



23 July 2013

## **New members appointed to the NZ Markets Disciplinary Tribunal**

NZX has appointed Geoff Brown, Richard Keys, Richard Leggat, David Kreider, Rachael Reed and Christopher Swasbrook to the NZ Markets Disciplinary Tribunal (“**NZMDT**”) for a three-year term. The Financial Markets Authority has confirmed their appointments.

Geoff Brown is currently the Director of Institutional Securities at ANZ New Zealand Securities Limited. Previously Mr Brown was employed at NZX, where he had a number of senior management roles. He holds a Diploma of Business Studies from Massey University, a Master of Science from the London School of Economics, and a Bachelor of Commerce and Administration (Honours) from Victoria University.

Richard Keys is currently the Chief Operating Officer / Chief Financial Officer at Abano Healthcare Group Limited. He has held senior leadership roles in the healthcare sector, with the last 11 years in the listed company environment. He holds a Bachelor of Commerce from the University of Auckland.

Richard Leggat currently holds a number of directorships in private companies. He has significant experience in securities markets. He holds a Bachelor of Science in Economics from the University of Canterbury.

David Kreider is an independent International Arbitrator and an AMINZ arbitration Fellow. He was previously the General Counsel to Vodafone New Zealand Limited. He also has extensive experience in securities regulation with both the United States SEC and the Hong Kong SFC. He holds a Diploma in International Commercial Arbitration from the Chartered Institute of Arbitrators in London, a Juris Doctor from the University of Miami School of Law, and a Bachelor of Arts from Muhlenberg College.

Rachael Reed is a Barrister, with expertise in serious fraud and other complex cases involving financial evidence. She is a member of the Serious Fraud Office Prosecution Panel and the Crown Panel. Rachael was previously employed as a prosecutor with the Serious Fraud Office before joining Meredith Connell as a Crown Prosecutor. She holds a Bachelor of Business Studies and a Bachelor of Law (First class Honours) from Victoria University.

Christopher Swasbrook is currently the Managing Director Elevation Capital Management Limited. He was previously employed at Goldman Sachs JB Were, most recently as the Co-Head of Institutional Equities. He holds a Bachelor of Commerce from the University of Auckland.

The NZMDT Chairman, Derek Johnston, has also appointed James Ogden (an existing NZMDT member) to the Special Division, the independent body that monitors NZX’s compliance with its Listing Rules. This appointment has been confirmed by the Financial Markets Authority.

### **The NZ Markets Disciplinary Tribunal:**

The NZMDT is a disciplinary body which is independent of NZX and its subsidiaries. The Financial Markets Authority confirms the appointment of its members. Under the NZMDT Rules, the NZMDT determines and imposes penalties for referrals made to it by NZX in relation to the conduct of parties regulated by the market rules.

Additional information about the NZMDT is available here: <https://www.nzx.com/regulators/DISP>

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**ENDS**