

## COMMITTEES, ADVISORY PANELS & WORKING GROUPS

Stockbrokers Association of Australia committees, advisory panels and working groups provide the direct link into the industry which ensures the association is focused on issues important to its members.

### BOARD COMMITTEES

There are 6 main Board Committees under the Constitution and Rules of Stockbrokers Association which meet regularly to consider issues of concern in their areas.

<b>Management Committee</b>	<p>Brian Phelps MSAA, Executive Manager- Geared Investments, CommSec            Brent Potts MSAA, Executive Chairman, Southern Cross Equities Limited            Murray McGill MSAA, ED &amp; Head of Individual Managed Accounts, Patersons Securities Ltd            Peter Stepek MESAA, Company Secretary, Stockbrokers Association            Karl Morris MSAA, Executive Chairman, Ord Minnett Ltd            Robert Thomas MSAA, Independent  <b>Chair:</b> David Horsfield MSAA, MD/CEO, Stockbrokers Association</p>
<b>Audit Committee</b>	<p>Karl Morris MSAA, Executive Chairman, Ord Minnett Ltd  <b>Chair:</b> Grahame Pratt MSAA, Co-Head of Markets- Australia, RBS Equities Australia Limited</p>
<b>Retail Broking Committee</b>	<p>Adrian Holst MSAA, MD, F W Holst &amp; Co Pty Ltd            Alexander Burt MSAA, CEO, ASANDAS            Brian Phelps MSAA, Executive Manager- Geared Investments, Commonwealth Securities Ltd            David Horsfield (Observer) MSAA, MD/CEO, Stockbrokers Association            Doug Clark (Observer) MSAA, Policy Executive, Stockbrokers Association            Don Chandler, Queensland State Manager, Ord Minnett Limited            John Morrissy ASAA, Branch Manager – Adelaide, Morgan Stanley Smith Barney Pty Ltd            Clark Morgan, CEO, UBS Wealth Management            Matthew Wigzell MESAA, Director, Head of Retail Equities, Patersons Securities Ltd            Michael Whiting MSAA, Director, Taylor Collison Ltd            Murray McGill MSAA, ED &amp; Head of Individual Managed Accounts, Patersons Securities Ltd            Peter Marfleet MSAA, Dealer's Representative, E.L. &amp; C. Baillieu Stockbroking Ltd            Peter McCarthy MSAA, Senior Investment Adviser, Wilson HTM Ltd            Stewart Adams MESAA, Chief Administrative Officer, Morgan Stanley Barney Pty Ltd            Stuart Sayers, MD, E*Trade Australia Securities Ltd            Susan Antoun, COO, Taylor Collison Ltd  <b>Chair :</b> William Chatterton MSAA, Director- Equities, RBS Morgans Ltd</p>
<b>Institutional Broking Committee</b>	<p>Anthony Smit, COO, Credit Suisse Management (Australia) Pty Ltd            Andrew Norman, Head of Equities, Nomura Australia Limited            Barry Parker, MSAA, Managing Director, ABN AMRO Clearing Sydney            David Horsfield MSAA, (Observer) MD/CEO, Stockbrokers Association            Scott Webster MSAA, CEO - Equities, UBS Securities Australia Ltd            Matt Unsworth, MD- Head of Australian Equities, Merrill Lynch Australia Pty Ltd            Luke Randell, MD - Head of Australian and New Zealand Equities, Citi Markets &amp; Banking Pty Ltd            Matt Milsom MSAA, Head of GME Trading- MD, Deutsche Securities Australia Ltd            William Findlay MSAA, Vice President, Head of Sales Trading, JPMorgan Securities Australia Ltd            Warren Davis Executive Director, JP Morgan Securities Australia Limited  <b>Chair:</b> Grahame Pratt MSAA, Co-Head of Markets - Australia, RBS Equities Australia Ltd</p>

<b>Profession Committee</b>	<p>Adam Bold MESAA, Director - Operational Compliance, Westpac Securities Ltd          Andrew Fleming MSAA, Executive Shareholder, Wilson HTM Ltd          David Coates MSAA, National Training &amp; Education Manager, SHAW Stockbroking Ltd          David Horsfield (Observer) MSAA, MD/CEO, Stockbrokers Association          Gillian Gilmore (Observer) MESAA, Education &amp; Professional Development Consultant, SAA          Ian Parker MSAA, Director, Hartleys Ltd          Cilla Boreham MSAA, Executive Director &amp; Senior Counsel, Goldman Sachs JBWere Pty Ltd          Brian Phelps MSAA, Executive Manager Geared Investments, CommSec          Ronald Hay FSAA, Chairman E.L. &amp; C. Baillieu Stockbroking Ltd  <b>Chair:</b> Brad Usasz MSAA, Divisional Director, Wilson HTM Ltd</p>
<b>Nominations Committee</b>	<p>David Horsfield MSAA, MD/CEO, Stockbrokers Association  <b>Chair :</b> Robert Thomas MSAA, Independent</p>

## SUB-COMMITTEES

<b>Retail Compliance Sub-Committee</b>	<p>Grant Henderson, GM Risk &amp; Compliance, ANZIEX Ltd          Yiota Lambrou MSAA, Compliance Manager, ASANDAS          Laurence Hallion MESAA, Manager Finance &amp; Administration, Baker Young Stockbrokers Ltd (Adelaide)          Malcolm Mowat, Group Counsel/Manager Compliance, Baker Young Stockbrokers Ltd (Adelaide)          Lynda Dowling, Compliance Manager, BBY Ltd          Carol Simpson MESAA, Head of Compliance, Bell Potter Securities Ltd          Donna Brennand ASAA, Director, Brennand Hepburn Brown Pty Ltd          Robert Urwin MSAA, Group Risk Manager, Bridges Financial Services Pty Ltd          Josephine Walter, Consultant, Independent          Charmaine Byrne, Vice President, Credit Suisse Management (Australia) Pty Ltd.          Theo Vosnidis ASAA, Head of Risk, E*TRADE Australia Securities Ltd          Walter de Gregorio MSAA, Director Operations, E.L. &amp; C. Baillieu Stockbroking Ltd          Melissa Nolan, Compliance Manager, E.L. &amp; C. Baillieu Stockbroking Ltd          Natalie Tiller, Investment Services Co-Ordinator, Evans &amp; Partners Pty Ltd          Markus Wills MSAA, Compliance Manager, F W Holst &amp; Co Pty Ltd          Paul Clarke MSAA, Director &amp; GM - Compliance &amp; Transactional Services, ANZIEX Ltd          Cilla Boreham MSAA, Executive Director &amp; Senior Counsel, JBWere Pty Ltd          Katrina Hillman, Executive Director- PWM Compliance, JBWere Pty Ltd          Trevor Lands FSAA, MD, Independent          Craig Semmens MESAA, Compliance &amp; Operations Manager, Lonsec Ltd          David Wylie MSAA, Senior Stockbroking Sale, Lonsec Ltd          Jody Taylor MSAA, Risk &amp; Compliance, Independent          Connie Georgiades, Advisor, Morgan Stanley Smith Barney Australia Pty Ltd          John Morrissy ASAA, Branch Manager- Adelaide, Morgan Stanley Smith Barney Australia Pty Ltd          Greg Bowrey ASAA, Head of Risk &amp; Compliance- Wealth Hub, National OnLine Trading Ltd          Gary Deegan, Head of Compliance, Ord Minnett Ltd          Gabrielle Bouffler, Consultant, Patersons Securities Ltd          Jennet Butler MESAA, Head of Compliance &amp; Legal, RBS Morgans          Doug Clark MSAA, Policy Executive, SAA          David Horsfield MSAA, MD &amp; CEO, SAA          Scott Clayton, Director, Securities &amp; Futures Compliance Services          Andrew Campbell, Compliance Manager, Shadforths Ltd          Simon Gray, Head of Legal and Compliance, SHAW Stockbroking Ltd          Michelle Huckel, Consultant, SHAW Stockbroking Ltd          Lance Suntup, Head of Compliance, Stonebridge Group</p>
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	<p>Susan Antoun, COO, Taylor Collison Ltd Annette Spencer, ED, Head of Legal, UBS Securities Australia Ltd Lisa Norton, Director, Head of Legal and Compliance, UBS Wealth Management Australia Ltd Robert Shears, Compliance Adviser, Wilson HTM Ltd Antoinette Tyszkiewicz, Compliance Officer, Wilson HTM Ltd Sheridan Thompson, MSAA Head of Product Development, Commonwealth Securities Ltd Melinda Toomey, Senior Lawyer – eTrade, E*TRADE Australia Securities Ltd Ian Davey MESAA, Associate Director, Burrell Stockbroking Ltd David Nichols, Compliance Executive, Commonwealth Bank Ltd Erik Haggstrom, Head of Compliance, Morgan Stanley Smith Barney Ltd Hari Morfis, Legal &amp; Compliance, UBS Wealth Management Ltd Lisa Haertsch, Markets Senior Compliance, Morgan Stanley Smith Barney Ltd Jon Taylor, Senior Compliance Officer, Wilson HTM Limited Jenny Whybrow, Senior Legal Counsel, National Online Trading Limited Margaret Battisson, Compliance Manager, Lodge Partners</p>
<p><b>Institutional Compliance Sub-Committee</b></p>	<p>Keith Birch, Group Head of Compliance, Goldman Sachs JBWere Pty Ltd Ann-Marie Bull, Head of Equities Compliance, UBS AG Ruth Clyne, Head of PBS Compliance, Commonwealth Securities Ltd James Davies, Vice President - Corporate Bank &amp; GTS Compliance, Citigroup Global Markets NZ Ltd Anastasia Economou, Director Compliance, Credit Suisse Management (Australia) Pty Ltd Matthew Grace, Legal and Compliance, Morgan Stanley Australia Ltd Guy Hedley, Head of Securities Compliance, Goldman Sachs JBWere Pty Ltd James Indge MSAA, Equities Business Manager, Merrill Lynch Equities (Australia) Pty Ltd Rachel McHale, Associate Director, UBS Securities Australia Ltd Lee Newton, Head of Equities Compliance, Deutsche Securities Australia Ltd Karen Peel, Executive Manager Compliance, Commonwealth Securities Ltd Campbell Smith, Executive Manager, PBS Compliance, Commonwealth Securities Ltd Peter Stepek MESAA (observer), Policy Executive Stockbrokers Association Paul Szalajko, Head of Australian Compliance, Morgan Stanley Australia Ltd Jackie Tranter, Head of Compliance- Sydney, RBC Securities Australia Pty Ltd Maria Ugov, Compliance, Commonwealth Bank of Australia Theo Vosnidis ASAA, Head of Risk, E*TRADE Australia Securities Ltd James Walker, Head of Equities and Compliance, Citi Markets &amp; Banking Pty Ltd Joy Wooden, General Counsel, Fortis Clearing Sydney Pty Ltd David Yap, Securities Division Compliance, Goldman Sachs JBWere Pty Ltd</p>
<p><b>Derivatives Sub-Committee</b></p>	<p>David Dwyer, Client Advisor, Austock Securities David Stocken, Manager, Trading &amp; Markets Access- Equity Markets, Australian Securities Exchange Peter Tardent, MSAA, Head of International &amp; Derivative Markets, Commonwealth Securities Ltd Steven Hall, Managing Director- Equity Derivatives, Credit Suisse Management (Australia) Pty Ltd Susanna Yih, Derivatives Trader, Merrill Lynch Equities (Australia) Pty Ltd Gavin Dughan, Trader, Vice President- Derivatives, Susquehanna Australia Pty Ltd Mladen Djuric, Derivatives Dealer, IMC Pacific John Healy MSAA, Branch Manager, E.L. &amp; C. Baillieu Stockbroking Ltd Jason Ryan, Director- GELP Trading, Merrill Lynch Equities (Australia) Pty Ltd Paul Hilgers MSAA, Director -Market Structure Asia Pacific, Optiver Australia Pty Ltd David Horsfield MSAA (observer), MD &amp; CEO, Stockbrokers Association Peter Stepek MESAA (observer), Policy Executive, Stockbrokers Association Samantha Watson (observer), Commonwealth Securities Ltd Trent Stewart, Equity Derivatives, Goldman Sachs JB Were Pty Ltd <b>Chair:</b> Stuart Murray, Director- Equity Derivatives Sales, Deutsche Securities Australia Ltd</p>



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[www.stockbrokers.org.au](http://www.stockbrokers.org.au)

## ADVISORY PANELS

Advisory Panels are specialist groups comprising nominees of Principal Members in particular areas. Advisory Panels provide specialist technical advice to Association and give a broad range of industry practitioners an opportunity to contribute to industry issues. As with all the Committees, Panel members also benefit from networking, dissemination and sharing of information with their peers relevant to their areas.

<b>Margin Lending Advisory Panel</b>	Andrew Hosking, Manager- Securities & Documentation, Adelaide Equity Finance Timothy Hogben, General Manager- Market Operations, Australian Securities Exchange Rowan Fell, Director- Investment Services, Bell Potter Securities Limited Fiona Bilton, Business Manager, Berndale Securities Ltd Nick Oliver, Products Manager, BT Financial Group Nikki Swinson, Risk Management Officer, Morgan Stanley Smith Barney Brian Phelps, Executive Manager- Geared Investments, Commonwealth Securities Melissa Mallinson, Client Services, Leveraged Equities Michelle Pearce, Team Leader- Corporate Actions & Sponsorship, NAB Margin Lending Liam Aymler, Head of Operations, St George Margin Lending Lance Suntup, Head of Compliance, Stonebridge Group David Horsfield MSAA (observer), Stockbrokers Association Doug Clark MSAA (observer), Stockbrokers Association Brian Phelps MSAA, CommSec Margin Lending Kim Pearson, Leveraged Equities <b>Chair: Bronwyn Snee MSAA, ANZ Margin Lending</b>
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## WORKING GROUPS

Working Groups are established from time to time as significant issues arise to consider them in detail and recommend appropriate action, make submissions to regulators, etc. Working Groups have been assembled to consider the following issues:

<b>Professional Program Working Group</b>	David Coates MSAA, National Training & Education Manager, Shaw Stockbroking Trevor Lands FSAA, Independent Jody Taylor MSAA, Risk & Compliance, Independent Carol Simpson MSAA, Head of Compliance, Bell Potter Securities Gillian Gilmore MESAA, (observer), Education & Professional Development Consultant, Stockbrokers Association David Horsfield MSAA (observer), MD & CEO, Stockbrokers Association
<b>AML/CTF Working Group</b>	Yiota Lambrou MSAA, Compliance Manager, ASANDAS Carol Simpson MESAA, Head of Compliance, Bell Potter Securities Ltd David Hunt, MSAA, Senior Compliance Manager, CLSA Limited Robert Urwin MSAA, Group Risk Manager, Bridges Financial Services Pty Ltd Richard Gittins, Compliance/AML Officer, Citi Markets & Banking Pty Ltd Scott Williamson, Regional head of AML, Asia Pacific, Deutsche Bank AG Theo Vosnidis ASAA, Head of Risk, E*TRADE Australia Securities Ltd Katrina Hillman, ED- PWM Compliance, Goldman Sachs JBWere Pty Ltd Alice Hurley, AML/CTF, Goldman Sachs JBWere Pty Ltd Craig Semmens MESAA, Compliance & Operations Manager, Lonsec Ltd Claudine LeBreton, Senior Compliance Manager, Macquarie Securities Group, Lauren Toner, Compliance/AML Analyst, Morgan Stanley Smith Barney Australia Pty Ltd

David Hunt, Senior Compliance Manager, CLSA Australia Limited  
Gary Deegan, Head of Compliance, Ord Minnett Ltd  
Grant Brown, Compliance Officer - Internal Audit, RBS Morgans  
Richard Plews, Compliance Officer, RBS Morgans  
Melissa Nolan, Compliance Manager, E.L& C Baillieu Stockbroking Ltd  
Markus Wills, Compliance Manager, F.W Holst & Co Pty Ltd  
Susan Antoun, Chief Operations Officer, Taylor Collison Ltd  
Sheridan Thompson, Head of Product Development, Commonwealth Securities  
Steve Sharpe, Country AML Officer, Australia & NZ, Deutsche Securities Australia Ltd  
Peter Stepek MESAA (observer), Policy Executive, Stockbrokers Association  
Jill Thompson (observer), Policy Executive, Stockbrokers Association