

Subscriber Compliance Examination Report

Jurisdiction	New South Wales
Quarter Ended – 31/12/2017	Financial Year 18 Quarter 2
No. of Subscribers examined (audits sent)	282
Completed Audits	244
In Progress	70

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

Compliance Outcomes	Number	Percentage of total
Satisfactory	207	84.8%
Unsatisfactory	37	15.2%
Total	244	

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

Area	Number	Percentage of Total
Client Authorisation	31	67.4%
Verification of Identity	5	10.9%
Verification of Right to Deal	9	19.6%
Supporting Evidence		0.0%
No Response Received	1	2.2%
Other (please provide details)*		0.0%
Total	46	
* Other - details:		