

## Compliance plan for Meridian MEP 2024

Participants to Provide Accurate Information		
Non-compliance	Description	
<p>Audit Ref: 2.5</p> <p>With: Clause 10.6</p> <p>From: 14-Oct-22</p> <p>To: 19-Jun-24</p>	<p>Incorrect certification date in the registry for ICP 0000315340TPEFC.</p> <p>Incorrect certification expiry date in the certification report for ICP 0000315340TPEFC.</p> <p>Incorrect event dates for two ICPs.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
For 0000315340TPEFC we will correct the error in the Registry to the correct date ie 11/07/2024	5/09/2024	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We have asked Accucal to help us with monitoring expiry and Registry updates in the future to ensure they are correct	30/09/2024	

Changes to Registry Records		
Non-compliance	Description	
Audit Ref: 4.10 With: Clause 3 of Schedule 11.4 From: 14-Oct-22 To: 19-Jun-24	Two incorrect event dates and two late updates. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
We will correct the Registry for the incorrect date	5/09/2024	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We have asked Accucal to help us with monitoring expiry and Registry updates in the future to ensure they are correct	30/09/2024	

Accurate and Complete Records		
Non-compliance	Description	
Audit Ref: 4.10 With: Clause 4(1)(a) and (b) of Schedule 10.6 From: 11-Jul-24 To: 29-Aug-24	Incorrect certification expiry date in the certification report for ICP 0000315340TPEFC. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as strong because they mitigate risk to an acceptable level. There hasn't been an impact on the market or other participants, therefore the risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Accucal to be asked to correct the date in the Certification Report and resend it to us	30/09/2024	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Meridian to check the Certification dates are correct in all Certification Reports received from the Testhouse	In Progress	