

Subscriber Compliance Examination Report

Jurisdiction	New South Wales
Quarter Period 01/07/2018 – 28/09/2018	Financial Year 2019 Quarter 1
No. of Subscribers examined (audits sent)	28
Completed Audits	86
In Progress	2
Unsubscribed – Audit withdrawn	0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	59	68.6%
Unsatisfactory	27	31.4%
Total	86	

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

Area	Number	Percentage of Total
Client Authorisation	17	58.6%
Verification of Identity	5	17.2%
Verification of Right to Deal	3	10.3%
Supporting Evidence		0.0%
No Response Received	4	13.8%
Other (please provide details)*		0.0%
Total	29	