



FACT SHEET

ETHI COMMITTEE APPEARANCE 2023-05-12

Compliance

COMPLIANCE ACTIVITIES IN NUMBERS: 2021-2022 AND 2022-2023

Activity	2021-22	2022-23
Preliminary assessments initiated	22	29 (31% increase)
Initiated due to external allegations	8	17
Initiated as a result of internal monitoring	14	12
Cases closed at the preliminary assessment stage	14	27 (48% increase)
Investigations initiated	1	3
Investigations ceased	3	6
Investigations completed/Report on Investigation Note: Mark Aldridge, President & CEO, MCAP Commercial LP (21-22)	1	Nil
Compliance assessments	90	74
Advisory letters¹	49	10

¹ Numbers reflect the letters sent by Compliance, by RCSD at Compliance's requests.

STATISTICS FOR EXEMPTION REQUESTS

	2021-22	2022-23
Number of exemption requests	6	8
Exemptions carried over	3	2
Exemption granted	2	0
Exemption denied	3	5
Exemption withdrawn	2	2
Exemptions active at year end	2	3

VERIFICATIONS

	2021-22	2022-23
Number of MCRs verified	1,813	957
Accurate MCRs	1,559 (85.99%)	1329 (88.01%)
Inaccurate MCRs	169 (9.32%)	128 (8.48%)
Communication did not happen	70 (3.86%)	50 (3.31%)
Number of DPOHs who have completed verifications	328	287