

Relator (employee or company)	(1) Date the conduct was first identified by or reported to an officer of the organisation	(2) If applicable, the date each instance of misconduct was reported to a regulator of law enforcement agency	(3) Summary of the conduct	(4) The identity of any regulator or other body that has investigated or is currently investigating the conduct	(5) Details of any legal proceedings commenced in respect of each instance of conduct	(6) An explanation of whether each proceedings identified is ongoing, was settled by consent, determined by the court or tribunal or otherwise discontinued	(7) Whether, to the organisation's knowledge, any regulatory action is continuing in respect of each instance of conduct	(8) Whether any monetary amount, whether by way of compensation, refund, or gratia payment or otherwise was paid by the entity in respect of each instance of conduct and, if applicable, the amount paid
Bell Potter Securities Limited and employee (Authorised Representative)	On or around March 2013	The matter was not deemed significant enough to report to ASIC	In July 2012, the client entered into an arrangement with three other parties to invest in an unlisted company, transferring gold from PNG to Australia, allegedly on the advice of the Adviser but without any knowledge of the Adviser or its management. The client claims he informed the Adviser he did not want to invest in a may project and that the Adviser stated that there was little risk involved and the turnaround time from when the client invested the money to when it would receive it back was 4 weeks. The client has since received its funds back. Client alleges inappropriate advice to the Gold Investment Scheme, breaches of fiduciary duty, breach of contract, misleading or deceptive conduct, and breach of duty of care.	Bell Potter is not aware of the matter being investigated by any regulator.	Client's lawyer Abben Whyte Lawyers served Statement of Claims 14 October 2014 against Bell Potter Securities Limited and Adviser.	Matter settled by consent and now discontinued.	There is no current regulatory action to Bell Potter's knowledge.	\$120,000.00
Ex-employee (Authorised Representative)	26 June 2013	21 May 2013	Following an investigation, ASIC identified concerns in the way Institutional procedure handled and disclosed information about an institutional client's possible selling intentions in securities of The Network Holdings Limited (ASX stock code: TEN) to another institutional client. ASIC was concerned that the client, new, or likely reasonably to have known, that the information disclosed was, or was likely to have been, confidential client information.	Australian Securities and Investments Commission (ASIC)	No legal proceedings were commenced.	The matter was settled via [redacted] entering into an enforceable undertaking with ASIC.	[redacted] is bound by the enforceable undertaking until 30 May 2018.	[redacted] personally undertook to make a payment of \$80,000.00 to Financial Integrity Australia Limited.
Ex-employee (Authorised Representative)	29 December 2014	The matter was not deemed significant enough to report to ASIC.	Client's family (and her daughter) sought inappropriate and negligent advice and made unauthorised and excessive trades on account of their late father's [redacted] account, who suffered with Alzheimer's.	Bell Potter is not aware of the matter being investigated by any regulator.	Around November 2016, client advised lawyers to start legal proceedings in the NSW District Court.	Matter settled by consent and now discontinued.	There is no current regulatory action to Bell Potter's knowledge.	Matter settled on 23 May 2017 under a deed of release allowing for a payment by Bell Potter of \$420,000.00.
Bell Potter Securities Limited	January 2016	The matter was brought to Bell Potter's attention by ASIC.	Bell Potter Securities was accused of making bids on its own behalf with the intention, or having the effect, of creating a false or misleading appearance with respect to the price of shares and failing to notify ASIC if Bell Potter Securities has reasonable grounds to suspect that bids have been made that have, or are likely to have, that effect. ASIC's Market Discipline Panel (MDP) found that it had reasonable grounds to believe, without establishing on the balance of probabilities that Bell Potter Securities in July 2015, acting on its own behalf, made bids for shares in FirstEnergy Limited (ASX stock code: FEM), for which Bell Potter Securities had been a Lead Manager and Underwriter in a public capital raising, with the intention and having the effect of supporting the price of the shares in FEM during the first two weeks of its bid-ask listing on ASX.	Australian Securities and Investments Commission (ASIC)	The matter was referred to the Market Discipline Panel by ASIC.	Bell Potter Securities Limited complied with the infringement notice issued by the Market Discipline Panel. Compliance with the infringement notice results in the matter being closed and Bell Potter being deemed to have not breached the Corporations Act.	There is no current regulatory action to Bell Potter's knowledge.	ASIC Markets Discipline Panel infringement notice penalty of \$350,000.00.
Ex-employee (Authorised Representative)	2 July 2017	25 July 2017	It was brought to Bell Potter Securities Limited's attention on Monday 2 July 2017 that one of our advisers, [redacted] entered into an agreement with a client, [redacted] to receive a share of the profit from a particular investment recommendation, in addition to brokerage received. This conduct is inconsistent with Bell Potter's business practices and expectations of its employees. Bell Potter investigated the matter and terminated [redacted] employment on Thursday 20 July 2017. [redacted] indicated during our investigation that no other similar agreements with clients existed. A new adviser has been appointed to [redacted] clients and as the adviser meets each client, should any issues of a similar nature arise, the Adviser will inform the Compliance team.	Australian Securities and Investments Commission (ASIC)	Bell Potter is not aware of any legal proceedings.	No Associate	The matter was reported to ASIC by Bell Potter on 25 July 2017. Bell Potter has no knowledge of the status of ASIC review of the report.	No monetary payment has been made by Bell Potter.
Ex-employee (Authorised Representative)	14 November 2013	The matter was not deemed significant enough to report to ASIC, and the matter was being managed by FOS.	[redacted] represented Bell Potter up to 30/4/2013, then moved to another trading firm (BPP). The client was advised by a third AFS, who engaged stockbrokers to execute an across trading strategy. The client complained to the Financial Ombudsman Services (FOS) claiming inappropriate advice and discretionary trading. FOS joined Bell Potter into a dispute between the client, BPP and the third AFS, as the client had traded with Bell Potter briefly before [redacted] moved to BPP.	FOS	Bell Potter is not aware of any legal proceedings.	FOS closed this matter in Bell Potter's favour.	There is no current regulatory action to Bell Potter's knowledge.	No monetary payment has been made by Bell Potter.
Ex-employee (Authorised Representative)	05 November 2014	The matter was not deemed significant enough to report to ASIC.	A client of Bell Potter due to inappropriate advice, including allegations of discretionary trading.	Bell Potter is not aware of the matter being investigated by any regulator.	On 4 May 2015 client appointed lawyers to start legal proceedings.	Legal proceedings still on-going, mediation in March 2017.	There is no current regulatory action to Bell Potter's knowledge.	Not Applicable - legal proceedings still ongoing.
Current employee	January 2016	The matter was brought to Bell Potter's attention by ASIC.	ASIC allege breaches of 1041A of the Corporations Act (market manipulations). An ASIC delegate considered, and subsequently implemented, a banning order on [redacted] of 5 years for the alleged conduct. [redacted] is appealing the decision via the AAT.	Australian Securities and Investments Commission (ASIC)	[redacted] is appealing ASIC's decision via the AAT.	[redacted] is appealing ASIC's decision via the AAT.	Appealing ASIC's banning order.	No monetary payment has been made by Bell Potter.
Current employee	January 2016	The matter was brought to Bell Potter's attention by ASIC.	ASIC allege breaches of 1041A of the Corporations Act (market manipulations). An ASIC delegate considered, and subsequently implemented, a banning order on [redacted] of 8 years for the alleged conduct. [redacted] is appealing the decision via the AAT.	Australian Securities and Investments Commission (ASIC)	[redacted] is appealing ASIC's decision via the AAT.	[redacted] is appealing ASIC's decision via the AAT.	Appealing ASIC's banning order.	No monetary payment has been made by Bell Potter.
Ex-employee (Authorised Representative)	26 June 2017	The matter was not deemed significant enough to report to ASIC.	Client has taken legal action against Morgan's Financial and ex-employee of both Bell Potter and Morgan's Financial, [redacted] in his own name in the supreme court of QLD. Bell Potter was not named a defendant. Bell Potter is being drawn into legal proceedings that it did not want and the client's best interests and have been used by participants in a mediation. The allegations concern inappropriate advice to retail investors to options trading over the relevant period where [redacted] was an employee of Bell Potter.	Bell Potter understands an adviser of Morgan's Financial was named for conduct relating to this matter.	Client has taken legal action against Morgan's Financial and ex-employee of both Bell Potter and Morgan's Financial, [redacted] in his own name in the supreme court of QLD. Bell Potter was not named a defendant.	Matter settled by consent and now discontinued.	There is no current regulatory action to Bell Potter's knowledge.	Bell Potter contributed compensation to the client of \$15,000.00.