From: s 22
To: s 22
Cc: s 22 s 47E (d)
Subject: RE: CAS-94535-S1Q0P5. [SEC=OFFICIAL]
Date: Tuesday, 1 March 2022 12:13:06 PM
Attachments: image001.jpg
image003.jpg

Hi s 22

Thanks for the heads up.

I note he has indicated his intention to lodge a complaint and we will wait for that. I suspect that he will raise the same issues below and we consider this to be something that can be considered as part of the ROM review .
If there is anything different we will reassess.

Yours Sincerely

s 22
Professional Standards Unit | Chief Legal Office | Melbourne
Australian Securities and Investments Commission
Level 7, 120 Collins Street, Melbourne, 3000
s 22

ASIC logo

From: s 22
Sent: Tuesday, 1 March 2022 12:04 PM
To: Professional Standards Unit s 47E (d)
Cc: s 22
Subject: FW: CAS-94535-S1Q0P5. [SEC=OFFICIAL]

Hi all,

s 47E (d), so you may have already seen it.

s 47E (d)

The reporter of misconduct has claimed misconduct by an M&BR analyst (identified). While the assessment will be reviewed EMG thought it would be appropriate to ensure PSU were aware of the claims.

Please let me know if you require any further information from me.

Yours scincerely,

s 22, s 47E (d) [redacted] & Government

Australian Securities and Investments Commission

s 22 [redacted]

ASIC logo

[redacted]

s 22, s 47E (d)

s 22