

Subscriber Compliance Examination Report

Schedule 2, Section 4.2(d)(i)

Jurisdiction	New South Wales
Quarter Period 01/04/2018 – 30/06/2018	Financial Year 2018 Quarter 4
No. of Subscribers examined (audits sent)	222
Completed Audits	202
In Progress	60
Unsubscribed – Audit withdrawn	1

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

Compliance Outcomes	Number	Percentage of total
Satisfactory	178	88.1%
Unsatisfactory	24	11.9%
Total	202	

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

Area	Number	Percentage of Total
Client Authorisation	15	60.0%
Verification of Identity	1	4.0%
Verification of Right to Deal	4	16.0%
Supporting Evidence		0.0%
No Response Received	5	20.0%
Other (please provide details)*		0.0%
Total	25	