



ASIC
Australian Securities &
Investments Commission



Members of the Markets Disciplinary Panel

as at 1 January 2019

Name	MDP Role	Background
Simon Gray	MDP Chair MDP Member	Executive Director and Company Secretary of Shaw and Partners, a lawyer with over 16 years' experience with legal and compliance expertise in the industry including senior oversight of corporate finance. A member of the ASIC Market Supervision Advisory Panel and of the ASX Appeal Tribunal
Cilla Boreham	MDP Deputy Chair MDP Member	Currently consulting at WealthHub Securities. Former Senior Legal Counsel and Head of Legal, Risk and Compliance of JBWere Pty Ltd, with over 15 years' experience in the industry, with a background in financial services licensing and regulation, stockbroking, compliance and risk management
Richard Brasher	MDP Member	Dealer, Northcape Capital Ltd. Former Director at RBS Equities Australia, over 30 years' experience in the industry, previously specialising in equity derivative strategies. Former member of the ASX Disciplinary Tribunal
Anthony Brittain	MDP Member	Chief Operating and Financial Officer, Euroz Limited, a financial services professional with over 25 years broad experience across the securities and managed investments industry, with a background in finance and investments as well as compliance and operations. Executive Director of Euroz Limited (ASX:EZL) and

		Director of Euroz Securities Limited, Entrust Private Wealth Management Pty Ltd, Prodigy Investment Partners Limited, Flinders Investment Partners Pty Ltd and Dalton Street Capital Pty Ltd. Previously Director of JDV Limited (ASX:JDV) (Stockbroking/Portfolio Management) (previously Hartleys Limited).
Anne Brown	MDP Member	Non-Executive Director of the Clean Energy Regulator and Chair of the independent Life Code Compliance Committee. Former Group Executive & Chief Risk Officer of the Australian Securities Exchange Ltd, with over 20 years' experience in Australian and international exchange-traded financial markets and related infrastructure with additional background and experience in risk management, governance, compliance and audit.
Ian Chambers	MDP Member	Head of Institutional Equities & Wealth Management Australia, Morgan Stanley Australia, 30 years in the industry with a strong background in equities and derivatives. Former member of the ASX Disciplinary Tribunal
Leigh Conder	MDP Member	COO Pershing Securities Australia Pty Ltd, formerly Director, Commonwealth Securities Limited, Director, AUSIEX Ltd and Director, CBA Equities Limited, General Manager, Corporate Banking Solutions, General Manager, Financial Markets Operations and Equities and Margin Lending Operations, Commonwealth Bank Limited and former member of the ASX Disciplinary Tribunal, with over 30 years of experience in the industry with a strong background in operations
Ian Jones	MDP Member	Vice President, Goldman Sachs Electronic Trading with 11 years experience in equities, derivatives, market microstructure, algorithmic trading and Transaction Cost Analysis (TCA). Ian holds a BE (Hons) degree in Aerospace Engineering and a BSc in Computer Science from UNSW and became a CFA charter holder in 2012.
Geoffrey Louw	MDP Member	Head of Futures and Forex, Bell Potter Securities Limited, 18 years in the industry with particular expertise in the futures market. Former member of the ASX Disciplinary Tribunal

Michael Manford	MDP Member	Executive Chairman and Chief Executive Officer, Patersons Securities Limited, a wealth management business. Michael Manford has 38 years' experience in the financial services industry.
John Manchee	MDP Member	Director Credit Suisse, specialising in Facilitation, with a strong background In Derivatives, Structured Products and Equities. Former Director, and Head of Facilitation and JPM & Head of Derivatives, Warrants and Structured products, at Citigroup. Over 20+ years trading experience.
Russell McKimm	MDP Member	Client Adviser, Patersons Securities, 40 years in the industry, managing broker-client relationships and providing financial advice. Former member of the ASX Disciplinary Tribunal
Sadie Powers	MDP Member	Former Head DTR - Equities, Patersons Securities, having over 17 years' experience in the industry, with an extensive background in equities trading and regulatory compliance
Mark Pugsley	MDP Member	Chief Financial Officer and Company Secretary, Perth Children's Hospital Foundation Limited, Director Morgans Foundation Ltd (part time), former Finance and Compliance Director, RBS Morgans Ltd Group, with more than 29 years' experience in the stockbroking and financial services industry, specialising in Finance, Corporate Governance, Compliance and Regulation. Associate of the Chartered Accountants Aust. and NZ, and Graduate of the Aust. Institute of Company Directors.
Dan Ritchie	MDP Member	Head of Australian Equities, Macquarie Bank. 25 years in the Industry with a strong background in Research Sales and extensive Institutional Client relationships domestically and offshore. Former member of the ASX Disciplinary Tribunal.
Pete Robson	MDP Member	Director, Sales & Trading, ITG Australia, with over 30 years' experience in the industry predominately in equity and derivatives trading, including as a past governor of the ASX Dispute Governors' Committee and testing Governor for the ASX from 1991 to 2007. Previously Head of Trading, ITG Australia, 2010-2017.

Lisa Shand	MDP Member	Director - Sydney, Morgans Financial Limited, former Executive Director Australian Equities, Nomura Australia and Head of Client Account Management and Executive Director, RBS Equities Australia, with around 30 years' experience as an institutional client advisor.
John Steintal	MDP Member	Consultant Financial Advisor. Former Managing Director, Head of Australia Equities, Moelis & Company, Australia, with 20 years' experience in the industry, with an extensive background in equities and derivative trading, risk and compliance
Victoria Weekes	MDP Member	Chair and Director, One Path Custodians Pty Limited & Oasis Funds Management Limited; Director URB Investments Limited; Vice President and Director, Financial Services Institute of Australasia, FINSIA Education & FINSIA New Zealand; Director and Deputy Chair, SGCH Limited, SGCH Portfolio and SGCH Sustainability Limited; Director, Sydney Local Health District; and Risk Consultant & Director, Risk Compliance Solutions Pty Ltd. Former Director, ANZ Share Investing Limited (formerly ETRADE Australia Limited)