



**ASIC**  
Australian Securities &  
Investments Commission



## Members of the Markets Disciplinary Panel

as at 26 March 2021

Name	MDP Role	Background
<b>Simon Gray</b>	MDP Chair MDP Member	Executive Director of Morgans Financial. Formerly an Executive Director and Deputy CEO of Shaw and Partners, a lawyer with 20 years' experience with legal and compliance expertise in the financial services industry including senior oversight of corporate finance. A member of the ASIC Markets Advisory Panel and of the ASX Appeals Tribunal.
<b>Cilla Boreham</b>	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.
<b>Richard Brasher</b>	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.
<b>Anthony Brittain</b>	MDP Member	Chief Operating and Financial Officer, Euroz Limited, over 25 years of broad experience across the securities and managed investments industry and a background in finance, IT, compliance and operations. Executive Director of Euroz Hartleys Limited, Euroz Hartleys Securities Limited, Entrust Wealth Management Pty Ltd and Prodigy Investment Partners Limited. Previously Director of JDV Limited (ASX:JDV) (Stockbroking/Portfolio Management) (formerly Hartleys Limited). A member of the Professional Conduct Tribunal of the Stockbrokers and Financial Advisers Association.

<b>Anne Brown</b>	MDP Member	Non-Executive Director of AirServices Australia, member of Audit & Risk Committee and consultant for the Clean Energy Regulator and Monte Sant' Angelo Mercy College. 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, particularly futures trading and clearing and related infrastructure. Additional background and experience in risk management, governance, compliance and audit. Member of the Institute of Chartered Accountants (Scotland) and Graduate Member of the AICD.
<b>Ian Chambers</b>	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.
<b>Leigh Conder</b>	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.
<b>Jane Lamming</b>	MDP Member	Chief Compliance Officer and General Counsel at Ausbil Investment Management Limited, former Head of Compliance and Director CIMB Corporate Finance (Australia) Ltd and Head of Compliance, Director, Citigroup Pty Limited, with over 15 years' experience in the industry, with a background in law, financial services regulation, compliance and risk management.
<b>Geoffrey Louw</b>	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.
<b>Michael Manford</b>	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.
<b>John Manchee</b>	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.

<b>Russell McKimm</b>	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.
<b>Mark Pugsley</b>	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.
<b>Dan Ritchie</b>	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.
<b>Pete Robson</b>	MDP Member	Former Director, Sales & Trading, Virtu Financial (formally 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.
<b>Lisa Shand</b>	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.
<b>John Steintal</b>	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
<b>Victoria Weekes</b>	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)