

Committee	Parliamentary Joint Committee on Corporations and Financial Services
Inquiry	Oversight of ASIC, the Takeovers Panel and the Corporations Legislation
Question No.	025
Торіс	Authorised Representatives of PricewaterhouseCoopers Securities Ltd
Reference	Spoken, 27 June 2023
Committee member	Senator O'Neill

## Question

Ms Court: Certainly for the period that we are concerned about, yes. Just for completeness, Mr Collins was an authorised representative of the Australian financial services licence holder PricewaterhouseCoopers Securities Ltd between 1 March 2004 and 14 July 2006 and then again from 9 December 2013 through to 6 October 2022.

CHAIR: What does it mean to be a representative of an Australian financial services licensee?

Ms Court: That would authorise, as I understand it, Mr Collins to provide financial services under, if you like, or with the authority of the Australian financial services licence held by the PwC entity.

CHAIR: So the ultimate responsible entity is PwC Securities-

Ms Court: Ltd.

CHAIR: Ltd?

Ms Court: Yes. Not the PwC partnership per se, but this particular corporate entity, which is the licence holder.

CHAIR: And who are the individuals involved with PricewaterhouseCoopers Securities Ltd? Ms Court: Well, there would presumably be one or more directors of that company.

CHAIR: Do you know who they are?

Ms Court: I'm sure I can find it for you very promptly.

CHAIR: I'm sure somebody must have this information. Mr Day has given me a false signal. I thought he was emerging to save the day.

Ms Court: In addition to the director or directors of PwC Securities Ltd, the other individuals involved in that, Senator, are any other individual authorised representatives in a similar position to that of Mr Collins. So under the licence there can be a number of authorised representatives that sit beneath the licence.

CHAIR: Can you locate before we leave here today the details of who the licensee is and who the authorised representatives are? How many of them are there? What are their names?

Ms Court: I can. I can tell you that there are 161 authorised representatives of that particular AFSL licence. I need to be clear that there is no suggestion that any or all of those authorised representatives were involved in the conduct that we have been discussing. We are continuing to liaise with the Tax Practitioners Board about that issue. We have Mr Collins in one set of circumstances. At the moment, we've got a list of all the names, as I understand it, of all the authorised representatives of that particular licence. We have information about the particular individuals that the Tax Practitioners Board has identified as potentially involved—I don't put it any higher than that—in the circumstances of concern we have been talking about, which is the breach of confidence. ASIC needs to look at the extent to which there is overlap between those people who



may have been involved in the Tax Practitioners Board conduct and the extent to which those people are authorised representatives of the PwC company that holds the Australian financial services licence. Just to be clear, Senator, do you want ASIC to provide you with a list of the 161 people who are authorised representatives under that licence?

## Answer

Please find attached the ASIC search extract provided during the hearing on Tuesday 27 June.

This search of ASIC's publicly available information shows the current authorised representatives of PricewaterhouseCoopers Securities Limited and past authorised representatives of that entity.

The extract includes 157 current authorised representatives as at 27 June 2023, and the remainder are ceased.

As this is a point in time search of the register, this number is subject to frequent changes. The difference between the 161 authorised representatives of PricewaterhouseCoopers Securities Limited stated in Deputy Chair Sarah Court's comments during the hearing and the number of current authorised representatives listed in the ASIC search extract reflects the number of authorised representatives at the time of each search.

**Q** Search

#### Oataset Information

Permissions Excl. Business Names: (3 Results)	

### Business Names: (3 Results)

Business Name	Reg Licence No	Status	Status Reason Start Date Start Form Code	End Date End	Form Code Source
CARBON COMMERCE	93883820	Deregistered	24/07/2000	8/10/2003	Sitbel
CARBON CONNECT	93883357	Deregistered	24/07/2000	24/07/2003	Siebel
CO2E	94081624	Deregistered	9/08/2000	20/10/2003	Siebel

### Roles Granted (535 Results)

Displaying the summary of record count Show All

Role	Granted To	ID Number Org Status	Start Date Start Form Code End Date	End Form Code Source
Appointed Auditor	3 Records Found			ASCOT
Authorised Representative	PRICEWATERHOUSECOOPERS CONSULTING (AUSTRALIA) PTY LIMITED	607773295	14/12/2022	SIEBEL
	PRICEWATERHOUSECOOPERS ACTUARIAL PTY LIMITED	003562696	1/03/2004	SIEBEL
	Malcolm Thomas Reid	1-54179044462	13/04/2023	SIEBEL
	Oluwafunminiyi Taiwo Oduko	1-54050536907	4/04/2023	SIEBEL
	Subashni Evelyn Moodley	1-53830220954	20/03/2023	SIEBEL
	Darryl Norville	1-53482979419	23/02/2023	SIEBEL
	Cassandra Fung	1-53332928460	13/02/2023	SIEBEL
	Emmanuel Marle Joseph Rene LE BERTRE	1-53257675781	7/02/2023	SIEBEL
	Emmanuel Mekas	1-49505394818	31/01/2023	SIEBEL
	Thomas Luke Wilson	1-53043281435	24/01/2023	SIEBEL
	Kathryn Parkinson	1-52985152612	24/01/2023	SIEBEL
	Roshan Damian Harrison Emmanuel	1-53044434061	24/01/2023	SIEBEL
	Nawaz Isaji	1-53047084666	24/01/2023	SIEBEL
	Lindel Helene Lombe	1-53045341063	24/01/2023	SIEBEL
	Michael-John Josiah Lane	1-52982104008	20/01/2023	SIEBEL
	Campbeli Toorn Jaski	1-51476449020	18/10/2022	SIEBEL
	Matthew William Wright	1-51233836494	27/09/2022	SIEBEL
	Sally Woodward	1-51054349426	13/09/2022	SIEBEL
	WAYNE ANTHONY HUF	26675766	25/08/2022	SIEBEL

<b>Q</b> Search	PRICEWATERH	<b>IOUSECOOPERS SECURITIES</b>	S LTD		
Authorised Representative	Daniel James Bessell	1-50279014245	1/08/2022		SIEBEL
	Sin Yin Long	1-50073729858	21/07/2022		SIEBEL
	Samuel Jones	1-49815063543	7/07/2022	• *	SIEBEL
	Cameron Mckenna	1-49815063429	7/07/2022		SIEBEL
	Allan Yi-Pan Chen	1-49815063491	7/07/2022		SIEBEL
	Georgina Box	1-49815063595	7/07/2022		SIEBEL
	Belinda Louis	1-49754519671	4/07/2022		SIEBEL
	Grant Brown	1-48965564868	19/05/2022		SIEBEL
	Jacqueline Sally Tulloch	1-48911747718	16/05/2022		SIEBEL
	LIAM JAMES COLLINS	25115737	16/05/2022		SIEBEL
	Fiona Kate McIntyre	1-48640757024	28/04/2022		SIEBEL
	KIM CHALLENOR	22033539	11/04/2022		SIEBEL
	Erica Birchall	1-28739539219	4/04/2022		SIEBEL
	Karl Simon Mackenzie	1-48093612555	25/03/2022		SIEBEL
	Farouk Dahbourah	1-47082629327	15/03/2022		SIEBEL
	Thomas Sorrell	1-47727020573	2/03/2022		SIEBEL
	Rebecca Smith	1-47494921029	14/02/2022		SIEBEL
	Andrew Charles Pryde	1-47493496869	14/02/2022		SIEBEL
	Siobhan Syrrou	1-44262215462	18/01/2022		SIEBEL
	Meredith May Beatton	1-46398442175	3/12/2021		SIEBEL
	Alexander James Walker	1-46398620698	3/12/2021		SIEBEL
	Michael Thomas Parris	1-46044721244	10/11/2021		SIEBEL
	Bianca Robinson	1-45719556019	20/10/2021		SIEBEL
	Jason Michael Perry	1-45594995206	12/10/2021		SIEBEL
	Patricia Josephine Carney	1-45465993268	1/10/2021		SIEBEL
	James Lee	1-45496695715	30/09/2021		SIEBEL
	Glenn O'Connell	1-45222325823	16/09/2021		SIEBEL
	Elizabeth Fritts	1-45222325876	16/09/2021		SIEBEL
	Charles Pickett	1-45074687759	6/09/2021		SIEBEL
	Scott Wilson	1-45000333023	27/08/2021		SIEBEL
	Andrew Atherton	1-44712708249	12/08/2021		SIEBEL
	Kushal Chadha	1-21978173219	10/08/2021		. SIEBEL
	Troy Nicholas Rosenils	1-44502404366	29/07/2021		SIEBEL
	Arash Azimi	1-44502404304	29/07/2021		SIEBEL
	Danny Charles Touma	1-44162769841	6/07/2021		SIEBEL
	Alan Herrman	1-39246270942	30/04/2021		SIEBEL
	WILLIAM PAUL ROSS MESTON	ASC019322629	23/04/2021		SIEBEL
	David Ian Ronald	1-42988081326	15/04/2021		SIEBEL
	John Haughton	1-42909357263	9/04/2021		SIEBEL
	David Byrne	1-42909357315	9/04/2021		SIEBEL
	Russell Dean Sinclair	1-42909357211	9/04/2021		SIEBEL
	Benjamin Liam Pearce	1-42318212343	26/02/2021		SIEBEL
	Jeremy David Bransgrove	1-41803347612	21/01/2021		SIEBEL
	Matthew Garry David Osmond	1-41712032580	15/01/2021		SIEBEL

Authorised Representative

PRICEWATERHOUSECOOPE	RS SECURITIES LTD		
Naomi Ryan	1-41358993292	8/12/2020	SIEBEL
Nathan Bonarius	1-41297187946	6/12/2020	SIEBEL
Katherine Anne Barnett	1-41156107226	4/12/2020	SIEBEL
JONATHON CHARLES MOSS	ASC030221799	9/11/2020	SIEBEL
JONATHAN R MALONE	ASC019423516	30/09/2020	SIEBEL.
Ross Follone	1-39827089272	2/09/2020	SIEBEL
Sanjiv Jeraj	1-39624771308	9/08/2020	SIEBEL
Thuthuka Manasa	1-39624771379	9/08/2020	SIEBEL
Laura Purbrick	1-38845176341	1/06/2020	SIEBEL
Christopher Bartlett	1-38016582815	25/03/2020	SIEBEL
Megan Fitzgerald	1-37771452226	2/03/2020	SIEBEL
Helen Bathurst	1-37771212696	2/03/2020	SIEBEL
Andrew Barnford	1-37377317250	30/01/2020	SIEBEL
Meredith Chester	1-36708334007	4/12/2019	SIEBEL
lain Yuile	1-36089231012	3/11/2019	SIEBEL
STEPHEN LONGLEY	21094211	4/09/2019	SIEBEL
Christopher Bingemann	1-33523106344	5/05/2019	SIEBEL
Vaughan Michael Lindfield	1-32029683694	23/01/2019	SIEBEL
KATE JULIUS	23453801	0/12/2018	SIEBEL
James Hocking	1-30722519208	9/10/2018	SIEBEL
Konstatinon Kangelaris	1-30577723029	25/09/2018	SIEBEL
Lachlan Haynes	1-29443111200	9/06/2018	SIEBEL
Adam Graham	1-29442315047	9/06/2018	SIEBEL
Darren Jenns	1-29442444881	9/06/2018	SIEBEL
Masha Lewis	1-29442681973	9/06/2018	SIEBEL
Naresh Anthony Subramaniam	1-29079335231	22/05/2018	SIEBEL
Andrew Livitsanos	1-28739481871	26/04/2018	SIEBEL
Abhishek Aggarwal	1-27709094287	80/01/2018	SIEBEL
Adam Pascoe	1-26676588036	2/11/2017	SIEBEL
Trinh Hua	1-26163226022	15/09/2017	SIEBEL
John Brett Duell	1-26054342835	6/09/2017	SIEBEL
Bernadette Min Hwee Ong	1-26055400087	6/09/2017	SIEBEL
John Ratnasabapathy	1-25575030922	27/07/2017	SIEBEL
Christopher John Morris	1-24150053060	29/03/2017	SIEBEL
Michael Mun Cheun Fung	1-23796082891	27/02/2017	SIEBEL
Chelsie Harris	1-23235802379	19/01/2017	SIEBEL
James Yuri Puchlenko	1-22711106560	14/11/2016	SIEBEL
Julian Duncan Myers	1-22744132561	8/11/2016	SIEBEL
Samuel John Hinchliffe	1-7433613850	9/09/2016	SIEBEL
David John Earl	1-7433274040	28/07/2016	SIEBEL
Luke John Bugden	1-21242123713	2/06/2016	SIEBEL
Nicholas Gregory James	1-7433695890	26/05/2016	SIEBEL
Peter Hague	1-20867304658	6/05/2016	SIEBEL
Marcus Phillips	1-20867304730	6/05/2016	SIEBEL

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## Authorised Representative

# PRICEWATERHOUSECOOPERS SECURITIES LTD

Niall Ruari McConnell	1-19431166378	28/01/2016	SIEBEL
lain Tan	1-19132239841	7/01/2016	SIEBEL
Paul Raymond Lewis	1-17896610137	12/10/2015	SIEBEL
Mathew Budge	1-17285684294	1/09/2015	SIEBEL
MARK GREIG DOW	ASC018383034	24/08/2015	SIEBEL
Lisa Foster	1-16974106394	12/08/2015	SIEBEL
Derrick Craig Vickers	1-16850115287	29/07/2015	SIEBEL
SUMANTH PRAKASH	ASC030327466	6/02/2015	SIEBEL
AJAY RAWAL	ASC030327464	6/02/2015	SIEBEL
ANDREW JOSEPH CRONIN	ASC030327462	6/02/2015	SIEBEL
MICHAEL ANTHONY BONA	ASC030327463	6/02/2015	SIEBEL
PAUL TASKER	ASC030145952	12/09/2014	SIEBEL
PAUL BRUNNER	ASC030104193	14/08/2014	SIEBEL
GORDON FORREST THOMSON	ASC030104194	14/08/2014	SIEBEL
STEVEN JOHN BOSILJEVAC	ASC030019151	19/06/2014	SIEBEL
KIRSTEN ARBLASTER	ASC030007258	12/06/2014	SIEBEL
MARK EDMONDS	ASC019501130	2/06/2014	SIEBEL
RENDLE JAMES O'CONNELL	ASC019501129	2/06/2014	SIEBEL
HANSJOERG KNIELING	ASC019456912	30/04/2014	SIEBEL
ROBERT KENNETH BENTLEY	ASC019397810	17/03/2014	SIEBEL
JOSHUA CHARLES CARDWELL	ASC019397811	17/03/2014	SIEBEL
SEAN RUGERS	ASC019304793	20/12/2013	SIEBEL
CHRISTOPHER JOHN MCLEAN	ASC019304192	19/12/2013	SIEBEL
DANIEL HAIM MARK ROSENBERG	ASC019291546	9/12/2013	SIEBEL
JASON KARAMETOS	ASC019277237	29/11/2013	SIEBEL
STEPHEN RAYMOND FORD	ASC019277236	29/11/2013	SIEBEL
WAYNE STEPHEN PLUMMER	ASC019266065	21/11/2013	SIEBEL
JONATHAN PAUL ROBERTS	ASC019226922	22/10/2013	SIEBEL
IAN BENNETT	ASC018995124	1/05/2013	SIEBEL
MATTHEW STEPHEN MILLAR	ASC018916031	21/02/2013	SIEBEL
BRIAN JOSEPH MULLOCK	ASC018731212	13/09/2012	SIEBEL
ROBERT GEORGE SILVERWOOD	ASC018541615	20/04/2012	SIEBEL
DALE JOHN MORONEY	ASC018472803	23/02/2012	SIEBEL
ANDREW WELSH	ASC018030538	31/01/2011	SIEBEL
PAUL JOHN HENNESSY	ASC017843493	3/08/2010	SIEBEL
DARREN MICHAEL CARTON	ASC017625706	15/02/2010	SIEBEL
ANDREW MICHAEL WEEDEN	ASC017076547	31/07/2008	SIEBEL
ANDREW CLOKE	ASC017063293	15/07/2008	SIEBEL
STUART STRICKLAND GODDARD	ASC016857838	22/10/2007	SIEBEL
JONATHAN MARK GRIFFITHS	ASC016522940	17/08/2007	SIEBEL
TROY ANDREW PORTER	ASC016088263	24/06/2005	SIEBEL
CLARA ANGELA CUTAJAR	ASC016088262	24/06/2005	SIEBEL
CHRISTOPHER DOMINIC WILLIAMS	ASC016077164	16/06/2005	SIEBEL
GEORGE SAGONAS	ASC015626986	1/03/2004	SIEBEL

		,			
Q Search	PRICEWATER	RHOUSECOOPERS SECURITIES	S LTD		
Authorised Representative	WILHELMUS MARIUS BLOM	ASC015349271	1/03/2004		SIEBEL
	NIGEL ANTHONY SMYTHE	ASC010739265	1/03/2004		SIEBEL
	RICHARD JOHN STEWART	ASC014302350	1/03/2004		SIEBEL
	MARK OWEN O'REILLY	ASC014973156	1/03/2004		SIEBEL
	SEAN MICHAEL GREGORY	ASC015347169	1/03/2004		SIEBEL
	GLEN JAMES HADLOW	- ASC014307561	1/03/2004		SIEBEL
	BRUCE ROY CARLSTEIN	ASC013629808	1/03/2004		SIEBEL
	PAUL WILLIAM LINDSTROM	ASC015614018	1/03/2004		SIEBEL
	Suzannah Blinman	1-49927077856	13/07/2022	31/05/2023	SIEBEL
	Adrian Garrick Box	1-47494341221	14/02/2022	14/03/2023	SIEBEL
	Bryony Murray Binns	1-44365197590	20/07/2021	17/02/2023	SIEBEL
	LISA JANE HARKER	ASC015187295	20/07/2021	14/03/2023	SIEBEL
	Luke Andrew McCann	1-40738736000	5/11/2020	4/07/2022	SIEBEL
	Dragan Misic	1-22469329699	1/10/2020	3/06/2021	SIEBEL
	Alan Herrman	1-39246270942	16/07/2020	1/03/2021	SIEBEL
	Ben Campbell	1-39048053580	29/06/2020	30/04/2021	SIEBEL
	Ellen Thomas	1-9068755503	9/10/2019	26/04/2022	SIEBEL
	Sarah Stevens	1-34526413656	24/07/2019	17/12/2021	SIEBEL
	Anthony Wayne Brittain	1-33522899739	15/05/2019	26/04/2022	SIEBEL
	Christopher Paxton	1-32426802854	20/02/2019	19/02/2021	SIEBEL
	Eliza Penny	1-31326123810	28/11/2018	24/09/2020	SIEBEL
	Fiona Lowes	1-31435392432	30/10/2018	6/10/2022	SIEBEL
	Fiona Lowes	1~30953180071	30/10/2018	31/10/2018	SIEBEL
	Aleks Petkovic	1-30007861276	7/08/2018	17/12/2021	SIEBEL
	lan Fionda	1-29943902645	2/08/2018	4/12/2019	SIEBEL
	Dale Sanftl	1-29944177442	2/08/2018	14/10/2020	SIEBEL
	Fiona Holyoake	1-29443011770	19/06/2018	14/03/2023	SIEBEL
	Stuart Landsberg	1-28573960324	12/04/2018	19/12/2019	SIEBEL
	Craig Stafford	1-26477331853	13/10/2017	29/05/2020	SIEBEL
	Darren Ross	1-25575366703	27/07/2017	29/05/2020	SIEBEL
	Sumit Parikh	1-23775346529	27/02/2017	3/06/2021	SIEBEL
	TIMOTHY ANDREW LEE	ASC014988027	27/02/2017	4/06/2020	SIEBEL
	Gregory Michael Quinn	1-23528735019	27/02/2017	1/07/2022	SIEBEL
	Benjamin James Craw	1-23368041599	13/02/2017	2/10/2019	SIEBEL
	Christopher Harold Lowe	1-23450049486	24/01/2017	8/08/2019	SIEBEL
	Trevor Johnston	1-23300467728	16/01/2017	16/08/2022	SIEBEL
	Naree Leanne Brooks	1-13230490268	8/11/2016	12/06/2019	SIEBEL
	MURRAY EVANS	22960999	10/08/2016	12/06/2019	SIEBEL
	Carl Alexander Valentine	1-12875884446	10/08/2016	28/02/2017	SIEBEL
	Jade Alyce Dixon	1-22173735181	8/08/2016	15/06/2023	SIEBEL
	Malcolm Stuart Colderick	1-22173735231	8/08/2016	10/12/2018	SIEBEL
	MATTHEW STEVEN GURNER	1-4543461753	25/07/2016	12/06/2019	SIEBEL
	- Darren William Catterson	1-21905501732	19/07/2016	20/08/2021	SIEBEL
	Darren Black	1-21541354545	24/06/2016	28/05/2020	SIEBEL

Search	PRICEWATERHO	DUSECOOPERS SECURITIE	S LTD		
rised Representative	ALISON TAIT	21581348	23/03/2016	15/08/2017	SIEBEL
	David Campbell St. John	1-19383705610	25/01/2016	19/08/2022	SIEBEL
	VANESSA CROSLAND	27268868	12/10/2015	18/08/2022	SIEBEL
	John Alexander Dovaston	1-16865963318	7/08/2015	16/02/2021	SIEBEL
	Andrew James Ettridge	1-16575417509	20/07/2015	16/02/2016	SIEBEL
	Stuart Glen Morley	1-16362715882	6/07/2015	30/06/2022	SIEBEL
	Kathryn Guinivere Warwick	1-15464840396	8/05/2015	31/12/2016	SIEBEL
	PETER DUNN	23150792	9/03/2015	26/06/2019	SIEBEL
	SHANNON TRENT MAHER	ASC030327467	6/02/2015	14/08/2019	SIEBEL
	JONATHON CHARLES MOSS	ASC030221799	6/11/2014	30/09/2020	SIEBEL
	PAUL SHEPHERD	ASC030135382	3/09/2014	30/08/2019	SIEBEL
	STEPHEN LOWEN JACKMAN	ASC030135381	3/09/2014	12/04/2018	SIEBEL
	REGINA FRANCES FIKKERS	ASC030104192	14/08/2014	24/09/2020	SIEBEL
	DAVID BRUCE IRELAND	ASC016130721	7/08/2014	23/10/2019	SIEBEL
	ALEX MAYCOCK	ASC030078671	24/07/2014	31/07/2020	SIEBEL
	RONEN VEXLER	ASC030078670	24/07/2014	15/08/2017	SIEBEL
	SHIKHA BAJPAI	ASC019456913	30/04/2014	28/04/2015	SIEBEL
	DAVID PAUL MERRYWEATHER	ASC019456911	30/04/2014	13/09/2016	SIEBEL
	WAYNE HUF	ASC019403001	18/03/2014	15/08/2017	SIEBEL
	JONATHAN R MALONE	ASC019423516	17/03/2014	24/09/2020	SIEBEL
	LISA JANE HARKER	ASC015187295	12/03/2014	15/08/2017	SIEBEL
	MATTHEW SANTORO	ASC019370725	24/02/2014	15/06/2023	SIEBEL
	SUSAN GAI HORLIN	ASC019360322	14/02/2014	15/07/2016	SIEBEL
	JAMES STRONG	ASC019349185	4/02/2014	7/09/2017	SIEBEL
	STEPHEN JAMES BOURKE	ASC019341423	3/02/2014	15/07/2016	SIEBEL
	KRISTIN STUBBINS	ASC019322628	16/01/2014	16/02/2021	SIEBEL
	WILLIAM PAUL ROSS MESTON	ASC019322629	16/01/2014	24/09/2020	SIEBEL
	JUSTINE RICHARDSON	ASC019304193	19/12/2013	29/07/2016	SIEBEL
	EDDY MOUSSA	ASC019291544	9/12/2013	29/07/2016	SIEBEL
	PETER JOHN COLLINS	ASC015062360	9/12/2013	6/10/2022	SIEBEL
	DEREK GRAHAM IVERS	ASC019291547	9/12/2013	21/05/2015	SIEBEL
	JAN RICHARD MAJLINDER	ASC019277238	29/11/2013	10/12/2015	SIEBEL
	GAVIN JOHN MARJORAM	ASC019240237	31/10/2013	24/08/2016	
	PAUL WILLIAM EDWARD HINDLE	ASC019175076	10/09/2013	28/05/2020	SIEBEL
	STUART ALEXANDER SCOULAR	ASC019161508	30/08/2013	14/04/2014	SIEBEL
	ROBERT ALEXANDER SPEEDIE	ASC019108072	18/07/2013	28/02/2019	SIEBEL
	JANE LOUISE REILLY	ASC019026564	24/05/2013	29/07/2016	SIEBEL
	PETER LLOYD BUCHHOLZ	ASC019026563	24/05/2013	18/12/2014	
	IAIN WALTER MORRIS	ASC018936257	13/03/2013	6/05/2014	SIEBEL
	JOHN GEORGE TOMAC	ASC018815408	21/12/2012	30/08/2018	SIEBEL
	CHRISTOPHER JAMES DODD	ASC018798859	9/11/2012	14/07/2016	SIEBEL
	COLIN JACK HEATH	ASC018796132	7/11/2012		SIEBEL
	MICHAEL JOHN CODLING	ASC018796132	24/10/2012	16/02/2021	SIEBEL
		ABC010700411	24/10/2012	1/08/2019	SIEBEL

Search	PRICEWATERH	OUSECOOPERS SECURITIES			
rised Representative	MARK GREIG DOW	ASC018383034	25/11/2011	18/12/2014	SIEBEL
	PETER JOHN SAXBY MUNNS	ASC018076153	9/03/2011	28/02/2013	SIEBEL
	DANIEL CHARLES TAYLOR	ASC018072893	7/03/2011	30/04/2012	SIEBEL
	MICHAEL PETER BRANSON	ASC017762283	7/06/2010	15/01/2014	SIEBEL
	JO-ANNE PAULINE MORGAN	ASC017672581	26/03/2010	19/02/2016	SIEBEL
	ALAN JAMES ELLIOTT	ASC017460687	4/09/2009	3/06/2021	SIEBEL
	GREGORY JOHN HODSON	ASC010479088	2/04/2009	29/09/2014	SIEBEL
	CHRISTOPHER DAVID LEWIS	ASC011338364	16/01/2009	30/06/2016	SIEBEL
	DAVID HUGH ARMSTRONG	ASC010126644	16/10/2008	30/06/2014	SIEBEL
	JAMES SHERIDAN MCELVOGUE	ASC015977422	11/08/2008	8/02/2013	SIEBEL
	PETER QUAST	ASC017063294	15/07/2008	3/09/2012	SIEBEL
	KATHERINE ANNE JULIUS	ASC017039199	19/06/2008	24/08/2016	SIEBEL
	RICHARD PIERS SHACKCLOTH	ASC016916282	14/01/2008	3/03/2016	SIEBEL
	PETER MATHEW MASTOS	ASC016916281	14/01/2008	31/07/2020	SIEBEL
	BRIAN JAMES DE BERESFORD	ASC016889995	30/11/2007	11/03/2011	SIEBEL
	JAMES CHRISTIAN GULBIN	ASC013794030	26/10/2007	10/07/2017	SIEBEL
	GARETH BRUCE WINTER	ASC016731212	15/10/2007	10/12/2010	SIEBEL
	PAUL CLAYTON TAYLOR	ASC016822065	5/09/2007	29/08/2014	SIEBEL
	DANIEL CHARLES COTTON	ASC014698003	29/06/2007	8/11/2012	SIEBEL
	MICHELLE WEI-LING CHIANG	ASC015450592	28/03/2007	16/02/2021	SIEBEL
	RICHARD DAVID SAVAGE	ASC016542032	17/11/2006	15/08/2017	SIEBEL
	SCOTT DOYLE LENNON	ASC016514012	17/10/2006	29/02/2016	SIEBEL
	ANDREW JAMES MILL	ASC010216898	22/09/2006	30/06/2009	SIEBEL
	PAUL JOSEPH ABBEY	ASC016327829	4/04/2006	5/09/2007	SIEBEL
	EWAN ALASDAIR BARRON	ASC016013988	27/03/2006	25/06/2010	SIEBEL
	MATTHEW THOMAS LUNN	ASC014635306	17/08/2005	16/02/2021	SIEBEL
	DAVID BRUCE IRELAND	ASC016130721	8/08/2005	5/09/2007	SIEBEL
	MICHAEL HOLGATE BROWNE	ASC002688343	28/07/2005	28/04/2015	SIEBEL
	KEITH WILLIAM DAVIES	ASC013892632	16/06/2005	3/09/2012	SIEBEL
	KEVIN DAVID REEVES	ASC015967578	8/02/2005	25/08/2022	SIEBEL
	ANTONY BRYN SAMMUEL	ASC015960259	31/01/2005	28/02/2006	SIEBEL
	ANDREW JAMES PARKER	ASC016061079	31/01/2005	1/04/2022	SIEBEL
	JANICE HELEN LUNT JONES	ASC015951224	18/01/2005	2/06/2022	SIEBEL
	ROBERT HUBBARD	ASC010574614	8/10/2004	22/02/2013	SIEBEL
	PHILLIP PATRICK CARTER	ASC015770102	29/06/2004	28/09/2009	SIEBEL
	DAVID JAMES ADDIS	ASC011814429	25/05/2004	22/11/2004	SIEBEL
	TIMOTHY JAMES CUMING	ASC000931373	1/04/2004	30/06/2009	SIEBEL
	COHEN JOHN WATSON	ASC015652861	26/03/2004	14/07/2006	SIEBEL
	NADIA CHERIE CARLIN	ASC015648992	24/03/2004	30/06/2009	SIEBEL
	STEPHEN GRAHAM LONGLEY	ASC014804561	8/03/2004	30/06/2009	SIEBEL
	IAN RICHARD HALL	ASC015626920	8/03/2004	5/01/2010	SIEBEL
	GREGORY WINFIELD HALL	ASC010126649	8/03/2004	28/09/2009	SIEBEL
	DAVID CLEMENT PRATT	ASC015626921	8/03/2004	28/09/2009	SIEBEL
	MARTIN RUSSELL BROWN	ASC000802910	8/03/2004	14/09/2006	SIEBEL

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<b>Q</b> Search	PRICEWATERHOU	SECOOPERS SECURITIES	LTD
Authorised Representative	GEOFFREY FRANK TOTTERDELL	ASC015626922	8
	DAVID LAURENCE MCEVOY	ASC011601602	8
	BIAGIO TESTA	ASC014864106	-
	JOHN GROUIOS	ASC001923379	1

MARK HABERLIN NIALL HEALY KYLE WIGHTMAN DARRIN GRIMSEY ANGEL BARRIO MICHAEL DAVIDSON SIMON ANTHONY JOHN GRAY GABRIEL LESLIE STEPHEN SZONDY PETER GRANT LE HURAY

STEPHEN JAMES DONALD HUMPHRIES FRANCO PAOLO EUGENIO DOGLIOTTI JAMES CHARLES FREDERICK GARDE HUGH ANDREW JON EDWARDS ROGER JOHN WALTERS IAN MICHAEL FARMER JOHN STUART DAWSON JOHN RICHARD THOMSON PETER KENNETH MERRETT JOHN WILLIAM STUDLEY WAYNE MURRAY RUSSELL RONALD ALBERT HIGHAM MICHAEL JOHN BUTLER ROBERT MARTIJA KUS PETER KENNETH WILLIAMSON DAVID ANTHONY PROTHERO PAUL RICHARD CARTER MARK GRAHAM JOHNSON CATHERINE ANNE NANCE PAUL JOSEPH MARSHALL PETER JOHN COLLINS GREGORY LEE LAZARUS IAN GORDON POPE ROBERT EDWARD PROSSER ASHLEY LESLIE KILLICK ANTHONY EDWARD CLEMENS CHRISTOPHER MARK CUTHBERT ANDREW JOHN SNEDDON JULIAN ANDREW WILLIAMS GRAHAM KEITH SORENSEN RAYMOND JOHN HARVEY

NATERHOUS	SECOOPERS SECURITIES	>LID - Constant - Const		
	ASC015626922	8/03/2004	31/01/2007	SIEBEL
	ASC011601602	8/03/2004	27/05/2009	SIEBEL
	ASC014864106	1/03/2004	5/09/2007	SIEBEL
	ASC001923379	1/03/2004	3/09/2012	SIEBEL
	ASC012228779	1/03/2004	11/04/2019	SIEBEL
	ASC011665050	1/03/2004	14/07/2006	SIEBEL
	ASC011653468	1/03/2004	16/08/2004	SIEBEL
	ASC015070311	1/03/2004	10/04/2006	SIEBEL
	ASC014992675	1/03/2004	4/12/2009	SIEBEL
	ASC004780719	1/03/2004	2/07/2021	SIEBEL
	ASC013762576	1/03/2004	30/06/2009	SIEBEL
	ASC001786456	1/03/2004	31/07/2007	SIEBEL
	ASC012215567	1/03/2004	25/06/2010	SIEBEL
i	ASC012261544	1/03/2004	30/06/2008	SIEBEL
	ASC013792757	1/03/2004	31/01/2007	SIEBEL
	ASC012027459	1/03/2004	14/07/2016	SIEBEL
	ASC010411526	1/03/2004	30/06/2009	SIEBEL
	ASC014609437	1/03/2004	16/09/2005	SIEBEL
	ASC012591501	1/03/2004	5/09/2007	SIEBEL
	ASC014501161	1/03/2004	14/07/2016	SIEBEL
	ASC001386193	1/03/2004	30/07/2004	SIEBEL
	ASC015614019	1/03/2004	14/09/2006	SIEBEL
	ASC015614026	1/03/2004	25/03/2015	SIEBEL
	ASC014729478	1/03/2004	8/12/2009	SIEBEL
	ASC015612343	1/03/2004	14/07/2006	SIEBEL
	ASC011525550	1/03/2004	28/06/2005	SIEBEL
	ASC015614017	1/03/2004	30/06/2008	SIEBEL
	ASC012615930	1/03/2004	2/03/2004	SIEBEL
	ASC010185699	1/03/2004	29/10/2008	SIEBEL
	ASC002811086	1/03/2004	24/02/2011	SIEBEL
	ASC010077107	1/03/2004	14/09/2006	SIEBEL
	ASC012468264	1/03/2004	15/06/2023	SIEBEL
	, ASC015329014	1/03/2004	16/09/2005	SIEBEL
	ASC015062360	1/03/2004	14/07/2006	SIEBEL
	ASC010126657	1/03/2004	5/09/2007	SIEBEL
	ASC012929089	1/03/2004	23/05/2012	SIEBEL
	ASC012714937	1/03/2004	30/06/2008	SIEBEL
	ASC001815829	1/03/2004	16/08/2004	SIEBEL
	ASC010645668	1/03/2004	5/09/2007	SIEBEL
	ASC013989318	1/03/2004	5/09/2007	SIEBEL
	ASC010185814	1/03/2004	30/06/2008	SIEBEL
	ASC015086420	1/03/2004	18/01/2005	SIEBEL
	ASC015614024	1/03/2004	28/05/2020	SIEBEL
	ASC002039475	1/03/2004	31/01/2007	SIEBEL

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Search	PRICEWATERHO	USECOOPERS SECURITIES	SLID		
ised Representative	PETER JOHN FEKETE	ASC011502178	1/03/2004	30/06/2009	SIEBEI.
	DAVID JOHN PALLIER	ASC014761173	1/03/2004	5/09/2007	SIEBEL
	IAN DAVID CLARK	ASC013160325	1/03/2004	30/06/2009	SIEBEL
	FRANCIS JEREMIAH SPILLANE	ASC011394914	1/03/2004	14/04/2004	SIEBEL
	ROGER MAITLAND PORT	ASC003251035	1/03/2004	30/06/2016	SIEBEL
	JONATHAN GARTH HUBBARD	ASC015612344	1/03/2004	10/12/2008	SIEBEL
	LISA JANE HARKER	ASC015187295	1/03/2004	29/06/2006	SIEBEL
	KENNETH KUNSHIK WOO	ASC014739803	1/03/2004	5/09/2007	SIEBEL
	JAMES ALEXANDER DUNNING	ASC014307547	1/03/2004	18/12/2014	SIEBEL
	SUSAN CAROL BANNATYNE	ASC014484658	1/03/2004	30/06/2008	SIEBEL
	DAVID STODDART WIADROWSKI	ASC002767994	1/03/2004	20/02/2018	SIEBEL
	ANDREW DONALD HANSON	ASC012675353	1/03/2004	31/08/2011	SIEBEL
	BRIAN KENNEDY HUNTER	ASC012080653	1/03/2004	30/06/2009	SIEBEL
	PAUL ANTHONY BENDALL	ASC013186619	1/03/2004	14/07/2006	SIEBEL
	SANDRA CHRISTINE BIRKENSLEIGH	ASC013918132	1/03/2004	12/06/2009	SIEBEL
	GRAHAM EDWARD YORK	ASC015041634	1/03/2004	31/01/2007	SIEBEL
	MARTIN STUART LOCKE	ASC001068160	1/03/2004	31/07/2014	SIEBEL
	COLIN WALTER DUNN	ASC000882094	1/03/2004	4/12/2009	SIEBEL
	WILLIAM DOUGLAS RUSSELL	ASC002545373	1/03/2004	2/03/2007	SIEBEL
	PATRICIA JOSEPHINE CARNEY	ASC014817832	1/03/2004	14/07/2006	SIEBEL
	DAVID NICHOLAS COOGAN	ASC011779366	1/03/2004	16/02/2021	SIEBEL
	DAVID EDWARD USASZ	ASC015614027	1/03/2004	31/07/2007	SIEBEL
	MICHELLE LEE MCKENZIE	ASC014563320	1/03/2004	14/04/2004	SIEBEL
	PETER GERARD POWER	ASC011662839	1/03/2004	16/02/2016	SIEBEL
	RICHARD JOHN MILLLEN	ASC015614021	1/03/2004	30/10/2008	SIEBEL
	BRUCE ANTHONY ELLIS	ASC012948244	1/03/2004	22/05/2009	SIEBEL
	RUSSELL STEPHEN SUTTON	ASC010204831	1/03/2004	30/06/2008	SIEBEL
	DAVID ANDREW DENNY	ASC015612342	1/03/2004	3/06/2021	SIEBEL
	ANDREW LOUIS LAZAR	ASC000951013	1/03/2004	5/09/2007	SIEBEL
	DERRICK JOHN RYLEY	ASC012722305	1/03/2004	31/01/2007	SIEBEL
	MARK WARWICK INGHAM	ASC014307581	1/03/2004	20/05/2009	SIEBEL
	BRIAN PAUL LAWRENCE	ASC010645873	1/03/2004	5/09/2007	SIEBEL
	MARK CHRISTOPHER READING	ASC015614022	1/03/2004	30/09/2016	SIEBEL
	WAYNE MAXWELL REDMAN	ASC002783327	1/03/2004	31/01/2007	SIEBEL
	RICHARD DAVID DEUTSCH	ASC013910863	1/03/2004	23/09/2004	SIEBEL
	CHARLES HAROLD HUMPHREY	ASC010645848	1/03/2004	26/06/2019	SIEBEL
	GREGORY JOHN KEYS	ASC011731009	1/03/2004	3/09/2012	SIEBEL
	JOHN FINTAN O'CALLAGHAN	ASC014786433	1/03/2004	16/02/2021	SIEBEL
	ANDREW JOHN WELLINGTON	ASC014602005	1/03/2004	15/06/2023	SIEBEL
	GRACE JULIETTE COX	ASC014531237	1/03/2004	3/09/2012	SIEBEL
	THOMAS GEORGE FENTON	ASC011993581	1/03/2004	30/11/2010	SIEBEL
	ANTHONY WILLIAM STEPHEN	ASC015614025	1/03/2004	5/09/2007	SIEBEL
	ANDREW GEORGE FORMAN	- ASC014817139	1/03/2004	14/07/2016	SIEBEL
	MICHAEL JAMES FORSDICK	ASC010964309	1/03/2004	15/12/2008	SIEBEL

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Search	PRICEWATERHO	USECOOPERS SECURITIES	S LTD				
rised Representative	CRAIG STAINTON LAWN	ASC012215562	1/03/2004		5/09/2007		SIEBEL
	NEIL ALLAN BEHRENS	ASC001386189	1/03/2004		31/07/2007		SIEBEL
	HUGH GORDON NALDER	ASC010568024	1/03/2004		28/02/2006		SIEBEL
	DAVID MONTGOMERY KNOX	ASC015614016	1/03/2004		28/01/2005		SIEBEL
	MARIO ROSARIO D'ELIA	ASC015612341	1/03/2004		12/06/2019		SIEBEL
	IAN LESLIE HAMMOND	ASC011448675	1/03/2004		18/12/2014		SIEBEL
	VICTOR JOSEPH CLARKE	ASC010185806	1/03/2004		27/05/2009		SIEBEL
	CLAIRE MAJELLA KEATING	ASC014059045	1/03/2004		17/02/2009		SIEBEL
	WAYNE JEFFREY ANDREWS	ASC012673863	1/03/2004		14/07/2006		SIEBEL
	ANDREW PAUL HAGGER	ASC014733062	1/03/2004		26/02/2008		SIEBEL
	1 Records Found						ASCOT
	CLARA CUTAJAR	032499545	30/06/2019	484			ASCOT
	NIALL RUARI MCCONNELL	016857556	19/10/2017	484			ASCOT
	WARREN JAMES DICK	014424591	23/10/2012	484			ASCOT
	SEAN MICHAEL GREGORY	018847044	18/12/2012	484	17/06/2023	484	ASCOT
	LUKE FREDERICK SAYERS	015144226	19/06/2012	484	18/12/2012	484	ASCOT
	ANTHONY WILLIAM PEAKE	014307640	19/06/2012	484	18/12/2012	484	ASCOT
	DAVID ANTHONY WILLS	012792547	1/01/2010	484	8/06/2012	484	ASCOT
	WILLIAM DOUGLAS MCCLUSKEY	004065763	10/12/2008	484	1/01/2010	484	ASCOT
	IAN MICHAEL FARMER	012591501	20/07/2008	484	15/09/2012	484	ASCOT
	WAYNE DAVID TWOMEY	016630128	25/09/2007	484	27/06/2011	484	ASCOT
	DAVID STODDART WIADROWSKI	002767994	3/03/2006	484	19/10/2017	484	ASCOT
	NEIL ANDREW WILSON	010964974	26/09/2005	484	31/12/2012	484	ASCOT
	CHARLES HAROLD HUMPHREY	010645848	26/09/2005	484	30/06/2019	484	ASCOT
	JAMES CHARLES FREDERICK GARDE	012027459	4/03/2005	484	18/12/2012	484	ASCOT
	LEIGH PEERS MINEHAN	004118897	18/11/2003	484	10/03/2010	484	ASCOT
	STEPHEN JAMES BOWLES	011545877	18/11/2003	484	30/09/2008	484	ASCOT
	SANDRA CHRISTINE BIRKENSLEIGH	015235849	18/11/2003	484	10/12/2008	484	ASCOT
	RICHARD JOHN MILLEN	012394594	18/11/2003	484	26/09/2005	484	ASCOT
	DONALD FRASER MUNRO	003398202	18/11/2003	484	26/09/2005	484	ASCOT
	JONATHAN HUBBARD	014708899	29/11/2001	304	18/11/2003	484	ASCOT
	ANDREW PAUL HAGGER	014733062	9/04/2001	484	4/03/2005	484	ASCOT
	MARK CHRISTOPHER READING	012763032	27/03/2001	304	18/11/2003	484	ASCOT
	TIMOTHY WYNAND COX	011093185	29/07/1999	304	18/11/2003	484	ASCOT
	RONALD ALBERT HIGHAM	003864673	6/11/1998	304	18/11/2003	484	ASCOT
	IAN ALEXANDER ARMSTRONG	004756505	6/11/1998	304	31/12/2000	304	ASCOT
	THOMAS GEORGE FENTON	011993581	6/11/1998	304	18/11/2003	484	ASCOT
	NEIL ALLAN BEHRENS	001386189	6/11/1998	304	29/11/2001	304	ASCOT
	PETER IVAN JOSEPH RAYNER	003546642	31/12/1997	316	6/11/1998	304	ASCOT
	LEIGH PEERS MINEHAN	004118897	31/12/1997	316	6/11/1998	304	ASCOT
	DOUGLAS HENRY EVANS	001986974	30/11/1994	304	31/12/1997	304	ASCOT
	MARIAN MAUDE MICALIZZI	010985111	1/07/1994	304	6/11/1998	304	ASCOT
	ALAN DAVID FISHER	010204394	1/07/1994	304	11/07/1997	304	ASCOT
	ANTHONY SALIM WEHBY	010964963	20/10/1993	304	15/06/1999	304	ASCOT

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Director	PAUL JOHN JOSEPH BIANCARDI	002914494	17/12/1991	304	30/11/1994	304	ASCOT
	ERIC JOHN EASTON	010204520	15/04/1991	304	30/06/1994	304	ASCOT
	RICHARD WILLIAM NAYSMITH GIBB	001063765	16/03/1989		17/12/1991	304	ASCOT
	GRAEME LINDSAY CRAMPTON	000572222	4/07/1988	316	18/11/2003	484	ASCOT
	DAVID WELSFORD SMITHERS	011220428	23/10/1987	316	30/11/1994	304	ASCOT
	MICHAEL JOHN SHARPE	000693142	23/10/1987		31/12/1997	304	ASCOT
	WAYNE RICHARD LONERGAN	000328529	23/10/1987	304	30/11/1994	304	ASCOT
	ANTHONY MAXWELL COLEMAN	000920336	23/10/1987		3/12/2001	304	ASCOT
	DEBORAH ANNE HEATON	000738853	1/01/1582		23/10/1987		ASCOT
	BARBARA JOY COLE	010153157	1/01/1582		23/10/1987		ASCOT
	GEOFFREY ARTHUR COLE	010154921	1/01/1582		23/10/1987		ASCOT
inancial Adviser	73 Records Found			•			SIEBEL
S Auditor	5 Records Found						ASCOT
Registered Agent	1 Records Found						ASCOT
Responsible Manager	19 Records Found						ASCOT
Secretary	8 Records Found						ASCOT



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