR ACCOUNT AND RISK SHALL BE SUBJECT TO THE CONSTITUTION, RULES, REGULATIONS, CUSTOMS, USAGES, RULINGS AND INTERPRETATIONS OF THE EXCHANGE OR MARKET AND THE CLEARING FACILITY, IF ANY, WHERE THE TRANSACTIONS ARE EXECUTED AND/OR SETTLED, OR IF APPLICABLE, OF THE FINANCIAL INDUSTRY REGULATORY AUTHORITY AND TO ALL APPLICABLE LAWS AND REGULATIONS.
- TITLE TO SECURITIES SOLD TO YOU, WHERE PERSHING HAS ACTED AS PRINCIPAL, SHALL REMAIN WITH PERSHING UNTIL THE ENTIRE PURCHASE PRICE IS RECEIVED OR UNTIL THE SETTLEMENT DATE, WHICHEVER IS LATER.
- YOU MAY HAVE RECEIVED CONFIRMATIONS FOR TRANSACTIONS WHICH DO NOT APPEAR ON YOUR STATEMENT. IF SO, THE TRANSACTIONS WILL APPEAR ON YOUR NEXT PERIODIC STATEMENT. SUCH TRANSACTIONS MUST BE CONSIDERED BY YOU WHEN COMPUTING THE VALUE OF YOUR ACCOUNT. THIS IS ESPECIALLY TRUE IF YOU HAVE WRITTEN OPTIONS WHICH HAVE BEEN EXERCISED.

**FREE CREDIT BALANCES:** ANY FREE CREDIT BALANCE CARRIED FOR YOUR ACCOUNT REPRESENTS FUNDS PAYABLE UPON DEMAND WHICH, ALTHOUGH PROPERLY ACCOUNTED FOR ON PERSHING'S BOOKS OF RECORD, ARE NOT SEGREGATED AND MAY BE USED IN THE CONDUCT OF ITS BUSINESS.

**DEBIT BALANCES:** INTEREST CHARGED ON DEBIT BALANCES IN YOUR ACCOUNT APPEARS ON THE STATEMENT. THE RATE OF INTEREST AND PERIOD COVERED ARE INDICATED. THE RATE MAY CHANGE FROM TIME TO TIME DUE TO FLUCTUATIONS IN MONEY RATES OR OTHER REASONS. INTEREST IS COMPUTED AS DESCRIBED IN MATERIAL PREVIOUSLY FURNISHED TO YOU. PLEASE CONTACT YOUR FINANCIAL INSTITUTION IF YOU DESIRE ADDITIONAL COPIES.

**MARGIN INFORMATION:** IF YOU MAINTAIN A MARGIN ACCOUNT, THIS IS A COMBINED STATEMENT OF YOUR GENERAL ACCOUNT AND A SPECIAL MEMORANDUM ACCOUNT MAINTAINED FOR YOU UNDER REGULATION T OF 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 UPON REQUEST.

### TAX INFORMATION

- AFTER YEAR END, PERSHING IS REQUIRED TO PROVIDE TAX INFORMATION TO THE INTERNAL REVENUE SERVICE AND OTHER GOVERNMENTAL AUTHORITIES. AT THAT TIME PERSHING WILL PROVIDE THAT INFORMATION ON THE ANNUAL TAX INFORMATION STATEMENT TO YOU; USE THAT STATEMENT TO PREPARE YOUR TAX FILINGS. THE TAX STATEMENT ALSO INCLUDES OTHER USEFUL INFORMATION TO ASSIST IN ACCUMULATING THE DATA TO PREPARE YOUR TAX RETURNS.
- DIVIDENDS, INTEREST AND OTHER DISTRIBUTIONS SHOWN ON THIS STATEMENT WERE CLASSIFIED AS TAXABLE OR NONTAXABLE BASED ON CERTAIN INFORMATION KNOWN AS OF THE DISTRIBUTION DATE. THIS CLASSIFICATION IS SUBJECT TO CHANGE AND IS SOLELY INTENDED FOR USE AS GENERAL INFORMATION.
- PERSHING DOES NOT PROVIDE TAX, INVESTMENT OR LEGAL ADVISORY SERVICES AND NO ONE ASSOCIATED WITH PERSHING IS AUTHORIZED TO RENDER SUCH ADVICE. DO NOT RELY UPON ANY SUCH ADVICE, IF GIVEN. INVESTORS ARE ENCOURAGED TO CONSULT THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR BUSINESS.

### GENERAL INFORMATION

- WHENEVER YOU ARE INDEBTED TO PERSHING LLC ("PERSHING") FOR ANY AMOUNT, ALL SECURITIES HELD BY IT FOR YOU IN ANY ACCOUNT IN WHICH YOU HAVE ANY INTEREST SHALL SECURE ALL YOUR LIABILITIES TO PERSHING, AND PERSHING MAY IN ITS DISCRETION AT ANY TIME, WITHOUT TENDER, DEMAND OR NOTICE TO YOU, CLOSE OR REDUCE ANY OR ALL OF YOUR ACCOUNTS BY PUBLIC OR PRIVATE SALE OR PURCHASE OR BOTH OF ALL OR ANY SECURITIES CARRIED IN SUCH ACCOUNTS; ANY BALANCE REMAINING DUE PERSHING TO BE PROMPTLY PAID BY YOU.
- WHENEVER YOU ARE INDEBTED TO PERSHING FOR ANY AMOUNT, ALL SECURITIES CARRIED FOR YOUR ACCOUNT ARE OR MAY BE, WITHOUT FURTHER NOTICE TO YOU, LOANED OR PLEDGED BY PERSHING, EITHER SEPARATELY OR UNDER CIRCUMSTANCES WHICH WILL PERMIT THE COMMINGLING THEREOF,

WITH OTHER SECURITIES FOR ANY AMOUNT LESS THAN, EQUAL TO OR GREATER THAN YOUR LIABILITIES TO PERSHING, BUT NOT UNDER CIRCUMSTANCES FOR AN AMOUNT PROHIBITED BY LAW.

- PERSHING MAY TRADE FOR ITS OWN ACCOUNT AS A MARKET MAKER, SPECIALIST, ODD LOT DEALER, BLOCK POSITIONER, ARBITRAGEUR OR INVESTOR. CONSEQUENTLY, AT THE TIME OF ANY TRANSACTION YOU MAY MAKE, PERSHING MAY HAVE A POSITION IN SUCH SECURITIES, WHICH POSITION MAY BE PARTIALLY OR COMPLETELY HEDGED.
- IF AVERAGE PRICE TRANSACTION IS INDICATED ON THE FRONT OF THIS STATEMENT YOUR FINANCIAL INSTITUTION OR PERSHING MAY HAVE ACTED AS PRINCIPAL, AGENT OR BOTH. DETAILS AVAILABLE UPON REQUEST.
- A FINANCIAL STATEMENT OF PERSHING IS AVAILABLE FOR YOUR PERSONAL INSPECTION AT PERSHING'S OFFICES. A COPY OF IT WILL BE MAILED UPON YOUR WRITTEN REQUEST OR YOU CAN VIEW IT ONLINE AT [WWW.PERSHING.COM](http://WWW.PERSHING.COM).
- FOR BUSINESS CONTINUITY AND ADDITIONAL DISCLOSURES: [WWW.PERSHING.COM/DISCLOSURES](http://WWW.PERSHING.COM/DISCLOSURES).
- THIS STATEMENT SHOULD BE RETAINED FOR YOUR RECORDS.

### PAYMENT FOR ORDER FLOW AND ORDER ROUTING POLICY DISCLOSURES (REGULATION NMS - RULE 607 (A) (1) - (2))

PERSHING SENDS EQUITY AND OPTION ORDERS TO EXCHANGES, OR BROKER-DEALERS AS MARKET MAKERS OR AUTOMATED TRADING SYSTEMS (ATSS). CERTAIN OF THESE VENUES PROVIDE PAYMENTS TO PERSHING OR CHARGE ACCESS FEES TO PERSHING DEPENDING UPON THE CHARACTERISTICS OF THE ORDER AND ANY SUBSEQUENT EXECUTION. THE DETAILS OF THESE PAYMENTS AND FEES ARE AVAILABLE UPON WRITTEN REQUEST. COMPENSATION IS GENERALLY IN THE FORM OF A PER SHARE OR PER OPTION CONTRACT CASH PAYMENT. IN ADDITION, PERSHING ROUTES CERTAIN EQUITY TO ITS AFFILIATE, BNY MELLON CAPITAL MARKETS, LLC, FOR EXECUTION AS PRINCIPAL.

**BEST EXECUTION:** NOTWITHSTANDING THE PREVIOUS PARAGRAPH REGARDING PAYMENT FOR ORDER FLOW, PERSHING SELECTS CERTAIN MARKET CENTERS TO PROVIDE EXECUTION OF OVER-THE-COUNTER AND EXCHANGE-LISTED SECURITIES TRANSACTIONS WHICH AGREE TO ACCEPT ORDERS, TRANSMITTED ELECTRONICALLY UP TO A SPECIFIED SIZE, AND TO EXECUTE THEM AT OR BETTER THAN THE NATIONAL BEST BID OR OFFER (NBBO). IN CERTAIN SECURITIES THAT ARE NOT ELECTRONICALLY QUOTED, PERSHING DIRECTLY CONTACTS MARKET CENTERS TO OBTAIN AN EXECUTION. THE DESIGNATED MARKET CENTERS TO WHICH ORDERS ARE AUTOMATICALLY ROUTED ARE SELECTED BASED ON THE CONSISTENT HIGH QUALITY OF THEIR EXECUTIONS AND THEIR ABILITY TO PROVIDE OPPORTUNITIES FOR EXECUTIONS AT PRICES SUPERIOR TO THE NBBO. PERSHING ALSO REGULARLY REVIEWS REPORTS FOR QUALITY OF EXECUTION PURPOSES.

IF ANY OF THE ABOVE TERMS AND CONDITIONS ARE UNACCEPTABLE TO YOU, PLEASE NOTIFY PERSHING IMMEDIATELY IN WRITING BY CERTIFIED MAIL TO ONE PERSHING PLAZA, JERSEY CITY, NJ 07399, ATTN: LEGAL DEPT



PRASAD-GATT SUPERANNUATION FUND  
UAD 06/25/08  
D A PRASAD & K A GATT TTEES  
UNIT 21 159 RIDGECROP DRIVE  
CASTLE HILL NSW 2154  
AUSTRALIA

October 1, 2019 - October 31, 2019  
Account Number: TGT-003197  
Base Currency: AUSTRALIAN DOLLAR (AUD)

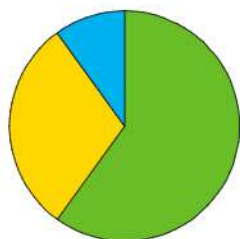
Your Investment Advisor:  
CRAIG MALTZ JONATHAN MITCHELL

### Portfolio at a Glance

	This Period	Year-to-Date
BEGINNING ACCOUNT VALUE	134,004.23	147,709.32
Dividends, Interest and Other Income	155.83	330.32
Fees	-20.93	-60.52
Other Transactions	-23.37	-49.52
Net Change in Portfolio <sup>1</sup>	-38,368.11	-52,181.95
<b>ENDING ACCOUNT VALUE</b>	<b>95,747.65</b>	<b>95,747.65</b>
Estimated Annual Income	331.93	

<sup>1</sup> Net Change in Portfolio is the difference between the ending account value and beginning account value after activity.

### Asset Summary



Percent	Asset Type	Prior Year-End	This Period
60%	Cash, Money Funds, and Bank Deposits	98,078.05	57,077.87
30%	Equities	36,913.88	29,043.26
10%	Exchange-Traded Products	12,717.39	9,626.52
100%	Account Total (Pie Chart)	147,709.32	95,747.65

Please review your allocation periodically with your Investment Advisor.

## Portfolio Holdings

### U.S. DOLLARS

Description	Quantity	Opening Balance	Closing Balance	Currency	Accrued Income	30-Day Yield
<b>CASH, MONEY FUNDS, AND BANK DEPOSITS 60.00% of Portfolio</b>						
Cash Balance		39,205.08	39,315.24	USD		
			57,077.87	AUD		
<b>TOTAL CASH, MONEY FUNDS, AND BANK DEPOSITS</b>		39,205.08	39,315.24	USD	0.00	
			57,077.87	AUD	0.00	
Description	Quantity	Market Price	Market Value	Currency		Estimated Yield
<b>EQUITIES 30.00% of Portfolio</b>						
<b>Options</b>						
PUT 100 SPDR S&P 500 ETF TR UNIT	15.000	7.0700	10,605.00	USD		
EXP 03-20-20@290.000 OPTION ROOT= SPY			15,396.34	AUD		
Option Identifier: 99QAM1R5J						
Underlying Security Identifier: SPY						
Underlying Security Price: \$303.33						
PUT 100 INVESCO QQQ TR UNIT SER 1	20.000	4.7000	9,400.00	USD		
EXP 03-20-20@185.000 OPTION ROOT= QQQ			13,646.92	AUD		
Option Identifier: 99QAPJ5KD						
Underlying Security Identifier: QQQ						
Underlying Security Price: \$197.08						
<b>Total Options</b>			20,005.00	USD		
			29,043.26	AUD		
<b>TOTAL EQUITIES</b>			20,005.00	USD		
			29,043.26	AUD		
Description	Quantity	Market Price	Market Value	Currency	Estimated Annual Income	Estimated Yield
<b>EXCHANGE-TRADED PRODUCTS 10.00% of Portfolio</b>						
DIREXION SHS ETF TR DAILY CSI 300 CHINA	225.000	29.4700	6,630.75	USD	228.63	3.44%
A SH BEAR 1X SHS			9,626.52	AUD	331.93	
Security Identifier: CHAD						
CUSIP: 25459Y116						
<b>TOTAL EXCHANGE-TRADED PRODUCTS</b>			6,630.75	USD	228.63	
			9,626.52	AUD	331.93	
			Market Value	Currency	Accrued Interest	Estimated Annual Income
<b>TOTAL U.S. DOLLARS</b>			65,950.99	USD	0.00	228.63
			95,747.65	AUD	0.00	331.93

October 1, 2019 - October 31, 2019  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Portfolio Holdings (continued)

	Market Value	Currency	Accrued Interest	Estimated Annual Income
Total Portfolio Holdings - AUSTRALIAN DOLLAR	95,747.65	AUD	0.00	331.93

## Portfolio Holdings Disclosures

### Pricing

This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the statement period. The market prices, unless otherwise noted, have been obtained from independent vendor services, which we believe to be reliable. Market prices do not constitute a bid or an offer, and may differ from the actual sale price. Securities for which a price is not available are marked "N/A" and are omitted from the Total.

THE AS OF PRICE DATE ONLY APPEARS WHEN THE PRICE DATE DOES NOT EQUAL THE STATEMENT DATE.

### Estimated Annual Figures

The estimated annual income (EAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or guarantee of future results. These figures are computed using information from providers believed to be reliable; however, no assurance can be made as to the accuracy. Since interest and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal may be included in the figures for certain securities, thereby overstating them. Refer to [www.pershing.com/disclosures](http://www.pershing.com/disclosures) for specific details as to formulas used to calculate the figures. Accrued interest represents interest earned but not yet received.

### Reinvestment

The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your statement may have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow.

### Option Disclosure

Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional information regarding this procedure is available upon written request to your introducing firm.

### Foreign Currency Transactions

Pershing will execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate



## Portfolio Holdings Disclosures (continued)

### Foreign Currency Transactions (continued)

identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

### Proxy Vote

Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

## Activity Summary (All amounts shown are in base currency)

	Credits This Period	Debits This Period	Net This Period	Credits Year-to-Date	Debits Year-to-Date	Net Year-to-Date
<b>Securities</b>						
Securities Bought	0.00	-69,138.96	-69,138.96	0.00	-273,266.35	-273,266.35
Securities Sold	69,114.84	0.00	69,114.84	231,689.18	0.00	231,689.18
<b>Total Securities</b>	<b>69,114.84</b>	<b>-69,138.96</b>	<b>-24.12</b>	<b>231,689.18</b>	<b>-273,266.35</b>	<b>-41,577.17</b>
<b>Dividends and Interest</b>	<b>155.83</b>	<b>0.00</b>	<b>155.83</b>	<b>330.32</b>	<b>0.00</b>	<b>330.32</b>
<b>Fees</b>	<b>0.00</b>	<b>-20.93</b>	<b>-20.93</b>	<b>0.00</b>	<b>-60.52</b>	<b>-60.52</b>
<b>Taxes Withheld</b>	<b>0.00</b>	<b>-23.37</b>	<b>-23.37</b>	<b>0.00</b>	<b>-49.52</b>	<b>-49.52</b>
<b>Totals</b>	<b>69,270.67</b>	<b>-69,183.26</b>	<b>87.41</b>	<b>232,019.50</b>	<b>-273,376.39</b>	<b>-41,356.89</b>

## Transactions in Date Sequence

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
10/01/19		CASH DIVIDEND RECEIVED	225 SHRS DIREXION SHS ETF TR DAILY CSI 300 CHINA A SH				104.27	USD
		CHAD	BEAR 1X SHS RD 09/25 PD 10/01/19				155.83	AUD
10/01/19		NON-RESIDENT ALIEN TAX	NRA TAX WITHHELD ON 225 SHRS DIREXION SHS ETF TR				-15.64	USD
		CHAD	DAILY CSI 300 CHINA A SH BEAR 1X SHS RD 09/25 PD 10/01/19				-23.37	AUD
10/08/19		ADMINISTRATION FEE	OPTION FEE 07/19 OCC FEE 07/19				-2.62	USD
		USD999997					-3.89	AUD
10/15/19	10/11/19	SOLD	CALL 100 SPDR S&P 500 ETF TR TR UNIT EXP	-20.000	14.0000		27,718.64	USD
		99QAJ9CX2	12-20-19@290.000 OPTION ROOT= SPY CLOSING				40,985.69	AUD
			TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED					
			OPTION					

October 1, 2019 - October 31, 2019  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Transactions in Date Sequence (continued)

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
10/15/19	10/11/19	SOLD	CALL 100 INVESCO QQQ TR UNIT SER 1 EXP 12-20-19 @185	-15.000	11.0000		16,334.07	USD
		99QAPFEZD	CLOSING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				24,152.09	AUD
10/15/19	10/14/19	PURCHASED	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP	75.000	1.5000		-11,377.91	USD
		99QAQR6HA	11-04-19@288.000 OPTION ROOT= SPY OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				-16,823.75	AUD
10/16/19	10/15/19	PURCHASED	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP	15.000	9.6000		-14,544.58	USD
		99QAMIR5J	03-20-20@290.000 OPTION ROOT= SPY OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				-21,566.68	AUD
10/16/19	10/15/19	PURCHASED	PUT 100 INVESCO QQQ TR UNIT SER 1 EXP 03-20-20 @185	20.000	6.7500		-13,635.78	USD
		99QAPJ5KD	OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				-20,219.12	AUD
10/16/19		ADMINISTRATION FEE	OPTIONS FEE 08/19 OCC FEE 08/19				-10.18	USD
		USD999997					-15.09	AUD
10/16/19		ADMINISTRATION FEE	OPTIONS FEE 09/19 OCC FEE 09/19				-1.32	USD
		USD999997					-1.95	AUD
10/17/19	10/16/19	PURCHASED	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP	75.000	0.9400		-7,177.91	USD
		99QAQR6HA	11-04-19@288.000 OPTION ROOT= SPY OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				-10,529.41	AUD
10/28/19	10/25/19	SOLD	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP	-150.000	0.1900		2,719.12	USD
		99QAQR6HA	11-04-19@288.000 OPTION ROOT= SPY CLOSING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				3,977.06	AUD
Total Value of Transactions						0.00	110.16	USD
Total AUD Equivalent						0.00	87.41	AUD

The price and quantity displayed may have been rounded.

## Client Service Information

Your Investment Advisor: MBM

CRAIG MALTZ JONATHAN MITCHELL  
SHAW AND PARTNERS  
LEVEL 7, CHIFLEY TOWER  
2 CHIFLEY SQUARE SYDNEY NSW 2000  
AUSTRALIA

Client Service Information

Service Hours: Weekdays 08:00 a.m. - 05:30 p.m. (AEST)  
Outside of United States:  
1800636625  
Web Site: WWW.SHAWANDPARTNERS.COM.AU

## Your Account Information

### TAX LOT DEFAULT DISPOSITION METHOD

Default Method for Mutual Funds:	First In First Out
Default Method for Stocks in a Dividend Reinvestment Plan:	First In First Out
Default Method for all Other Securities:	First In First Out

### BOND AMORTIZATION ELECTIONS

Amortize premium on taxable bonds based on Constant Yield Method:	Yes
Accrual market discount method for all other bond types:	Constant Yield Method
Include market discount in income annually:	No

### ELECTRONIC DELIVERY

Your electronic delivery selections for account communications are listed below:

#### Electronic Delivery

Enrollment	Communication
✓	Statements and Reports
✓	Trade Confirmations
✓	Tax Documents
✓	Notifications
✗	Prospectus
✓	Proxy/Shareholder Communications*

Please log in to your account or contact your Investment Advisor to make any changes to your electronic delivery preferences.

E-mail notifications are delivered to the following e-mail address(es):

d#####@hotmail.com

\*d#####@hotmail.com is on file for these documents

The above e-mail address is partially masked for your security.  
Please log in to your account to review the full e-mail address.

## Messages

Although a money market mutual fund seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money market mutual fund. Shares of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account. Please see the money market mutual fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to SEC Rule 10b-10(b)(1) confirmations are not sent for purchases into money market mutual funds processed on the sweep platform.



October 1, 2019 - October 31, 2019  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Exchange Rate Table

Currency	AUD Equivalent	Currency per AUD
U.S. DOLLARS	1.4518	0.6888

Exchange rates are based on interbank exchange rates as of 10/31/2019. Exchange rates can vary.

## Global Cash

Currency	Closing Balance	Amount in Base Currency AUD
U.S. DOLLARS	39,315.24	57,077.87
Total Global Cash Balance		57,077.87

## Income and Expense Summary

	Current Period		Year-to-Date	
	Taxable	Non Taxable	Taxable	Non Taxable
Dividend Income				
Other Dividends	155.83	0.00	330.32	0.00
Total Dividends, Interest, Income and Expenses	155.83	0.00	330.32	0.00

## Important Information and Disclosures

### The Role of Pershing

- Pershing carries your account as clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you.
- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.
- Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents; the acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those transactions, where applicable; the rendering of investment advice, if any, to you and in general, for the ongoing relationship that it has with you.
- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial organization's contact information can be found on the first page of this statement.
- For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the Disclosure Statement, please contact your financial institution.
- Pershing is a member of the Securities Investor Protection Corporation (SIPC®). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: [www.pershing.com/about/strength-and-stability](http://www.pershing.com/about/strength-and-stability).
- This statement will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your

## Important Information and Disclosures (continued)

### The Role of Pershing (continued)

rights, including your rights under the Securities Investor Protection Act.

- Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330. Errors and Omissions excepted.

### Important Arbitration Disclosures

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

### Important Arbitration Agreement

Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until; (I) the class certification is denied; (II) the class is decertified; or (III) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein. The laws of the State of New York govern.

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330.

PRASAD-GATT SUPERANNUATION FUND  
UAD 06/25/08  
D A PRASAD & K A GATT TTEES  
UNIT 21 159 RIDGECROP DRIVE  
CASTLE HILL NSW 2154  
AUSTRALIA

November 1, 2019 - November 30, 2019  
Account Number: TGT-003197  
Base Currency: AUSTRALIAN DOLLAR (AUD)

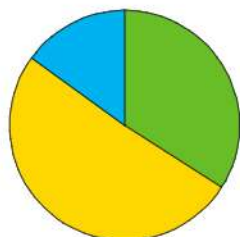
Your Investment Advisor:  
CRAIG MALTZ JONATHAN MITCHELL

### Portfolio at a Glance

	This Period	Year-to-Date
BEGINNING ACCOUNT VALUE	95,747.65	147,709.32
Dividends, Interest and Other Income	0.00	330.32
Fees	0.00	-60.52
Other Transactions	0.00	-49.52
Net Change in Portfolio <sup>1</sup>	-29,217.43	-81,399.38
<b>ENDING ACCOUNT VALUE</b>	<b>66,530.22</b>	<b>66,530.22</b>
Estimated Annual Income	338.11	

<sup>1</sup> Net Change in Portfolio is the difference between the ending account value and beginning account value after activity.

### Asset Summary



Percent	Asset Type	Prior Year-End	This Period
34%	Cash, Money Funds, and Bank Deposits	98,078.05	22,604.25
51%	Equities	36,913.88	34,013.59
15%	Exchange-Traded Products	12,717.39	9,912.38
100%	Account Total (Pie Chart)	147,709.32	66,530.22

Please review your allocation periodically with your Investment Advisor.



## Portfolio Holdings

### U.S. DOLLARS

Description	Quantity	Opening Balance	Closing Balance	Currency	Accrued Income	30-Day Yield
CASH, MONEY FUNDS AND BANK DEPOSITS 34.00% of Portfolio						
Cash Balance		39,315.24	15,285.00	USD		
		57,077.86	22,604.25	AUD		
TOTAL CASH, MONEY FUNDS AND BANK DEPOSITS						
		39,315.24	15,285.00	USD	0.00	
		57,077.86	22,604.25	AUD	0.00	

Description	Quantity	Market Price	Market Value	Currency		
EQUITIES 51.00% of Portfolio						
Options						
PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 12-31-19@265.000	100.000	0.1200	1,200.00	USD		
OPTION ROOT= SPY			1,774.62	AUD		
Option Identifier: 99QAOY2VG						
Underlying Security Identifier: SPY						
Underlying Security Price: \$314.31						
PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 03-20-20@290.000	30.000	3.9200	11,760.00	USD		
OPTION ROOT= SPY			17,391.30	AUD		
Option Identifier: 99QAM1R5J						
Underlying Security Identifier: SPY						
Underlying Security Price: \$314.31						
PUT 100 INVECO QQQ TR UNIT SER 1 EXP 03-20-20@185.000	40.000	2.5100	10,040.00	USD		
OPTION ROOT= QQQ			14,847.67	AUD		
Option Identifier: 99QAPJ5KD						
Underlying Security Identifier: QQQ						
Underlying Security Price: \$205.10						
Total Options						
			23,000.00	USD		
			34,013.59	AUD		
TOTAL EQUITIES						
			23,000.00	USD		
			34,013.59	AUD		

Description	Quantity	Market Price	Market Value	Currency	Estimated Annual Income	Estimated Yield
EXCHANGE-TRADED PRODUCTS 15.00% of Portfolio						
DIREXION SHS ETF TR DAILY CSI 300 CHINA A SH BEAR 1X SHS	225.000	29.7900	6,702.75	USD	228.63	3.41%
Security Identifier: CHAD			9,912.38	AUD	338.11	
CUSIP: 25459Y116						
TOTAL EXCHANGE-TRADED PRODUCTS						
			6,702.75	USD	228.63	
			9,912.38	AUD	338.11	

November 1, 2019 - November 30, 2019  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Portfolio Holdings (continued)

### U.S. DOLLARS (continued)

	Market Value	Currency	Accrued Interest	Estimated Annual Income
TOTAL U.S. DOLLARS	44,987.75	USD	0.00	228.63
	66,530.22	AUD	0.00	338.11
	Market Value		Accrued Interest	Estimated Annual Income
Total Portfolio Holdings - AUSTRALIAN DOLLAR	66,530.22		0.00	338.11

## Portfolio Holdings Disclosures

### Pricing

This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the statement period. The market prices, unless otherwise noted, have been obtained from independent vendor services, which we believe to be reliable. Market prices do not constitute a bid or an offer, and may differ from the actual sale price. Securities for which a price is not available are marked "N/A" and are omitted from the Total. THE AS OF PRICE DATE ONLY APPEARS WHEN THE PRICE DATE DOES NOT EQUAL THE STATEMENT DATE.

### Estimated Annual Figures

The estimated annual income (EAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or guarantee of future results. These figures are computed using information from providers believed to be reliable; however, no assurance can be made as to the accuracy. Since interest and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal may be included in the figures for certain securities, thereby overstating them. Refer to [www.pershing.com/disclosures](http://www.pershing.com/disclosures) for specific details as to formulas used to calculate the figures. Accrued interest represents interest earned but not yet received.

### Reinvestment

The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your statement may have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow.

### Option Disclosure

Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional information regarding this procedure is available upon written request to your introducing firm.

## Portfolio Holdings Disclosures (continued)

### Foreign Currency Transactions

Pershing will execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

### Proxy Vote

Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

## Activity Summary (All amounts shown are in base currency)

	Credits This Period	Debits This Period	Net This Period	Credits Year-to-Date	Debits Year-to-Date	Net Year-to-Date
<b>Securities</b>						
Securities Bought	0.00	-34,833.00	-34,833.00	0.00	-308,099.35	-308,099.35
Securities Sold	0.00	0.00	0.00	231,689.18	0.00	231,689.18
<b>Total Securities</b>	0.00	-34,833.00	-34,833.00	231,689.18	-308,099.35	-76,410.17
<b>Dividends and Interest</b>	0.00	0.00	0.00	330.32	0.00	330.32
<b>Fees</b>	0.00	0.00	0.00	0.00	-60.52	-60.52
<b>Taxes Withheld</b>	0.00	0.00	0.00	0.00	-49.52	-49.52
<b>Totals</b>	0.00	-34,833.00	-34,833.00	232,019.50	-308,209.39	-76,189.89



November 1, 2019 - November 30, 2019  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Transactions in Date Sequence

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
11/04/19	11/01/19	PURCHASED 99QAMIR5J	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 03-20-20@290.000 OPTION ROOT= SPY OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION	15.000	6.5000		-9,875.58 -14,312.43	USD AUD
11/04/19	11/01/19	PURCHASED 99QAPJ5KD	PUT 100 INVESCO QQQ TR UNIT SER 1 EXP 03-20-20 @185 OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION	20.000	4.4000		-8,925.78 -12,935.90	USD AUD
11/05/19	11/04/19	PURCHASED 99QAOY2VG	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 12-31-19@265.000 OPTION ROOT= SPY OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION	100.000	0.5100		-5,228.88 -7,584.67	USD AUD
Total Value of Transactions						0.00	-24,030.24	USD
Total AUD Equivalent						0.00	-34,833.00	AUD

The price and quantity displayed may have been rounded.

## Client Service Information

Your Investment Advisor: MBM

CRAIG MALTZ JONATHAN MITCHELL  
SHAW AND PARTNERS  
LEVEL 7, CHIFLEY TOWER  
2 CHIFLEY SQUARE SYDNEY NSW 2000  
AUSTRALIA

Client Service Information

Service Hours: Weekdays 08:00 a.m. - 05:30 p.m. (AEST)  
Outside of United States:  
1800636625  
Web Site: WWW.SHAWANDPARTNERS.COM.AU

## Your Account Information

### TAX LOT DEFAULT DISPOSITION METHOD

Default Method for Mutual Funds: First In First Out  
 Default Method for Stocks in a Dividend Reinvestment Plan: First In First Out  
 Default Method for all Other Securities: First In First Out

### BOND AMORTIZATION ELECTIONS

Amortize premium on taxable bonds based on Constant Yield Method: Yes  
 Accrual market discount method for all other bond types: Constant Yield Method  
 Include market discount in income annually: No

### ELECTRONIC DELIVERY

Your electronic delivery selections for account communications are listed below:

#### Electronic Delivery

Enrollment	Communication
✓	Statements and Reports
✓	Trade Confirmations
✓	Tax Documents
✓	Notifications
✗	Prospectus
✓	Proxy/Shareholder Communications*

E-mail notifications are delivered to the following e-mail address(es):

d#####@hotmail.com

\*d#####@hotmail.com is on file for these documents

The above e-mail address is partially masked for your security. Please log in to your account to review the full e-mail address.

Please log in to your account or contact your Investment Advisor to make any changes to your electronic delivery preferences.

## Messages

Although a money market mutual fund seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money market mutual fund. Shares of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account. Please see the money market mutual fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to SEC Rule 10b-10(b)(1) confirmations are not sent for purchases into money market mutual funds processed on the sweep platform. Pursuant to applicable regulation, account statements will be produced monthly or quarterly.

## Exchange Rate Table

Currency	AUD Equivalent	Currency per AUD
U.S. DOLLARS	1.4788	0.6762

Exchange rates are based on interbank exchange rates as of 11/29/2019. Exchange rates can vary.

## Global Cash

Currency	Closing Balance	Amount in Base Currency AUD
U.S. DOLLARS	15,285.00	22,604.25
Total Global Cash Balance		22,604.25



November 1, 2019 - November 30, 2019  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Income and Expense Summary

	Current Period		Year-to-Date	
	Taxable	Non Taxable	Taxable	Non Taxable
Dividend Income				
Other Dividends	0.00	0.00	330.32	0.00
Total Dividends, Interest, Income and Expenses	0.00	0.00	330.32	0.00

## Important Information and Disclosures

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- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.
- Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents; the acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those transactions, where applicable; the rendering of investment advice, if any, to you and in general, for the ongoing relationship that it has with you.
- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial organization's contact information can be found on the first page of this statement.
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- Pershing is a member of the Securities Investor Protection Corporation (SIPC®). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: [www.pershing.com/about/strength-and-stability](http://www.pershing.com/about/strength-and-stability).
- This statement will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your rights, including your rights under the Securities Investor Protection Act.
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### Important Arbitration Disclosures

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the



## Important Information and Disclosures (continued)

### Important Arbitration Disclosures (continued)

panel at least 20 days prior to the first scheduled hearing date.

- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

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Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until; (I) the class certification is denied; (II) the class is decertified; or (III) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein. The laws of the State of New York govern.

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330.

PRASAD-GATT SUPERANNUATION FUND  
UAD 06/25/08  
D A PRASAD & K A GATT TTEES  
UNIT 21 159 RIDGECROP DRIVE  
CASTLE HILL NSW 2154  
AUSTRALIA

December 1, 2019 - December 31, 2019  
Account Number: TGT-003197  
Base Currency: AUSTRALIAN DOLLAR (AUD)

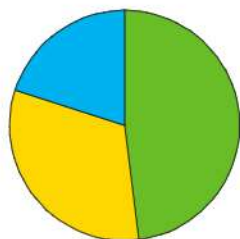
Your Investment Advisor:  
CRAIG MALTZ JONATHAN MITCHELL

### Portfolio at a Glance

	This Period	Year-to-Date
BEGINNING ACCOUNT VALUE	66,530.22	147,709.32
Dividends, Interest and Other Income	10.91	341.23
Fees	-30.01	-90.53
Other Transactions	-1.63	-51.15
Net Change in Portfolio <sup>1</sup>	-21,499.89	-102,899.27
<b>ENDING ACCOUNT VALUE</b>	<b>45,009.60</b>	<b>45,009.60</b>
Estimated Annual Income	310.22	

<sup>1</sup> Net Change in Portfolio is the difference between the ending account value and beginning account value after activity.

### Asset Summary



Percent	Asset Type	Prior Year-End	This Period
48%	Cash, Money Funds, and Bank Deposits	98,078.05	21,728.81
32%	Equities	36,913.88	14,499.14
20%	Exchange-Traded Products	12,717.39	8,781.65
100%	Account Total (Pie Chart)	147,709.32	45,009.60

Please review your allocation periodically with your Investment Advisor.

## Portfolio Holdings

### U.S. DOLLARS

Description	Quantity	Opening Balance	Closing Balance	Currency	Accrued Income	30-Day Yield
CASH, MONEY FUNDS AND BANK DEPOSITS 48.00% of Portfolio						
Cash Balance		15,285.00	15,271.02	USD		
		22,604.25	21,728.81	AUD		
TOTAL CASH, MONEY FUNDS AND BANK DEPOSITS						
		15,285.00	15,271.02	USD	0.00	
		22,604.25	21,728.81	AUD	0.00	

Description	Quantity	Market Price	Market Value	Currency		
EQUITIES 32.00% of Portfolio						
Options						
PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 12-31-19@265.000	100.000	0.0100	100.00	USD		
OPTION ROOT= SPY			142.29	AUD		
Option Identifier: 99QAOY2VG						
Underlying Security Identifier: SPY						
Underlying Security Price: \$321.86						
Price Estimated as of: 12/27/19						
PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 03-20-20@290.000	30.000	1.8700	5,610.00	USD		
OPTION ROOT= SPY			7,982.35	AUD		
Option Identifier: 99QAM1R5J						
Underlying Security Identifier: SPY						
Underlying Security Price: \$321.86						
PUT 100 INVECO QQQ TR UNIT SER 1 EXP 03-20-20@185.000	40.000	1.1200	4,480.00	USD		
OPTION ROOT= QQQ			6,374.50	AUD		
Option Identifier: 99QAPJ5KD						
Underlying Security Identifier: QQQ						
Underlying Security Price: \$212.61						
Total Options						
			10,190.00	USD		
			14,499.14	AUD		
TOTAL EQUITIES						
			10,190.00	USD		
			14,499.14	AUD		

Description	Quantity	Market Price	Market Value	Currency	Estimated Annual Income	Estimated Yield
EXCHANGE-TRADED PRODUCTS 20.00% of Portfolio						
DIREXION SHS ETF TR DAILY CSI 300 CHINA A SH BEAR 1X SHS	225.000	27.4300	6,171.75	USD	218.02	3.53%
Security Identifier: CHAD			8,781.65	AUD	310.22	
CUSIP: 25459Y116						
TOTAL EXCHANGE-TRADED PRODUCTS						
			6,171.75	USD	218.02	
			8,781.65	AUD	310.22	



December 1, 2019 - December 31, 2019  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Portfolio Holdings (continued)

## U.S. DOLLARS (continued)

	Market Value	Currency	Accrued Interest	Estimated Annual Income
TOTAL U.S. DOLLARS	31,632.77	USD	0.00	218.02
	45,009.60	AUD	0.00	310.22
	Market Value		Accrued Interest	Estimated Annual Income
Total Portfolio Holdings - AUSTRALIAN DOLLAR	45,009.60		0.00	310.22

## Portfolio Holdings Disclosures

## Pricing

This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the statement period. The market prices, unless otherwise noted, have been obtained from independent vendor services, which we believe to be reliable. Market prices do not constitute a bid or an offer, and may differ from the actual sale price. Securities for which a price is not available are marked "N/A" and are omitted from the Total. THE AS OF PRICE DATE ONLY APPEARS WHEN THE PRICE DATE DOES NOT EQUAL THE STATEMENT DATE.

## Estimated Annual Figures

The estimated annual income (EAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or guarantee of future results. These figures are computed using information from providers believed to be reliable; however, no assurance can be made as to the accuracy. Since interest and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal may be included in the figures for certain securities, thereby overstating them. Refer to [www.pershing.com/disclosures](http://www.pershing.com/disclosures) for specific details as to formulas used to calculate the figures. Accrued interest represents interest earned but not yet received.

## Reinvestment

The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your statement may have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow.

## Option Disclosure

Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional information regarding this procedure is available upon written request to your introducing firm.

## Portfolio Holdings Disclosures (continued)

### Foreign Currency Transactions

Pershing will execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

### Proxy Vote

Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

## Activity Summary (All amounts shown are in base currency)

	Credits This Period	Debits This Period	Net This Period	Credits Year-to-Date	Debits Year-to-Date	Net Year-to-Date
<b>Securities</b>						
Securities Bought	0.00	0.00	0.00	0.00	-308,099.35	-308,099.35
Securities Sold	0.00	0.00	0.00	231,689.18	0.00	231,689.18
<b>Total Securities</b>	0.00	0.00	0.00	231,689.18	-308,099.35	-76,410.17
<b>Dividends and Interest</b>	10.91	0.00	10.91	341.23	0.00	341.23
<b>Fees</b>	0.00	-30.01	-30.01	0.00	-90.53	-90.53
<b>Taxes Withheld</b>	0.00	-1.63	-1.63	0.00	-51.15	-51.15
<b>Totals</b>	10.91	-31.64	-20.73	232,030.41	-308,241.03	-76,210.62

## Transactions in Date Sequence

Process/ Settlement Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
12/06/19	ADMINISTRATION FEE	OPTIONS FEE 10/19 OPTIONS TRADE FEE				-20.50	USD
	USD999997					-30.01	AUD
12/31/19	CASH DIVIDEND RECEIVED	225 SHRS DIREXION SHS ETF TR DAILY CSI 300 CHINA A SH				7.67	USD
	CHAD	BEAR 1X SHS RD 12/24 PD 12/31/19				10.91	AUD
12/31/19	NON-RESIDENT ALIEN TAX	NRA TAX WITHHELD ON 225 SHRS DIREXION SHS ETF TR				-1.15	USD
	CHAD	DAILY CSI 300 CHINA A SH BEAR 1X SHS RD 12/24 PD 12/31/19				-1.63	AUD
<b>Total Value of Transactions</b>						0.00	-13.98 USD
<b>Total AUD Equivalent</b>						0.00	-20.73 AUD

The price and quantity displayed may have been rounded.



December 1, 2019 - December 31, 2019  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Client Service Information

Your Investment Advisor: MBM

CRAIG MALTZ JONATHAN MITCHELL  
SHAW AND PARTNERS  
LEVEL 7, CHIFLEY TOWER  
2 CHIFLEY SQUARE SYDNEY NSW 2000  
AUSTRALIA

Client Service Information

Service Hours: Weekdays 08:00 a.m. - 05:30 p.m. (AEST)  
Outside of United States:  
1800636625  
Web Site: WWW.SHAWANDPARTNERS.COM.AU

## Your Account Information

### TAX LOT DEFAULT DISPOSITION METHOD

Default Method for Mutual Funds:	First In First Out
Default Method for Stocks in a Dividend Reinvestment Plan:	First In First Out
Default Method for all Other Securities:	First In First Out

### BOND AMORTIZATION ELECTIONS

Amortize premium on taxable bonds based on Constant Yield Method:	Yes
Accrual market discount method for all other bond types:	Constant Yield Method
Include market discount in income annually:	No

### ELECTRONIC DELIVERY

Your electronic delivery selections for account communications are listed below:

#### Electronic Delivery

Enrollment	Communication
✓	Statements and Reports
✓	Trade Confirmations
✓	Tax Documents
✓	Notifications
✗	Prospectus
✓	Proxy/Shareholder Communications*

Please log in to your account or contact your Investment Advisor to make any changes to your electronic delivery preferences.

E-mail notifications are delivered to the following e-mail address(es):

d#####@hotmail.com

\*d#####@hotmail.com is on file for these documents

The above e-mail address is partially masked for your security.  
Please log in to your account to review the full e-mail address.

## Messages

Although a money market mutual fund seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money market mutual fund. Shares of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account. Please see the money market mutual fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to



## Messages (continued)

SEC Rule 10b-10(b)(1) confirmations are not sent for purchases into money market mutual funds processed on the sweep platform. Pursuant to applicable regulation, account statements will be produced monthly or quarterly.

## Exchange Rate Table

Currency	AUD Equivalent	Currency per AUD
U.S. DOLLARS	1.4228	0.7028

Exchange rates are based on interbank exchange rates as of 12/31/2019. Exchange rates can vary.

## Global Cash

Currency	Closing Balance	Amount in Base Currency AUD
U.S. DOLLARS	15,271.02	21,728.81
Total Global Cash Balance		21,728.81

## Income and Expense Summary

	Current Period		Year-to-Date	
	Taxable	Non Taxable	Taxable	Non Taxable
Dividend Income				
Other Dividends	10.91	0.00	341.23	0.00
Total Dividends, Interest, Income and Expenses	10.91	0.00	341.23	0.00

## Important Information and Disclosures

### The Role of Pershing

- Pershing carries your account as clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you.
- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.
- Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents; the acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those transactions, where applicable; the rendering of investment advice, if any, to you and in general, for the ongoing relationship that it has with you.
- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial organization's contact information can be found on the first page of this statement.
- For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the Disclosure Statement, please contact your financial institution.
- Pershing is a member of the Securities Investor Protection Corporation (SIPC®). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: [www.pershing.com/about/strength-and-stability](http://www.pershing.com/about/strength-and-stability).
- This statement will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your rights, including your rights under the Securities Investor Protection Act.

December 1, 2019 - December 31, 2019  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Important Information and Disclosures (continued)

### The Role of Pershing (continued)

- Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330. Errors and Omissions excepted.

### Important Arbitration Disclosures

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

### Important Arbitration Agreement

Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until; (I) the class certification is denied; (II) the class is decertified; or (III) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein. The laws of the State of New York govern.

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330.



## TERMS AND CONDITIONS

### TRANSACTIONS

- ALL ORDERS AND TRANSACTIONS SHALL BE SOLELY FOR YOUR ACCOUNT AND RISK SHALL BE SUBJECT TO THE CONSTITUTION, RULES, REGULATIONS, CUSTOMS, USAGES, RULINGS AND INTERPRETATIONS OF THE EXCHANGE OR MARKET AND THE CLEARING FACILITY, IF ANY, WHERE THE TRANSACTIONS ARE EXECUTED AND/OR SETTLED, OR IF APPLICABLE, OF THE FINANCIAL INDUSTRY REGULATORY AUTHORITY AND TO ALL APPLICABLE LAWS AND REGULATIONS.
- TITLE TO SECURITIES SOLD TO YOU, WHERE PERSHING HAS ACTED AS PRINCIPAL, SHALL REMAIN WITH PERSHING UNTIL THE ENTIRE PURCHASE PRICE IS RECEIVED OR UNTIL THE SETTLEMENT DATE, WHICHEVER IS LATER.
- YOU MAY HAVE RECEIVED CONFIRMATIONS FOR TRANSACTIONS WHICH DO NOT APPEAR ON YOUR STATEMENT. IF SO, THE TRANSACTIONS WILL APPEAR ON YOUR NEXT PERIODIC STATEMENT. SUCH TRANSACTIONS MUST BE CONSIDERED BY YOU WHEN COMPUTING THE VALUE OF YOUR ACCOUNT. THIS IS ESPECIALLY TRUE IF YOU HAVE WRITTEN OPTIONS WHICH HAVE BEEN EXERCISED.

**FREE CREDIT BALANCES:** ANY FREE CREDIT BALANCE CARRIED FOR YOUR ACCOUNT REPRESENTS FUNDS PAYABLE UPON DEMAND WHICH, ALTHOUGH PROPERLY ACCOUNTED FOR ON PERSHING'S BOOKS OF RECORD, ARE NOT SEGREGATED AND MAY BE USED IN THE CONDUCT OF ITS BUSINESS.

**DEBIT BALANCES:** INTEREST CHARGED ON DEBIT BALANCES IN YOUR ACCOUNT APPEARS ON THE STATEMENT. THE RATE OF INTEREST AND PERIOD COVERED ARE INDICATED. THE RATE MAY CHANGE FROM TIME TO TIME DUE TO FLUCTUATIONS IN MONEY RATES OR OTHER REASONS. INTEREST IS COMPUTED AS DESCRIBED IN MATERIAL PREVIOUSLY FURNISHED TO YOU. PLEASE CONTACT YOUR FINANCIAL INSTITUTION IF YOU DESIRE ADDITIONAL COPIES.

**MARGIN INFORMATION:** IF YOU MAINTAIN A MARGIN ACCOUNT, THIS IS A COMBINED STATEMENT OF YOUR GENERAL ACCOUNT AND A SPECIAL MEMORANDUM ACCOUNT MAINTAINED FOR YOU UNDER REGULATION T OF 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 UPON REQUEST.

### TAX INFORMATION

- AFTER YEAR END, PERSHING IS REQUIRED TO PROVIDE TAX INFORMATION TO THE INTERNAL REVENUE SERVICE AND OTHER GOVERNMENTAL AUTHORITIES. AT THAT TIME PERSHING WILL PROVIDE THAT INFORMATION ON THE ANNUAL TAX INFORMATION STATEMENT TO YOU; USE THAT STATEMENT TO PREPARE YOUR TAX FILINGS. THE TAX STATEMENT ALSO INCLUDES OTHER USEFUL INFORMATION TO ASSIST IN ACCUMULATING THE DATA TO PREPARE YOUR TAX RETURNS.
- DIVIDENDS, INTEREST AND OTHER DISTRIBUTIONS SHOWN ON THIS STATEMENT WERE CLASSIFIED AS TAXABLE OR NONTAXABLE BASED ON CERTAIN INFORMATION KNOWN AS OF THE DISTRIBUTION DATE. THIS CLASSIFICATION IS SUBJECT TO CHANGE AND IS SOLELY INTENDED FOR USE AS GENERAL INFORMATION.
- PERSHING DOES NOT PROVIDE TAX, INVESTMENT OR LEGAL ADVISORY SERVICES AND NO ONE ASSOCIATED WITH PERSHING IS AUTHORIZED TO RENDER SUCH ADVICE. DO NOT RELY UPON ANY SUCH ADVICE, IF GIVEN. INVESTORS ARE ENCOURAGED TO CONSULT THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR BUSINESS.

### GENERAL INFORMATION

- WHENEVER YOU ARE INDEBTED TO PERSHING LLC ("PERSHING") FOR ANY AMOUNT, ALL SECURITIES HELD BY IT FOR YOU IN ANY ACCOUNT IN WHICH YOU HAVE ANY INTEREST SHALL SECURE ALL YOUR LIABILITIES TO PERSHING, AND PERSHING MAY IN ITS DISCRETION AT ANY TIME, WITHOUT TENDER, DEMAND OR NOTICE TO YOU, CLOSE OR REDUCE ANY OR ALL OF YOUR ACCOUNTS BY PUBLIC OR PRIVATE SALE OR PURCHASE OR BOTH OF ALL OR ANY SECURITIES CARRIED IN SUCH ACCOUNTS; ANY BALANCE REMAINING DUE PERSHING TO BE PROMPTLY PAID BY YOU.
- WHENEVER YOU ARE INDEBTED TO PERSHING FOR ANY AMOUNT, ALL SECURITIES CARRIED FOR YOUR ACCOUNT ARE OR MAY BE, WITHOUT FURTHER NOTICE TO YOU, LOANED OR PLEDGED BY PERSHING, EITHER SEPARATELY OR UNDER CIRCUMSTANCES WHICH WILL PERMIT THE COMMINGLING THEREOF,

WITH OTHER SECURITIES FOR ANY AMOUNT LESS THAN, EQUAL TO OR GREATER THAN YOUR LIABILITIES TO PERSHING, BUT NOT UNDER CIRCUMSTANCES FOR AN AMOUNT PROHIBITED BY LAW.

- PERSHING MAY TRADE FOR ITS OWN ACCOUNT AS A MARKET MAKER, SPECIALIST, ODD LOT DEALER, BLOCK POSITIONER, ARBITRAGEUR OR INVESTOR. CONSEQUENTLY, AT THE TIME OF ANY TRANSACTION YOU MAY MAKE, PERSHING MAY HAVE A POSITION IN SUCH SECURITIES, WHICH POSITION MAY BE PARTIALLY OR COMPLETELY HEDGED.
- IF AVERAGE PRICE TRANSACTION IS INDICATED ON THE FRONT OF THIS STATEMENT YOUR FINANCIAL INSTITUTION OR PERSHING MAY HAVE ACTED AS PRINCIPAL, AGENT OR BOTH. DETAILS AVAILABLE UPON REQUEST.
- A FINANCIAL STATEMENT OF PERSHING IS AVAILABLE FOR YOUR PERSONAL INSPECTION AT PERSHING'S OFFICES. A COPY OF IT WILL BE MAILED UPON YOUR WRITTEN REQUEST OR YOU CAN VIEW IT ONLINE AT [WWW.PERSHING.COM](http://WWW.PERSHING.COM).
- FOR BUSINESS CONTINUITY AND ADDITIONAL DISCLOSURES: [WWW.PERSHING.COM/DISCLOSURES](http://WWW.PERSHING.COM/DISCLOSURES).
- THIS STATEMENT SHOULD BE RETAINED FOR YOUR RECORDS.

### PAYMENT FOR ORDER FLOW AND ORDER ROUTING POLICY DISCLOSURES (REGULATION NMS - RULE 607 (A) (1) - (2))

PERSHING SENDS EQUITY AND OPTION ORDERS TO EXCHANGES, OR BROKER-DEALERS AS MARKET MAKERS OR AUTOMATED TRADING SYSTEMS (ATSS). CERTAIN OF THESE VENUES PROVIDE PAYMENTS TO PERSHING OR CHARGE ACCESS FEES TO PERSHING DEPENDING UPON THE CHARACTERISTICS OF THE ORDER AND ANY SUBSEQUENT EXECUTION. THE DETAILS OF THESE PAYMENTS AND FEES ARE AVAILABLE UPON WRITTEN REQUEST. COMPENSATION IS GENERALLY IN THE FORM OF A PER SHARE OR PER OPTION CONTRACT CASH PAYMENT. IN ADDITION, PERSHING ROUTES CERTAIN EQUITY TO ITS AFFILIATE, BNY MELLON CAPITAL MARKETS, LLC, FOR EXECUTION AS PRINCIPAL.

**BEST EXECUTION:** NOTWITHSTANDING THE PREVIOUS PARAGRAPH REGARDING PAYMENT FOR ORDER FLOW, PERSHING SELECTS CERTAIN MARKET CENTERS TO PROVIDE EXECUTION OF OVER-THE-COUNTER AND EXCHANGE-LISTED SECURITIES TRANSACTIONS WHICH AGREE TO ACCEPT ORDERS, TRANSMITTED ELECTRONICALLY UP TO A SPECIFIED SIZE, AND TO EXECUTE THEM AT OR BETTER THAN THE NATIONAL BEST BID OR OFFER (NBBO). IN CERTAIN SECURITIES THAT ARE NOT ELECTRONICALLY QUOTED, PERSHING DIRECTLY CONTACTS MARKET CENTERS TO OBTAIN AN EXECUTION. THE DESIGNATED MARKET CENTERS TO WHICH ORDERS ARE AUTOMATICALLY ROUTED ARE SELECTED BASED ON THE CONSISTENT HIGH QUALITY OF THEIR EXECUTIONS AND THEIR ABILITY TO PROVIDE OPPORTUNITIES FOR EXECUTIONS AT PRICES SUPERIOR TO THE NBBO. PERSHING ALSO REGULARLY REVIEWS REPORTS FOR QUALITY OF EXECUTION PURPOSES.

IF ANY OF THE ABOVE TERMS AND CONDITIONS ARE UNACCEPTABLE TO YOU, PLEASE NOTIFY PERSHING IMMEDIATELY IN WRITING BY CERTIFIED MAIL TO ONE PERSHING PLAZA, JERSEY CITY, NJ 07399, ATTN: LEGAL DEPT



PRASAD-GATT SUPERANNUATION FUND  
UAD 06/25/08  
D A PRASAD & K A GATT TTEES  
UNIT 21 159 RIDGECROP DRIVE  
CASTLE HILL NSW 2154  
AUSTRALIA

January 1, 2020 - January 31, 2020  
Account Number: TGT-003197  
Base Currency: AUSTRALIAN DOLLAR (AUD)

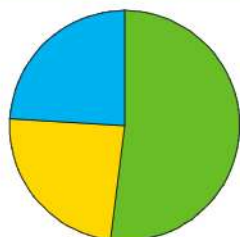
Your Investment Advisor:  
CRAIG MALTZ JONATHAN MITCHELL

### Portfolio at a Glance

	This Period	Year-to-Date
BEGINNING ACCOUNT VALUE	45,009.60	45,009.60
Fees	-10.84	-10.84
Net Change in Portfolio <sup>1</sup>	-1,206.99	-1,206.99
<b>ENDING ACCOUNT VALUE</b>	<b>43,791.77</b>	<b>43,791.77</b>
Estimated Annual Income	325.74	

<sup>1</sup> Net Change in Portfolio is the difference between the ending account value and beginning account value after activity.

### Asset Summary



Percent	Asset Type	Prior Year-End	This Period
52%	Cash, Money Funds, and Bank Deposits	21,728.81	22,805.30
24%	Equities	14,499.14	10,682.80
24%	Exchange-Traded Products	8,781.65	10,303.67
100%	Account Total (Pie Chart)	45,009.60	43,791.77

Please review your allocation periodically with your Investment Advisor.

## Portfolio Holdings

### U.S. DOLLARS

Description	Quantity	Opening Balance	Closing Balance	Currency	Accrued Income	30-Day Yield
CASH, MONEY FUNDS AND BANK DEPOSITS 52.00% of Portfolio						
Cash Balance		15,271.02	15,263.59	USD		
		21,728.81	22,805.30	AUD		
TOTAL CASH, MONEY FUNDS AND BANK DEPOSITS		15,271.02	15,263.59	USD	0.00	
		21,728.81	22,805.30	AUD	0.00	

Description	Quantity	Market Price	Market Value	Currency		
EQUITIES 24.00% of Portfolio						
Options						
PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 03-20-20@290.000	30.000	1.5700	4,710.00	USD		
OPTION ROOT= SPY			7,037.20	AUD		
Option Identifier: 99QAM1R5J						
Underlying Security Identifier: SPY						
Underlying Security Price: \$321.73						
PUT 100 INVESCO QQQ TR UNIT SER 1 EXP 03-20-20@185.000	40.000	0.6100	2,440.00	USD		
OPTION ROOT= QQQ			3,645.60	AUD		
Option Identifier: 99QAPJ5KD						
Underlying Security Identifier: QQQ						
Underlying Security Price: \$219.07						
Total Options			7,150.00	USD		
			10,682.80	AUD		
TOTAL EQUITIES			7,150.00	USD		
			10,682.80	AUD		

Description	Quantity	Market Price	Market Value	Currency	Estimated Annual Income	Estimated Yield
EXCHANGE-TRADED PRODUCTS 24.00% of Portfolio						
DIREXION SHS ETF TR DAILY CSI 300 CHINA A SH BEAR 1X SHS	225.000	30.6500	6,896.25	USD	218.02	3.16%
Security Identifier: CHAD			10,303.67	AUD	325.74	
CUSIP: 25459Y116						

TOTAL EXCHANGE-TRADED PRODUCTS			6,896.25	USD	218.02	
			10,303.67	AUD	325.74	
TOTAL U.S. DOLLARS						
			29,309.84	USD	0.00	
			43,791.77	AUD	0.00	

January 1, 2020 - January 31, 2020  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Portfolio Holdings (continued)

	Market Value	Accrued Interest	Estimated Annual Income
Total Portfolio Holdings - AUSTRALIAN DOLLAR	43,791.77	0.00	325.74

## Portfolio Holdings Disclosures

### Pricing

This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the statement period. The market prices, unless otherwise noted, have been obtained from independent vendor services, which we believe to be reliable. Market prices do not constitute a bid or an offer, and may differ from the actual sale price. Securities for which a price is not available are marked "N/A" and are omitted from the Total. THE AS OF PRICE DATE ONLY APPEARS WHEN THE PRICE DATE DOES NOT EQUAL THE STATEMENT DATE.

### Estimated Annual Figures

The estimated annual income (EAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or guarantee of future results. These figures are computed using information from providers believed to be reliable; however, no assurance can be made as to the accuracy. Since interest and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal may be included in the figures for certain securities, thereby overstating them. Refer to [www.pershing.com/disclosures](http://www.pershing.com/disclosures) for specific details as to formulas used to calculate the figures. Accrued interest represents interest earned but not yet received.

### Reinvestment

The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your statement may have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow.

### Option Disclosure

Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional information regarding this procedure is available upon written request to your introducing firm.

### Foreign Currency Transactions

Pershing will execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial



## Portfolio Holdings Disclosures (continued)

### Foreign Currency Transactions (continued)

organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

### Proxy Vote

Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

## Activity Summary (All amounts shown are in base currency)

	Credits This Period	Debits This Period	Net This Period	Credits Year-to-Date	Debits Year-to-Date	Net Year-to-Date
Fees	0.00	-10.84	-10.84	0.00	-10.84	-10.84
Totals	0.00	-10.84	-10.84	0.00	-10.84	-10.84

## Transactions in Date Sequence

Process/ Settlement Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
01/02/20	YOUR OPTION EXPIRED 99QAOY2VG	SPY 12312019 P 265 C CREDIT ACCOUNT	-100.000			0.00	USD
01/09/20	ADMINISTRATION FEE USD999997	OPTION FEE 11/2019				-7.43	USD
						-10.84	AUD
Total Value of Transactions					0.00	-7.43	USD
Total AUD Equivalent					0.00	-10.84	AUD

The price and quantity displayed may have been rounded.

## Client Service Information

Your Investment Advisor: MBM

CRAIG MALTZ JONATHAN MITCHELL  
SHAW AND PARTNERS  
LEVEL 7, CHIFLEY TOWER  
2 CHIFLEY SQUARE SYDNEY NSW 2000  
AUSTRALIA

Client Service Information

Service Hours: Weekdays 08:00 a.m. - 05:30 p.m. (AEST)  
Outside of United States:  
1800636625  
Web Site: WWW.SHAWANDPARTNERS.COM.AU

January 1, 2020 - January 31, 2020  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Your Account Information

### TAX LOT DEFAULT DISPOSITION METHOD

Default Method for Mutual Funds: First In First Out  
Default Method for Stocks in a Dividend Reinvestment Plan: First In First Out  
Default Method for all Other Securities: First In First Out

### BOND AMORTIZATION ELECTIONS

Amortize premium on taxable bonds based on Constant Yield Method: Yes  
Accrual market discount method for all other bond types: Constant Yield Method  
Include market discount in income annually: No

### ELECTRONIC DELIVERY

Your electronic delivery selections for account communications are listed below:

#### Electronic Delivery

Enrollment	Communication
✓	Statements and Reports
✓	Trade Confirmations
✓	Tax Documents
✓	Notifications
✗	Prospectus
✓	Proxy/Shareholder Communications*

E-mail notifications are delivered to the following e-mail address(es):

d#####@hotmail.com

\*d#####@hotmail.com is on file for these documents

The above e-mail address is partially masked for your security. Please log in to your account to review the full e-mail address.

Please log in to your account or contact your Investment Advisor to make any changes to your electronic delivery preferences.

## Messages

Although a money market mutual fund seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money market mutual fund. Shares of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account. Please see the money market mutual fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to SEC Rule 10b-10(b)(1) confirmations are not sent for purchases into money market mutual funds processed on the sweep platform. Pursuant to applicable regulation, account statements will be produced monthly or quarterly.

## Exchange Rate Table

Currency	AUD Equivalent	Currency per AUD
U.S. DOLLARS	1.4940	0.6693

Exchange rates are based on interbank exchange rates as of 01/31/2020. Exchange rates can vary.

## Global Cash

Currency	Closing Balance	Amount in Base Currency AUD
U.S. DOLLARS	15,263.59	22,805.30
Total Global Cash Balance		22,805.30



## Important Information and Disclosures

### The Role of Pershing

- Pershing carries your account as clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you.
- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.
- Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents; the acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those transactions, where applicable; the rendering of investment advice, if any, to you and in general, for the ongoing relationship that it has with you.
- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial organization's contact information can be found on the first page of this statement.
- For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the Disclosure Statement, please contact your financial institution.
- Pershing is a member of the Securities Investor Protection Corporation (SIPC®). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: [www.pershing.com/about/strength-and-stability](http://www.pershing.com/about/strength-and-stability).
- This statement will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your rights, including your rights under the Securities Investor Protection Act.
- Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330. Errors and Omissions excepted.

### Important Arbitration Disclosures

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

### Important Arbitration Agreement

Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until; (I) the class certification is denied; (II) the class is decertified; or (III) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein. The laws of the State of New York govern.

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330.



PRASAD-GATT SUPERANNUATION FUND  
UAD 06/25/08  
D A PRASAD & K A GATT TTEES  
UNIT 21 159 RIDGECROP DRIVE  
CASTLE HILL NSW 2154  
AUSTRALIA

February 1, 2020 - February 29, 2020  
Account Number: TGT-003197  
Base Currency: AUSTRALIAN DOLLAR (AUD)

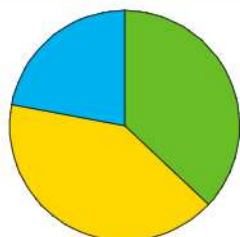
Your Investment Advisor:  
CRAIG MALTZ JONATHAN MITCHELL

### Portfolio at a Glance

	This Period	Year-to-Date
BEGINNING ACCOUNT VALUE	43,791.77	45,009.60
Fees	0.00	-10.84
Net Change in Portfolio <sup>1</sup>	1,999.70	792.71
<b>ENDING ACCOUNT VALUE</b>	<b>45,791.47</b>	<b>45,791.47</b>
Estimated Annual Income	338.23	

<sup>1</sup> Net Change in Portfolio is the difference between the ending account value and beginning account value after activity.

### Asset Summary



Percent	Asset Type	Prior Year-End	This Period
37%	Cash, Money Funds, and Bank Deposits	21,728.81	16,928.24
41%	Equities	14,499.14	18,988.51
22%	Exchange-Traded Products	8,781.65	9,874.72
100%	Account Total (Pie Chart)	45,009.60	45,791.47

Please review your allocation periodically with your Investment Advisor.

## Portfolio Holdings

### U.S. DOLLARS

Description	Quantity	Opening Balance	Closing Balance	Currency	Accrued Income	30-Day Yield
CASH, MONEY FUNDS AND BANK DEPOSITS 37.00% of Portfolio						
Cash Balance		15,263.59	10,911.95	USD		
		22,805.29	16,928.24	AUD		
TOTAL CASH, MONEY FUNDS AND BANK DEPOSITS						
		15,263.59	10,911.95	USD	0.00	
		22,805.29	16,928.24	AUD	0.00	

Description	Quantity	Market Price	Market Value	Currency		
EQUITIES 41.00% of Portfolio						
Options						
PUT 100 INVESCO QQQ TR UNIT SER 1 EXP 03-20-20@185.000	40.000	2.7000	10,800.00	USD		
OPTION ROOT= QQQ			16,754.57	AUD		
Option Identifier: 99QAPJ5KD						
Underlying Security Identifier: QQQ						
Underlying Security Price: \$205.80						
CALL 100 SPDR S&P 500 ETF TR UNIT EXP 04-17-20@325.000	10.000	1.4400	1,440.00	USD		
OPTION ROOT= SPY			2,233.94	AUD		
Option Identifier: 99QAQ39M4						
Underlying Security Identifier: SPY						
Underlying Security Price: \$296.26						
Total Options						
			12,240.00	USD		
			18,988.51	AUD		
TOTAL EQUITIES						
			12,240.00	USD		
			18,988.51	AUD		

Description	Quantity	Market Price	Market Value	Currency	Estimated Annual Income	Estimated Yield
EXCHANGE-TRADED PRODUCTS 22.00% of Portfolio						
DIREXION SHS ETF TR DAILY CSI 300 CHINA A SH BEAR 1X SHS	225.000	28.2900	6,365.25	USD	218.02	3.42%
Security Identifier: CHAD			9,874.72	AUD	338.23	
CUSIP: 25459Y116						
TOTAL EXCHANGE-TRADED PRODUCTS						
			6,365.25	USD	218.02	
			9,874.72	AUD	338.23	
TOTAL U.S. DOLLARS						
			29,517.20	USD	0.00	
			45,791.47	AUD	0.00	

February 1, 2020 - February 29, 2020  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Portfolio Holdings (continued)

	Market Value	Accrued Interest	Estimated Annual Income
Total Portfolio Holdings - AUSTRALIAN DOLLAR	45,791.47	0.00	338.23

## Portfolio Holdings Disclosures

### Pricing

This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the statement period. The market prices, unless otherwise noted, have been obtained from independent vendor services, which we believe to be reliable. Market prices do not constitute a bid or an offer, and may differ from the actual sale price. Securities for which a price is not available are marked "N/A" and are omitted from the Total. THE AS OF PRICE DATE ONLY APPEARS WHEN THE PRICE DATE DOES NOT EQUAL THE STATEMENT DATE.

### Estimated Annual Figures

The estimated annual income (EAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or guarantee of future results. These figures are computed using information from providers believed to be reliable; however, no assurance can be made as to the accuracy. Since interest and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal may be included in the figures for certain securities, thereby overstating them. Refer to [www.pershing.com/disclosures](http://www.pershing.com/disclosures) for specific details as to formulas used to calculate the figures. Accrued interest represents interest earned but not yet received.

### Reinvestment

The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your statement may have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow.

### Option Disclosure

Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional information regarding this procedure is available upon written request to your introducing firm.

### Foreign Currency Transactions

Pershing will execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial



## Portfolio Holdings Disclosures (continued)

### Foreign Currency Transactions (continued)

organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

### Proxy Vote

Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

## Activity Summary (All amounts shown are in base currency)

	Credits This Period	Debits This Period	Net This Period	Credits Year-to-Date	Debits Year-to-Date	Net Year-to-Date
<b>Securities</b>						
Securities Bought	0.00	-12,401.38	-12,401.38	0.00	-12,401.38	-12,401.38
Securities Sold	5,759.68	0.00	5,759.68	5,759.68	0.00	5,759.68
<b>Total Securities</b>	<b>5,759.68</b>	<b>-12,401.38</b>	<b>-6,641.70</b>	<b>5,759.68</b>	<b>-12,401.38</b>	<b>-6,641.70</b>
<b>Fees</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>-10.84</b>	<b>-10.84</b>
<b>Totals</b>	<b>5,759.68</b>	<b>-12,401.38</b>	<b>-6,641.70</b>	<b>5,759.68</b>	<b>-12,412.22</b>	<b>-6,652.54</b>

## Transactions in Date Sequence

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
02/26/20	02/25/20	SOLD	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP	-30.000	1.3000		3,773.75	USD
		99QAM1R5J	03-20-20@290.000 OPTION ROOT= SPY CLOSING				5,759.68	AUD
			TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED					
			OPTION					
02/26/20	02/25/20	PURCHASED	CALL 100 SPDR S&P 500 ETF TR TR UNIT EXP	10.000	8.0000		-8,125.39	USD
		99QAQ39M4	04-17-20@325.000 OPTION ROOT= SPY OPENING				-12,401.38	AUD
			TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED					
			OPTION					
<b>Total Value of Transactions</b>						0.00	-4,351.64	USD
<b>Total AUD Equivalent</b>						0.00	-6,641.70	AUD

The price and quantity displayed may have been rounded.

February 1, 2020 - February 29, 2020  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Client Service Information

Your Investment Advisor: MBM

CRAIG MALTZ JONATHAN MITCHELL  
SHAW AND PARTNERS  
LEVEL 7, CHIFLEY TOWER  
2 CHIFLEY SQUARE SYDNEY NSW 2000  
AUSTRALIA

Client Service Information

Service Hours: Weekdays 08:00 a.m. - 05:30 p.m. (AEST)  
Outside of United States:  
1800636625  
Web Site: WWW.SHAWANDPARTNERS.COM.AU

## Your Account Information

### TAX LOT DEFAULT DISPOSITION METHOD

Default Method for Mutual Funds: First In First Out  
Default Method for Stocks in a Dividend Reinvestment Plan: First In First Out  
Default Method for all Other Securities: First In First Out

### BOND AMORTIZATION ELECTIONS

Amortize premium on taxable bonds based on Constant Yield Method: Yes  
Accrual market discount method for all other bond types: Constant Yield Method  
Include market discount in income annually: No

### ELECTRONIC DELIVERY

Your electronic delivery selections for account communications are listed below:

#### Electronic Delivery

Enrollment	Communication
✓	Statements and Reports
✓	Trade Confirmations
✓	Tax Documents
✓	Notifications
✗	Prospectus
✓	Proxy/Shareholder Communications*

Please log in to your account or contact your Investment Advisor to make any changes to your electronic delivery preferences.

E-mail notifications are delivered to the following e-mail address(es):

d#####@hotmail.com

\*d#####@hotmail.com is on file for these documents

The above e-mail address is partially masked for your security.  
Please log in to your account to review the full e-mail address.

## Messages

Although a money market mutual fund seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money market mutual fund. Shares of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account. Please see the money market mutual fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to

## Messages (continued)

SEC Rule 10b-10(b)(1) confirmations are not sent for purchases into money market mutual funds processed on the sweep platform. Pursuant to applicable regulation, account statements will be produced monthly or quarterly.

## Exchange Rate Table

Currency	AUD Equivalent	Currency per AUD
U.S. DOLLARS	1.5513	0.6446

Exchange rates are based on interbank exchange rates as of 02/28/2020. Exchange rates can vary.

## Global Cash

Currency	Closing Balance	Amount in Base Currency AUD
U.S. DOLLARS	10,911.95	16,928.24
Total Global Cash Balance		16,928.24

## Trades Not Settled

Settlement Date	Trade Date	Activity Type	Description	Quantity	Price	Accrued Interest	Settlement Amount Currency
03/02/20	02/28/20	Sell	PUT 100 INVESCO QQQ TR UNIT SER 1 EXP 03-20-20 @185 CLOSING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION	-40.000	4.2100	0.00	16,669.67 USD

Transaction Summary	Total Amount	Currency
U.S. DOLLARS	16,669.67	USD

## Important Information and Disclosures

### The Role of Pershing

- Pershing carries your account as clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you.
- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.
- Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents; the acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those transactions, where applicable; the rendering of investment advice, if any, to you and in general, for the ongoing relationship that it has with you.
- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial organization's contact information can be found on the first page of this statement.
- For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the Disclosure Statement, please contact your financial institution.
- Pershing is a member of the Securities Investor Protection Corporation (SIPC®). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC



February 1, 2020 - February 29, 2020  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Important Information and Disclosures (continued)

### The Role of Pershing (continued)

protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: [www.pershing.com/about/strength-and-stability](http://www.pershing.com/about/strength-and-stability).

- This statement will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your rights, including your rights under the Securities Investor Protection Act.
- Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330. Errors and Omissions excepted.

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- The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

### Important Arbitration Agreement

Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until; (I) the class certification is denied; (II) the class is decertified; or (III) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein. The laws of the State of New York govern.

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330.

PRASAD-GATT SUPERANNUATION FUND  
UAD 06/25/08  
D A PRASAD & K A GATT TTEES  
UNIT 21 159 RIDGECROP DRIVE  
CASTLE HILL NSW 2154  
AUSTRALIA

March 1, 2020 - March 31, 2020  
Account Number: TGT-003197  
Base Currency: AUSTRALIAN DOLLAR (AUD)

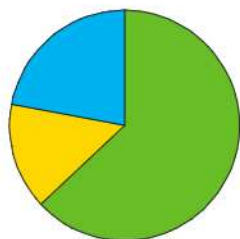
Your Investment Advisor:  
CRAIG MALTZ JONATHAN MITCHELL

### Portfolio at a Glance

	This Period	Year-to-Date
BEGINNING ACCOUNT VALUE	45,791.47	45,009.60
Dividends, Interest and Other Income	23.27	23.27
Fees	-6.94	-17.78
Other Transactions	-3.49	-3.49
Net Change in Portfolio <sup>1</sup>	3,370.36	4,163.07
<b>ENDING ACCOUNT VALUE</b>	<b>49,174.67</b>	<b>49,174.67</b>
Estimated Annual Income	214.76	

<sup>1</sup> Net Change in Portfolio is the difference between the ending account value and beginning account value after activity.

### Asset Summary



Percent	Asset Type	Prior Year-End	This Period
63%	Cash, Money Funds, and Bank Deposits	21,728.81	31,104.33
15%	Equities	14,499.14	7,079.58
22%	Exchange-Traded Products	8,781.65	10,990.76
100%	Account Total (Pie Chart)	45,009.60	49,174.67

Please review your allocation periodically with your Investment Advisor.

## Portfolio Holdings

### U.S. DOLLARS

Description	Quantity	Opening Balance	Closing Balance	Currency	Accrued Income	30-Day Yield
CASH, MONEY FUNDS AND BANK DEPOSITS 63.00% of Portfolio						
Cash Balance		10,911.95	19,032.75	USD		
		16,928.24	31,104.33	AUD		
TOTAL CASH, MONEY FUNDS AND BANK DEPOSITS		10,911.95	19,032.75	USD	0.00	
		16,928.24	31,104.33	AUD	0.00	

Description	Quantity	Market Price	Market Value	Currency		
EQUITIES 15.00% of Portfolio						
Options						
CALL 100 SPDR S&P 500 ETF TR TR UNIT EXP 04-17-20@325.000	30.000	0.0300	90.00	USD		
OPTION ROOT= SPY			147.08	AUD		
Option Identifier: 99QAQ39M4						
Underlying Security Identifier: SPY						
Underlying Security Price: \$257.75						
PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 06-19-20@240.000	3.000	14.1400	4,242.00	USD		
OPTION ROOT= SPY			6,932.50	AUD		
Option Identifier: 99QANOX56						
Underlying Security Identifier: SPY						
Underlying Security Price: \$257.75						
Total Options			4,332.00	USD		
			7,079.58	AUD		
TOTAL EQUITIES			4,332.00	USD		
			7,079.58	AUD		

Description	Quantity	Market Price	Market Value	Currency	Estimated Annual Income	Estimated Yield
EXCHANGE-TRADED PRODUCTS 22.00% of Portfolio						
DIREXION SHS ETF TR DAILY CSI 300 CHINA A SH BEAR 1X SHS	225.000	29.8900	6,725.25	USD	131.41	1.95%
Security Identifier: CHAD			10,990.76	AUD	214.76	
CUSIP: 25459Y116						
TOTAL EXCHANGE-TRADED PRODUCTS			6,725.25	USD	131.41	
			10,990.76	AUD	214.76	
				Market Value	Accrued Interest	Estimated Annual Income
TOTAL U.S. DOLLARS				30,090.00	0.00	131.41
				49,174.67	0.00	214.76



March 1, 2020 - March 31, 2020  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Portfolio Holdings (continued)

	Market Value	Accrued Interest	Estimated Annual Income
Total Portfolio Holdings - AUSTRALIAN DOLLAR	49,174.67	0.00	214.76

## Portfolio Holdings Disclosures

### Pricing

This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the statement period. The market prices, unless otherwise noted, have been obtained from independent vendor services, which we believe to be reliable. Market prices do not constitute a bid or an offer, and may differ from the actual sale price. Securities for which a price is not available are marked "N/A" and are omitted from the Total. THE AS OF PRICE DATE ONLY APPEARS WHEN THE PRICE DATE DOES NOT EQUAL THE STATEMENT DATE.

### Estimated Annual Figures

The estimated annual income (EAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or guarantee of future results. These figures are computed using information from providers believed to be reliable; however, no assurance can be made as to the accuracy. Since interest and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal may be included in the figures for certain securities, thereby overstating them. Refer to [www.pershing.com/disclosures](http://www.pershing.com/disclosures) for specific details as to formulas used to calculate the figures. Accrued interest represents interest earned but not yet received.

### Reinvestment

The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your statement may have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow.

### Option Disclosure

Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional information regarding this procedure is available upon written request to your introducing firm.

### Foreign Currency Transactions

Pershing will execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial

## Portfolio Holdings Disclosures (continued)

### Foreign Currency Transactions (continued)

organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

### Proxy Vote

Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

## Activity Summary (All amounts shown are in base currency)

	Credits This Period	Debits This Period	Net This Period	Credits Year-to-Date	Debits Year-to-Date	Net Year-to-Date
<b>Securities</b>						
Securities Bought	0.00	-19,172.68	-19,172.68	0.00	-31,574.06	-31,574.06
Securities Sold	30,889.53	0.00	30,889.53	36,649.21	0.00	36,649.21
<b>Total Securities</b>	<b>30,889.53</b>	<b>-19,172.68</b>	<b>11,716.85</b>	<b>36,649.21</b>	<b>-31,574.06</b>	<b>5,075.15</b>
<b>Dividends and Interest</b>	<b>23.27</b>	<b>0.00</b>	<b>23.27</b>	<b>23.27</b>	<b>0.00</b>	<b>23.27</b>
<b>Fees</b>	<b>0.00</b>	<b>-6.94</b>	<b>-6.94</b>	<b>0.00</b>	<b>-17.78</b>	<b>-17.78</b>
<b>Taxes Withheld</b>	<b>0.00</b>	<b>-3.49</b>	<b>-3.49</b>	<b>0.00</b>	<b>-3.49</b>	<b>-3.49</b>
<b>Totals</b>	<b>30,912.80</b>	<b>-19,183.11</b>	<b>11,729.69</b>	<b>36,672.48</b>	<b>-31,595.33</b>	<b>5,077.15</b>

## Transactions in Date Sequence

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
03/02/20	02/28/20	SOLD	PUT 100 INVESCO QQQ TR UNIT SER 1 EXP 03-20-20 @185	-40.000	4.2100		16,669.67	USD
		99QAPJ5KD	CLOSING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				25,590.52	AUD
03/03/20	03/02/20	PURCHASED	CALL 100 SPDR S&P 500 ETF TR TR UNIT EXP	10.000	1.0000		-1,125.39	USD
		99QAQ39M4	04-17-20@325.000 OPTION ROOT= SPY OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				-1,699.98	AUD
03/03/20	03/02/20	PURCHASED	CALL 100 SPDR S&P 500 ETF TR TR UNIT EXP	10.000	1.3100		-1,435.39	USD
		99QAQ39M4	04-17-20@325.000 OPTION ROOT= SPY OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				-2,168.26	AUD

March 1, 2020 - March 31, 2020  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Transactions in Date Sequence (continued)

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
03/10/20		ADMINISTRATION FEE	OPTION TRADE FEE FEE FOR FEB 2020				-4.50	USD
		USD999997					-6.94	AUD
03/18/20	03/17/20	PURCHASED	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP	3.000	7.5000		-2,375.12	USD
		99QAQ39P3	04-17-20@200.000 OPTION ROOT= SPY OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				-4,081.66	AUD
03/18/20	03/17/20	PURCHASED	PUT 100 INVESCO QQQ TR UNIT SER 1 EXP 04-17-20 @150	3.000	6.5000		-2,075.12	USD
		99QARNA18	OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				-3,566.11	AUD
03/24/20	03/23/20	SOLD	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP	-3.000	6.3000		1,764.83	USD
		99QAQ39P3	04-17-20@200.000 OPTION ROOT= SPY CLOSING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				2,978.61	AUD
03/24/20	03/23/20	SOLD	PUT 100 INVESCO QQQ TR UNIT SER 1 EXP 04-17-20 @150	-3.000	5.0000		1,374.84	USD
		99QARNA18	CLOSING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				2,320.40	AUD
03/31/20	03/30/20	PURCHASED	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP	3.000	15.2000		-4,685.12	USD
		99QANOX56	06-19-20@240.000 OPTION ROOT= SPY OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION				-7,656.67	AUD
03/31/20		CASH DIVIDEND RECEIVED	225 SHRS DIREXION SHS ETF TR DAILY CSI 300 CHINA A SH				14.24	USD
		CHAD	BEAR 1X SHS RD 03/25 PD 03/31/20				23.27	AUD
03/31/20		NON-RESIDENT ALIEN TAX	NRA TAX WITHHELD ON 225 SHRS DIREXION SHS ETF TR				-2.14	USD
		CHAD	DAILY CSI 300 CHINA A SH BEAR 1X SHS RD 03/25 PD 03/31/20				-3.49	AUD
Total Value of Transactions						0.00	8,120.80	USD
Total AUD Equivalent						0.00	11,729.69	AUD

The price and quantity displayed may have been rounded.



## Client Service Information

Your Investment Advisor: MBM

CRAIG MALTZ JONATHAN MITCHELL  
SHAW AND PARTNERS  
LEVEL 7, CHIFLEY TOWER  
2 CHIFLEY SQUARE SYDNEY NSW 2000  
AUSTRALIA

Client Service Information

Service Hours: Weekdays 08:00 a.m. - 05:30 p.m. (AEST)  
Outside of United States:  
1800636625  
Web Site: WWW.SHAWANDPARTNERS.COM.AU

## Your Account Information

### TAX LOT DEFAULT DISPOSITION METHOD

Default Method for Mutual Funds:	First In First Out
Default Method for Stocks in a Dividend Reinvestment Plan:	First In First Out
Default Method for all Other Securities:	First In First Out

### BOND AMORTIZATION ELECTIONS

Amortize premium on taxable bonds based on Constant Yield Method:	Yes
Accrual market discount method for all other bond types:	Constant Yield Method
Include market discount in income annually:	No

### ELECTRONIC DELIVERY

Your electronic delivery selections for account communications are listed below:

#### Electronic Delivery

Enrollment	Communication
✓	Statements and Reports
✓	Trade Confirmations
✓	Tax Documents
✓	Notifications
✗	Prospectus
✓	Proxy/Shareholder Communications*

Please log in to your account or contact your Investment Advisor to make any changes to your electronic delivery preferences.

E-mail notifications are delivered to the following e-mail address(es):

d#####@hotmail.com

\*d#####@hotmail.com is on file for these documents

The above e-mail address is partially masked for your security.  
Please log in to your account to review the full e-mail address.

## Messages

Although a money market mutual fund seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money market mutual fund. Shares of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account. Please see the money market mutual fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to SEC Rule 10b-10(b)(1) confirmations are not sent for purchases into money market mutual funds processed on the sweep platform. Pursuant to applicable regulation, account statements will be produced monthly or quarterly.

March 1, 2020 - March 31, 2020  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Exchange Rate Table

Currency	AUD Equivalent	Currency per AUD
U.S. DOLLARS	1.6342	0.6119

Exchange rates are based on interbank exchange rates as of 03/31/2020. Exchange rates can vary.

## Global Cash

Currency	Closing Balance	Amount in Base Currency AUD
U.S. DOLLARS	19,032.75	31,104.33
Total Global Cash Balance		31,104.33

## Income and Expense Summary

	Current Period		Year-to-Date	
	Taxable	Non Taxable	Taxable	Non Taxable
Dividend Income				
Other Dividends	23.27	0.00	23.27	0.00
Total Income	23.27	0.00	23.27	0.00

## Important Information and Disclosures

### The Role of Pershing

- Pershing carries your account as clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you.
- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.
- Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents; the acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those transactions, where applicable; the rendering of investment advice, if any, to you and in general, for the ongoing relationship that it has with you.
- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial organization's contact information can be found on the first page of this statement.
- For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the Disclosure Statement, please contact your financial institution.
- Pershing is a member of the Securities Investor Protection Corporation (SIPC®). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: [www.pershing.com/about/strength-and-stability](http://www.pershing.com/about/strength-and-stability).
- This statement will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your



## Important Information and Disclosures (continued)

### The Role of Pershing (continued)

rights, including your rights under the Securities Investor Protection Act.

- Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330. Errors and Omissions excepted.

### Important Arbitration Disclosures

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

### Important Arbitration Agreement

Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until; (I) the class certification is denied; (II) the class is decertified; or (III) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein. The laws of the State of New York govern.

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330.



## TERMS AND CONDITIONS

### TRANSACTIONS

- ALL ORDERS AND TRANSACTIONS SHALL BE SOLELY FOR YOUR ACCOUNT AND RISK SHALL BE SUBJECT TO THE CONSTITUTION, RULES, REGULATIONS, CUSTOMS, USAGES, RULINGS AND INTERPRETATIONS OF THE EXCHANGE OR MARKET AND THE CLEARING FACILITY, IF ANY, WHERE THE TRANSACTIONS ARE EXECUTED AND/OR SETTLED, OR IF APPLICABLE, OF THE FINANCIAL INDUSTRY REGULATORY AUTHORITY AND TO ALL APPLICABLE LAWS AND REGULATIONS.
- TITLE TO SECURITIES SOLD TO YOU, WHERE PERSHING HAS ACTED AS PRINCIPAL, SHALL REMAIN WITH PERSHING UNTIL THE ENTIRE PURCHASE PRICE IS RECEIVED OR UNTIL THE SETTLEMENT DATE, WHICHEVER IS LATER.
- YOU MAY HAVE RECEIVED CONFIRMATIONS FOR TRANSACTIONS WHICH DO NOT APPEAR ON YOUR STATEMENT. IF SO, THE TRANSACTIONS WILL APPEAR ON YOUR NEXT PERIODIC STATEMENT. SUCH TRANSACTIONS MUST BE CONSIDERED BY YOU WHEN COMPUTING THE VALUE OF YOUR ACCOUNT. THIS IS ESPECIALLY TRUE IF YOU HAVE WRITTEN OPTIONS WHICH HAVE BEEN EXERCISED.

**FREE CREDIT BALANCES:** ANY FREE CREDIT BALANCE CARRIED FOR YOUR ACCOUNT REPRESENTS FUNDS PAYABLE UPON DEMAND WHICH, ALTHOUGH PROPERLY ACCOUNTED FOR ON PERSHING'S BOOKS OF RECORD, ARE NOT SEGREGATED AND MAY BE USED IN THE CONDUCT OF ITS BUSINESS.

**DEBIT BALANCES:** INTEREST CHARGED ON DEBIT BALANCES IN YOUR ACCOUNT APPEARS ON THE STATEMENT. THE RATE OF INTEREST AND PERIOD COVERED ARE INDICATED. THE RATE MAY CHANGE FROM TIME TO TIME DUE TO FLUCTUATIONS IN MONEY RATES OR OTHER REASONS. INTEREST IS COMPUTED AS DESCRIBED IN MATERIAL PREVIOUSLY FURNISHED TO YOU. PLEASE CONTACT YOUR FINANCIAL INSTITUTION IF YOU DESIRE ADDITIONAL COPIES.

**MARGIN INFORMATION:** IF YOU MAINTAIN A MARGIN ACCOUNT, THIS IS A COMBINED STATEMENT OF YOUR GENERAL ACCOUNT AND A SPECIAL MEMORANDUM ACCOUNT MAINTAINED FOR YOU UNDER REGULATION T OF 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 UPON REQUEST.

### TAX INFORMATION

- AFTER YEAR END, PERSHING IS REQUIRED TO PROVIDE TAX INFORMATION TO THE INTERNAL REVENUE SERVICE AND OTHER GOVERNMENTAL AUTHORITIES. AT THAT TIME PERSHING WILL PROVIDE THAT INFORMATION ON THE ANNUAL TAX INFORMATION STATEMENT TO YOU; USE THAT STATEMENT TO PREPARE YOUR TAX FILINGS. THE TAX STATEMENT ALSO INCLUDES OTHER USEFUL INFORMATION TO ASSIST IN ACCUMULATING THE DATA TO PREPARE YOUR TAX RETURNS.
- DIVIDENDS, INTEREST AND OTHER DISTRIBUTIONS SHOWN ON THIS STATEMENT WERE CLASSIFIED AS TAXABLE OR NONTAXABLE BASED ON CERTAIN INFORMATION KNOWN AS OF THE DISTRIBUTION DATE. THIS CLASSIFICATION IS SUBJECT TO CHANGE AND IS SOLELY INTENDED FOR USE AS GENERAL INFORMATION.
- PERSHING DOES NOT PROVIDE TAX, INVESTMENT OR LEGAL ADVISORY SERVICES AND NO ONE ASSOCIATED WITH PERSHING IS AUTHORIZED TO RENDER SUCH ADVICE. DO NOT RELY UPON ANY SUCH ADVICE, IF GIVEN. INVESTORS ARE ENCOURAGED TO CONSULT THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR BUSINESS.

### GENERAL INFORMATION

- WHENEVER YOU ARE INDEBTED TO PERSHING LLC ("PERSHING") FOR ANY AMOUNT, ALL SECURITIES HELD BY IT FOR YOU IN ANY ACCOUNT IN WHICH YOU HAVE ANY INTEREST SHALL SECURE ALL YOUR LIABILITIES TO PERSHING, AND PERSHING MAY IN ITS DISCRETION AT ANY TIME, WITHOUT TENDER, DEMAND OR NOTICE TO YOU, CLOSE OR REDUCE ANY OR ALL OF YOUR ACCOUNTS BY PUBLIC OR PRIVATE SALE OR PURCHASE OR BOTH OF ALL OR ANY SECURITIES CARRIED IN SUCH ACCOUNTS; ANY BALANCE REMAINING DUE PERSHING TO BE PROMPTLY PAID BY YOU.
- WHENEVER YOU ARE INDEBTED TO PERSHING FOR ANY AMOUNT, ALL SECURITIES CARRIED FOR YOUR ACCOUNT ARE OR MAY BE, WITHOUT FURTHER NOTICE TO YOU, LOANED OR PLEDGED BY PERSHING, EITHER SEPARATELY OR UNDER CIRCUMSTANCES WHICH WILL PERMIT THE COMMINGLING THEREOF,

WITH OTHER SECURITIES FOR ANY AMOUNT LESS THAN, EQUAL TO OR GREATER THAN YOUR LIABILITIES TO PERSHING, BUT NOT UNDER CIRCUMSTANCES FOR AN AMOUNT PROHIBITED BY LAW.

- PERSHING MAY TRADE FOR ITS OWN ACCOUNT AS A MARKET MAKER, SPECIALIST, ODD LOT DEALER, BLOCK POSITIONER, ARBITRAGEUR OR INVESTOR. CONSEQUENTLY, AT THE TIME OF ANY TRANSACTION YOU MAY MAKE, PERSHING MAY HAVE A POSITION IN SUCH SECURITIES, WHICH POSITION MAY BE PARTIALLY OR COMPLETELY HEDGED.
- IF AVERAGE PRICE TRANSACTION IS INDICATED ON THE FRONT OF THIS STATEMENT YOUR FINANCIAL INSTITUTION OR PERSHING MAY HAVE ACTED AS PRINCIPAL, AGENT OR BOTH. DETAILS AVAILABLE UPON REQUEST.
- A FINANCIAL STATEMENT OF PERSHING IS AVAILABLE FOR YOUR PERSONAL INSPECTION AT PERSHING'S OFFICES. A COPY OF IT WILL BE MAILED UPON YOUR WRITTEN REQUEST OR YOU CAN VIEW IT ONLINE AT [WWW.PERSHING.COM](http://WWW.PERSHING.COM).
- FOR BUSINESS CONTINUITY AND ADDITIONAL DISCLOSURES: [WWW.PERSHING.COM/DISCLOSURES](http://WWW.PERSHING.COM/DISCLOSURES).
- THIS STATEMENT SHOULD BE RETAINED FOR YOUR RECORDS.

### PAYMENT FOR ORDER FLOW AND ORDER ROUTING POLICY DISCLOSURES (REGULATION NMS - RULE 607 (A) (1) - (2))

PERSHING SENDS EQUITY AND OPTION ORDERS TO EXCHANGES, OR BROKER-DEALERS AS MARKET MAKERS OR AUTOMATED TRADING SYSTEMS (ATSS). CERTAIN OF THESE VENUES PROVIDE PAYMENTS TO PERSHING OR CHARGE ACCESS FEES TO PERSHING DEPENDING UPON THE CHARACTERISTICS OF THE ORDER AND ANY SUBSEQUENT EXECUTION. THE DETAILS OF THESE PAYMENTS AND FEES ARE AVAILABLE UPON WRITTEN REQUEST. COMPENSATION IS GENERALLY IN THE FORM OF A PER SHARE OR PER OPTION CONTRACT CASH PAYMENT. IN ADDITION, PERSHING ROUTES CERTAIN EQUITY TO ITS AFFILIATE, BNY MELLON CAPITAL MARKETS, LLC, FOR EXECUTION AS PRINCIPAL.

**BEST EXECUTION:** NOTWITHSTANDING THE PREVIOUS PARAGRAPH REGARDING PAYMENT FOR ORDER FLOW, PERSHING SELECTS CERTAIN MARKET CENTERS TO PROVIDE EXECUTION OF OVER-THE-COUNTER AND EXCHANGE-LISTED SECURITIES TRANSACTIONS WHICH AGREE TO ACCEPT ORDERS, TRANSMITTED ELECTRONICALLY UP TO A SPECIFIED SIZE, AND TO EXECUTE THEM AT OR BETTER THAN THE NATIONAL BEST BID OR OFFER (NBBO). IN CERTAIN SECURITIES THAT ARE NOT ELECTRONICALLY QUOTED, PERSHING DIRECTLY CONTACTS MARKET CENTERS TO OBTAIN AN EXECUTION. THE DESIGNATED MARKET CENTERS TO WHICH ORDERS ARE AUTOMATICALLY ROUTED ARE SELECTED BASED ON THE CONSISTENT HIGH QUALITY OF THEIR EXECUTIONS AND THEIR ABILITY TO PROVIDE OPPORTUNITIES FOR EXECUTIONS AT PRICES SUPERIOR TO THE NBBO. PERSHING ALSO REGULARLY REVIEWS REPORTS FOR QUALITY OF EXECUTION PURPOSES.

IF ANY OF THE ABOVE TERMS AND CONDITIONS ARE UNACCEPTABLE TO YOU, PLEASE NOTIFY PERSHING IMMEDIATELY IN WRITING BY CERTIFIED MAIL TO ONE PERSHING PLAZA, JERSEY CITY, NJ 07399, ATTN: LEGAL DEPT

PRASAD-GATT SUPERANNUATION FUND  
UAD 06/25/08  
D A PRASAD & K A GATT TTEES  
UNIT 21 159 RIDGECROP DRIVE  
CASTLE HILL NSW 2154  
AUSTRALIA

April 1, 2020 - April 30, 2020  
Account Number: TGT-003197  
Base Currency: AUSTRALIAN DOLLAR (AUD)

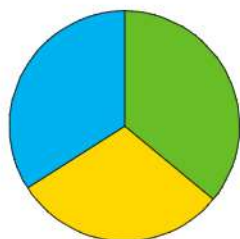
Your Investment Advisor:  
CRAIG MALTZ JONATHAN MITCHELL

### Portfolio at a Glance

	This Period	Year-to-Date
BEGINNING ACCOUNT VALUE	49,174.67	45,009.60
Dividends, Interest and Other Income	0.00	23.27
Fees	-6.54	-24.32
Other Transactions	0.00	-3.49
Net Change in Portfolio <sup>1</sup>	-20,665.11	-16,502.04
<b>ENDING ACCOUNT VALUE</b>	<b>28,503.02</b>	<b>28,503.02</b>
Estimated Annual Income	200.78	

<sup>1</sup> Net Change in Portfolio is the difference between the ending account value and beginning account value after activity.

### Asset Summary



Percent	Asset Type	Prior Year-End	This Period
36%	Cash, Money Funds, and Bank Deposits	21,728.81	10,170.72
30%	Equities	14,499.14	8,507.25
34%	Exchange-Traded Products	8,781.65	9,825.05
100%	Account Total (Pie Chart)	45,009.60	28,503.02

Please review your allocation periodically with your Investment Advisor.



## Portfolio Holdings

### U.S. DOLLARS

Description	Quantity	Opening Balance	Closing Balance	Currency	Accrued Income	30-Day Yield
CASH, MONEY FUNDS AND BANK DEPOSITS 36.00% of Portfolio						
Cash Balance		19,032.75	6,656.74	USD		
		31,104.32	10,170.72	AUD		
TOTAL CASH, MONEY FUNDS AND BANK DEPOSITS						
		19,032.75	6,656.74	USD	0.00	
		31,104.32	10,170.72	AUD	0.00	

Description	Quantity	Market Price	Market Value	Currency		
EQUITIES 30.00% of Portfolio						
Options						
PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 05-29-20@200.000	100.000	0.2400	2,400.00	USD		
OPTION ROOT= SPY			3,666.92	AUD		
Option Identifier: 99QASBBVA						
Underlying Security Identifier: SPY						
Underlying Security Price: \$290.48						
PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 06-19-20@240.000	6.000	2.7800	1,668.00	USD		
OPTION ROOT= SPY			2,548.51	AUD		
Option Identifier: 99QANOX56						
Underlying Security Identifier: SPY						
Underlying Security Price: \$290.48						
PUT 100 INVESCO CURRENCYSHARES AUSTRALIAN DLR TR	100.000	0.1500	1,500.00	USD		
AUSTRALIAN DOLLAR SHS EXP 06-19-20@60.000 OPTION ROOT=			2,291.82	AUD		
FXA						
Option Identifier: 99QAQVSF2						
Underlying Security Identifier: FXA						
Underlying Security Price: \$65.11						
Total Options			5,568.00	USD		
			8,507.25	AUD		
TOTAL EQUITIES						
			5,568.00	USD		
			8,507.25	AUD		

Description	Quantity	Market Price	Market Value	Currency	Estimated Annual Income	Estimated Yield
EXCHANGE-TRADED PRODUCTS 34.00% of Portfolio						
DIREXION SHS ETF TR DAILY CSI 300 CHINA A SH BEAR 1X SHS	225.000	28.5800	6,430.50	USD	131.41	2.04%
Security Identifier: CHAD			9,825.05	AUD	200.78	
CUSIP: 25459Y116						
TOTAL EXCHANGE-TRADED PRODUCTS						
			6,430.50	USD	131.41	
			9,825.05	AUD	200.78	



April 1, 2020 - April 30, 2020  
 PRASAD-GATT SUPERANNUATION FUND  
 Base Currency: AUSTRALIAN DOLLAR (AUD)

## Portfolio Holdings (continued)

### U.S. DOLLARS (continued)

	Market Value	Currency	Accrued Interest	Estimated Annual Income
TOTAL U.S. DOLLARS	18,655.24	USD	0.00	131.41
	28,503.02	AUD	0.00	200.78
	Market Value		Accrued Interest	Estimated Annual Income
Total Portfolio Holdings - AUSTRALIAN DOLLAR	28,503.02		0.00	200.78

## Portfolio Holdings Disclosures

### Pricing

This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the statement period. The market prices, unless otherwise noted, have been obtained from independent vendor services, which we believe to be reliable. Market prices do not constitute a bid or an offer, and may differ from the actual sale price. Securities for which a price is not available are marked "N/A" and are omitted from the Total. THE AS OF PRICE DATE ONLY APPEARS WHEN THE PRICE DATE DOES NOT EQUAL THE STATEMENT DATE.

### Estimated Annual Figures

The estimated annual income (EAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or guarantee of future results. These figures are computed using information from providers believed to be reliable; however, no assurance can be made as to the accuracy. Since interest and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal may be included in the figures for certain securities, thereby overstating them. Refer to [www.pershing.com/disclosures](http://www.pershing.com/disclosures) for specific details as to formulas used to calculate the figures. Accrued interest represents interest earned but not yet received.

### Reinvestment

The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your statement may have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow.

### Option Disclosure

Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional information regarding this procedure is available upon written request to your introducing firm.

## Portfolio Holdings Disclosures (continued)

### Foreign Currency Transactions

Pershing will execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

### Proxy Vote

Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

## Activity Summary (All amounts shown are in base currency)

	Credits This Period	Debits This Period	Net This Period	Credits Year-to-Date	Debits Year-to-Date	Net Year-to-Date
<b>Securities</b>						
Securities Bought	0.00	-19,412.78	-19,412.78	0.00	-50,986.84	-50,986.84
Securities Sold	0.00	0.00	0.00	36,649.21	0.00	36,649.21
<b>Total Securities</b>	0.00	-19,412.78	-19,412.78	36,649.21	-50,986.84	-14,337.63
<b>Dividends and Interest</b>	0.00	0.00	0.00	23.27	0.00	23.27
<b>Fees</b>	0.00	-6.54	-6.54	0.00	-24.32	-24.32
<b>Taxes Withheld</b>	0.00	0.00	0.00	0.00	-3.49	-3.49
<b>Totals</b>	0.00	-19,419.32	-19,419.32	36,672.48	-51,014.65	-14,342.17

## Transactions in Date Sequence

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
04/09/20	04/08/20	PURCHASED 99QANOX56	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 06-19-20@240.000 OPTION ROOT= SPY OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION	3.000	9.3800		-2,939.12 -4,660.08	USD AUD
04/15/20	04/14/20	PURCHASED 99QAQVSF2	PUT 100 INVESCO CURRENCY SHS AUSTRALIAN DLR TR AUSTRALIAN DLR SHS EXP 06-19-20 @60 OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED	50.000	0.4000		-2,126.94 -3,360.09	USD AUD



April 1, 2020 - April 30, 2020  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Transactions in Date Sequence (continued)

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
04/15/20	04/14/20	PURCHASED 99QASBBVA	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 05-29-20@200.000 OPTION ROOT= SPY OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION	25.000	0.8500		-2,250.97 -3,556.03	USD AUD
04/16/20		ADMINISTRATION FEE USD999997	OPTION FEE 03/2020 OPTION TRADE FEE MARCH 2020				-4.13 -6.54	USD AUD
04/17/20	04/16/20	PURCHASED 99QASBBVA	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 05-29-20@200.000 OPTION ROOT= SPY OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION	25.000	0.9700		-2,550.97 -4,010.95	USD AUD
04/20/20		YOUR OPTION EXPIRED 99QAQ39M4	CALL 100 SPDR S&P 500 ETF TR TR UNIT EXP 04-17-20@325.000 OPTION ROOT= SPY SPY CLOSING TRANSACTION	-30.000			0.00	USD
04/30/20	04/29/20	PURCHASED 99QAQVSF2	PUT 100 INVESCO CURRENCY SHS AUSTRALIAN DLR TR AUSTRALIAN DLR SHS EXP 06-19-20 @60 OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED	50.000	0.2500		-1,376.94 -2,103.80	USD AUD
04/30/20	04/29/20	PURCHASED 99QASBBVA	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 05-29-20@200.000 OPTION ROOT= SPY OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION	50.000	0.2000		-1,126.94 -1,721.83	USD AUD
Total Value of Transactions						0.00	-12,376.01	USD
Total AUD Equivalent						0.00	-19,419.32	AUD

The price and quantity displayed may have been rounded.

## Client Service Information

Your Investment Advisor: MBM

CRAIG MALTZ JONATHAN MITCHELL  
SHAW AND PARTNERS  
LEVEL 7, CHIFLEY TOWER  
2 CHIFLEY SQUARE SYDNEY NSW 2000  
AUSTRALIA

Client Service Information

Service Hours: Weekdays 08:00 a.m. - 05:30 p.m. (AEST)  
Outside of United States:  
1800636625  
Web Site: WWW.SHAWANDPARTNERS.COM.AU



## Your Account Information

### TAX LOT DEFAULT DISPOSITION METHOD

Default Method for Mutual Funds:	First In First Out
Default Method for Stocks in a Dividend Reinvestment Plan:	First In First Out
Default Method for all Other Securities:	First In First Out

### BOND AMORTIZATION ELECTIONS

Amortize premium on taxable bonds based on Constant Yield Method:	Yes
Accrual market discount method for all other bond types:	Constant Yield Method
Include market discount in income annually:	No

### ELECTRONIC DELIVERY

Your electronic delivery selections for account communications are listed below:

#### Electronic Delivery

Enrollment	Communication
	Statements and Reports
	Trade Confirmations
	Tax Documents
	Notifications
	Prospectus
	Proxy/Shareholder Communications*

E-mail notifications are delivered to the following e-mail address(es):

d#####@hotmail.com

\*d#####@hotmail.com is on file for these documents

The above e-mail address is partially masked for your security. Please log in to your account to review the full e-mail address.

Please log in to your account or contact your Investment Advisor to make any changes to your electronic delivery preferences.

## Messages

Although a money market mutual fund seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money market mutual fund. Shares of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account. Please see the money market mutual fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to SEC Rule 10b-10(b)(1) confirmations are not sent for purchases into money market mutual funds processed on the sweep platform. Pursuant to applicable regulation, account statements will be produced monthly or quarterly.

Going Digital is Now More Important Than Ever

As all of us navigate the evolving global environment, Pershing's digital solutions can help you manage your accounts and access important documentation.

#### e-Delivery

Our e-Delivery solution provides access to investment account information electronically. It is a simple, safe and convenient way to receive financial account communications and view statements, trade confirmations and tax documents through an online, password-protected portal. Historical data is available from the day of initial signup.

To enroll in e-Delivery, log in to your brokerage account, select "Go Paperless" at the top of any page and follow the on-screen prompts for setup. Enrollment can be activated as quickly as the same day as registration (if enrollment occurs prior to 6 p.m. ET).

Contact your financial professional if you have any questions about these efficient digital tools.

April 1, 2020 - April 30, 2020  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Exchange Rate Table

Currency	AUD Equivalent	Currency per AUD
U.S. DOLLARS	1.5278	0.6545

Exchange rates are based on interbank exchange rates as of 04/30/2020. Exchange rates can vary.

## Global Cash

Currency	Closing Balance	Amount in Base Currency AUD
U.S. DOLLARS	6,656.74	10,170.72
Total Global Cash Balance		10,170.72

## Income and Expense Summary

	Current Period		Year-to-Date	
	Taxable	Non Taxable	Taxable	Non Taxable
Dividend Income				
Other Dividends	0.00	0.00	23.27	0.00
Total Income	0.00	0.00	23.27	0.00

## Important Information and Disclosures

### The Role of Pershing

- Pershing carries your account as clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you.
- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.
- Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents; the acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those transactions, where applicable; the rendering of investment advice, if any, to you and in general, for the ongoing relationship that it has with you.
- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial organization's contact information can be found on the first page of this statement.
- For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the Disclosure Statement, please contact your financial institution.
- Pershing is a member of the Securities Investor Protection Corporation (SIPC®). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: [www.pershing.com/about/strength-and-stability](http://www.pershing.com/about/strength-and-stability).
- This statement will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your



## Important Information and Disclosures (continued)

### The Role of Pershing (continued)

rights, including your rights under the Securities Investor Protection Act.

- Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330. Errors and Omissions excepted.

### Important Arbitration Disclosures

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

### Important Arbitration Agreement

Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until; (I) the class certification is denied; (II) the class is decertified; or (III) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein. The laws of the State of New York govern.

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330.



PRASAD-GATT SUPERANNUATION FUND  
UAD 06/25/08  
D A PRASAD & K A GATT TTEES  
UNIT 21 159 RIDGECROP DRIVE  
CASTLE HILL NSW 2154  
AUSTRALIA

May 1, 2020 - May 31, 2020  
Account Number: TGT-003197  
Base Currency: AUSTRALIAN DOLLAR (AUD)

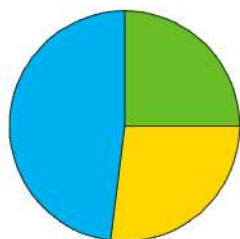
Your Investment Advisor:  
CRAIG MALTZ JONATHAN MITCHELL

### Portfolio at a Glance

	This Period	Year-to-Date
BEGINNING ACCOUNT VALUE	28,503.02	45,009.60
Dividends, Interest and Other Income	0.00	23.27
Fees	-20.27	-44.59
Other Transactions	0.00	-3.49
Net Change in Portfolio <sup>1</sup>	-8,677.36	-25,179.40
<b>ENDING ACCOUNT VALUE</b>	<b>19,805.39</b>	<b>19,805.39</b>
Estimated Annual Income	198.03	

<sup>1</sup> Net Change in Portfolio is the difference between the ending account value and beginning account value after activity.

### Asset Summary



Percent	Asset Type	Prior Year-End	This Period
25%	Cash, Money Funds, and Bank Deposits	21,728.81	5,030.68
27%	Equities	14,499.14	5,274.26
48%	Exchange-Traded Products	8,781.65	9,500.45
100%	Account Total (Pie Chart)	45,009.60	19,805.39

Please review your allocation periodically with your Investment Advisor.

## Portfolio Holdings

### U.S. DOLLARS

Description	Quantity	Opening Balance	Closing Balance	Currency	Accrued Income	30-Day Yield
CASH, MONEY FUNDS AND BANK DEPOSITS 25.00% of Portfolio						
Cash Balance		6,656.74	3,338.36	USD		
		10,170.71	5,030.68	AUD		
TOTAL CASH, MONEY FUNDS AND BANK DEPOSITS						
		6,656.74	3,338.36	USD	0.00	
		10,170.71	5,030.68	AUD	0.00	

Description	Quantity	Market Price	Market Value	Currency		
EQUITIES 27.00% of Portfolio						
Options						
PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 05-29-20@200.000	100.000	0.0100	100.00	USD		
OPTION ROOT= SPY			150.69	AUD		
Option Identifier: 99QASBBVA						
Underlying Security Identifier: SPY						
Underlying Security Price: \$304.32						
Price Estimated as of: 05/28/20						
PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 06-19-20@240.000	6.000	0.2500	150.00	USD		
OPTION ROOT= SPY			226.04	AUD		
Option Identifier: 99QANOX56						
Underlying Security Identifier: SPY						
Underlying Security Price: \$304.32						
PUT 100 INVESCO CURRENCYSHARES AUSTRALIAN DLR TR	100.000	0.0500	500.00	USD		
AUSTRALIAN DOLLAR SHS EXP 06-19-20@60.000 OPTION ROOT=			753.47	AUD		
FXA						
Option Identifier: 99QAQVSF2						
Underlying Security Identifier: FXA						
Underlying Security Price: \$66.58						
Price Estimated as of: 05/26/20						
PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 07-17-20@265.000	5.000	2.5900	1,295.00	USD		
OPTION ROOT= SPY			1,951.48	AUD		
Option Identifier: 99QARJQ9						
Underlying Security Identifier: SPY						
Underlying Security Price: \$304.32						
PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 09-18-20@230.000	5.000	2.9100	1,455.00	USD		
OPTION ROOT= SPY			2,192.58	AUD		
Option Identifier: 99QAN8HO7						
Underlying Security Identifier: SPY						
Underlying Security Price: \$304.32						
Total Options						
			3,500.00	USD		
			5,274.26	AUD		

May 1, 2020 - May 31, 2020  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Portfolio Holdings (continued)

### U.S. DOLLARS (continued)

Description	Quantity	Market Price	Market Value	Currency		
EQUITIES (continued)						
TOTAL EQUITIES			3,500.00	USD		
			5,274.26	AUD		
Description	Quantity	Market Price	Market Value	Currency	Estimated Annual Income	Estimated Yield
EXCHANGE-TRADED PRODUCTS 48.00% of Portfolio						
DIREXION SHS ETF TR DAILY CSI 300 CHINA A SH BEAR 1X SHS	225.000	28.0200	6,304.50	USD	131.41	2.08%
Security Identifier: CHAD			9,500.45	AUD	198.03	
CUSIP: 25459Y116						
TOTAL EXCHANGE-TRADED PRODUCTS			6,304.50	USD	131.41	
			9,500.45	AUD	198.03	
				Market Value	Accrued Interest	Estimated Annual Income
TOTAL U.S. DOLLARS				13,142.86	0.00	131.41
				19,805.39	0.00	198.03
Total Portfolio Holdings - AUSTRALIAN DOLLAR				19,805.39	0.00	198.03

## Portfolio Holdings Disclosures

### Pricing

This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the statement period. The market prices, unless otherwise noted, have been obtained from independent vendor services, which we believe to be reliable. Market prices do not constitute a bid or an offer, and may differ from the actual sale price. Securities for which a price is not available are marked "N/A" and are omitted from the Total.

THE AS OF PRICE DATE ONLY APPEARS WHEN THE PRICE DATE DOES NOT EQUAL THE STATEMENT DATE.

### Estimated Annual Figures

The estimated annual income (EAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or guarantee of future results. These figures are computed using information from providers believed to be reliable; however, no assurance can be made as to the accuracy. Since interest



## Portfolio Holdings Disclosures (continued)

### Estimated Annual Figures (continued)

and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal may be included in the figures for certain securities, thereby overstating them. Refer to [www.pershing.com/disclosures](http://www.pershing.com/disclosures) for specific details as to formulas used to calculate the figures. Accrued interest represents interest earned but not yet received.

### Reinvestment

The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your statement may have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow.

### Option Disclosure

Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional information regarding this procedure is available upon written request to your introducing firm.

### Foreign Currency Transactions

Pershing will execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

### Proxy Vote

Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

## Activity Summary (All amounts shown are in base currency)

	Credits This Period	Debits This Period	Net This Period	Credits Year-to-Date	Debits Year-to-Date	Net Year-to-Date
<b>Securities</b>						
Securities Bought	0.00	-4,964.51	-4,964.51	0.00	-55,951.35	-55,951.35
Securities Sold	0.00	0.00	0.00	36,649.21	0.00	36,649.21
<b>Total Securities</b>	0.00	-4,964.51	-4,964.51	36,649.21	-55,951.35	-19,302.14
<b>Dividends and Interest</b>	0.00	0.00	0.00	23.27	0.00	23.27
<b>Fees</b>	0.00	-20.27	-20.27	0.00	-44.59	-44.59
<b>Taxes Withheld</b>	0.00	0.00	0.00	0.00	-3.49	-3.49

May 1, 2020 - May 31, 2020  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Activity Summary (continued)

	Credits This Period	Debits This Period	Net This Period	Credits Year-to-Date	Debits Year-to-Date	Net Year-to-Date
Totals	0.00	-4,984.78	-4,984.78	36,672.48	-55,999.43	-19,326.95

## Transactions in Date Sequence

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
05/15/20		ADMINISTRATION FEE USD999997	OPTION TRADE FEE APRIL 2020				-13.00 -20.27	USD AUD
05/28/20	05/27/20	PURCHASED 99QAN8H07	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 09-18-20@230.000 OPTION ROOT= SPY OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION	5.000	3.1000		-1,675.19 -2,516.05	USD AUD
05/28/20	05/27/20	PURCHASED 99QARJQJ9	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 07-17-20@265.000 OPTION ROOT= SPY OPENING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION	5.000	3.0100		-1,630.19 -2,448.46	USD AUD
Total Value of Transactions						0.00	-3,318.38	USD
Total AUD Equivalent						0.00	-4,984.78	AUD

The price and quantity displayed may have been rounded.

## Client Service Information

Your Investment Advisor: MBM

CRAIG MALTZ JONATHAN MITCHELL  
SHAW AND PARTNERS  
LEVEL 7, CHIFLEY TOWER  
2 CHIFLEY SQUARE SYDNEY NSW 2000  
AUSTRALIA

Client Service Information

Service Hours: Weekdays 08:00 a.m. - 05:30 p.m. (AEST)  
Outside of United States:  
1800636625  
Web Site: WWW.SHAWANDPARTNERS.COM.AU



## Your Account Information

### TAX LOT DEFAULT DISPOSITION METHOD

Default Method for Mutual Funds:	First In First Out
Default Method for Stocks in a Dividend Reinvestment Plan:	First In First Out
Default Method for all Other Securities:	First In First Out

### BOND AMORTIZATION ELECTIONS

Amortize premium on taxable bonds based on Constant Yield Method:	Yes
Accrual market discount method for all other bond types:	Constant Yield Method
Include market discount in income annually:	No

### ELECTRONIC DELIVERY

Your electronic delivery selections for account communications are listed below:

#### Electronic Delivery

Enrollment	Communication
✓	Statements and Reports
✓	Trade Confirmations
✓	Tax Documents
✓	Notifications
✗	Prospectus
✓	Proxy/Shareholder Communications*

Please log in to your account or contact your Investment Advisor to make any changes to your electronic delivery preferences.

E-mail notifications are delivered to the following e-mail address(es):

d#####@hotmail.com

\*d#####@hotmail.com is on file for these documents

The above e-mail address is partially masked for your security. Please log in to your account to review the full e-mail address.

## Messages

Although a money market mutual fund seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money market mutual fund. Shares of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account. Please see the money market mutual fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to SEC Rule 10b-10(b)(1) confirmations are not sent for purchases into money market mutual funds processed on the sweep platform. Pursuant to applicable regulation, account statements will be produced monthly or quarterly.

### Going Digital is Now More Important Than Ever

As all of us navigate the evolving global environment, Pershing's digital solutions can help you manage your accounts and access important documentation.

#### e-Delivery

Our e-Delivery solution provides access to investment account information electronically. It is a simple, safe and convenient way to receive financial account communications and view statements, trade confirmations and tax documents through an online, password-protected portal. Historical data is available from the day of initial signup.

To enroll in e-Delivery, log in to your brokerage account, select "Go Paperless" at the top of any page and follow the on-screen prompts for setup. Enrollment can be activated as quickly as the same day as registration (if enrollment occurs prior to 6 p.m. ET).

Contact your financial professional if you have any questions about these efficient digital tools.



May 1, 2020 - May 31, 2020  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Messages (continued)

## Exchange Rate Table

Currency	AUD Equivalent	Currency per AUD
U.S. DOLLARS	1.5069	0.6636

Exchange rates are based on interbank exchange rates as of 05/29/2020. Exchange rates can vary.

## Global Cash

Currency	Closing Balance	Amount in Base Currency AUD
U.S. DOLLARS	3,338.36	5,030.68
Total Global Cash Balance		5,030.68

## Income and Expense Summary

	Current Period		Year-to-Date	
	Taxable	Non Taxable	Taxable	Non Taxable
Dividend Income				
Other Dividends	0.00	0.00	23.27	0.00
Total Income	0.00	0.00	23.27	0.00

## Important Information and Disclosures

### The Role of Pershing

- Pershing carries your account as clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you.
- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.
- Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents; the acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those transactions, where applicable; the rendering of investment advice, if any, to you and in general, for the ongoing relationship that it has with you.
- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial organization's contact information can be found on the first page of this statement.

## Important Information and Disclosures (continued)

### The Role of Pershing (continued)

- For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the Disclosure Statement, please contact your financial institution.
- Pershing is a member of the Securities Investor Protection Corporation (SIPC®). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: [www.pershing.com/about/strength-and-stability](http://www.pershing.com/about/strength-and-stability).
- This statement will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your rights, including your rights under the Securities Investor Protection Act.
- Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330. Errors and Omissions excepted.

### Important Arbitration Disclosures

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

### Important Arbitration Agreement

Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until; (I) the class certification is denied; (II) the class is decertified; or (III) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein. The laws of the State of New York govern.

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330.

PRASAD-GATT SUPERANNUATION FUND  
UAD 06/25/08  
D A PRASAD & K A GATT TTEES  
UNIT 21 159 RIDGECROP DRIVE  
CASTLE HILL NSW 2154  
AUSTRALIA

June 1, 2020 - June 30, 2020  
Account Number: TGT-003197  
Base Currency: AUSTRALIAN DOLLAR (AUD)

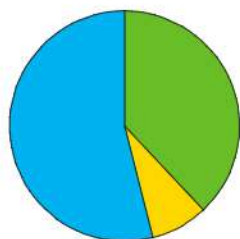
Your Investment Advisor:  
CRAIG MALTZ JONATHAN MITCHELL

### Portfolio at a Glance

	This Period	Year-to-Date
BEGINNING ACCOUNT VALUE	19,805.39	45,009.60
Dividends, Interest and Other Income	0.00	23.27
Fees	0.00	-44.59
Other Transactions	0.00	-3.49
Net Change in Portfolio <sup>1</sup>	-4,311.94	-29,491.34
<b>ENDING ACCOUNT VALUE</b>	<b>15,493.45</b>	<b>15,493.45</b>
Estimated Annual Income	183.32	

<sup>1</sup> Net Change in Portfolio is the difference between the ending account value and beginning account value after activity.

### Asset Summary



Percent	Asset Type	Prior Year-End	This Period
38%	Cash, Money Funds, and Bank Deposits	21,728.81	5,903.16
8%	Equities	14,499.14	1,234.93
54%	Exchange-Traded Products	8,781.65	8,355.36
100%	Account Total (Pie Chart)	45,009.60	15,493.45

Please review your allocation periodically with your Investment Advisor.



## Portfolio Holdings

### U.S. DOLLARS

Description	Quantity	Opening Balance	Closing Balance	Currency	Accrued Income	30-Day Yield
CASH, MONEY FUNDS AND BANK DEPOSITS 38.00% of Portfolio						
Cash Balance		3,338.36	4,063.15	USD		
		5,030.67	5,903.16	AUD		
TOTAL CASH, MONEY FUNDS AND BANK DEPOSITS						
		3,338.36	4,063.15	USD	0.00	
		5,030.67	5,903.16	AUD	0.00	

Description	Quantity	Market Price	Market Value	Currency		
EQUITIES 8.00% of Portfolio						
Options						
PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 09-18-20@230.000	5.000	1.7000	850.00	USD		
OPTION ROOT= SPY			1,234.93	AUD		
Option Identifier: 99QAN8HO7						
Underlying Security Identifier: SPY						
Underlying Security Price: \$308.36						
Total Options			850.00	USD		
			1,234.93	AUD		
TOTAL EQUITIES						
			850.00	USD		
			1,234.93	AUD		

Description	Quantity	Market Price	Market Value	Currency	Estimated Annual Income	Estimated Yield
EXCHANGE-TRADED PRODUCTS 54.00% of Portfolio						
DIREXION SHS ETF TR DAILY CSI 300 CHINA A SH BEAR 1X SHS	225.000	25.5600	5,751.00	USD	126.18	2.19%
Security Identifier: CHAD			8,355.36	AUD	183.32	
CUSIP: 25459Y116						
TOTAL EXCHANGE-TRADED PRODUCTS						
			5,751.00	USD	126.18	
			8,355.36	AUD	183.32	

	Market Value	Currency	Accrued Interest	Estimated Annual Income
TOTAL U.S. DOLLARS				
	10,664.15	USD	0.00	126.18
	15,493.45	AUD	0.00	183.32
Total Portfolio Holdings - AUSTRALIAN DOLLAR				
	15,493.45		0.00	183.32

June 1, 2020 - June 30, 2020  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Portfolio Holdings Disclosures

### Pricing

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### Proxy Vote

Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

## Activity Summary (All amounts shown are in base currency)

	Credits This Period	Debits This Period	Net This Period	Credits Year-to-Date	Debits Year-to-Date	Net Year-to-Date
<b>Securities</b>						
Securities Bought	0.00	0.00	0.00	0.00	-55,951.35	-55,951.35
Securities Sold	1,056.39	0.00	1,056.39	37,705.60	0.00	37,705.60
<b>Total Securities</b>	<b>1,056.39</b>	<b>0.00</b>	<b>1,056.39</b>	<b>37,705.60</b>	<b>-55,951.35</b>	<b>-18,245.75</b>
<b>Dividends and Interest</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>23.27</b>	<b>0.00</b>	<b>23.27</b>
<b>Fees</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>-44.59</b>	<b>-44.59</b>
<b>Taxes Withheld</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>-3.49</b>	<b>-3.49</b>
<b>Totals</b>	<b>1,056.39</b>	<b>0.00</b>	<b>1,056.39</b>	<b>37,728.87</b>	<b>-55,999.43</b>	<b>-18,270.56</b>

## Transactions in Date Sequence

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
06/01/20		YOUR OPTION EXPIRED 99QASBBVA	SPY 05292020 P 200 C CREDIT ACCOUNT	-100.000			0.00	USD
06/18/20	06/17/20	SOLD 99QARJQJ9	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 07-17-20@265.000 OPTION ROOT= SPY CLOSING TRANSACTION UNSOLICITED ORDER EXCHANGE LISTED OPTION	-5.000	1.7000		724.79 1,056.39	USD AUD
06/22/20		YOUR OPTION EXPIRED 99QANOX56	PUT 100 SPDR S&P 500 ETF TR TR UNIT EXP 06-19-20@240.000 OPTION ROOT= SPY SPY CLOSING TRANSACTION	-6.000			0.00	USD
06/22/20		YOUR OPTION EXPIRED 99QAQVSF2	PUT 100 INVESCO CURRENCY SHS AUSTRALIAN DLR TR AUSTRALIAN DLR SHS EXP 06-19-20 @60 FXA CLOSING TRANSACTION	-100.000			0.00	USD
<b>Total Value of Transactions</b>						0.00	724.79	USD
<b>Total AUD Equivalent</b>						0.00	1,056.39	AUD

The price and quantity displayed may have been rounded.



June 1, 2020 - June 30, 2020  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Client Service Information

Your Investment Advisor: MBM

CRAIG MALTZ JONATHAN MITCHELL  
SHAW AND PARTNERS  
LEVEL 7, CHIFLEY TOWER  
2 CHIFLEY SQUARE SYDNEY NSW 2000  
AUSTRALIA

Client Service Information

Service Hours: Weekdays 08:00 a.m. - 05:30 p.m. (AEST)  
Outside of United States:  
1800636625  
Web Site: WWW.SHAWANDPARTNERS.COM.AU

## Your Account Information

### TAX LOT DEFAULT DISPOSITION METHOD

Default Method for Mutual Funds: First In First Out  
Default Method for Stocks in a Dividend Reinvestment Plan: First In First Out  
Default Method for all Other Securities: First In First Out

### BOND AMORTIZATION ELECTIONS

Amortize premium on taxable bonds based on Constant Yield Method: Yes  
Accrual market discount method for all other bond types: Constant Yield Method  
Include market discount in income annually: No

### ELECTRONIC DELIVERY

Your electronic delivery selections for account communications are listed below:

#### Electronic Delivery

Enrollment	Communication
✓	Statements and Reports
✓	Trade Confirmations
✓	Tax Documents
✓	Notifications
✗	Prospectus
✓	Proxy/Shareholder Communications*

Please log in to your account or contact your Investment Advisor to make any changes to your electronic delivery preferences.

E-mail notifications are delivered to the following e-mail address(es):

d#####@hotmail.com

\*d#####@hotmail.com is on file for these documents

The above e-mail address is partially masked for your security.  
Please log in to your account to review the full e-mail address.

## Messages

Although a money market mutual fund seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money market mutual fund. Shares of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account. Please see the money market mutual fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to

## Messages (continued)

SEC Rule 10b-10(b)(1) confirmations are not sent for purchases into money market mutual funds processed on the sweep platform. Pursuant to applicable regulation, account statements will be produced monthly or quarterly.

### e-Delivery

Going digital is more important than ever before, and the benefits of electronic delivery--speed, convenience and safety--are clear. We offer e-Delivery for account statements, prospectus documents, proxy or shareholder communications, tax documents, trade confirmations and more. Historical account data is available from the day of initial signup.

To enroll, log in to your brokerage account, select "Go Paperless" at the top of any page and follow the on-screen prompts for setup. Enrollment can be activated as quickly as the day you register, and you will be notified when documents are available in an online, password-protected portal.

Contact your financial professional if you have any questions about any of our efficient digital tools.

## Exchange Rate Table

Currency	AUD Equivalent	Currency per AUD
U.S. DOLLARS	1.4528	0.6883

Exchange rates are based on interbank exchange rates as of 06/30/2020. Exchange rates can vary.

## Global Cash

Currency	Closing Balance	Amount in Base Currency AUD
U.S. DOLLARS	4,063.15	5,903.16
Total Global Cash Balance		5,903.16

## Income and Expense Summary

	Current Period		Year-to-Date	
	Taxable	Non Taxable	Taxable	Non Taxable
Dividend Income				
Other Dividends	0.00	0.00	23.27	0.00
Total Income	0.00	0.00	23.27	0.00

## Important Information and Disclosures

### The Role of Pershing

- Pershing carries your account as clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you.
- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.
- Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents; the acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those transactions, where applicable; the rendering of investment advice, if any, to you and in general, for the ongoing relationship that it has with you.



June 1, 2020 - June 30, 2020  
PRASAD-GATT SUPERANNUATION FUND  
Base Currency: AUSTRALIAN DOLLAR (AUD)

## Important Information and Disclosures (continued)

### The Role of Pershing (continued)

- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial organization's contact information can be found on the first page of this statement.
- For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the Disclosure Statement, please contact your financial institution.
- Pershing is a member of the Securities Investor Protection Corporation (SIPC®). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: [www.pershing.com/about/strength-and-stability](http://www.pershing.com/about/strength-and-stability).
- This statement will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your rights, including your rights under the Securities Investor Protection Act.
- Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330. Errors and Omissions excepted.

### Important Arbitration Disclosures

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

### Important Arbitration Agreement

Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until; (I) the class certification is denied; (II) the class is decertified; or (III) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein. The laws of the State of New York govern.

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330.



## TERMS AND CONDITIONS

### TRANSACTIONS

- ALL ORDERS AND TRANSACTIONS SHALL BE SOLELY FOR YOUR ACCOUNT AND RISK SHALL BE SUBJECT TO THE CONSTITUTION, RULES, REGULATIONS, CUSTOMS, USAGES, RULINGS AND INTERPRETATIONS OF THE EXCHANGE OR MARKET AND THE CLEARING FACILITY, IF ANY, WHERE THE TRANSACTIONS ARE EXECUTED AND/OR SETTLED, OR IF APPLICABLE, OF THE FINANCIAL INDUSTRY REGULATORY AUTHORITY AND TO ALL APPLICABLE LAWS AND REGULATIONS.
- TITLE TO SECURITIES SOLD TO YOU, WHERE PERSHING HAS ACTED AS PRINCIPAL, SHALL REMAIN WITH PERSHING UNTIL THE ENTIRE PURCHASE PRICE IS RECEIVED OR UNTIL THE SETTLEMENT DATE, WHICHEVER IS LATER.
- YOU MAY HAVE RECEIVED CONFIRMATIONS FOR TRANSACTIONS WHICH DO NOT APPEAR ON YOUR STATEMENT. IF SO, THE TRANSACTIONS WILL APPEAR ON YOUR NEXT PERIODIC STATEMENT. SUCH TRANSACTIONS MUST BE CONSIDERED BY YOU WHEN COMPUTING THE VALUE OF YOUR ACCOUNT. THIS IS ESPECIALLY TRUE IF YOU HAVE WRITTEN OPTIONS WHICH HAVE BEEN EXERCISED.

**FREE CREDIT BALANCES:** ANY FREE CREDIT BALANCE CARRIED FOR YOUR ACCOUNT REPRESENTS FUNDS PAYABLE UPON DEMAND WHICH, ALTHOUGH PROPERLY ACCOUNTED FOR ON PERSHING'S BOOKS OF RECORD, ARE NOT SEGREGATED AND MAY BE USED IN THE CONDUCT OF ITS BUSINESS.

**DEBIT BALANCES:** INTEREST CHARGED ON DEBIT BALANCES IN YOUR ACCOUNT APPEARS ON THE STATEMENT. THE RATE OF INTEREST AND PERIOD COVERED ARE INDICATED. THE RATE MAY CHANGE FROM TIME TO TIME DUE TO FLUCTUATIONS IN MONEY RATES OR OTHER REASONS. INTEREST IS COMPUTED AS DESCRIBED IN MATERIAL PREVIOUSLY FURNISHED TO YOU. PLEASE CONTACT YOUR FINANCIAL INSTITUTION IF YOU DESIRE ADDITIONAL COPIES.

**MARGIN INFORMATION:** IF YOU MAINTAIN A MARGIN ACCOUNT, THIS IS A COMBINED STATEMENT OF YOUR GENERAL ACCOUNT AND A SPECIAL MEMORANDUM ACCOUNT MAINTAINED FOR YOU UNDER REGULATION T OF 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 UPON REQUEST.

### TAX INFORMATION

- AFTER YEAR END, PERSHING IS REQUIRED TO PROVIDE TAX INFORMATION TO THE INTERNAL REVENUE SERVICE AND OTHER GOVERNMENTAL AUTHORITIES. AT THAT TIME PERSHING WILL PROVIDE THAT INFORMATION ON THE ANNUAL TAX INFORMATION STATEMENT TO YOU; USE THAT STATEMENT TO PREPARE YOUR TAX FILINGS. THE TAX STATEMENT ALSO INCLUDES OTHER USEFUL INFORMATION TO ASSIST IN ACCUMULATING THE DATA TO PREPARE YOUR TAX RETURNS.
- DIVIDENDS, INTEREST AND OTHER DISTRIBUTIONS SHOWN ON THIS STATEMENT WERE CLASSIFIED AS TAXABLE OR NONTAXABLE BASED ON CERTAIN INFORMATION KNOWN AS OF THE DISTRIBUTION DATE. THIS CLASSIFICATION IS SUBJECT TO CHANGE AND IS SOLELY INTENDED FOR USE AS GENERAL INFORMATION.
- PERSHING DOES NOT PROVIDE TAX, INVESTMENT OR LEGAL ADVISORY SERVICES AND NO ONE ASSOCIATED WITH PERSHING IS AUTHORIZED TO RENDER SUCH ADVICE. DO NOT RELY UPON ANY SUCH ADVICE, IF GIVEN. INVESTORS ARE ENCOURAGED TO CONSULT THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR BUSINESS.

### GENERAL INFORMATION

- WHENEVER YOU ARE INDEBTED TO PERSHING LLC ("PERSHING") FOR ANY AMOUNT, ALL SECURITIES HELD BY IT FOR YOU IN ANY ACCOUNT IN WHICH YOU HAVE ANY INTEREST SHALL SECURE ALL YOUR LIABILITIES TO PERSHING, AND PERSHING MAY IN ITS DISCRETION AT ANY TIME, WITHOUT TENDER, DEMAND OR NOTICE TO YOU, CLOSE OR REDUCE ANY OR ALL OF YOUR ACCOUNTS BY PUBLIC OR PRIVATE SALE OR PURCHASE OR BOTH OF ALL OR ANY SECURITIES CARRIED IN SUCH ACCOUNTS; ANY BALANCE REMAINING DUE PERSHING TO BE PROMPTLY PAID BY YOU.
- WHENEVER YOU ARE INDEBTED TO PERSHING FOR ANY AMOUNT, ALL SECURITIES CARRIED FOR YOUR ACCOUNT ARE OR MAY BE, WITHOUT FURTHER NOTICE TO YOU, LOANED OR PLEDGED BY PERSHING, EITHER SEPARATELY OR UNDER CIRCUMSTANCES WHICH WILL PERMIT THE COMMINGLING THEREOF,

WITH OTHER SECURITIES FOR ANY AMOUNT LESS THAN, EQUAL TO OR GREATER THAN YOUR LIABILITIES TO PERSHING, BUT NOT UNDER CIRCUMSTANCES FOR AN AMOUNT PROHIBITED BY LAW.

- PERSHING MAY TRADE FOR ITS OWN ACCOUNT AS A MARKET MAKER, SPECIALIST, ODD LOT DEALER, BLOCK POSITIONER, ARBITRAGEUR OR INVESTOR. CONSEQUENTLY, AT THE TIME OF ANY TRANSACTION YOU MAY MAKE, PERSHING MAY HAVE A POSITION IN SUCH SECURITIES, WHICH POSITION MAY BE PARTIALLY OR COMPLETELY HEDGED.
- IF AVERAGE PRICE TRANSACTION IS INDICATED ON THE FRONT OF THIS STATEMENT YOUR FINANCIAL INSTITUTION OR PERSHING MAY HAVE ACTED AS PRINCIPAL, AGENT OR BOTH. DETAILS AVAILABLE UPON REQUEST.
- A FINANCIAL STATEMENT OF PERSHING IS AVAILABLE FOR YOUR PERSONAL INSPECTION AT PERSHING'S OFFICES. A COPY OF IT WILL BE MAILED UPON YOUR WRITTEN REQUEST OR YOU CAN VIEW IT ONLINE AT [WWW.PERSHING.COM](http://WWW.PERSHING.COM).
- FOR BUSINESS CONTINUITY AND ADDITIONAL DISCLOSURES: [WWW.PERSHING.COM/DISCLOSURES](http://WWW.PERSHING.COM/DISCLOSURES).
- THIS STATEMENT SHOULD BE RETAINED FOR YOUR RECORDS.

### PAYMENT FOR ORDER FLOW AND ORDER ROUTING POLICY DISCLOSURES (REGULATION NMS - RULE 607 (A) (1) - (2))

PERSHING SENDS EQUITY AND OPTION ORDERS TO EXCHANGES, OR BROKER-DEALERS AS MARKET MAKERS OR AUTOMATED TRADING SYSTEMS (ATSS). CERTAIN OF THESE VENUES PROVIDE PAYMENTS TO PERSHING OR CHARGE ACCESS FEES TO PERSHING DEPENDING UPON THE CHARACTERISTICS OF THE ORDER AND ANY SUBSEQUENT EXECUTION. THE DETAILS OF THESE PAYMENTS AND FEES ARE AVAILABLE UPON WRITTEN REQUEST. COMPENSATION IS GENERALLY IN THE FORM OF A PER SHARE OR PER OPTION CONTRACT CASH PAYMENT. IN ADDITION, PERSHING ROUTES CERTAIN EQUITY TO ITS AFFILIATE, BNY MELLON CAPITAL MARKETS, LLC, FOR EXECUTION AS PRINCIPAL.

**BEST EXECUTION:** NOTWITHSTANDING THE PREVIOUS PARAGRAPH REGARDING PAYMENT FOR ORDER FLOW, PERSHING SELECTS CERTAIN MARKET CENTERS TO PROVIDE EXECUTION OF OVER-THE-COUNTER AND EXCHANGE-LISTED SECURITIES TRANSACTIONS WHICH AGREE TO ACCEPT ORDERS, TRANSMITTED ELECTRONICALLY UP TO A SPECIFIED SIZE, AND TO EXECUTE THEM AT OR BETTER THAN THE NATIONAL BEST BID OR OFFER (NBBO). IN CERTAIN SECURITIES THAT ARE NOT ELECTRONICALLY QUOTED, PERSHING DIRECTLY CONTACTS MARKET CENTERS TO OBTAIN AN EXECUTION. THE DESIGNATED MARKET CENTERS TO WHICH ORDERS ARE AUTOMATICALLY ROUTED ARE SELECTED BASED ON THE CONSISTENT HIGH QUALITY OF THEIR EXECUTIONS AND THEIR ABILITY TO PROVIDE OPPORTUNITIES FOR EXECUTIONS AT PRICES SUPERIOR TO THE NBBO. PERSHING ALSO REGULARLY REVIEWS REPORTS FOR QUALITY OF EXECUTION PURPOSES.

IF ANY OF THE ABOVE TERMS AND CONDITIONS ARE UNACCEPTABLE TO YOU, PLEASE NOTIFY PERSHING IMMEDIATELY IN WRITING BY CERTIFIED MAIL TO ONE PERSHING PLAZA, JERSEY CITY, NJ 07399, ATTN: LEGAL DEPT