

Periodic Compliance Monitoring Report

Report Period	01 Jan 2024 – 31 Mar 2024
Department / Function	Risk & Compliance Department
Prepared By	Jane Doe
Date of Submission	10 Apr 2024

1. Executive Summary

This report provides an overview of compliance monitoring activities conducted during the period indicated above. It summarizes findings, actions taken, and outstanding issues.

2. Monitoring Activities

No.	Control Area	Description	Status	Reviewed By	Date Reviewed
1	Anti-Money Laundering	Transaction monitoring and KYC checks	Compliant	J. Smith	15 Feb 2024
2	Data Privacy	Review of data access protocols	Partially Compliant	L. Chan	02 Mar 2024
3	Health & Safety	Quarterly safety drill checks	Compliant	M. Patel	18 Mar 2024

3. Key Findings and Recommendations

Finding	Risk Level	Recommendation	Action Owner	Status
Incomplete KYC documentation for 2 clients	Medium	Update records and conduct staff training	Compliance Manager	In Progress
Data access privileges not reviewed	High	Conduct bi-annual access review	IT Department	Not Started

4. Outstanding Issues from Previous Reports

Issue	Last Update	Current Status
Annual compliance training completion	Dec 2023	Completed
Physical security audit	Oct 2023	Ongoing

5. Conclusion

Overall, compliance checks show improvement compared to the previous period. Key areas require further

attention, and timely follow-up is recommended.

Important Notes:

- This report is a summary; detailed records are maintained separately.
- Findings and recommendations must be tracked and followed up in subsequent cycles.
- Periodic compliance reports support continuous improvement and regulatory adherence.
- All supporting documentation should be retained for audit purposes.