

## Summary Dashboard

A dashboard showing the summary of the results of the latest compliance checklist is shown below:

| No.                                | Check | Compliant | Deadline   |
|------------------------------------|-------|-----------|------------|
| <b>Reporting Duties</b>            |       |           |            |
| A1                                 |       |           |            |
| A2                                 |       |           |            |
| A3                                 |       |           |            |
| <b>Knowledge and Understanding</b> |       |           |            |
| B1                                 |       |           |            |
| B2                                 |       |           |            |
| B3                                 |       |           |            |
| B4                                 |       |           |            |
| B5                                 |       |           |            |
| B6                                 |       |           |            |
| B7                                 |       |           |            |
| B8                                 |       |           |            |
| B9                                 |       |           |            |
| B10                                |       |           |            |
| B11                                |       |           |            |
| B12                                |       |           | 31/12/2019 |
| <b>Conflicts of Interest</b>       |       |           |            |
| C1                                 |       |           |            |
| C2                                 |       |           |            |
| C3                                 |       |           |            |
| C4                                 |       |           |            |
| C5                                 |       |           |            |
| C6                                 |       |           |            |
| C7                                 |       |           |            |
| C8                                 |       |           |            |
| C9                                 |       |           |            |
| C10                                |       |           |            |
| C11                                |       |           |            |
| <b>Publishing Information</b>      |       |           |            |
| D1                                 |       |           |            |
| D2                                 |       |           |            |
| D3                                 |       |           |            |
| D4                                 |       |           |            |
| <b>Risk and Internal Controls</b>  |       |           |            |
| E1                                 |       |           | 31/03/2020 |
| E2                                 |       |           | 31/03/2020 |
| E3                                 |       |           |            |
| E4                                 |       |           | 31/03/2020 |

|                                             |  |  |            |
|---------------------------------------------|--|--|------------|
| E5                                          |  |  |            |
| E6                                          |  |  |            |
| E7                                          |  |  | 31/03/2020 |
| E8                                          |  |  | 31/03/2020 |
| Maintaining Accurate Member Data            |  |  |            |
| F1                                          |  |  |            |
| F2                                          |  |  |            |
| F3                                          |  |  | 31/03/2021 |
| F4                                          |  |  |            |
| F5                                          |  |  |            |
| F6                                          |  |  |            |
| F7                                          |  |  | 31/03/2020 |
| F8                                          |  |  |            |
| F9                                          |  |  | 31/12/2019 |
| F10                                         |  |  |            |
| F11                                         |  |  |            |
| Maintaining Contributions                   |  |  |            |
| G1                                          |  |  |            |
| G2                                          |  |  |            |
| G3                                          |  |  |            |
| G4                                          |  |  |            |
| G5                                          |  |  |            |
| G6                                          |  |  |            |
| G7                                          |  |  |            |
| G8                                          |  |  |            |
| G9                                          |  |  |            |
| Providing Information to Members and Others |  |  |            |
| H1                                          |  |  |            |
| H2                                          |  |  |            |
| H3                                          |  |  |            |
| H4                                          |  |  |            |
| H5                                          |  |  |            |
| H6                                          |  |  |            |
| H7                                          |  |  |            |
| H8                                          |  |  |            |
| H9                                          |  |  |            |
| H10                                         |  |  |            |
| H11                                         |  |  |            |
| H12                                         |  |  |            |
| Internal Dispute Resolution                 |  |  |            |
| I1                                          |  |  |            |
| I2                                          |  |  |            |
| I3                                          |  |  |            |

|                    |  |  |            |
|--------------------|--|--|------------|
| I4                 |  |  | 31/03/2020 |
| I5                 |  |  |            |
| I6                 |  |  |            |
| I7                 |  |  |            |
| I8                 |  |  |            |
| I9                 |  |  |            |
| Reporting Breaches |  |  |            |
| J1                 |  |  |            |
| J2                 |  |  |            |
| J3                 |  |  |            |