

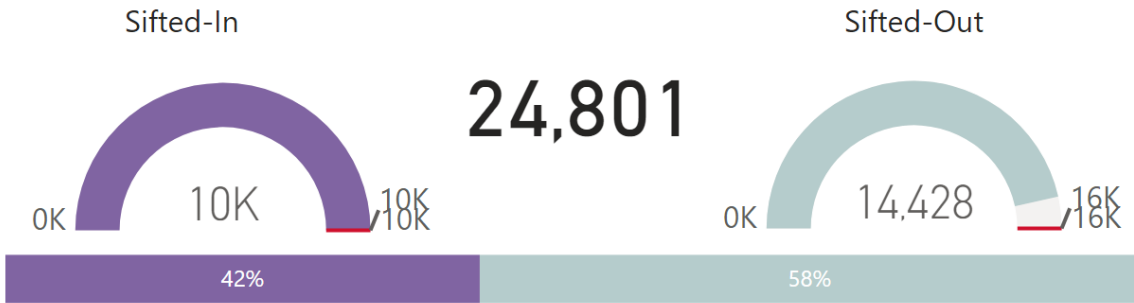


# Enforcement Activity Report MI

## Insolvent - Pre-Submission

Mar 26

### Total Conduct Returns Received



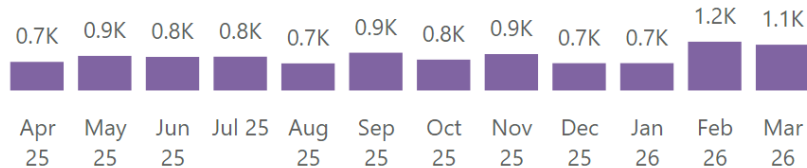
Total Conduct Reports Reviewed YTD

10238

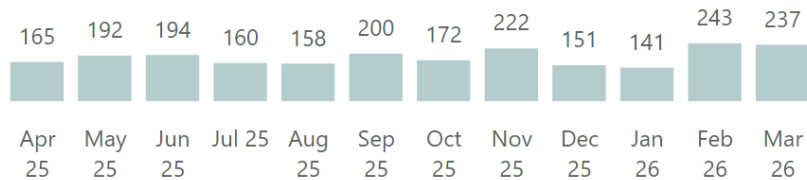
Total Targeted Cases YTD

2235

### Total Conduct\_Reports Reviewed by Month



### Total Targeted Cases by Month



Sifted-In Vetting Timeliness (Days)

75

Target

76

Current Month

78

YTD

Dissolved Companies  
Complaints

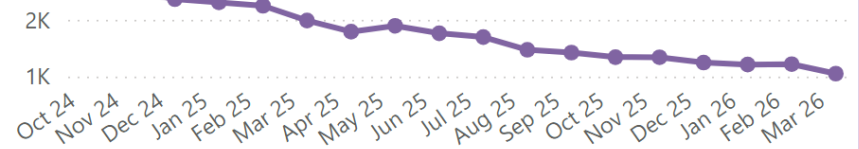
300 This Month  
2347 This Year

Higher Range 1700  
Lower Range 1500

Cases in DQ Investigation Pool (Selected Month)

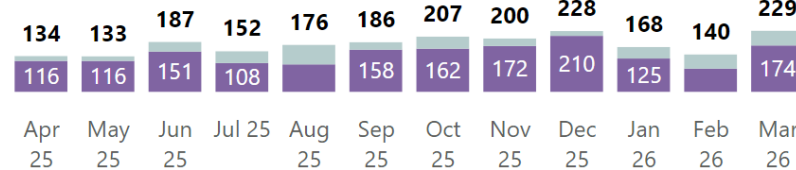
1,048

### Cases in DQ Investigation Pool



### Investigations Commenced by Month

● NCL ● Liquidation



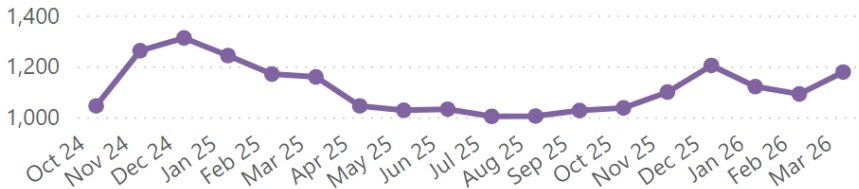
Investigation Cases Commenced YTD

2140

DQ Investigation Cases In Progress (Selected Month)

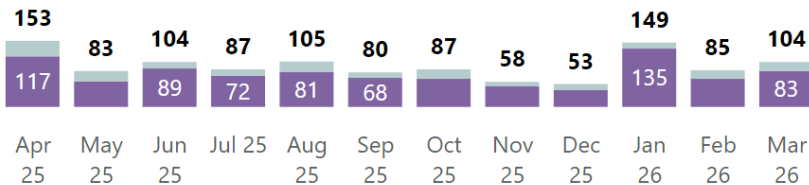
1,177

### DQ Investigation Cases In Progress



### Investigations Abandoned by Month

● NCL ● Liquidation



Investigation Abandoned YTD

1147



# Enforcement Activity Report MI

## Insolvent - Submissions

Mar 26

### S6 DQ First Submissions YTD

1024

### EIP First Submissions YTD

1004

% EIP First Submissions YTD

99%

#### M&W First Submissions YTD

257✓

Forecast: 203 (+54)

#### North First Submissions YTD

331✓

Forecast: 318 (+13)

#### Outsourced First Submissions YTD

261✓

Forecast: 200 (+61)

#### South First Submissions YTD

175✓

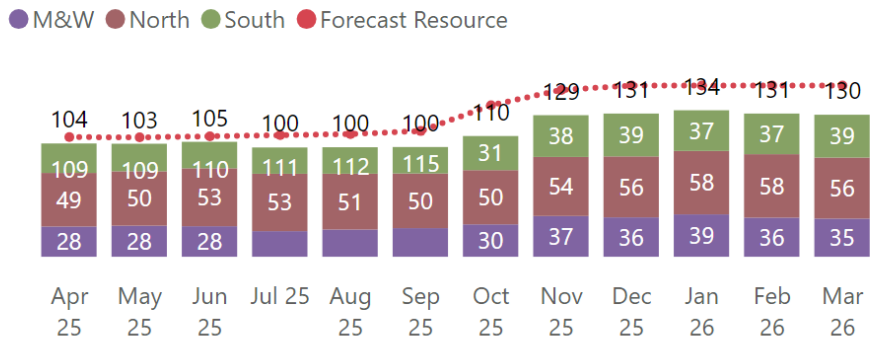
Forecast: 157 (+18)

#### Available Resource vs Forecast YTD

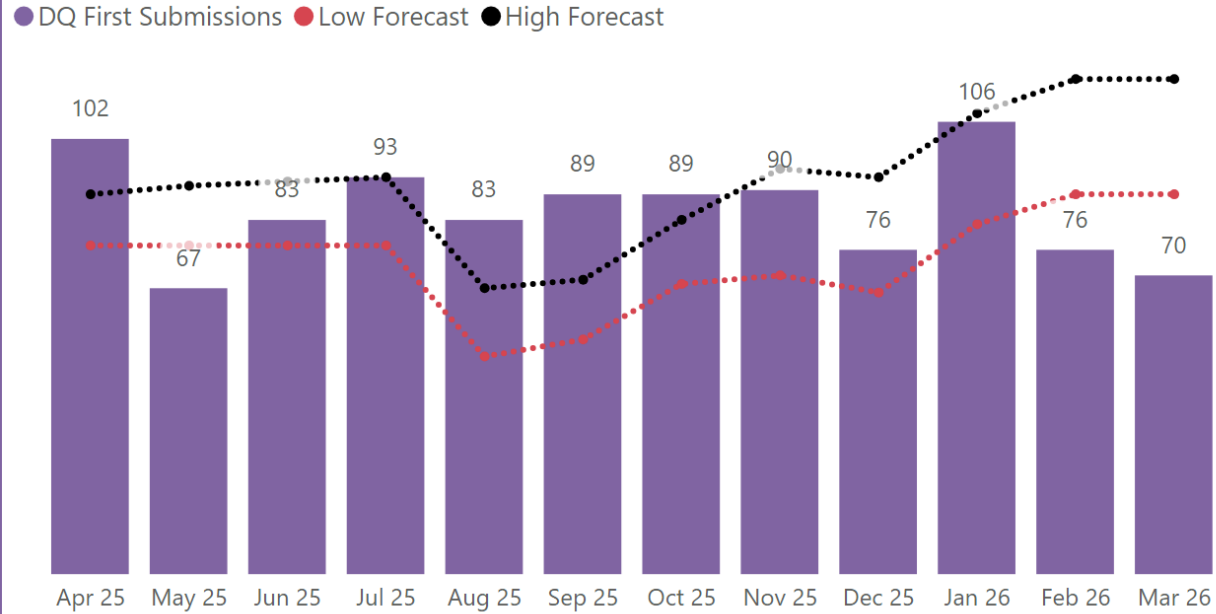
87%✓

EoY: 85% (+2%)

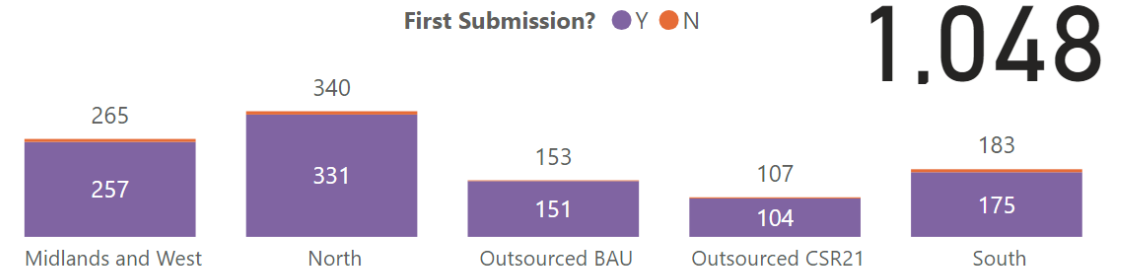
#### Available Resource (FTE) v Forecast (Monthly)



### DQ First Submissions by Month



### S6 DQ All Submissions by Office YTD

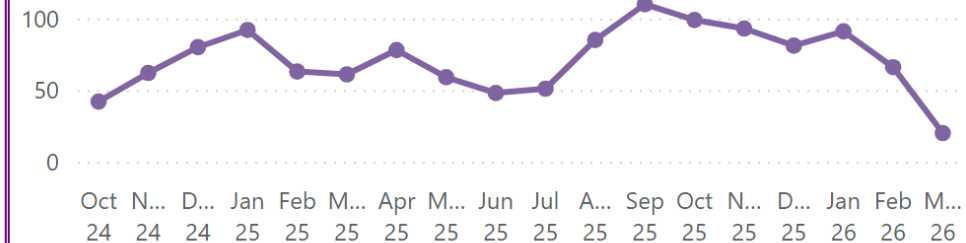


1.048

#### Cases with LSD - Awaiting ATP Decision

20

#### Cases with LSD - Awaiting ATP Decision



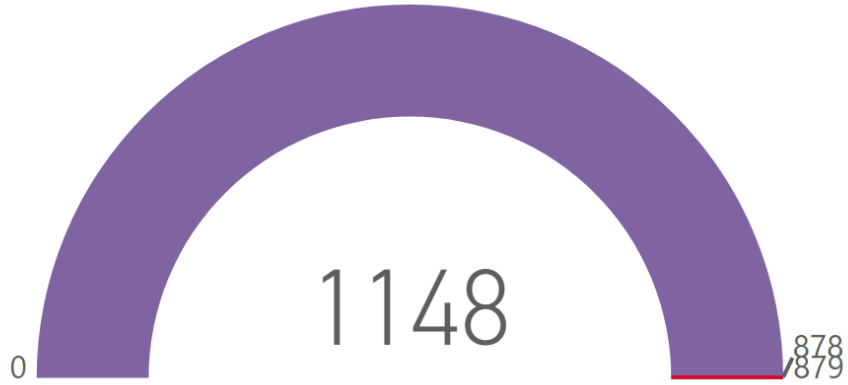


# Enforcement Activity Report MI

## Insolvent - ATP

Mar 26

### S6 DQ ATPs (Defendants) YTD



### EIP ATPs YTD

1092

### ATPs on First Submission YTD

1107

### M&W S6 DQ ATP (Def) YTD

287 ✓

Forecast: 203 (+84)

### North S6 DQ ATP (Def) YTD

383 ✓

Forecast: 318 (+65)

### South S6 DQ ATP (Def) YTD

184 ✓

Forecast: 157 (+27)

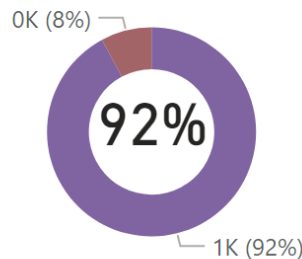
### Outsourced S6 DQ ATP (Def) YTD

294 ✓

Forecast: 200 (+94)

### S6 DQ First Submissions Percentage ATPs Granted YTD

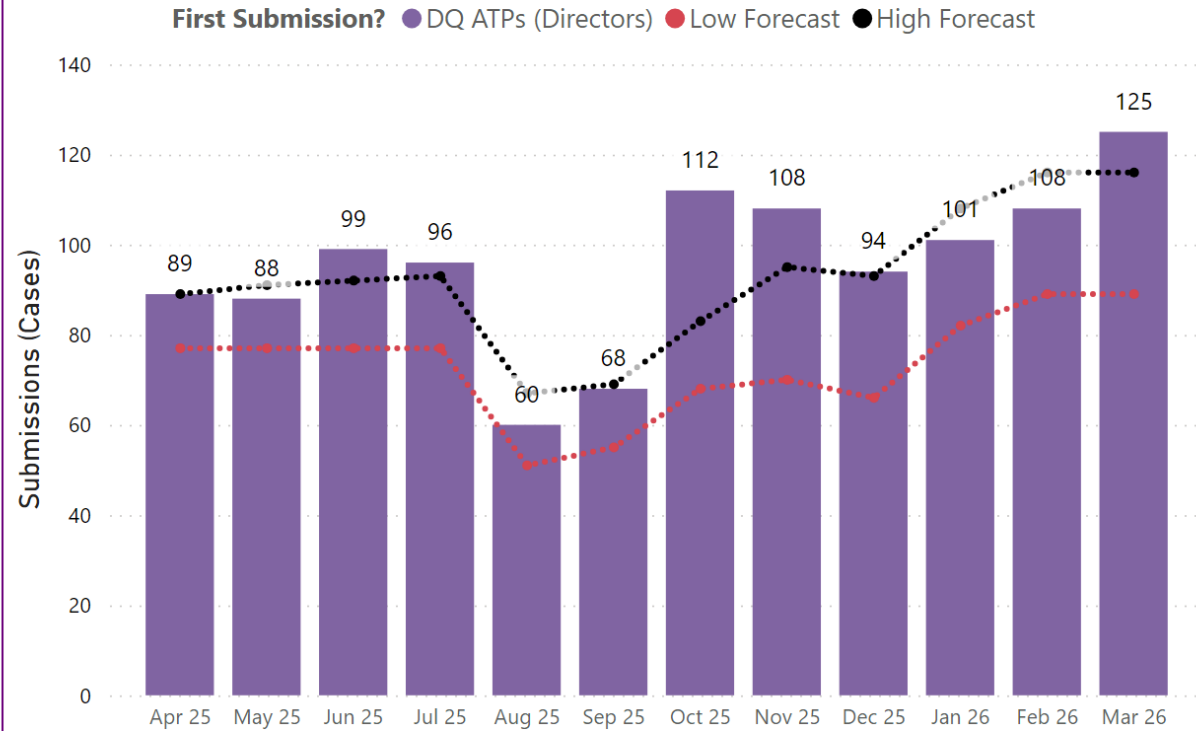
● ATP Granted ● ATP Not Granted



### Average Months Insolvency to ATP

21.3

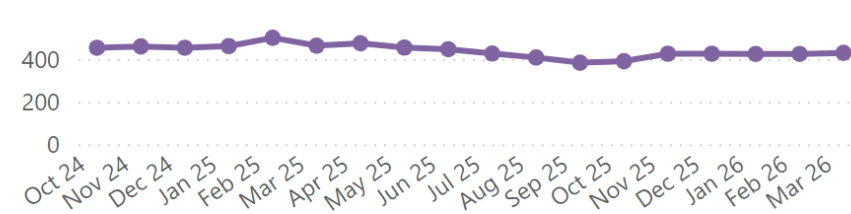
### S6 DQ ATPs by Month



### S6 LSD Defendants Pre-Issue Current Month

430

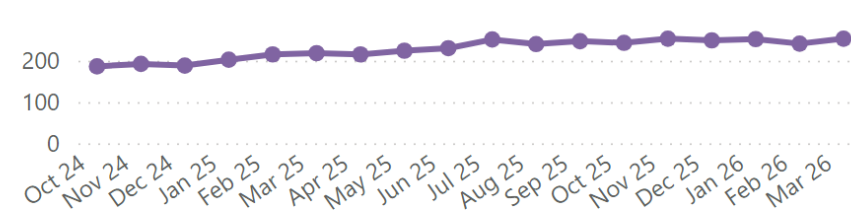
### LSD S6 DQ Defendants - Pre-Issue



### S6 LSD Defendants Post-Issue Current Month

253

### LSD S6 DQ Defendants - Post-Issue



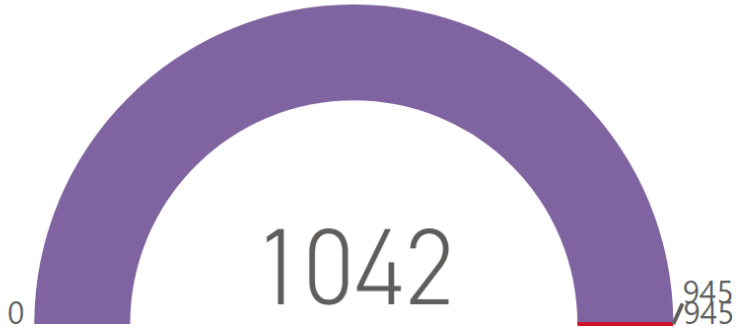


# Enforcement Activity Report MI

## Insolvent - DQ Results

Mar 26

S6 DQs YTD



M&W S6 DQ YTD

257

North S6 DQ YTD

347

South S6 DQ YTD

170

Outsourced S6 DQ YTD

266

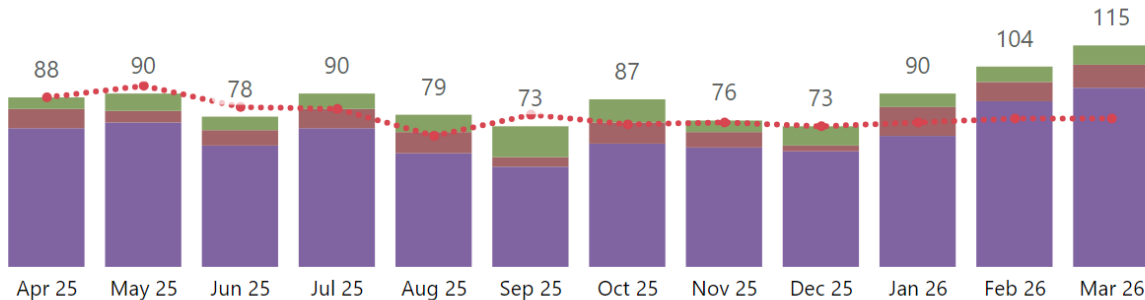
Other Outcomes YTD

Case lost Not proceeded with Proceedings withdrawn



S6 DQs by Month

Pre-issue undertaking Post-issue undertaking Disqualification order Forecast



Average Months Targeting to Result/Issue YTD

Targeting to Creation Creation to Submission Submission to Authorisation Authorisation to Result



Average Months Targeting to Result/Issue Current Month

Targeting to Creation Creation to Submission Submission to Authorisation Authorisation to Result



S6 Average Tariff YTD

8.6✓  
Goal: 7

S6 DQ Orders Over 10 Yrs YTD

67

S6 DQ Orders Over 10 Yrs (%)

62%✓  
Goal: 15%

S6 DQ Undertakings Over 10 Yrs YTD

144

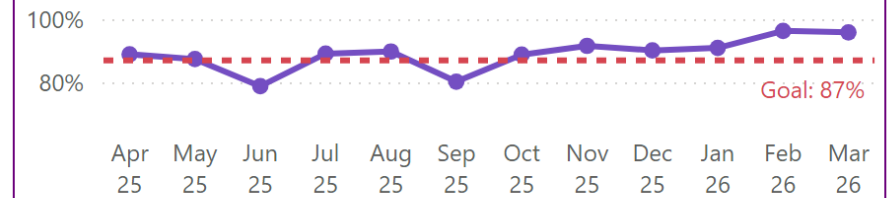
S6 DQ Undertakings Over 10 Yrs (%)

15%✓  
Goal: 15%

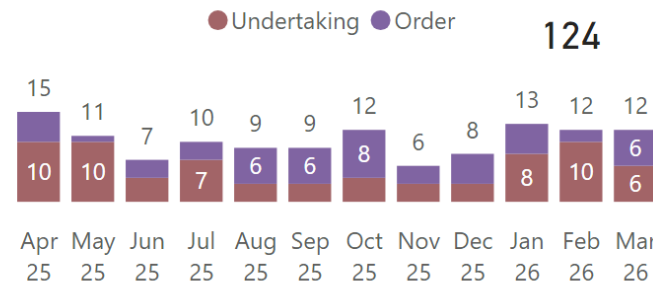
S6 Current Authorised Proceedings Leading to DQ Outcome

89%✓  
Goal: 87% (+2%)

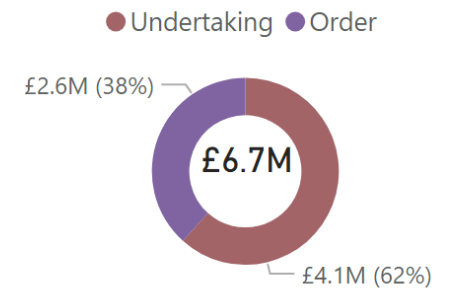
S6 Authorised Proceedings Leading to DQ Outcome



Total Compensation Volume YTD



Total Compensation (£) YTD





# Enforcement Activity Report MI

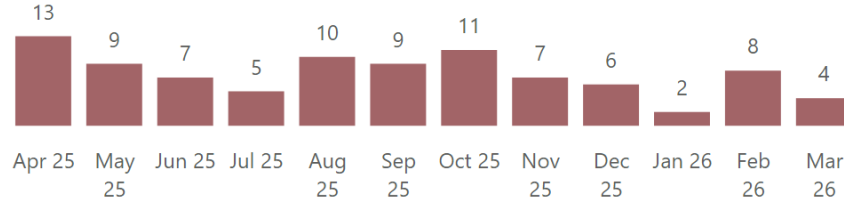
## Insolvent - S8 DQ Results and HOIE Referrals

Mar 26

S8 DQ Submissions YTD (Cases)

91

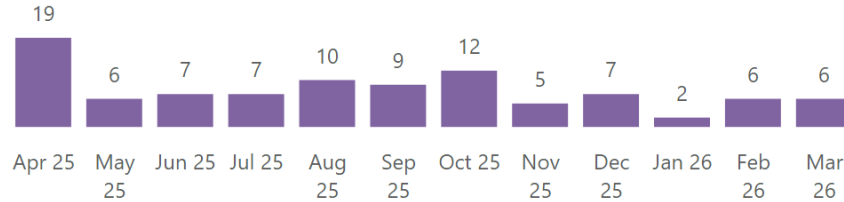
S8 DQ Submissions (Cases)



S8 DQ ATP YTD (Directors)

96

S8 DQ ATPs (Directors)



S8 DQ ATP (Directors) % Granted YTD

91%

S8 DQ WIP (Directors)

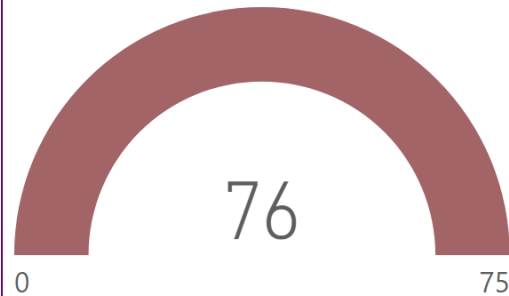
S8 WIP Pre-Issue S8 WIP Post-Issue



S8 DQs Average Tariff YTD (Years)

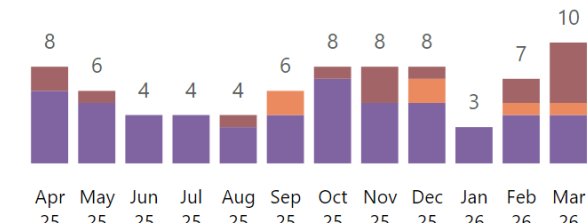
5.8

S8 DQs YTD



S8 DQs by Month

Undertaking Given P... Undertaking Giv... Order Made

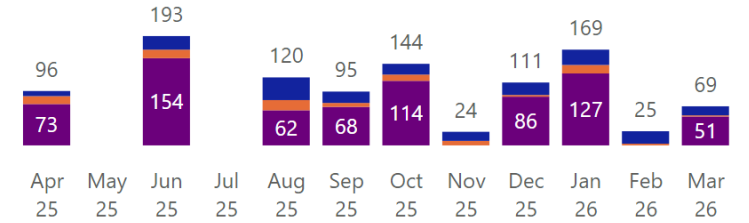


HOIE Referrals Received YTD

1046

HOIE Referrals Received by Month

Live Dissolved Insolvent

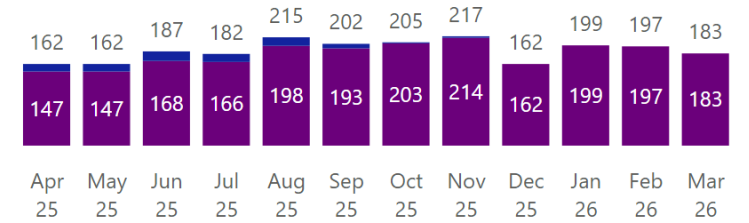


HOIE Cases Awaiting Allocation in Month

183

HOIE Accepted Cases Awaiting Allocation by Month

Live Dissolved Insolvent

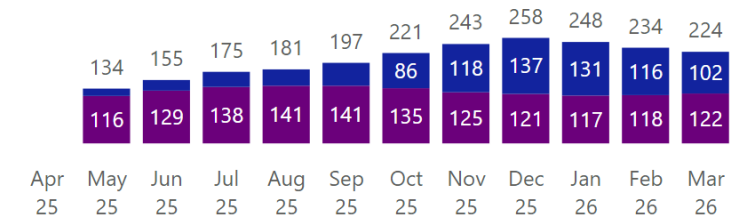


HOIE Investigations in Progress in Month

224

HOIE Investigations in Progress by Month

Live Dissolved Insolvent

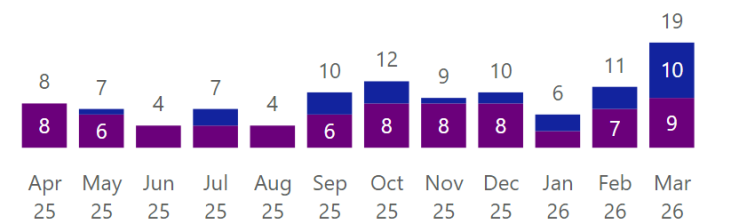


HOIE DQs YTD

107

HOIE DQs by Month

Live Dissolved Insolvent





# Enforcement Activity Report

## S2 DQ Outcomes

Mar 26

Total S2 DQs YTD  
**33**

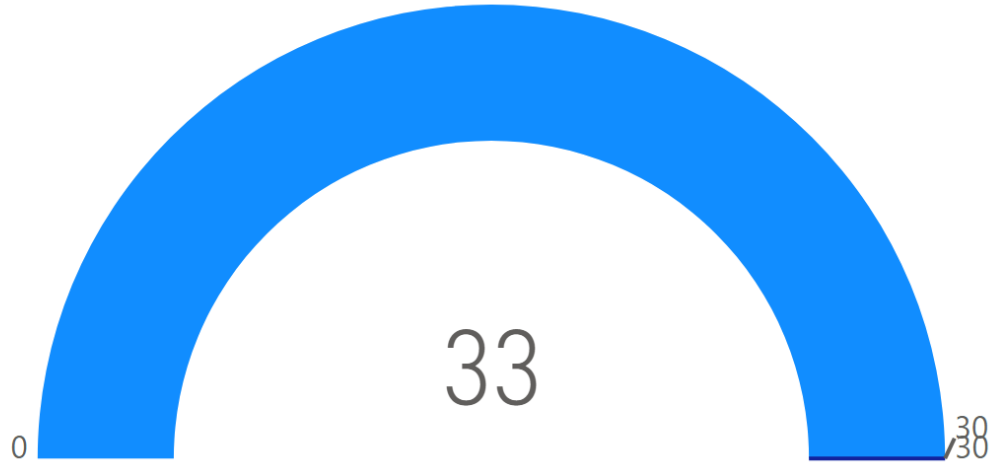
Total Internal S2 DQs YTD  
**31**

Total External S2 DQs YTD  
**2**

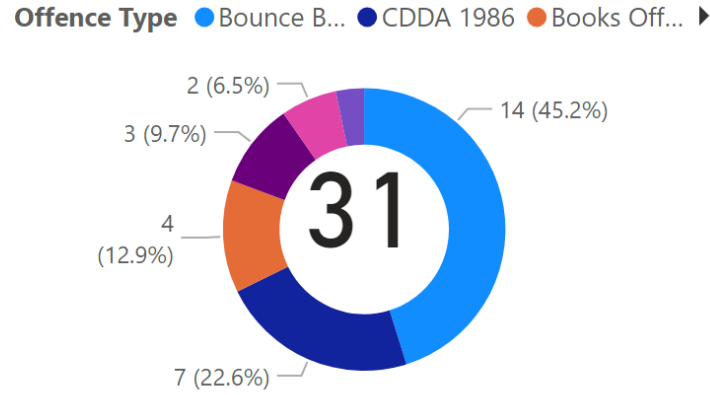
Total S2 DQs as Percentage of Convictions YTD  
**42%**

Average S2 DQ Tariff YTD  
**4.8**

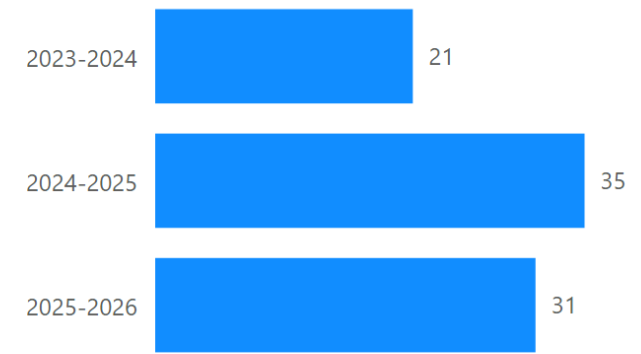
### Total S2 DQs YTD



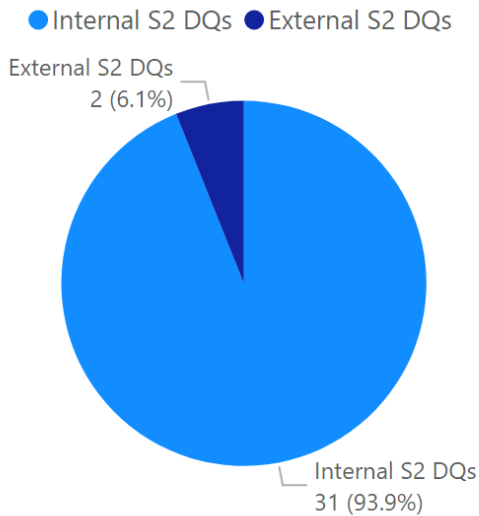
### Number of Internal S2 DQs YTD by Offence Type



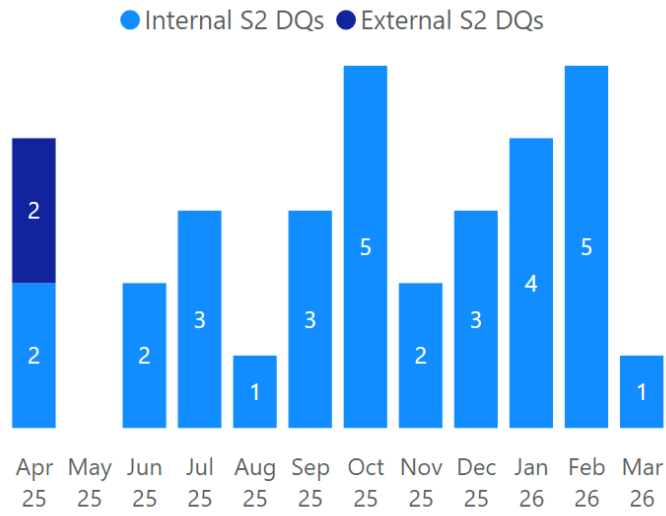
### Internal S2 DQs by Financial Year



### Internal S2 DQs and External S2 DQs



### Total S2 DQs by Month



### Average S2 Tariff by Financial Year

