



Commonwealth Securities Limited  
AFSL 238814  
ABN 60067254399  
Level 4E  
1 Harbour Street  
Sydney NSW 2000  
Telephone 1800 245 698  
Email options@commsec.com.au

# Monthly Options Statement

For the month of December 2019

MR SIMON LLOYD ROBERTS <PERSONAL  
SUPER A/C>  
UNIT 1 6 MATHOURA RD  
TOORAK VIC 3142 AUS

Account no: 808935

## Current Open Position Details

As at close of business on 31/12/2019

| Expiry Date   | Strike Price | Option Type | Buy | Sell | Price (\$) | Trade Date | Reference | Market Price (\$) | Unrealised P&L (\$) |
|---|--------------|-------------|-----|------|------------|------------|-----------|-------------------|---------------------|
| <b>MQGS89 MACQUARIE GROUP LIMITED 30-JAN-2020 C 146.00 (100 Shares per lot; American style options)</b> |              |             |     |      |            |            |           |                   |                     |
| 30/01/2020  | 146.00       | Call        | 10  |      | 0.7000     | 29/11/2019 | C94026869 | 0.2250            | 475.00 DR           |
| 30/01/2020  | 146.00       | Call        | 20  |      | 0.3200     | 03/12/2019 | C94080246 | 0.2250            | 190.00 DR           |
| <b>Total</b>  |              |             |     |      |            |            |           |                   | <b>665.00 DR</b>    |
| <b>Total Unrealised P&amp;L:</b>  |              |             |     |      |            |            |           |                   | <b>665.00 DR</b>    |

## Account Transactions

Currency AUD

| Date       | Description   | Debit (\$) | Credit (\$) | Balance (\$) | Total Margin (\$) | Collateral Cover (\$) | Cash Collateral Cover(\$) |
|------------|---|------------|-------------|--------------|-------------------|-----------------------|---------------------------|
|            | Brought Forward Balance   |            |             | 1,437.81 DR  |                   |                       |                           |
| 02/12/2019 | Direct Transfer 067167<br>18121497 Drawer MR SIMON<br>LLOYD ROBERTS ITF<br>PERSONAL SUPER |            | 1,437.81    | 0.00 DR      |                   |                       |                           |
| 02/12/2019 | B 10 BHPSX9 @ 1.080000<br>38.50 CALL OPTION EXPIRING<br>30-JAN-2020                       | 1,116.38   |             | 1,116.38 DR  | 0.00 DR           | 0.00 CR               | 0.00 DR                   |
| 03/12/2019 | Direct Transfer 067167<br>18121497 Drawer MR SIMON<br>LLOYD ROBERTS ITF<br>PERSONAL SUPER |            | 1,116.38    | 0.00 DR      |                   |                       |                           |
| 03/12/2019 | B 10 BHPSX9 @ 0.750000<br>38.50 CALL OPTION EXPIRING<br>30-JAN-2020                       | 786.38     |             | 786.38 DR    |                   |                       |                           |
| 03/12/2019 | B 20 MQGS89 @ 0.320000<br>146.00 CALL OPTION<br>EXPIRING 30-JAN-2020                      | 677.81     |             | 1,464.19 DR  |                   |                       |                           |
| 03/12/2019 | B 10 MQGIM9 @ 1.250000<br>140.00 CALL OPTION<br>EXPIRING 30-JAN-2020                      | 1,286.38   |             | 2,750.57 DR  |                   |                       |                           |
| 03/12/2019 | B 20 FMG7X7 @ 0.430000<br>10.00 CALL OPTION EXPIRING<br>30-JAN-2020                       | 897.81     |             | 3,648.38 DR  | 0.00 DR           | 0.00 CR               | 0.00 DR                   |
| 04/12/2019 | Direct Transfer 067167<br>18121497 Drawer MR SIMON<br>LLOYD ROBERTS ITF<br>PERSONAL SUPER |            | 3,648.38    | 0.00 DR      |                   |                       |                           |
| 04/12/2019 | B 20 FMG7X7 @ 0.355000<br>10.00 CALL OPTION EXPIRING<br>30-JAN-2020                       | 747.81     |             | 747.81 DR    |                   |                       |                           |

## Account Transactions

Currency AUD

| Date          | Description   | Debit (\$)       | Credit (\$)      | Balance (\$)   | Total Margin (\$) | Collateral Cover (\$) | Cash Collateral Cover(\$) |
|---------------|---|------------------|------------------|----------------|-------------------|-----------------------|---------------------------|
| 04/12/2019    | B 20 MQGIM9 @ 0.800000<br>140.00 CALL OPTION<br>EXPIRING 30-JAN-2020                      | 1,637.81         |                  | 2,385.62 DR    |                   |                       |                           |
| 04/12/2019    | B 30 BHPSX9 @ 0.490000<br>38.50 CALL OPTION EXPIRING<br>30-JAN-2020                       | 1,509.24         |                  | 3,894.86 DR    | 0.00 DR           | 0.00 CR               | 0.00 DR                   |
| 05/12/2019    | Direct Transfer 067167<br>18121497 Drawer MR SIMON<br>LLOYD ROBERTS ITF<br>PERSONAL SUPER |                  | 3,894.86         | 0.00 DR        |                   |                       |                           |
| 05/12/2019    | S 20 WBCIT9 @ 0.090000<br>25.00 CALL OPTION EXPIRING<br>19-DEC-2019                       |                  | 142.19           | 142.19 CR      | 0.00 DR           | 0.00 CR               | 142.19 CR                 |
| 06/12/2019    | Direct Transfer - Payee MR<br>SIMON LLOYD ROBERTS<br><PERSONAL SUPER A/C>                 | 142.19           |                  | 0.00 DR        | 0.00 DR           | 0.00 CR               | 0.00 DR                   |
| 16/12/2019    | S 40 BHPSX9 @ 1.950000<br>38.50 CALL OPTION EXPIRING<br>30-JAN-2020                       |                  | 7,759.33         | 7,759.33 CR    |                   |                       |                           |
| 16/12/2019    | S 30 MQGIM9 @ 2.110000<br>140.00 CALL OPTION<br>EXPIRING 30-JAN-2020                      |                  | 6,290.76         | 14,050.09 CR   |                   |                       |                           |
| 16/12/2019    | S 40 MQGS89 @ 0.450000<br>146.00 CALL OPTION<br>EXPIRING 30-JAN-2020                      |                  | 1,759.33         | 15,809.42 CR   |                   |                       |                           |
| 16/12/2019    | S 30 WBCIT9 @ 0.120000<br>25.00 CALL OPTION EXPIRING<br>19-DEC-2019                       |                  | 320.76           | 16,130.18 CR   |                   |                       |                           |
| 16/12/2019    | S 20 FMG7X7 @ 0.990000<br>10.00 CALL OPTION EXPIRING<br>30-JAN-2020                       |                  | 1,942.19         | 18,072.37 CR   |                   |                       |                           |
| 16/12/2019    | S 10 MQGIM9 @ 2.150000<br>140.00 CALL OPTION<br>EXPIRING 30-JAN-2020                      |                  | 2,113.62         | 20,185.99 CR   |                   |                       |                           |
| 16/12/2019    | S 10 MQGIM9 @ 2.190000<br>140.00 CALL OPTION<br>EXPIRING 30-JAN-2020                      |                  | 2,153.62         | 22,339.61 CR   |                   |                       |                           |
| 16/12/2019    | S 40 WBCWG9 @ 0.380000<br>25.00 CALL OPTION EXPIRING<br>30-JAN-2020                       |                  | 1,479.33         | 23,818.94 CR   |                   |                       |                           |
| 16/12/2019    | S 30 BHPSX9 @ 1.970000<br>38.50 CALL OPTION EXPIRING<br>30-JAN-2020                       |                  | 5,870.76         | 29,689.70 CR   |                   |                       |                           |
| 16/12/2019    | S 40 FMG7X7 @ 0.980000<br>10.00 CALL OPTION EXPIRING<br>30-JAN-2020                       |                  | 3,879.33         | 33,569.03 CR   |                   |                       |                           |
| 16/12/2019    | Cash Margin on 16/12/2019   | 6,110.00         |                  | 27,459.03 CR   |                   |                       |                           |
| 16/12/2019    | Addn Cash Margin 16/12/2019   | 3,315.00         |                  | 24,144.03 CR   | 9,425.00 DR       | 0.00 CR               | 33,569.03 CR              |
| 17/12/2019    | Direct Transfer - Payee MR<br>SIMON LLOYD ROBERTS<br><PERSONAL SUPER A/C>                 | 33,569.03        |                  | 9,425.00 DR    |                   |                       |                           |
| 17/12/2019    | Cash Margin on 17/12/2019   |                  | 262.00           | 9,163.00 DR    |                   |                       |                           |
| 17/12/2019    | Addn Cash Margin 17/12/2019   |                  | 37.00            | 9,126.00 DR    | 9,126.00 DR       | 0.00 CR               | 0.00 DR                   |
| 18/12/2019    | B 20 MQGIM9 @ 1.720000<br>140.00 CALL OPTION<br>EXPIRING 30-JAN-2020                      | 3,442.86         |                  | 12,568.86 DR   |                   |                       |                           |
| 18/12/2019    | Cash Margin on 18/12/2019   |                  | 5,848.00         | 6,720.86 DR    |                   |                       |                           |
| 18/12/2019    | Addn Cash Margin 18/12/2019   |                  | 3,278.00         | 3,442.86 DR    | 0.00 DR           | 0.00 CR               | 0.00 DR                   |
| 19/12/2019    | Direct Transfer 067167<br>18121497 Drawer MR SIMON<br>LLOYD ROBERTS ITF<br>PERSONAL SUPER |                  | 3,442.86         | 0.00 DR        | 0.00 DR           | 0.00 CR               | 0.00 DR                   |
| <b>Total:</b> |   | <b>55,238.70</b> | <b>56,676.51</b> | <b>0.00 DR</b> |                   |                       |                           |

| Liquidation Advice |              |   |     |      |            |            |                   |          |                        |
|--------------------|--------------|---|-----|------|------------|------------|-------------------|----------|------------------------|
| MATCHOUT           |              |   |     |      |            |            |                   |          |                        |
| Close Out Date     | Strike Price | Option Type   | Buy | Sell | Price (\$) | Trade Date | Traded Value (\$) | Fee Rate | Fee Value inc-GST (\$) |
| BHP                | BHPSX9       | BHP GROUP LIMITED 30-JAN-2020 C 38.50 (100 Shares per lot;American style options)           |     |      |            |            |                   |          |                        |
| 16/12/2019         | 38.50        | Call  | 20  |      | 0.920      | 26/11/2019 | 1,877.81          | DR       |                        |
| 16/12/2019         | 38.50        | Call  | 10  |      | 1.080      | 02/12/2019 | 1,116.38          | DR       |                        |
| 16/12/2019         | 38.50        | Call  | 10  |      | 0.750      | 03/12/2019 | 786.38            | DR       |                        |
| 16/12/2019         | 38.50        | Call  | 30  |      | 0.490      | 04/12/2019 | 1,509.24          | DR       |                        |
| 16/12/2019         | 38.50        | Call  |     | 30   | 1.970      | 16/12/2019 | 5,870.76          | CR       |                        |
| 16/12/2019         | 38.50        | Call  |     | 10   | 1.950      | 16/12/2019 | 1,939.83          | CR       |                        |
| 16/12/2019         | 38.50        | Call  |     | 10   | 1.950      | 16/12/2019 | 1,939.83          | CR       |                        |
| 16/12/2019         | 38.50        | Call  |     | 20   | 1.950      | 16/12/2019 | 3,879.66          | CR       |                        |
| Total:             |              |   |     |      |            |            | 8,340.27          | CR       |                        |
| FMG                | FMG7X7       | FORTESCUE METALS GROUP LTD 30-JAN-2020 C 10.00 (100 Shares per lot;American style options)  |     |      |            |            |                   |          |                        |
| 16/12/2019         | 10.00        | Call  | 20  |      | 0.340      | 25/11/2019 | 717.81            | DR       |                        |
| 16/12/2019         | 10.00        | Call  | 20  |      | 0.430      | 03/12/2019 | 897.81            | DR       |                        |
| 16/12/2019         | 10.00        | Call  | 20  |      | 0.355      | 04/12/2019 | 747.81            | DR       |                        |
| 16/12/2019         | 10.00        | Call  |     | 20   | 0.980      | 16/12/2019 | 1,939.66          | CR       |                        |
| 16/12/2019         | 10.00        | Call  |     | 20   | 0.980      | 16/12/2019 | 1,939.66          | CR       |                        |
| 16/12/2019         | 10.00        | Call  |     | 20   | 0.990      | 16/12/2019 | 1,942.19          | CR       |                        |
| Total:             |              |   |     |      |            |            | 3,458.08          | CR       |                        |
| MQG                | MQGIM9       | MACQUARIE GROUP LIMITED 30-JAN-2020 C 140.00 (100 Shares per lot;American style options)    |     |      |            |            |                   |          |                        |
| 16/12/2019         | 140.00       | Call  | 10  |      | 1.250      | 03/12/2019 | 1,286.38          | DR       |                        |
| 16/12/2019         | 140.00       | Call  | 20  |      | 0.800      | 04/12/2019 | 1,637.81          | DR       |                        |
| 16/12/2019         | 140.00       | Call  |     | 20   | 2.110      | 16/12/2019 | 4,193.84          | CR       |                        |
| 16/12/2019         | 140.00       | Call  |     | 10   | 2.110      | 16/12/2019 | 2,096.92          | CR       |                        |
| 18/12/2019         | 140.00       | Call  |     | 10   | 2.150      | 16/12/2019 | 2,113.62          | CR       |                        |
| 18/12/2019         | 140.00       | Call  |     | 10   | 2.190      | 16/12/2019 | 2,153.62          | CR       |                        |
| 18/12/2019         | 140.00       | Call  | 10  |      | 1.720      | 18/12/2019 | 1,721.43          | DR       |                        |
| 18/12/2019         | 140.00       | Call  | 10  |      | 1.720      | 18/12/2019 | 1,721.43          | DR       |                        |
| Total:             |              |   |     |      |            |            | 4,190.95          | CR       |                        |
| MQG                | MQGS89       | MACQUARIE GROUP LIMITED 30-JAN-2020 C 146.00 (100 Shares per lot;American style options)    |     |      |            |            |                   |          |                        |
| 16/12/2019         | 146.00       | Call  | 30  |      | 0.700      | 28/11/2019 | 2,139.24          | DR       |                        |
| 16/12/2019         | 146.00       | Call  | 10  |      | 0.700      | 29/11/2019 | 718.91            | DR       |                        |
| 16/12/2019         | 146.00       | Call  |     | 10   | 0.450      | 16/12/2019 | 439.83            | CR       |                        |
| 16/12/2019         | 146.00       | Call  |     | 30   | 0.450      | 16/12/2019 | 1,319.50          | CR       |                        |
| Total:             |              |   |     |      |            |            | 1,098.82          | DR       |                        |
| WBC                | WBCIT9       | WESTPAC BANKING CORPORATION 19-DEC-2019 C 25.00 (100 Shares per lot;American style options) |     |      |            |            |                   |          |                        |
| 16/12/2019         | 25.00        | Call  | 20  |      | 0.270      | 22/11/2019 | 577.81            | DR       |                        |
| 05/12/2019         | 25.00        | Call  | 20  |      | 0.310      | 22/11/2019 | 657.81            | DR       |                        |
| 16/12/2019         | 25.00        | Call  | 10  |      | 0.170      | 25/11/2019 | 206.38            | DR       |                        |
| 05/12/2019         | 25.00        | Call  |     | 20   | 0.090      | 05/12/2019 | 142.19            | CR       |                        |
| 16/12/2019         | 25.00        | Call  |     | 20   | 0.120      | 16/12/2019 | 213.84            | CR       |                        |

| Liquidation Advice |              |   |     |      |            |            |                   |          |                        |
|--------------------|--------------|---|-----|------|------------|------------|-------------------|----------|------------------------|
| MATCHOUT           |              |   |     |      |            |            |                   |          |                        |
| Close Out Date     | Strike Price | Option Type   | Buy | Sell | Price (\$) | Trade Date | Traded Value (\$) | Fee Rate | Fee Value inc-GST (\$) |
| WBC                | WBCIT9       | WESTPAC BANKING CORPORATION 19-DEC-2019 C 25.00 (100 Shares per lot;American style options) |     |      |            |            |                   |          |                        |
| 16/12/2019         | 25.00        | Call  |     | 10   | 0.120      | 16/12/2019 | 106.92 CR         |          |                        |
| Total:             |              |   |     |      |            |            | 979.05 DR         |          |                        |

|            |        |   |    |    |       |            |             |  |  |
|------------|--------|---|----|----|-------|------------|-------------|--|--|
| WBC        | WBCWG9 | WESTPAC BANKING CORPORATION 30-JAN-2020 C 25.00 (100 Shares per lot;American style options) |    |    |       |            |             |  |  |
| 16/12/2019 | 25.00  | Call  | 20 |    | 0.580 | 22/11/2019 | 1,197.81 DR |  |  |
| 16/12/2019 | 25.00  | Call  | 20 |    | 0.530 | 22/11/2019 | 1,097.81 DR |  |  |
| 16/12/2019 | 25.00  | Call  |    | 20 | 0.380 | 16/12/2019 | 739.66 CR   |  |  |
| 16/12/2019 | 25.00  | Call  |    | 20 | 0.380 | 16/12/2019 | 739.66 CR   |  |  |
| Total:     |        |   |    |    |       |            | 816.30 DR   |  |  |

## Collateral Holdings

| Lodgement ID | Type | Units | Cover Value (\$) | Date Lodged |
|--------------|------|-------|------------------|-------------|
|--------------|------|-------|------------------|-------------|

### Explanatory Notes:

- (a) Unrealised P&L is unrealised profit or loss on the position based on current market price; does not include brokerage and fees.
- (b) Total Margin is the combined margin requirements of ASX Clear and CommSec for written Option contracts.
- (c) ASX Clear Margin is the margin requirement of ASX Clear for written Option contracts.
- (d) Collateral Cover is the value of securities lodged with ASX Clear, net of haircut/discount applied by ASX Clear to the market value of the securities.
- (e) Cover Value is the value of securities lodged with ASX Clear, net of haircut/discount applied by ASX Clear to the market value of the securities.
- (f) For cash settlement of XJO Index Options, the ASX Opening Price Index Calculation (OPIC) value is available from the ASX website by searching for 'Index derivatives settlement history'.

This Monthly Statement is issued by Commonwealth Securities Limited and is issued subject to:

- (a) the current General Conditions of Trade of Commonwealth Securities Limited ("CommSec");
- (b) The directions, decisions and requirements of the ASX Limited (ASX), the ASIC Market Integrity Rules, the ASX Operating Rules, the Clearing Rules and where relevant, the Settlement Rules, the customs and usages of the market and the corrections of any errors and or omissions.

Under the Rules of ASIC and ASX, CommSec is required to act consistently with a fair and orderly market. CommSec or the ASX is entitled to cancel a trade without further reference to you as permitted by the current General Conditions of Trade and the ASX Operating Rules.

Under the Corporations Act 2001, CommSec is deemed to be the issuer of options recorded on this Trading Confirmation.

Commonwealth Securities Limited ABN 60 067 254 399, AFSL 238814 is a wholly owned but non-guaranteed subsidiary of the Commonwealth Bank of Australia ABN 48 123 123 124, AFSL 234945 and a participant of the ASX Group and Chi-X Australia.