

DAVID ROBERT GILMOUR ROSS
105 WOBURN ROAD
WOBURN
LOWER HUTT 5010

CRI-2013 - 085 - 6852

XRF 60887062
TNQ

SEX MALE Date of Birth DOB 19/04/1961
Country of Birth COB
Occupation OCC COMPANY DIRECTOR
Race RAC LIC. No.
Type of Case TOC ARREST
Licence issued or renewed by

BRETT BEATTIE
MEMBER OF THE SERIOUS FRAUD OFFICE

, of AUCKLAND, DESIGNATED
say on oath that I have just cause to suspect and do suspec

DAVID ROBERT GILMOUR ROSS
OR BETWEEN 1 OCTOBER 2003 AND 30 SEPTEMBER 2012

(within the space of six months last past)

WELLINGTON OR ELSEWHERE IN NEW ZEALAND

did commit an offence against s260 of the Crimes Act

with intent to obtain by deception any property, pecuniary advantage, benefit, or valuable consideration or to deceive, made or caused to be made or concurred in the making of any false entry in any book or account or other document required or used for accounting purposes.

Particulars

Fictitious transactions accounting for the closing position of Bevis Marks held securities as at 30 September 2012 totalling \$364,604,510.61 were entered into Ross Asset Management Limited's computer system

RECORD OF HEARING

Solicitor appearing:

Remand or Adjn. Dates	Plea	Decision:
13 JUN 2013		Mr Tuckey, Ms Heine, Ms MacDodd - SF ROB L-7-13 (10) vide a.o. Not to contact/associate Ross Group immed as penalty number Sumner precept to Southwith not to apply any international travel documents

INDICTABLE OFFENCE

being an offence punishable ~~summarily~~

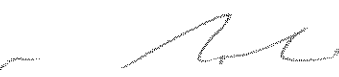
CHR 4524 SID


Informant

Sworn before me at Wellington this 13 June 2013

DATE OF HEARING:

13 JUN 2013 @ 10am
District Court WELLINGTON



IN THE DISTRICT COURT
AT WELLINGTON

INFORMATION
WHERE DEFENDANT IS TO BE PROCEEDED AGAINST ~~SUMMARILY~~=====
and CRIMINAL RECORD

ON INDICTMENT JUSSP0001 COMP
CRN 130855019

DAVID ROBERT GILMOUR ROSS
105 WOBURN ROAD
WOBURN
LOWER HUTT 5010

CRI - 2013 - 085 - 6852

XRF 60887062
TNQ

SEX MALE Date of Birth DOB 19/04/1971
Country of Birth COB
Occupation OCC COMPANY DIRECTOR
Race RAC LIC. No.
Type of Case TOC ARREST
Licence issued or renewed by

BRETT BEATTIE
MEMBER OF THE SERIOUS FRAUD OFFICE

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(within the space of six months last past)

WELLINGTON OR ELSEWHERE IN NEW ZEALAND

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with intent to obtain by deception any property, pecuniary advantage, benefit, or valuable consideration or to deceive, made or caused to be made or concurred in the making of any false entry in any book or account or other document required or used for accounting purposes

Particulars

Fictitious transactions for the trading of Devis Marks held securities resulting in profits of \$314,993,877.92 were entered into Ross Asset Management Limited's computer system

RECORD OF HEARING		
Solicitor appearing:		
Remand or Adjn. Dates	Plea	Decision:
13 JUN 2013		1939 <i>[Signature]</i>
4 JUL 2013		

INDICTABLE OFFENCE
being an offence punishable ~~summarily~~=====
CHR 4524 SID

[Signature]
Informant

Sworn before me at Wellington
this 13 June 2013

DATE OF HEARING:
13 JUN 2013 *[Signature]*
District Court WELLINGTON

IN THE DISTRICT COURT
AT WELLINGTON

INFORMATION
WHERE DEFENDANT IS TO BE PROCEEDED AGAINST ~~SUMMARILY~~
and CRIMINAL RECORD

ON INDICTMENT JUSSP0001 COMP
~~SUMMARILY~~
CRN130855019

DAVID ROBERT GILMOUR ROSS
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WOBURN
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CRI-2013 - 085 - 6852

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SEX MALE Date of Birth DOB 19/04/
Country of Birth COB
Occupation OCC COMPANY DIRECTOR
Race RAC LIC. No.
Type of Case TOC ARREST
Licence issued or renewed by

BRETT BEATTIE
MEMBER OF THE SERIOUS FRAUD OFFICE

, of AUCKLAND, DESIGNATED
, say on oath that I have just cause to suspect and do suspect

DAVID ROBERT GILMOUR ROSS
OR BETWEEN 30 JUNE 2000 AND 30 SEPTEMBER 2003
WELLINGTON OR ELSEWHERE IN NEW ZEALAND

(within the space of six months last past, or
did commit an offence against s252 of the Crimes Act

being a director of any company, namely Ross Asset Management Limited,
with intent to defraud, made or concurred in the making of any false entry in any
book, account, valuable security, or document belonging to the company

Particulars

Fictitious transactions for the trading of Evis Marks held securities resulting in
profits of \$36,499,317.68 were entered into Ross Asset Management Limited's
computer system.

RECORD OF HEARING		
Solicitor appearing:		
Remand or Adjn. Dates	Plea	Decision:
13 JUN 2013		1939 B
4 - JUL 2013		

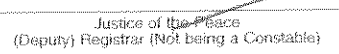
INDICTABLE OFFENCE
being an offence punishable ~~summarily~~

CHR4636 SID


Informant

Sworn before me at Wellington
this 13 June 2013

DATE OF HEARING:
13 JUN 2013 @ 10am
District Court WELLINGTON


Justice of the Peace
(Deputy) Registrar (Not being a Constable)

INFORMATION

ON INDICTMENT JUSSP0001 COMP

IN THE DISTRICT COURT
AT WELLINGTON

WHERE DEFENDANT IS TO BE PROCEEDED AGAINST SUMMARILY
and CRIMINAL RECORD

CRN/30855019

DAVID ROBERT GILMOUR ROSS
105 WOBURN ROAD
WOBURN
LOWER HUTT 5010

CRI-2013 - 085 - 6852

XRF 60887062
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SEX MALE Date of Birth DOB 19/04/
Country of Birth COB
Occupation OCC COMPANY DIRECTOR
Race RAC LIC. No.
Type of Case TOC ARREST
Licence issued or renewed by

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MEMBER OF THE SERIOUS FRAUD OFFICE

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DAVID ROBERT GILMOUR ROSS
OR BETWEEN 30 JUNE 2000 AND 30 SEPTEMBER 2003

(within the space of six months last past, or

WELLINGTON OR ELSEWHERE IN NEW ZEALAND

, did commit an offence against s252 of the Crimes Act

being a director of any company, namely Ross Asset Management Limited,
with intent to defraud, made or concurred in the making of any false entry in any
book, account, valuable security, or document belonging to the company

Particulars

Fictitious transactions accounting for the closing position of Bevis Marks held
securities as at 30 September 2012 totalling \$108,599.85 were entered into
Ross Asset Management Limited's computer system

RECORD OF HEARING

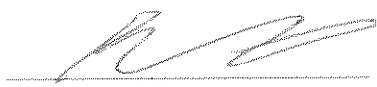
Solicitor appearing:

Remand or Adjn. Dates	Plea	Decision:
3 JUN 2013		1939 B
4 - JUL 2013		

INDICTABLE OFFENCE

being an offence punishable summarily

CHR 4636 SID



Informant

Sworn before me at Wellington
this 13 June 2013

DATE OF HEARING:

13 JUN 2013 @ 10am

District Court WELLINGTON

Justice of the Peace
(Deputy) Registrar (Not being a Constable)

IN THE DISTRICT COURT
AT WELLINGTON

INFORMATION
WHERE DEFENDANT IS TO BE PROCEEDED AGAINST **SUMMARILY**
and CRIMINAL RECORD

ON INDICTMENT JUSSP0001 COMP
SUMMARILY
CRN130855019

DAVID ROBERT GILMOUR ROSS
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SEX MALE Date of Birth DOB 19/04/
Country of Birth COB
Occupation OCC COMPANY DIRECTOR
Race RAC LIC. No.
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Licence issued or renewed by

BRETT BEATTIE
MEMBER OF THE SERIOUS FRAUD OFFICE

of AUCKLAND, DESIGNATED
say on oath that I have just cause to suspect and do suspect

DAVID ROBERT GILMOUR ROSS
OR BETWEEN 1 OCTOBER 2003 AND 31 OCTOBER 2012
WELLINGTON OR ELSEWHERE IN NEW ZEALAND

(within the space of six months last past, or

did commit an offence against s220 and s223(a) of the
Crimes Act 1961

did receive, or was in possession of, or had control over property, namely Ross Asset Management Limited investor funds, on terms or in circumstances that he knew required him to deal with the property in accordance with the requirements of the Ross Asset Management Limited Management Deeds, and intentionally dealt with the property otherwise than in accordance with those requirements

Particulars

Used the funds of Ross Asset Management Limited investors to repay the investments of other Ross Asset Management Limited investors, and to fund the operations of Ross Asset Management Limited, in breach of clauses 4, 4.3, and 7.6 of the Ross Asset Management Limited Management Deeds.

RECORD OF HEARING

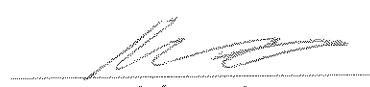
Solicitor appearing:

Remand or Adjn. Dates	Plea	Decision:
13 JUN 2013		1939 AS
4 - JUL 2013		

INDICTABLE OFFENCE

being an offence punishable summarily

CHR 4386 SID



Informant

Sworn before me at this 13 JUN 2013

DATE OF HEARING:

13 JUN 2013 @ 10am

District Court WELLINGTON


Justice of the Peace
(Deputy) Registrar (Not being a Constable)