

Compliance Plan for Goodman Nominee (NZ) Limited Distributor – 2023

Creation and decommissioning of NSPs		
Non-compliance	Description	
Audit Ref: 6.1 With: Clause 25 Schedule 11.1 From: 01-Apr-23 To: 17-Apr-23	Alleged breach 2303MGNZ1 is recorded for late provision of NSP information to the reconciliation manager. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as strong as Smart Power's processes are compliant. The audit risk rating is low as the number of late updates was low.	
Actions taken to resolve the issue	Completion date	Remedial action status
This is a one off occurrence and unlikely to occur. Relevant parties have been reminded of the need to provide notice.	17/4/23	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
This is a one off occurrence and unlikely to occur. Relevant parties have been reminded of the need to provide notice.	17/4/23	