

OPERATIONS STATISTICS – 2024

INVESTIGATION AND COMPLIANCE DEPARTMENT

Investigation and Enquiry

	1 April 2024 to 30 April 2024	Year ended 31 March 2024
<u>Investigation</u>		
Brought forward	216	146
Initiated in the period ¹	4	77
Completed		
- Cases referred to Discipline Department	(2)	(6)
- Without further action	-	(1)
In progress at end of period	<u>218</u>	<u>216</u>
<u>Enquiry</u>		
Brought forward	45	31
Initiated in the period ¹	-	14
Completed ²	-	-
In progress at end of period	<u>45</u>	<u>45</u>

Notes :

1. The number of investigations/enquiries initiated may not equal the number of complaints which required the initiation of investigations and/or enquiries as a complaint may lead to the initiation of more than one investigation and/or enquiry.
2. For all completed enquiries with significant non-compliance with accounting requirements identified, the listed companies were required to remove the non-compliance.