

## Appendix 4

LB Hackney Pension Fund - Breaches Register											
Quarter	Date	Category (e.g. administration, contributions, funding, investment, criminal activity)	Employer / Org.	Description of breach	Cause of breach	Possible effect of breach and wider implications	Reaction of relevant parties to breach	Traffic Light System	Reported / Not reported (with justification if not reported and dates)	Outcome of report and/or investigations	Outstanding actions
Q3	Oct-18	Contributions	Fit for Sport	Contributions payment received late	Employer has missed the prescribed period for contributions	Late contributions could affect member queries & ABS	Employer notified of regulations to provide contributions on time and warned of breach	G	Not reported	Contributions payment received late. First offence, issued with a warning. No levy raised.	Monitor going forward
Q3	Oct-18	Contributions	Greenwich Leisure	Contributions payment received late	Employer has missed the prescribed period for contributions	Late contributions could affect member queries & ABS	Employer notified of regulations to provide contributions on time and warned of breach	A	Not reported	Contributions payment received late. Fifth offence, emails have been forwarded to Julie Stacey to take action.	Monitor going forward
Q3	Oct-18	Contributions	PJ Naylor Baden Powell	Contributions payment received late	Employer has missed the prescribed period for contributions	Late contributions could affect member queries & ABS	Employer notified of regulations to provide contributions on time and warned of breach	G	Not reported	Contributions payment received late. First offence, issued with a warning. No levy raised.	Monitor going forward
Q3	Oct-18	Contributions	PJ Naylor Baden Powell	HK221 received late	Late supporting documents	Late supporting documents could affect member queries & ABS	Employer has been warned of breach	G	Not reported	HK221 received late. Employer has spent some time filling the HK221 with Nicola. Email has been sent to remind employer of the deadlines.	Monitor going forward
Q3	Oct-18	Contributions	PJ Naylor Grasmere	Contributions payment received late	Employer has missed the prescribed period for contributions	Late contributions could affect member queries & ABS	Employer notified of regulations to provide contributions on time and warned of breach	G	Not reported	Contributions payment received late. First offence, issued with a warning. No levy raised.	Monitor going forward
Q3	Oct-18	Contributions	PJ Naylor Grasmere	HK221 received late	Late supporting documents	Late supporting documents could affect member queries & ABS	Employer has been warned of breach	G	Not reported	HK221 received late. Employer has spent some time filling the HK221 with Nicola. Email has been sent to remind employer of the deadlines.	Monitor going forward
Q3	Nov-18	Contributions	Hackney (LBH)	HK221 received late	Late supporting documents due to staff member being on annual leave	Late supporting documents could affect member queries & ABS	Employer has been warned of breach	A	Not reported	Contribution breakdown received late. Levy sent in line with Julie Stacey's email.	Monitor going forward
Q3	Nov-18	Contributions	Greenwich Leisure	Contributions payment received late	Employer has missed the prescribed period for contributions	Late contributions could affect member queries & ABS	Employer notified of regulations to provide contributions on time and warned of breach	A	Not reported	Contributions payment received late. Sixth offence, levy raised. Emails have been forwarded to Julie Stacey to contact employer. They advised October's amount was paid to LBH by mistake.	Monitor going forward
Q3	Nov-18	Contributions	Manor House Development Trust	Contributions payment received late	Employer has missed the prescribed period for contributions	Late contributions could affect member queries & ABS	Employer notified of regulations to provide contributions on time and warned of breach	G	Not reported	Contributions payment received late. Second offence, levy raised for £65.	Monitor going forward
Q3	Nov-18	Contributions	Peabody Trust (Previous name Family Mosaic)	HK221 received late	Late supporting documents	Late supporting documents could affect member queries & ABS	Employer has been warned of breach	G	Not reported	HK221 received late. Second offence, levy raised for £65.	Monitor going forward
Q3	Dec-18	Contributions	Hackney (LBH)	HK221 received late	Late supporting documents	Late supporting documents could affect member queries & ABS	Employer has been warned of breach	A	Not reported	HK221 received late. Levy raised for £65.	Monitor going forward
Q3	Dec-18	Contributions	Greenwich Leisure	Contributions payment received late	Employer has missed the prescribed period for contributions	Late contributions could affect member queries & ABS	Employer notified of regulations to provide contributions on time and warned of breach	A	Not reported	Contributions payment received late. Seventh offence, levy raised for £65. Emails have been forwarded onto Julie to contact employer by phone and email. Payments GLL made to LBH have been returned. However yet to receive any money from employer. Outstanding levies have not been paid.	Monitor going forward