

Audit Trail Report

Report Title	Audit Trail Report for Compliance and Regulatory Review
Report Number	ATR-2024-0031
Prepared By	Compliance Department
Date Generated	2024-06-28
Period Covered	2024-06-01 to 2024-06-27
System/Application	Financial Transaction Processing System

Summary of Audit Activities

No.	Date & Time	User ID	User Role	Action	Record Affected	Details	Status
1	2024-06-10 09:14	jdoe	Admin	Update	TXN #45217	Status changed: Pending → Approved	Successful
2	2024-06-13 12:37	asmith	User	Create	Account #91204	New client account created	Successful
3	2024-06-16 16:23	rlee	Auditor	Read	Report Q2-2024	Viewed financial summary	Successful
4	2024-06-21 08:55	tbrown	User	Delete	TXN #45312	Transaction voided	Successful
5	2024-06-25 15:44	cjones	Admin	Update	User Role	User → asmith's role changed: User → Manager	Successful

Exception & Irregularity Log

No.	Date & Time	User ID	Description	Action Taken
1	2024-06-20 10:05	tbrown	Unauthorized access attempt to confidential report	Access denied, incident logged, user notified
2	2024-06-22 17:42	anon_ip_192.168.3.12	Failed login attempts exceed policy threshold	Account temporarily locked, IT notified

Reviewer's Comments

Reviewer Name	Maria Santos
Date of Review	2024-06-28
Comments	All critical actions and exceptions have been adequately logged. Further investigation is recommended for repeated unauthorized access attempts.

Important Notes about Audit Trail Reports

- An audit trail helps ensure accountability and transparency for actions taken in systems handling sensitive or regulated data.
- Maintain integrity and protection of audit logs against unauthorized modification or deletion.
- Regular audit trail reviews are essential to comply with regulatory requirements and internal policies.
- Exception and irregularity logs should be promptly investigated and documented for audit readiness.

- Audit trail reports should be retained in accordance with legal and company retention schedules.