



ASIC

Australian Securities & Investments Commission

EU interim compliance report by ASIC

ASIC's interim report dated **15 July 2016** on compliance with the s93AA ASIC Act enforceable undertaking (EU) dated **29 April 2015** given by **Wealthsure Financial Services Pty Ltd** (ACN 130 288 578) (WFS).

Terms used in this report have the same meaning as in the 29 April 2015 enforceable undertaking (**EU**).

Undertakings	Report on compliance
EU paragraph 3.21 Interim Independent Expert Reports	<p>Three Interim Reports have been provided to ASIC by WFS (April 2015, October 2015, April 2016).</p> <p>The April 2015 and October 2015 Interim Reports reported improvements in WFS's Compliance Framework and recommended further action to rectify some issues.</p> <p>The April 2016 Interim Report did not report any issues requiring rectification and indicates WFS is progressing towards satisfactorily implementing the Remediation Plan.</p>