

Subscriber Compliance Examination Report

Jurisdiction	New South Wales
Quarter Period 01/10/2018 – 31/12/2018	Financial Year 2019 Quarter 2
No. of Subscribers examined (audits sent)	186
Completed Audits	72
In Progress	116
Unsubscribed – Audit withdrawn	0

Summary of Examinations Conducted (double click into table to insert data. NB – Percentage of Total calculates automatically)

Compliance Outcomes	Number	Percentage of total
Satisfactory	65	90.3%
Unsatisfactory	7	9.7%
Total	72	

Breakdown of 'Unsatisfactory' Results (double click into table to insert data. NB – Percentage of Total calculates automatically)

Area	Number	Percentage of Total
Client Authorisation	5	71.4%
Verification of Identity	1	14.3%
Verification of Right to Deal	1	14.3%
Supporting Evidence		0.0%
No Response Received		0.0%
Other (please provide details)*		0.0%
Total	7	