



ASIC
Australian Securities &
Investments Commission

CEU compliance report by ASIC

ASIC's report dated **12 September 2019** on compliance with the s93AA ASIC Act court enforceable undertaking (CEU) given by **Australia and New Zealand Banking Group Limited**.

Terms used in this report have the same meaning as in the CEU dated **29 March 2018**.

Undertakings	Report on compliance
<p>Payment of community benefit payment totalling \$3 million</p> <p>CEU paragraph 3.5</p>	<p>1. ANZ has complied with this undertaking. For further details, refer to ASIC's interim compliance report dated 16 May 2019 in relation to this CEU.</p>
<p>Appointment of independent expert as the relevant auditor for the purposes of Audited Attestations</p> <p>CEU paragraphs 3.6 to 3.11</p>	<p>2. ANZ has complied with this undertaking. For further details, refer to ASIC's interim compliance report dated 16 May 2019 in relation to this CEU.</p>
<p>ANZ to provide Audited Attestations relating to the provision of Documented Annual Reviews and associated systems and processes</p> <p>CEU paragraphs 3.2 to 3.4</p>	<p>3. ANZ has complied with this undertaking. In particular:</p> <ul style="list-style-type: none">(a) on 31 May 2019, ANZ provided the Audited Attestations signed by Mr Michael Norfolk (Managing Director Private Banking and Advice), accompanied by an independent expert report by Ernst & Young; and(b) on 28 August 2019, ANZ confirmed it had completed all remaining remediation required under the CEU. That confirmation was accompanied by a further report by Ernst & Young dated 31 July 2019.