



R & S HARRIS SUPERANNUATION FUND  
 UAD 07/01/20  
 R & S HARRIS SUPERANNUATION P/L  
 TTEE  
 5 BINEEN ST  
 CARINA QLD 4152 AUS

May 1, 2021 - May 31, 2021  
 Account Number: OMC-590538  
 Base Currency: AUSTRALIAN DOLLAR (AUD)

COMMSEC MAIN TRADING IP

### Portfolio at a Glance

	This Period
<b>BEGINNING ACCOUNT VALUE</b>	<b>43,263.82</b>
Dividends, Interest and Other Income	11.89
Other Transactions	-1.79
<b>Net Change in Portfolio<sup>1</sup></b>	<b>-836.08</b>
<b>ENDING ACCOUNT VALUE</b>	<b>42,437.84</b>
Estimated Annual Income	261.99

<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	Last Period	This Period
1%	Cash, Money Funds, and Bank Deposits	5,925.60	136.90
99%	Equities	37,338.22	42,300.94
100%	<b>Account Total</b>	<b>43,263.82</b>	<b>42,437.84</b>

Please review your allocation periodically with your Financial Consultant.

### Client Service Information

#### Identification Number: 000

COMMSEC MAIN TRADING IP  
 1 HARBOUR STREET SYDNEY

#### Contact Information

**E-Mail Address:**  
 commsecinternationaldesk@cba.com.au

#### Client Service Information

**Service Hours:** Monday - Saturday 08:00 a.m. - 08:00 a.m. (AED)  
**Web Site:** WWW.COMMSEC.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
<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 Financial Consultant to make any changes to your electronic delivery preferences.

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

r#####@hotmail.com  
 \*r#####@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.

## Exchange Rate Table

Currency	AUD Equivalent	Currency per AUD
U.S. DOLLARS	1.2973	0.7708

Exchange rates are based on interbank exchange rates as of 05/28/2021. Exchange rates can vary.

## Global Cash

Currency	Closing Balance	Amount in Base Currency AUD
U.S. DOLLARS	105.52	136.90
<b>Total Global Cash Balance</b>		<b>136.90</b>

## Income and Expense Summary

	Current Period		Year-to-Date	
	Taxable	Non Taxable	Taxable	Non Taxable
<b>Dividend Income</b>				
Equities	11.89	0.00	55.93	0.00
<b>Total Income</b>	<b>11.89</b>	<b>0.00</b>	<b>55.93</b>	<b>0.00</b>
<b>Expenses</b>				
Withholding Taxes	0.00	0.00	-1.79	0.00
<b>Total Expenses</b>	<b>0.00</b>	<b>0.00</b>	<b>-1.79</b>	<b>0.00</b>



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## Portfolio Holdings

### U.S. DOLLARS

Description	Quantity	Opening Balance	Closing Balance	Currency	Accrued Income	30-Day Yield
<b>CASH, MONEY FUNDS AND BANK DEPOSITS 1.00% of Portfolio</b>						
<b>Cash Balance</b>						
		4,576.34	105.52	USD		
		5,925.59	136.90	AUD		
<b>TOTAL CASH, MONEY FUNDS AND BANK DEPOSITS</b>						
		4,576.34	105.52	USD	0.00	
		5,925.59	136.90	AUD	0.00	

Description	Quantity	Market Price	Market Value	Currency	Estimated Annual Income	Estimated Yield
<b>EQUITIES 99.00% of Portfolio</b>						
<b>Common Stocks</b>						
ALPHABET INC CAP STK CL C	2.000	2,411.5600	4,823.12	USD		
Security Identifier: GOOG			6,257.29	AUD		
CUSIP: 02079K107						
AMAZON.COM INC	1.000	3,223.0700	3,223.07	USD		
Security Identifier: AMZN			4,181.46	AUD		
CUSIP: 023135106						
APPLE INC COM	30.000	124.6100	3,738.30	USD	26.40	0.70%
Security Identifier: AAPL			4,849.89	AUD	34.25	
CUSIP: 037833100						
JOHNSON & JOHNSON COM	10.000	169.2500	1,692.50	USD	42.40	2.50%
Security Identifier: JNJ			2,195.77	AUD	55.01	
CUSIP: 478160104						
MASTERCARD INC CL A COM	10.000	360.5800	3,605.80	USD	17.60	0.48%
Security Identifier: MA			4,678.00	AUD	22.83	
CUSIP: 57636Q104						
MICROSOFT CORP COM	15.000	249.6800	3,745.20	USD	33.60	0.89%
Security Identifier: MSFT			4,858.85	AUD	43.59	
CUSIP: 594918104						



# Portfolio Holdings (continued)

## U.S. DOLLARS (continued)

Description	Quantity	Market Price	Market Value	Currency	Estimated Annual Income	Estimated Yield
<b>EQUITIES (continued)</b>						
<b>Common Stocks (continued)</b>						
NIKE INC CL B	20.000	136.4600	2,729.20	USD	22.00	0.80%
Security Identifier: NKE			3,540.74	AUD	28.54	
CUSIP: 654106103						
PAYPAL HLDGS INC COM	10.000	260.0200	2,600.20	USD		
Security Identifier: PYPL			3,373.38	AUD		
CUSIP: 70450Y103						
TAIWAN SEMICONDUCTOR MFG CO SPONSORED ADR	15.000	117.3600	1,760.40	USD	20.94	1.18%
ISIN#US8740391003			2,283.86	AUD	27.17	
Security Identifier: TSM						
CUSIP: 874039100						
VISA INC COM CL A	15.000	227.3000	3,409.50	USD	19.20	0.56%
Security Identifier: V			4,423.33	AUD	24.91	
CUSIP: 92826C839						
WALMART INC COM	9.000	142.0300	1,278.27	USD	19.80	1.54%
Security Identifier: WMT			1,658.37	AUD	25.69	
CUSIP: 931142103						
<b>Total Common Stocks</b>			32,605.56	USD	201.94	
			42,300.94	AUD	261.99	
<b>TOTAL EQUITIES</b>			32,605.56	USD	201.94	
			42,300.94	AUD	261.99	
				<b>Market Value</b>	<b>Accrued Interest</b>	<b>Estimated Annual Income</b>
<b>TOTAL U.S. DOLLARS</b>				32,711.08	0.00	201.94
				42,437.84	0.00	261.99
				<b>Market Value</b>	<b>Accrued Interest</b>	<b>Estimated Annual Income</b>
<b>Total Portfolio Holdings - AUSTRALIAN DOLLAR</b>				42,437.84	0.00	261.99



May 1, 2021 - May 31, 2021  
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## 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. In some cases the pricing vendor may provide prices quoted by a single broker or market maker. 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 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	-5,694.41	-5,694.41	0.00	-14,706.28	-14,706.28
<b>Total Securities</b>	<b>0.00</b>	<b>-5,694.41</b>	<b>-5,694.41</b>	<b>0.00</b>	<b>-14,706.28</b>	<b>-14,706.28</b>
<b>Dividends and Interest</b>	<b>11.89</b>	<b>0.00</b>	<b>11.89</b>	<b>55.93</b>	<b>0.00</b>	<b>55.93</b>
<b>Taxes Withheld</b>	<b>0.00</b>	<b>-1.79</b>	<b>-1.79</b>	<b>0.00</b>	<b>-8.90</b>	<b>-8.90</b>
<b>Cash</b>						
Deposits	0.00	0.00	0.00	14,984.40	0.00	14,984.40
<b>Total Cash</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>14,984.40</b>	<b>0.00</b>	<b>14,984.40</b>
<b>Totals</b>	<b>11.89</b>	<b>-5,696.20</b>	<b>-5,684.31</b>	<b>15,040.33</b>	<b>-14,715.18</b>	<b>325.15</b>

## Transactions in Date Sequence

Process/ Settlement Date	Trade/ Transaction Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
05/07/21		CASH DIVIDEND RECEIVED	6 SHRS MASTERCARD INC CL A COM RD 04/09 PD				2.64	USD
		MA	05/07/21				3.36	AUD
05/07/21		NON-RESIDENT ALIEN TAX	NRA TAX WITHHELD ON 6 SHRS MASTERCARD INC CL A				-0.40	USD
		MA	COM RD 04/09 PD 05/07/21				-0.51	AUD
05/10/21	05/06/21	PURCHASED	JOHNSON & JOHNSON COM UNSOLICITED ORDER	10.000	167.0600		-1,690.55	USD
		JNJ					-2,149.45	AUD
05/10/21	05/06/21	PURCHASED	MASTERCARD INC CL A COM UNSOLICITED ORDER	4.000	369.6500		-1,498.55	USD
		MA					-1,905.33	AUD
05/10/21	05/06/21	PURCHASED	WALMART INC COM UNSOLICITED ORDER	9.000	141.0693		-1,289.57	USD
		WMT					-1,639.63	AUD
05/13/21		CASH DIVIDEND RECEIVED	30 SHRS APPLE INC COM RD 05/10 PD 05/13/21				6.60	USD
		AAPL					8.53	AUD
05/13/21		NON-RESIDENT ALIEN TAX	NRA TAX WITHHELD ON 30 SHRS APPLE INC COM RD				-0.99	USD
		AAPL	05/10 PD 05/13/21				-1.28	AUD
<b>Total Value of Transactions</b>						<b>0.00</b>	<b>-4,470.82</b>	<b>USD</b>
<b>Total AUD Equivalent</b>						<b>0.00</b>	<b>-5,684.31</b>	<b>AUD</b>

The price and quantity displayed may have been rounded.



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## Cash Not Yet Received

Security	Record Date	Payable Date	Quantity Held	Rate	Dividend Option	Amount of Payment	Currency
<b>Dividends</b>							
JOHNSON & JOHNSON COM	05/25/21	06/08/21	10.000	1.060000	Cash	10.60	USD
MICROSOFT CORP COM	05/20/21	06/10/21	15.000	0.560000	Cash	8.40	USD
<b>Total Cash Not Yet Received</b>						<b>19.00</b>	<b>USD</b>
						<b>24.65</b>	<b>AUD</b>

Assets shown here are not reflected in your account. This information has been received from sources we believe to be reliable. Pershing does not guarantee the accuracy of the information.

## 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 Investment Professional 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.

## 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



## 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.

### **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**.