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### Details of Filing

Document Lodged: Affidavit - Form 59 - Rule 29.02(1)  
File Number: NSD1220/2020  
File Title: AUSTRALIAN SECURITIES & INVESTMENTS COMMISSION v  
MELISSA LOUISE CADDICK & ANOR  
Registry: NEW SOUTH WALES REGISTRY - FEDERAL COURT OF  
AUSTRALIA



*Sia Lagos*

Dated: 5/07/2021 11:29:48 AM AEST

Registrar

### Important Information

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Form 59  
Rule 29.02(1)



## Affidavit

No. NSD1220 of 2020

Federal Court of Australia  
District Registry: NSW  
Division: Commercial and Corporations

### IN THE MATTER OF MALIVER PTY LTD (ACN 164 334 918)

### AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION

Plaintiff

**MELISSA LOUISE CADDICK and another**

Defendants

Affidavit of: **David Campbell Smith**  
Address: 1 Harbour Street Sydney NSW 2000  
Occupation: Head of Compliance  
Date: 19 March 2021

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Filed on behalf of (name & role of party) Australian Securities and Investments Commission (Plaintiff)  
Prepared by (name of person/lawyer) Nicolette Bearup  
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(include state and postcode) \_\_\_\_\_

[Version 3 form approved 02/05/2019]

I David Campbell Smith, Head of Compliance, say on oath:

1. I am currently employed by the Commonwealth Bank of Australia (**CBA**) as the Head of Compliance of Commonwealth Securities Limited (**CommSec**) (**Head of Compliance**). I have held this role since July 2006 and have been employed by CBA since 2003.
2. CommSec is a wholly-owned subsidiary of CBA. I am authorised to make this affidavit and produce books and records on CommSec's behalf.
3. In my role as Head of Compliance, amongst other things I have responsibility for ensuring CommSec acts in accordance with its regulatory and licence obligations. I manage a team whose duties include responding to notices issued and served on CommSec by various government and statutory bodies. Part of my duties include responding to notices issued by the Australian Securities and Investments Commission (**ASIC**). I have access to CommSec's computer systems which maintain the records of account holders. I am also able to retrieve those records.
4. Unless otherwise stated, I make this affidavit from information within my own knowledge and from an examination of the records of, or otherwise in the possession of, CommSec. Where I depose to matters from information and belief, I believe those matters to be true and correct.
5. I am informed by staff from ASIC that the document identification numbers referred to in this statement have been placed on the relevant documents by officers of ASIC for the purposes of identification and document control. In this affidavit, when I refer to the document identification number of a document (**Document ID**) I am referring to the Document ID assigned to it by ASIC, as it appears on the front page of the document.
6. Exhibited to this affidavit and marked "DCS-1" is a USB hard drive containing various documents that I refer to throughout this affidavit.

### **CommSec**

7. CommSec holds an Australian Financial Service Licence, number 238814.
8. CommSec is Australia's largest online stockbroking firm. Amongst other things, it offers brokerage services through its trading platform. CommSec opens and closes accounts on behalf of its customers and accepts instruction for the purchase and sale of securities through these accounts.

9. CommSec is a market participant of the ASX and Chi-X Australia and is authorised to undertake transactions on its electronic trading platform.

### **Record keeping and retrieval**

10. I have access to and am familiar with CommSec's computer systems and electronic databases that maintain the records of account holders and documents used in the course of and for the purposes of the business of CommSec.
11. CommSec maintains business records in internal record keeping databases called CommSee and Customer Service Console (**CSC**). The CommSee system stores, amongst other things, account opening and account maintenance documentation. The CSC system is used for the maintenance of trading histories, account statements and order audit trails. Relevant records are retrieved by staff upon entering a customer's identifying details (such as name or account number) into the relevant user interface. It is then possible to generate copies of records associated with the customer or the customer's account, including the details of trades transacted on the account.
12. In order to search the CSC using customer identifying details, in particular, searching by 'account number', the following steps must be taken:
- (a) In the CSC system, there are 17 tabs at the top of the landing page. The fourth tab is 'accounts'.
  - (b) When you click on the 'accounts' tab, there is a drop-down menu from which you can select 'find' or 'manage'.
  - (c) If you select 'find', then it takes you to another page, which has a heading 'account search criteria'.
  - (d) You can then type in an account number and click on 'search' or hit the 'enter' key. The search will then display any CommSec accounts with that account number (both open accounts and closed accounts). If there is no matching account number, zero results will appear.
  - (e) If an 'account number' search generates results, it is possible to navigate to the account details page by double clicking the account name. The account details page contains a tab called 'Statements', which contains further search criteria, one of which is 'Transaction Summary Statement'. There is also a date range search criteria that enables Transaction Summary Statements to be generated within a

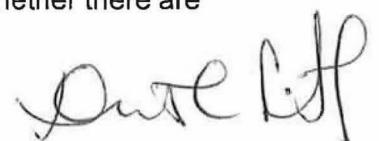
particular date range. This is done by selecting the date range and selecting the 'display' field.

### **Provision of documents from ASIC**

13. On 15 March 2021, ASIC provided me with a bundle of documents titled "Portfolio Statement" and "Transaction Summary Statement" for particular individuals (**Portfolio Valuations**). The two documents that constitute the Portfolio Valuations each have the word "CommSec" and the CBA logo in the top-right corner of the documents. They also contain an "account number" and an "account name" for each individual or superannuation fund. The "Portfolio Statements" purport to describe the securities held by the account holder during a particular period of time. The "Transaction Summary Statement" purport to describe securities that were purchased and sold through the account during a particular period of time.
14. In addition, ASIC also provided a copy of the spreadsheet at Tab 1 of Exhibit DCS-1. The spreadsheet contained all the information that is currently in the spreadsheet at Tab 1, other than the information contained in columns I, J and K. The information in those columns was subsequently filled out as outlined below.
15. The Portfolio Valuations and the Genuine Statement (as defined below) are exhibited at Exhibit DCS-1. Tab 1 of Exhibit DCS-1 is an Excel spreadsheet, which lists each of the Portfolio Valuations and the Genuine Statement. Tabs 2 to 123 of Exhibit DCS-1 contain each of the Portfolio Valuations. Tab 124 of Exhibit DCS-1 contains the Genuine Statement. The Excel spreadsheet at Tab 1 of Exhibit DCS-1 also records the conclusions regarding whether each Portfolio Valuation is genuine, as set out at paragraph 15 below.

### **Search of purported CommSec account numbers as set out in Portfolio Valuations**

16. On 16 March 2021, I spoke to a Compliance team member, Jennifer El-Azzi (**Ms El-Azzi**) and requested her to undertake an investigation in line with ASIC's request, being to determine whether any of the relevant names and account numbers could be located within CommSec's records and to populate the relevant columns in the Excel spreadsheet (being columns 'I', 'J' and 'K' of Tab 1 of Exhibit DCS-1) with her findings. These types of investigations would ordinarily be done by conducting searches on the CSC database in line with the description in paragraph 12 above.
17. On or around 18 March 2021, Ms El-Azzi informed me that on 16 and 17 March 2021 she searched CommSec's database, CSC, in order to determine whether there are



CommSec accounts for the relevant investor bearing the purported CommSec account numbers on the Portfolio Valuations at Tabs 2 to 123 of Exhibit DCS-1. Ms El-Azzi informed me that she undertook the searches in the manner described at paragraph 12 above and that she populated columns 'I', 'J' and 'K' in the Excel spreadsheet with the results of those searches. I have no reason to believe that Ms El-Azzi conducted the searches I directed her to conduct as referred to in paragraph 15 other than comprehensively and competently.

18. The Excel spreadsheet at Tab1 of Exhibit DCS-1 with the results of Ms El-Azzi's findings indicates that:

(a) The documents at Tab 3, Tab 4, Tab 18, Tab 19, Tab 39, Tab 43 and Tab 120 of Exhibit DCS-1 only contained a "Portfolio Statement". The account number on these "Portfolio Statements" matched a valid account number on CommSec's database. But the valid account number on CommSec's database belonged to a different person or party. It did not relate to the account name on the "Portfolio Statements".

(b) The documents at Tab 5 and Tab 20 of Exhibit DCS-1 contained only a "Transaction Summary Statement". The account number on these "Transaction Summary Statements" matched a valid account number on CommSec's database. But the valid account number on CommSec's database belonged to a different person or party. It did not relate to the account name on the "Transaction Summary Statement".

(c) The documents at Tab 6, Tabs 7-17, Tabs 21 to 40, Tab 42, Tabs 44 to 71, Tab 73, Tabs 75 to 76, Tab 91, Tabs 94 to 95, Tab 98, Tab 99, Tab 100, Tab 107 to 110, Tab 112, Tab 119, Tab 122 and Tab 123 of Exhibit DCS-1 contained both a "Portfolio Statement" and "Transaction Summary Statement". The account number on these "Portfolio Statements" and "Transaction Summary Statements" matched a valid account number on CommSec's database. But the valid account number on CommSec's database belonged to a different person or party. It did not relate to the account name on the "Portfolio Statement" or "Transaction Summary Statement". However, Tab 122 of Exhibit DCS-1 (marked MAL.2048.0001.0664) returned a valid CommSec share trading account number in the name of "MRS MELISSA LOUISE CADDICK". This did not match the account name listed on the corresponding "Portfolio Statement" and "Transaction Summary Statement", being the "Wooden Superannuation Fund".

(d) In respect of the documents at Tab 41, Tab 72, Tab 74, Tabs 77 to 90, Tabs 92 to 93, Tabs 96 to 97, Tabs 101 to 106, Tab 111, Tabs 113 to 118 and Tab 121 of



Exhibit DCS-1, there were zero matches retrieved for those searches. Those accounts numbers do not exhibit in CommSec's databases

19. On or about 18 March 2021 I reviewed the information contained in the spreadsheet referred to in paragraph 17 above which had been populated by Ms El-Azzi as directed by me (see paragraph 16 above). Based on my reading of the information in the spreadsheet and my knowledge of, and my experience with, CommSec's databases, I infer that Ms El-Azzi did not locate any CommSec accounts held in the name of the relevant investor bearing the purported CommSec account number on the Portfolio Valuations subject to one exception set out below. Further, and subject to the same exception below, following my review of the completed Excel spreadsheet, I infer that the CommSec records do not contain any record of any CommSec accounts held in the name of the relevant investor referred to in the purported Portfolio Valuations bearing the purported CommSec account number on the Portfolio Valuations.
20. There is one instance in which a Portfolio Valuation provided by ASIC to CommSec (as outlined in paragraph 13 above) does contain a correct account number and account name that matches the records in CommSec's database. When Ms El-Azzi conducted the searches outlined at paragraph 12 above in respect of the Portfolio Valuation at Tab 2 of Exhibit DCS-1 (MD3.1001.0003.0041), she found that the account number on the Portfolio Valuation, which was 2313533, matched a valid CommSec Advisor Services account. In addition, the name on the Portfolio Valuation, which was REDACTED, matched the CommSec account, being REDACTED.
21. Ms El-Azzi has produced a genuine transaction summary statement from the CSC database, which is located at Tab 124 of Exhibit DCS-1 (MAL.1018.0001.0073) (**Genuine Statement**). To do this, Ms El Azzi informed me that:
- (a) she navigated to the search function by selecting the fourth tab "Accounts"; from the drop-down menu of "Find" or "Manage", she selected "Find";
  - (b) she navigated to the field "account number" and entered the account number REDACTED into this field, which returned a single record in the name of REDACTED;
  - (c) she double-clicked on the account name and selected the tab "Statements";
  - (d) she then selected the "Transaction Summary Statement" and entered the date range from "1 July 2015" to "10 January 2018"; and

(e) she selected the "display" field to generate the document.

22. The Portfolio Valuation at Tab 2 of Exhibit DCS-1 and the Genuine Statement have the same account number and substantially the same account name. However, other than the account number and account name, the information concerning the securities held in that account is incorrect. For example, the Genuine Statement indicates that from 14 August 2012, the balance for the account was nil. However, the "Portfolio Statement" indicates that as at the end of the 2016 financial year, the 'cost' was \$32,987.60 and the 'market value' was \$116,588.70.

#### **Form of authentic CommSec documents**

23. Annexed and marked Annexure DCS-2 is a copy of an authentic CommSec Transaction Summary Statement, displaying details from a dummy CommSec account. Ms El-Azzi informed me that she generated this document using the database, CSC.
24. A customer could access their own version of this document on their account via the CommSec portal. The first step is for a customer to navigate to the CommSec website <https://www.commsec.com.au/>. The customer is then required to enter their login details ("CommSec Client ID" and "Password") and press the "LOGIN" button. The next step is to select the second tab "Portfolio", followed by "Accounts". A drop down menu allows the customer to select the "account number" and corresponding account name. The customer can then select the field "Transactions". This allows the customer to enter a specific date range. The customer can then select the field "Download" which provides the option to generate the file in CSV or PDF format.
25. This document displays the characteristics of a Transaction Summary Statement that a customer would see if they accessed their CommSec account using the steps described in paragraph 24 above. This version of the Transaction Summary Statement has been live on the CommSec portal from at least 2017. It has the following characteristics:
- (a) The heading "TRANSACTION SUMMARY STATEMENT" on the top left corner of the document.
  - (b) The CommSec logo on the top right corner of the document.
  - (c) The fields "Account Number", "Account Name", "Statement begins" and "Statement ends".
  - (d) A table with the following 7 rows: "Total Buys (Inc. Brokerage + Admin fees + GST)", "Total Sells (Inc. Brokerage + Admin fees + GST)", "Total Brokerage (Inc. GST)",



"Total Subscriptions (Inc. GST)", "GST on Brokerage and Subscriptions",  
"Miscellaneous credits (Inc. GST)" and "Miscellaneous debits (Inc. GST)".

- (e) A table with the following columns is populated when a customer has transacted on an account during the specified period: "Date", "Reference", "Type", "Detail", "Debit(\$)", "Credit (\$)" and "Balance (\$)". The first row is orange in colour. The colours of every row in the table alternate between white and grey. If a customer did not transact on an account during the relevant period, the following statement appears beneath the table described in paragraph (d) above, "There are no transactions on this account".
- (f) A disclaimer is included at the very bottom of every page of the document. The disclaimer is expressed in the following manner: "This statement is issued by Commonwealth Securities Limited ABN 60 067 254 399 AFSL 238814 ("CommSec") a wholly owned, but non-guaranteed, subsidiary of the Commonwealth Bank of Australia ABN 48 123 123 124 AFSL 234945 ("the Bank"). Information contained in this statement is believed to be accurate at the time the statement is generated. The Bank and its subsidiaries do not accept any liability for any errors or omissions contained in this statement, or any responsibility for any action taken in reliance on this statement. This statement is a summary document only and it is not intended to replace any document which contains information that may be required for taxation purposes. You should therefore retain your CHESS statements, confirmation contract notes and bank account statements for your records in this regard. If there are any errors in this statement, please contact us on 13 15 19."
- (g) CommSec's Address "Locked Bag 22 Australia Square NSW 1215", contact number and the call centre's opening hours are included beneath the disclaimer: "enquiries: 13 15 19 8am - 7pm Sydney time, Monday to Friday".
- (h) CommSec's website ([www.commsec.com.au](http://www.commsec.com.au)) is included on the bottom right corner of every page.
- (i) The page number is included in the following format: "Page 1 of 17". It is positioned on the bottom right corner of every page in the footer beneath the CommSec website.
26. Annexed and marked Annexure DCS-3 is a copy of an authentic Portfolio Statement, displaying details from a dummy CommSec account, which I directed Ms El-Azzi to generate. Ms El-Azzi informed me that she generated this document using the database,

CSC. I have no reason to believe that Ms El Azzi did not follow my instructions other than competently.

27. The characteristics of a "CommSec Portfolio statement" include:
- (a) The heading "PORTFOLIO STATEMENT" on the top left corner of the document.
  - (b) The CommSec logo on the top right corner of the page.
  - (c) The following fields "Account Number" and "Account Name".
  - (d) The heading "Share Holdings Summary Charts- CHESS Sponsored" printed beneath the "Account Name" field.
  - (e) Two coloured bar charts with the following headings: "Shares in your portfolio" and "sectors in your portfolio".
  - (f) The date and time when the document was generated.
  - (g) A table displaying 4 columns "Code", "Units\*", "Price(\$)" and "Value(\$)". This table is populated with a customer's holdings and the total value. The row containing the table headings is orange in colour. The table is populated. Every row alternates between the colours white and grey. If there are no holdings on an account, the table is replaced with the following statement: "There are no holdings on this account".
  - (h) A disclaimer is included at the bottom of every page. The disclaimer is expressed using the following words *"This statement is issued by Commonwealth Securities Limited ABN 60 067 254 399 AFSL 238814 ("CommSec") a wholly owned, but non-guaranteed, subsidiary of the Commonwealth Bank of Australia ABN 48 123 123 124 AFSL 234945 ("the Bank"). Information contained in this statement is believed to be accurate at the time the statement is generated. The Bank and its subsidiaries do not accept any liability for any errors or omissions contained in this statement, or any responsibility for any action taken in reliance on this statement. This statement is a summary document only and it is not intended to replace any document which contains information that may be required for taxation purposes. You should therefore retain your CHESS statements, confirmation contract notes and bank account statements for your records in this regard. If there are any errors in this statement, please contact us on 13 15 19."*



- (i) CommSec's Address "Locked Bag 22 Australia Square NSW 1215", contact number and the call centre's opening hours are included beneath the disclaimer: "enquiries: 13 15 19 8am - 7pm Sydney time, Monday to Friday".
- (j) CommSec's website ([www.commsec.com.au](http://www.commsec.com.au)) is included on the bottom right corner of every page.
- (k) The page number is included in the following format: "Page 1 of 17". It is positioned on the bottom right corner of every page in the footer beneath the CommSec website.

### **Comparison with Portfolio Valuations**

- 28. In the paragraphs that follow, I refer to the Portfolio Valuations as 'Caddick' Portfolio Valuation, 'Caddick' Transaction Summary Statement or Caddick 'documents', and I refer to CommSec Portfolio Valuations and Transaction Summary Statements as 'Commsec' Portfolio Valuation and 'CommSec' Transaction Summary Statement.
- 29. I directed Ms El-Azzi to undertake a comparison of the Caddick documents and CommSec documents and to state any way in which the Caddick documents appear different to CommSec documents. On 17 or 18 March 2021, Ms El-Azzi informed me of her findings. I have no reason to believe that Ms El Azzi did not follow my instructions other than competently.
- 30. In a statement generated by CommSec, the title "Transaction Summary Statement"/ "Portfolio Statement is positioned on the top left corner of the document in the "header" section. CommSec's logo is positioned on the top left corner in the "header" of the document. The disclaimer is positioned at the very bottom of every page in the footer. The page number is positioned in the bottom right hand side of every page in the footer.
- 31. By contrast, the document title and the CommSec logo are positioned in the body of the Caddick Transaction Summary Statements as can be seen in Document ID MAL.2011.0001.0401 in Exhibit CS-1 at Tab 9. The CommSec disclaimer is not positioned at the very bottom of every page in the footer. It is located in the "body" of the document. Furthermore, the page number is not located at the bottom right hand side of every page. It is also located in the "body" of the document. The page number in the Caddick Transaction Summary Statements does not change. The page number continues to display "Page 1 of 1" on every page of the document.




32. The CommSec logo and disclaimer are slightly blurred in Caddick's documents as can be seen in MAL.2011.0001.0401 in Exhibit CS-1 at Tab 9. The "address", "enquiries" and "website" fields are also slightly blurred.
33. The disclaimer in the Caddick Portfolio Statement bearing document ID MAL.0019.0003.0001 in Exhibit DCS-1 at Tab 120 is slanted.
34. The Caddick's Portfolio Valuation Statements include a table titled "RETURN V'S ALL ORDINARIES INDEX". This table contains the following headings "Retail funds Transferred & Cash", "Cash unrealised Profit to date" "market value", and the "All Ords index". This table and its categories do not exist in a CommSec statement.
35. CommSec's Transaction Summary Statement includes the following wording: "There are no transactions on this account" where no trades have been placed on an account during the specified period. By contrast, Caddick's Transaction Summary Statement does not include the wording "There are no transactions on this account".
36. The Caddick 'Transaction Summary Statement' displays a row with the following headings "Contract no", "Date", "Stock Code", "Units Average (\$)", "Brokerage", "Net Proceeds", "Settlement Date", "Order Taker" and "Contract Status" (by way of example, MAL.2011.0001.0464, Tab 8 of Exhibit DCS-1). This row does not exist on a CommSec Transaction Summary Statement.
37. CommSec's 'Transaction Summary Statement' includes the field "Statement begins" and "Statement ends" in the "bold font". By contrast, the Caddick Transaction Summary Statements do not include these fields in the "bold font".
38. CommSec's Transaction Summary Statements present the date using the following format DD/MM/YYYY, for example 06/06/2020. The date format in the Caddick documents is not always consistent. For instance, document ID MAL.2011.0001.0464 in Exhibit DCS-1 at Tab 8 displays the date in the "Statement begins" field using the format "1/7/17". The "Statement ends" date is presented using a different format "19/12/2017" on the same document.
39. Furthermore, the Caddick Transaction Summary Statement capitalises the first letter of the words in the fields "Statement Begins" and "Statement Ends". The first letter of the words "begins" and "ends" are not capitalised in the CommSec Transaction Summary Statement.

40. The Caddick Transaction Summary Statement includes the following note "INT= Internet" and "BRK= Broker". This note does not exist on a CommSec Transaction Summary Statement.
41. The Caddick Transaction Summary Statement includes the field "Payment Method for Cash Withdrawals". This field is not included in a CommSec Transaction Summary Statement.
42. The Caddick Transaction Summary Statement divides transactions under the following headings "Total Buys" and "Total Sells" as can be seen in MAL.2011.0001.0401 in Exhibit CS-1 at Tab 9. This division does not exist in CommSec's Transaction Summary Statement. CommSec's Transaction Summary statement arranges transactions based on the date that the trade executed, beginning with the latest transactions.
43. The Caddick Portfolio Statement includes a table with the fields "Contract no.", "Transaction Date", "Description", "Debit", "Credit", "Balance" and "Closing Balance". These categories do not exist in a CommSec Portfolio Statement.
44. The Caddick Portfolio Statement also includes the columns "Stock Code", "Closing (\$)", "Units", "Market Value", "Profit (\$)" and "Return %". These columns do not exist in a CommSec Portfolio Statement. A CommSec Portfolio Statement contains four columns "Code", "Units", "Price (\$)" and "Value (\$)".
45. The Caddick Portfolio Statement displays the date and time that the statement was generated in the following format "20/12/16 6:00PM (Sydney time). This can be seen in MAL.2011.0001.0401 Exhibit CS-1 at Tab 9. By contrast, a CommSec Portfolio Statement would have displayed these details in a different following format: "Thurs 20 Dec 2016 6:00PM (Sydney time)."
46. The Caddick Portfolio Statement does not include the "Share Holdings Summary Charts". These charts are incorporated in the CommSec Portfolio Statement.
47. In light of the comparison of the characteristics of the dummy CommSec account with the characteristics of the Caddick Portfolio Statements in Exhibits DCS-1, Tab 2 to Tab 123 undertaken by Ms El-Azzi, it is clear that the Portfolio and Transaction Summary Statements in Exhibits DCS-1, Tab 2 to Tab 123 are not genuine.



Sworn by the deponent  
at Sydney  
in New South Wales  
on 19 March 2021  
Before me:

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)  
)  
)  
)

  
\_\_\_\_\_  
Signature of deponent

  
\_\_\_\_\_  
Signature of witness

Marina Kofman  
Solicitor admitted to practise in New South Wales

Level 5, 100 Market Place  
Sydney NSW 2000

Federal Court of Australia  
 District Registry: New South Wales  
 Division: Commercial and Corporations

No. NSD 1220 of 2020

**IN THE MATTER OF MALIVER PTY LTD (ACN 164 334 918)**

**AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION**


Plaintiff

**MELISSA LOUISE CADDICK and another**

Defendants

**Exhibit DCS-1**

This is the exhibit marked "DCS-1" referred to in the affidavit of David Campbell Smith sworn on 19 March 2021.

Before me:  .....

Marina Kofman

An Australian Legal Practitioner within the Meaning of the Legal Profession Uniform Law (NSW)

Filed on behalf of	Australian Securities and Investments Commission, Plaintiff		
Prepared by	Nicolette Bearup		
Tel	(02) 9911 5745	Fax	(02) 9911 2414
Email	Nicolette.Bearup@asic.gov.au		
<b>Address for service</b>	Email address above and Level 5, 100 Market Street, Sydney NSW 2000 Attention: Nicolette Bearup		



Federal Court of Australia  
 District Registry: New South Wales  
 Division: Commercial and Corporations

No. NSD 1220 of 2020

**IN THE MATTER OF MALIVER PTY LTD (ACN 164 334 918)**

**AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION**

Plaintiff

**MELISSA LOUISE CADDICK and another**

Defendants

**Annexure DCS-2**

This is the annexure marked "DCS-2" referred to in the affidavit of David Campbell Smith sworn on 19 March 2021.

Before me:.....

Marina Kofman

An Australian Legal Practitioner within the Meaning of the Legal Profession Uniform Law (NSW)

Filed on behalf of	Australian Securities and Investments Commission, Plaintiff		
Prepared by	Nicolette Bearup		
Tel (02) 9911 5745		Fax	(02) 9911 2414
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<b>Address for service</b>	Email address above and Level 5, 100 Market Street, Sydney NSW 2000 Attention: Nicolette Bearup		

## TRANSACTION SUMMARY STATEMENT



Account Number: 2309881

Statement begins: 01/07/2000

Account Name: INVESTORWEB PTY LIMITED &lt;STP&gt;

Statement ends: 16/03/2021

Total Buys (Inc. Brokerage + Admin fees + GST):	\$594.70
Total Sells (Inc. Brokerage + Admin fees + GST):	\$560.50
Total Brokerage (Inc. GST):	\$29.95
Total Subscriptions (Inc. GST):	\$0.00
GST on Brokerage and Subscriptions:	\$2.72
Miscellaneous credits (Inc. GST):	\$34.20
Miscellaneous debits (Inc. GST):	\$677.20

Date	Reference	Type	Detail	Debit (\$)	Credit (\$)	Balance (\$)
12/02/2019	J18712535001	Journal	GST INCL REIMBURSEMENT OF USER SUBSCRIPTION FEES		82.50	0.00
07/02/2019	J18706774011	Journal	Rej D/Tsfer B/S 6/02/2019 DE NO ACCOUNT	82.50		82.50
05/02/2019	R39202557	Receipt	Direct Transfer 033000 502335 Drawer INVESTORWEB OPERATING A/C		82.50	0.00
05/02/2019	J18703317128	Journal	User Subscription Services Notification Fee Jan 2019 Fee	82.50		82.50
21/06/2017	J17756121032	Journal	Rej D/Tsfer B/S 20/06/2017 DE NO ACCOUNT	594.70		0.00
19/06/2017	J17748156002	Journal	GST INCL BROKERAGE REIMBURSEMENT		34.20	-594.70
19/06/2017	C78167421	Contract	S 25 BHP @ 22.820000		560.50	-560.50

**Disclaimer:**

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## TRANSACTION SUMMARY STATEMENT



**Account Number:** 2309881

**Statement begins:** 01/07/2000

**Account Name:** INVESTORWEB PTY LIMITED <STP>

**Statement ends:** 16/03/2021

Date	Reference	Type	Detail	Debit (\$)	Credit (\$)	Balance (\$)
19/06/2017	R35587275	Receipt	Direct Transfer 033000 502335 Drawer INVESTORWEB OPERATING A/C		594.70	0.00
16/06/2017	C78164525	Contract	B 25 BHP @ 22.990000	594.70		594.70

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Federal Court of Australia  
District Registry: New South Wales  
Division: Commercial and Corporations

No. NSD 1220 of 2020

**IN THE MATTER OF MALIVER PTY LTD (ACN 164 334 918)**

**AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION**


Plaintiff

**MELISSA LOUISE CADDICK and another**

Defendants

**Annexure DCS-3**

This is the annexure marked "**DCS-3**" referred to in the affidavit of David Campbell Smith sworn on 19 March 2021.

Before me:  .....

Marina Kofman

An Australian Legal Practitioner within the Meaning of the Legal Profession Uniform Law (NSW)

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Filed on behalf of	Australian Securities and Investments Commission, Plaintiff
Prepared by	Nicolette Bearup
Tel (02) 9911 5745	Fax (02) 9911 2414
Email Nicolette.Bearup@asic.gov.au	

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**Address for service** Email address above and Level 5, 100 Market Street, Sydney NSW 2000  
Attention: Nicolette Bearup

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# PORTFOLIO STATEMENT



**Account Number:** 2309881

**Account Name:** INVESTORWEB PTY LIMITED <STP>

## Share Holdings as at Wed 17 Mar 2021 9:52 AM (Sydney time)

There are no holdings on this account.

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