

Breach no	Date	Summary of breach	Is the breach consider material	Consulted with	Date reported to tPR	Response	Mitigating action to prevent reoccurrence
100001	02/12/2016	30,185 active and 22,835 DB ABS late.	No	LPB	02/12/2016	No action	ABSs issued one month late.
100002	29/09/2017	1,747 active and 22,981 DB ABS late.	No	LPB	13/09/2017	No action	ABS issued late / MSS rolled out.
100003	15/01/2019	1,614 active and 13,130 DB ABS late.	No	LPB	15/01/2019	No action	Start process earlier / new technology
100004	01/07/2019	Delay in calculating Babcock 4S exit	No	LPB	N/A	No action	Corrected at the first opportunity
100005	23/11/2020	46 active and 4,589 DB ABS late.	No	LPB	N/A	No action	Addressed promptly
		Accounting for tax (AFT) statement submission: Failure to meet the statutory deadline of 6th October 2020 for the following members:					Although seven non-active members missed the 6th October deadline, there was only a slight delay and the members still have plenty of time to report their tax charge if they choose to record it on their annual tax return. Although it is a technical breach of law it does not appear to be a material one.
100006	23/11/2020	Active Members: 4 Non-Active Members: 7	No	LPB	N/A	No action	

This page is intentionally left blank