

**NMS Compliance Tick sheet** – to be supported by NMS compliance record.

January 2018 – Review set for Feb/March 2018

March 2018 (Standards 1 – 9 reviewed)

March 14<sup>th</sup> 2018 (Standards 10 – 15 reviewed)

March 22<sup>nd</sup> 2018 – Review completed for this term

| Standard | Not meeting requirements | Meeting requirements | Exceeding requirements | Notes               |
|----------|--------------------------|----------------------|------------------------|---------------------|
| 1.1      |                          | x                    |                        |                     |
| 2.1      |                          | x                    |                        |                     |
| 2.2      |                          | x                    |                        |                     |
| 2.3      |                          | x                    |                        |                     |
| 2.4      |                          | x                    |                        |                     |
| 2.5      |                          | x                    |                        |                     |
| 2.6      |                          | x                    |                        | See attached report |
| 2.7      |                          | x                    |                        |                     |
| 2.8      |                          |                      | x                      | See attached report |
| 3.1      |                          |                      | x                      |                     |
| 3.2      |                          |                      | x                      | See attached report |
| 3.3      |                          |                      | x                      |                     |
| 3.4      |                          |                      | x                      |                     |
| 3.5      |                          |                      | x                      |                     |
| 3.6      |                          |                      | x                      |                     |
| 4.1      |                          |                      | x                      |                     |
| 5.1      |                          |                      | x                      |                     |
| 5.2      |                          |                      | x                      |                     |
| 5.3      |                          | x                    |                        | See attached report |
| 5.4      |                          | x                    |                        |                     |
| 5.5      |                          | x                    |                        | See attached report |
| 5.6      |                          | x                    |                        |                     |
| 5.7      |                          | x                    |                        |                     |
| 5.8      |                          | x                    |                        |                     |
| 6.1      |                          |                      | x                      | See attached report |
| 6.2      |                          | x                    |                        |                     |
| 6.3      |                          |                      | x                      | See attached report |
| 7.1      |                          | x                    |                        |                     |
| 7.2      |                          |                      | x                      | See attached report |
| 8.1      |                          | x                    |                        |                     |
| 8.2      |                          |                      | x                      | See attached report |
| 8.3      |                          | x                    |                        |                     |
| 8.4      |                          | x                    |                        |                     |
| 9.1      |                          | x                    |                        |                     |
| 9.2      |                          | x                    |                        |                     |
| 9.3      |                          | x                    |                        |                     |
| 9.4      |                          | x                    |                        |                     |

|       |  |   |   |                     |
|-------|--|---|---|---------------------|
| 10.1  |  |   | x | See attached report |
| 10.2  |  | x |   |                     |
| 10.3  |  | x |   |                     |
| 10.4  |  | x |   |                     |
| 11.1  |  |   | x | See attached report |
| 12.1  |  | x |   |                     |
| 12.2  |  | x |   |                     |
| 12.3  |  |   | x | See attached report |
| 12.4  |  |   | x | See attached report |
| 12.5  |  | x |   |                     |
| 12.6  |  | x |   |                     |
| 12.7  |  | x |   |                     |
| 12.8  |  | x |   |                     |
| 13.1  |  | x |   |                     |
| 13.2  |  | x |   |                     |
| 13.3  |  | x |   | See attached report |
| 13.4  |  | x |   |                     |
| 13.5  |  | x |   |                     |
| 13.6  |  | x |   | See attached report |
| 13.7  |  | x |   |                     |
| 13.8  |  | x |   |                     |
| 13.9  |  | x |   |                     |
| 14.1  |  | x |   |                     |
| 14.2  |  | x |   |                     |
| 14.3  |  | x |   |                     |
| 14.4  |  | x |   |                     |
| 14.5  |  | x |   |                     |
| 14.6  |  | x |   |                     |
| 15.1  |  | x |   |                     |
| 15.2  |  | x |   |                     |
| 15.3  |  | x |   |                     |
| 15.4  |  | x |   |                     |
| 15.5  |  | x |   |                     |
| 15.6  |  | x |   |                     |
| 15.7  |  | x |   |                     |
| 15.8  |  | x |   |                     |
| 15.9  |  | x |   |                     |
| 15.10 |  | x |   |                     |
| 15.11 |  | x |   |                     |
| 15.12 |  | x |   |                     |
| 15.13 |  | x |   |                     |
| 16.1  |  | x |   |                     |
| 17.1  |  |   | x | See attached report |
| 17.2  |  |   | x | See attached report |
| 18.1  |  | x |   |                     |
| 18.2  |  | x |   |                     |
| 19.1  |  |   | x | See attached report |
| 19.2  |  | x |   |                     |
| 19.3  |  | x |   |                     |
| 19.4  |  | x |   |                     |

|      |  |   |  |  |
|------|--|---|--|--|
| 19.5 |  | x |  |  |
| 19.6 |  | x |  |  |
| 20.1 |  | x |  |  |
| 20.2 |  | x |  |  |
| 20.3 |  | x |  |  |
| 20.4 |  | x |  |  |
| 21.1 |  | x |  |  |
| 21.2 |  | x |  |  |
| 21.3 |  | x |  |  |
| 21.4 |  | x |  |  |
| 22.1 |  | x |  |  |
| 22.2 |  | x |  |  |
| 22.3 |  | x |  |  |
| 22.4 |  | x |  |  |