

Legal Compliance Survey 2019



Compliance Manager

Audit & Risk Committee

Purpose:

Report on outcome of April 2019 legal compliance survey Date:

30 Apr 2019

Period covered



People finished



Obligations completed



Acts & Regs



Results:

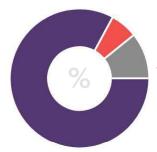


Compliance

656

83%

Compliance



Status of corrective actions:

Resolved

Action plan

No action plan



Finance Team

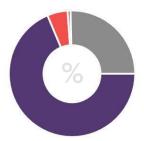
Did not arise



5/5

134/134

People finished **Obligations** completed





Partial 7

Zero

Did not arise

34

3 Resolved

4 Action plan



Operations Team





8/8

330/330

People finished **Obligations** completed







27

Zero

3

Did not arise

24

Resolved

19 Action plan

3 No action plan

Impact of recent law changes on ComplyWorld Ltd



There were a small number of law changes that had a low impact, including obligations on tenants under the new Fire Safety, Evacuation **Procedures and Evacuation Schemes** Regulations 2018.