



CEU final compliance report by ASIC

ASIC's final report dated **16 October 2026** on compliance with the s93AA ASIC Act court enforceable undertaking (CEU) given by the **Registered Company Auditor (RCA) Members of Hall Chadwick (NSW)** on **23 September 2025**.

Terms used in this report have the same meaning as in the 23 September 2025 CEU.

Undertakings	Report on compliance
Auditor reporting of extending the eligibility term	
RCA Members of Hall Chadwick (NSW) to notify ASIC of any proposed extensions, with evidence of compliance CEU paragraph 8.2	1. There were no notifications in this regard received during the period from CEU Acceptance Date (23 September 2025) until full implementation of the Remediation Plan (6 October 2026).
Independent Expert review of system of quality management	
Responsible Partner CEU paragraphs 8.4 and 8.5	2. The RCA Members of Hall Chadwick (NSW) assigned Stewart Thompson (Responsible Partner), with operational responsibility for implementation of this CEU. 3. There was no change in Responsible Partner during the CEU term.
Appointment and scoping of Independent Expert CEU paragraphs 8.3 and 8.6 to 8.8	4. David G Stevens ABN 84 966 265 133 was nominated, and approved by ASIC, as Independent Expert . 5. The draft terms and scope of the Independent Expert review engagement were approved by ASIC and the engagement letter finalised on the approved terms.
Independent Expert written report CEU paragraphs 8.9.4 and 8.9.5	6. The Independent Expert Report was given to Hall Chadwick (NSW) and ASIC on 3 March 2026. A summary of that report produced on 16 April 2026 is attached to the CEU Register. 7. The report evaluated Hall Chadwick (NSW)'s system of quality management as it relates to auditor independence and conflicts of interests obligations, including the matters required by paragraph 8.9.5 of the CEU.
Remediation Plan CEU paragraphs 8.9.6, 8.9.7 and 8.10	8. The Responsible Partner submitted a plan prepared by the RCA Members of Hall Chadwick (NSW) on 1 April 2026 setting out proposed actions to address the Independent Expert Report recommendations (Remediation Plan); which was considered satisfactory in section 8 of the Independent Expert summary report. No modification were requested by ASIC.

Undertakings	Report on compliance
Implementation of Remediation Plan CEU paragraphs 8.9.8, 8.11 and 8.12	9. The Responsible Partner notified ASIC on 6 October 2026 that the Remediation Plan was fully implemented as at 30 September 2026, with recurring monitoring and review activities established by the Remediation Plan to continue prospectively.
Remediation Implementation Report and assistance to Independent Expert CEU paragraphs 8.9.8 and 8.13	10. The outcome of the Independent Expert's testing of the implementation of the Remediation Plan was given to Hall Chadwick (NSW) and ASIC on 14 October 2026 (Remediation Implementation Report). The Remediation Implementation Report is attached to the CEU Register. 11. The Independent Expert was given access, information and explanation sufficient to perform the engagement.
Independent Expert replacement provision CEU paragraph 8.14	12. There was no change in Independent Expert during the CEU term.
Other	
Costs CEU paragraph 8.15	13. Hall Chadwick (NSW) pay the cost of compliance with the CEU, which are not required to be reported to ASIC.
Documents and information requested by ASIC CEU paragraph 8.16	14. All queries raised by ASIC for the purpose of assessing compliance with the CEU were responded to satisfactorily within the specified timeframes.
Public reporting CEU paragraphs 9.1 to 9.2.4	15. ASIC published the CEU, Independent Expert Summary Report and Remediation Implementation Report on the CEU Register. 16. This Report by ASIC records the completion of the 23 September 2025 undertakings given by the RCA Members of Hall Chadwick (NSW) on 16 October 2026.