



## FACT SHEET

ETHI COMMITTEE APPEARANCE 2023-10-16

# Compliance

### COMPLIANCE ACTIVITIES IN NUMBERS: 2021-2022, 2022-2023 AND 2023-2024 (30 SEPTEMBER 2023)

Activity	2021-22	2022-23	2023-24 30 Sept
<b>Preliminary assessments initiated</b>	22	30 (31% increase)	7
Initiated due to external allegations	8	17	4
Initiated as a result of internal monitoring	14	13	3
<b>Cases closed at the preliminary assessment stage</b>	14	27 (48% increase)	8
<b>Investigations initiated</b>	1	3	Nil
<b>Investigations ceased</b>	3	6	1
<b>Investigations completed/Report on Investigation</b> Note: Mark Aldridge, President & CEO, MCAP Commercial LP (21-22)	1	Nil	Nil
<b>Compliance assessments</b>	90	74	3
<b>Advisory letters<sup>1</sup></b>	49	10	7

<sup>1</sup> Numbers reflect the letters sent by Compliance, by RCSD at Compliance's requests.

## STATISTICS FOR EXEMPTION REQUESTS

	2021-22	2022-23	2023-24 30 Sept
<b>Number of exemption requests</b>	<b>6</b>	<b>8</b>	<b>8</b>
Exemptions carried over	3	2	2
Exemption granted	2	0	3
Exemption denied	3	6	4
Exemption withdrawn	2	2	2
Exemptions active at year end	2	2	1

## VERIFICATIONS

	2021-22	2022-23	2023-24 30 Sept
<b>Number of MCRs verified</b>	<b>1,813*</b>	<b>1507**</b>	<b>552</b>
Accurate MCRs	1,559 (85.99%)	1329 (88.01%)	464 (86.06%)
Inaccurate MCRs	169 (9.32%)	128 (8.48%)	63 (11.41%)
Communication did not happen	70 (3.86%)	50 (3.31%)	25 (4.53%)
<b>Number of DPOHs who have completed verifications</b>	<b>328</b>	<b>287</b>	<b>115</b>

\*15 Unable to verify

\*\*3 Unable to verify

Active files = **43** (12 October 2023; 41); (30 September 2023)

Preliminary Assessments: **34** (12 October 2023); 32 (30 September 2023)

Investigations: 4 (one to be referred, two to be ceased, one Report to Parliament)

Suspended: **6** (5 with peace officer and 1 waiting for report to cease)